

**UNITED WAY OF ULSTER COUNTY'S
COMMUNITY FUND
2011-2013 Funding Cycle**

ANNOUNCEMENT OF FUNDING AND GENERAL GUIDELINES

INTRODUCTION

The United Way of Ulster County (UWUC), an independent, privately operated not-for-profit organization located in Kingston, NY announces the availability of \$500,000 to support local health and human services programs serving Ulster County residents. Eligible agencies must be 501c3 not-for-profits with the primary mission of providing health and human services, located in Ulster County, and in operation for a minimum of two years.

Due to limited funding, the maximum grant award for new programs (those not funded in the previous grant cycle) will be \$10,000. Funding is on a two-year cycle; the annual allocation awarded to a program will rollover for the second year of the funding cycle, pending completion of a successful site visit. Site visits to funded programs will be performed by trained community volunteers and United Way staff during July-October, 2012. If awarded funding, allocations are dispensed by UWUC on a monthly basis, and for this funding cycle, begin in July, 2011 and end in June, 2013.

All funded agencies will be required to sign UWUC's Non-Discrimination Statement and adhere to UWUC's Agency Agreement. Both are included in the United Way Application Packet. However *at the time of submission, only the Non-Discrimination Statement must be signed*. Before submitting an application to UWUC, please review both documents carefully to determine if your agency is able and willing to comply with the requirements therein.

Ten copies of the completed Community Fund Application must be received by UWUC at 450 Albany Avenue, Kingston, NY **by 5:00 PM, Friday, March 4, 2011**.

BACKGROUND

In 2004, UWUC completed a needs assessment that included input from key county leaders in the fields of aging, criminal justice, education, emergency assistance, mental health, planning, social services, and youth. Data indicated that the two greatest barriers to attaining family self-sufficiency were steady, gainful employment, and family stability; and that the following areas must be addressed in order to eliminate these barriers, and promote family self-sufficiency:

- A lack of affordable day care, and the need for more accessible after school programs,
- A need for more "family centered" mental health services which are cost-effective and programmatically sound,
- A need to provide housing assistance to low-income families in order to avoid homelessness,

- A need for more basic skills training for entry level workers to acquire and retain jobs,
- A need to increase support of literacy programs, particularly those targeted towards Spanish speakers,
- A lack of parenting skills in troubled families, resulting in child abuse and/or neglect,
- A continued increase in substance abuse among youth and adults; and its relationship to domestic violence, school violence, unemployment, crime, and poor mental health.

In an effort to have a greater impact in these areas, UWUC will target *all* funds to the following seven Impact Areas:

- **Affordable Child Care:** Programs that provide for affordable child care, including day care for non-school aged children, and after school programs for the school-aged. After school programs that are on-site or that provide transportation to and from programming are preferred. Funds requested can be for scholarships to assist low-income families in accessing care, or for program services, equipment, and/or supplies to sustain effective, affordable, high quality care.
- **Family Mental Health Services:** Programs must include all members of the family in order to be considered for funding. While curriculum-based services are highly regarded, other family mental health services will also be considered for funding (i.e. support groups, respite programs, etc.)
- **Housing Assistance:** Services may include rental and home mortgage assistance, and/or shelter for the homeless. Case management must be a component of any housing assistance program considered for funding; that is, linking consumers to other needed services (i.e. substance abuse, mental health, or employment services), and working with the family and/or individual to attain a regular source of steady income. There is no limit on the extent of assistance available to a particular individual or family.
- **Life Skills Training:** Life Skills Training is defined as any that may justifiably be linked to the attainment of employment or family stability. Training may include, but is not limited to, vocational, academic, budgeting, communication skills, interviewing skills, interpersonal skills, anger management, or nutritional education.
- **Literacy:** Services to be considered for funding include not only traditional literacy training geared towards English speaking adults, but also English as a Second Language, geared towards both the youth and adult populations. There is a special interest in literacy services for Spanish-speakers, a significant and growing population in Ulster County.
- **Parenting Skills:** Both curriculum-based, and non-curriculum based services will be considered for funding. Special consideration will be given to services that provide transportation and child care for participants, are easily accessible or neighborhood-based, and/or include an effective outreach component to assure high rates of consumer participation.

- **Substance Abuse Treatment and Prevention:** Short-term treatment programs, and effective prevention strategies targeted at youth are preferred, however other substance abuse services will also be considered for funding.

PROGRAM EVALUATION

UWUC places a high priority on program evaluation. Programs must be able to measure whether or not they are having the desired impact. Program evaluations do not need a high level of sophistication; they can consist of attendance records (which are required), and a short survey developed in-house that measures progress on identified objectives (ie. learning appropriate parenting or job skills). United Way is available to provide technical assistance. Contact Stacey Rein at 331-4199, x1 or e-mail her at reins@hvc.rr.com.

PROGRAM PRESENTATIONS

Once requests for funding are received and reviewed, a program presentation may be required to answer specific questions or concerns. If so, the person listed on the Cover Page of the Application will be given a list of questions in preparation for it. Agencies will be notified of the program presentation date a minimum of one week prior to its occurrence. Program presentations will be held between mid-April and the end of May.

QUESTIONS?

If you have any questions related to your grant submission, contact Stacey Rein at 331-4199, x1, or e-mail her at reins@hvc.rr.com.

UNITED WAY OF ULSTER COUNTY
Community Fund Application Packet
Funding Cycle 2011-2013

Cover Page

Agency Name: _____

Program Name: _____

Contact Person: _____

Telephone Number: _____

Email Address: _____

United Way Annual Request: _____

REQUIRED DOCUMENTS

- ___ Copy of Audit (1)
- ___ List of Board of Directors (1)
- ___ Job descriptions or resumes of key program staff
- ___ Budget Justification for Revenue and Expenses
- ___ Copy of program evaluation tool(s)
- ___ Copy of Tax Exempt Status Letter from IRS*
- ___ Copy of Signed Non-Discrimination Statement*
- ___ No more than 3 recent publications, news articles, or other relevant materials about your organization or the program for which funding is being requested*
- ___ 10 Copies of Completed Application

* Only agencies not funded by United Way in 2009-2011 funding cycle are required to submit these documents.

UNITED WAY OF ULSTER COUNTY
APPLICATION FOR FUNDING
2011-2013

Designate the primary **Impact Area** addressed by your program.

Affordable Child Care _____

Literacy _____

Family Mental Health _____

Parenting Skills _____

Housing Assistance _____

Substance Abuse

Life Skills _____

Prevention/Treatment _____

1. Program Organization (no more than 4 pages) 1-30 points

a. Describe the program to be offered. Include the following:

- A description of the program's activities.
- A description of the constituents served by the project, including the projected number to be served, and how they are or will be recruited.
- A listing of agencies you partner with to provide program services.
- Where the service is located and the hours/days it operates.
- Program staffing requirements.
- Indicate whether the program presently has a waiting list.
- *If the program is new*, what is the strategy and timeline for implementation?
- Explain how the program increases the likelihood of employment and/or family stability.
- If possible, provide the number of participants served in each municipality (for United Way marketing purposes only).

Section #1 Program Organization (from Page 6)

Please use this page to write your response

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2. Program Objectives & Outcomes Form

1-20 points

Complete the attached Program Objectives & Outcomes form (page 18) for the 2011-2013 funding cycle. Make sure the program's objectives are measurable.

3. Program Evaluation 1-20 points

If you did not receive funding from the United Way for this program in the last funding cycle, explain how you plan to measure whether or not the objectives identified in the Program Objectives & Outcome form (page 18) have been met. Include samples of evaluation instruments you plan to use (other than attendance records, which are required).

If you did receive funding from the United Way for this program in the last funding cycle, complete the attached *Final Report Form (page 19)*. If the outcomes achieved were less than anticipated, note why, and what modifications, if any, are planned.

Section #3 Program Evaluation (from Page 11)

Please use this page to write your response

4. Program Budget 1-20 points

- Complete the attached Budget Forms (pages 20-21), reflecting two fiscal years, one beginning in 2011 and ending in 2012, and the other beginning in 2012, and ending in 2013.
- **Attach a budget justification - an explanation for each budget item in both revenue and expenses.**
- Indicate if revenue sources are projected or confirmed by placing a “p” or “c” next to the \$ amount for each revenue source.
- If the program were to receive less funding than requested, would it remain viable? What modifications would need to be made?
- If United Way funds are to be used for scholarships, indicate
 - a. The number of scholarships to be granted.
 - b. The eligibility requirements of scholarship recipients (i.e. age, family income).

Section #4 Program Budget (from Page 13)

Please use this page to write your response

5. Committee Concerns (for previously funded programs only)(-10) - 0 points

If you recently received feedback from the United Way on this program, based on the recently completed site visit, please reiterate the concern(s) on page 16, and discuss how you plan to address it.

Section #5 Committee Concerns (from Page 15)

Please use this page to write your response

6. Please note that the United Way will take into account the accuracy, **1-10 points** timeliness, and completeness of the application submission.

United Way Objectives and Outcomes Form 2011-2013
(for all programs requesting funding)

Agency _____

Program _____

<p align="center">Program Activities <i>(these should clearly relate to program objectives)</i></p>	<p align="center">Program Objectives <i>(must be measurable and limited to 5)</i></p>	<p align="center">Projected Outcomes <i>(the number or percentage of people who are projected to achieve the objectives.)</i></p>	<p align="center">Tools Used to Measure Outcomes <i>(i.e. surveys, report cards)</i></p>

United Way Final Report Form 2009-2011
(for previously funded programs only)

Agency _____

Program _____

<p align="center">Program Objectives <i>(must be measurable and limited to 5)</i></p>	<p align="center">Tools Used to Measure Outcomes <i>(i.e. surveys, report cards)</i></p>	<p align="center">Outcomes <i>(the number or percentage of people who achieved the objectives.)</i></p>	<p align="center">Modifications <i>(if program objectives were not met)</i></p>

PROGRAM BUDGET FORM

Agency Name: _____ Program Name: _____

	Previous Year's Budget	Previous Year's Actual	2011 Budget	2012 Budget
Support & Revenue	<i>Complete these columns <u>only</u> if the program was funded by the United Way in 2009-2011 cycle:</i>			
1. United Way Request				
2. Individual Contributions				
3. Fundraising Events/Products				
4. Foundations and Corporations				
5. Government Grants and Contracts				
6. Membership Income				
7. Program and/or Client Fees				
8. Investment Income				
9. Other Revenue				
Total Support & Revenue (Lines 1-9)				

PROGRAM BUDGET

Agency Name: _____ Program Name: _____

Program Budget	Previous Year's Budget	Previous Year's Actual	2011 Budget	2012 Budget
EXPENSES	<i>Complete these columns <u>only</u> if the program was funded by the United Way in 2009-2011 cycle:</i>			
10. Salaries (in budget justification, breakdown by individual positions, indicating full or part-time)				
11. Employee Benefits/Payroll taxes, etc.				
12. Consultant/Professional Fees				
13. Supplies				
14. Telephone/Fax/Internet				
15. Postage & Shipping				
16. Occupancy				
17. Equipment Purchases				
18. Printing & Copying				
19. Travel				
20. Special Assistance to Individuals				
21. Professional Development & Training				
22. Administrative Overhead (up to 25% of budget)				
Total Expenses (Lines 10-21)				

**UNITED WAY OF ULSTER COUNTY
COMMUNITY FUND PROCESS
TIMETABLE**

March 4, 2011	Applications Due at United Way
April-May, 2011	United Way Committees Meet Program Presentations Scheduled
Early June, 2011	Recommendations Made To United Way Allocations Committee
June 16, 2011	Recommendations Presented to United Way Board of Directors
Week of June 27, 2011	Notification of Grant Awards
Week of July 11, 2011	First Monthly Payments to Agencies
July-October 2012	Site Visits to All Funded Programs

UNITED WAY OF ULSTER COUNTY
NON-DISCRIMINATION POLICY STATEMENT

The _____ is committed to a policy of non-discrimination in both its employment practices and the delivery of its program services to the residents of Ulster County. This agency will pursue a practice where the health and human service needs of Ulster County residents are addressed without regard to age, race, religion, gender, sexual orientation, disability, national origin, or any other classification or category. Further, this policy prohibits job discrimination and ensures equality of opportunity in all aspects of employment.

Print Name of Executive Director

Print Name of Board President

Signature of Executive Director

Signature of Board President

Date: _____

Date: _____

UNITED WAY OF ULSTER COUNTY AGENCY AGREEMENT

I. PURPOSE OF AGREEMENT

This Agreement describes the relationship between the United Way of Ulster County, Inc. (hereinafter United Way) and (hereinafter Agency) who join together to provide needed human services to the residents of Ulster County.

II. UNITED WAY RESPONSIBILITIES

The United Way agrees to:

- A. Raise and allocate to the Agency funds to support programs, which address identified community needs.
- B. Make available to member agencies management and technical assistance.
- C. Increase the public's understanding and awareness of health and human services.

III. AGENCY RESPONSIBILITIES

The Agency agrees to:

- A. Maintain status as a voluntary, not-for-profit corporation with tax-exempt status as a charitable organization under Section 501 (c) (3) of the Internal Revenue Code of 1954 and applicable state laws and regulations and provide proof thereof to United Way upon request.
- B. Comply with the United Way's Non-Discrimination Policy as evidenced by formal endorsement of the policy by the agency's Board of Directors.
- C. Display the United Way logo on all appropriate premises, printed materials and stationery and identify itself as a United Way member agency in all media communications, including those related to fundraising efforts.
- D. Give full and active support to the United Way campaign.
- E. Cooperate with the United Way and other social agencies so as to prevent unnecessary duplication and to promote high standards, efficiency and economy.
- F. Increase the public's understanding and awareness of health and human services.

- G. Maintain fiscal records in accordance with AICPA guidelines for voluntary health and welfare organizations. Submit an annual financial audit to the United Way prepared by an independent certified public accountant within (6) months of the end of the Agency fiscal year. Annually submit agency financial statements detailing income and expenditures, and within thirty (30) days when requested to do so by the United Way.
- H. Provide statistical data, records and reports as requested.
- I. Maintain appropriate insurance for all programs, service and office operations.
- J. Maintain current licenses, certifications, and permits as required by law to operate programs.
- K. Notify the United Way prior to discontinuing any program funded in whole or in part by United Way.
- L. Participate in fund distribution as determined by the United Way, which includes participation in planning and implementation.
- M. Allow for designated United Way volunteers and/or staff to observe and evaluate funded programs.
- N. The Agency agrees to indemnify and hold the United Way harmless from any and all loss, expense, damage, cost (including attorneys fees), liability, and/or cause of action incurred by the United Way in connection with or caused by any breach by the Agency of its obligations here under or by any other acts or omission of the Agency in connection with this Agreement.
- O. Notify the United Way if the agency is under investigation or the subject of a complaint for non-compliance with any state or federal statute.

IV. SUPPLEMENTAL FUND RAISING

The United Way recognizes the Agency's right to generate additional support for its programs from outside sources, and encourages it to do so, within the following limits:

- A. The agency shall not engage in payroll deduction solicitation at any time.
- B. The agency shall not solicit *unrestricted* corporate gifts during the United Way campaign (9/15 - 12/15).
- C. The agency shall not engage in any direct fund solicitation between (9/15 - Thanksgiving).

- D. While not encouraged, the agency may engage in solicitation during the campaign (9/15 - 12/15) if in exchange for goods (flowers, candy, etc.) or for event sponsorship HOWEVER, such solicitation must be accompanied by promotion of United Way campaign including appearance of United Way logo on all advertising and marketing materials. When appropriate (annual meetings, dinners, etc.) giving to the United Way Campaign will be encouraged.
- E. Exceptions to the above provisions may be granted by the United Way Board.

V. FUNDING

- A. In consideration of the mutual promises made herein, the United Way agrees to give the Agency the sum of \$_____ annually to operate the program or programs identified in Schedule A attached hereto and made a part hereof, for the period from July 1, 2009 to June 30, 2011.
- B. The Agency agrees to accept an established payment schedule from the United Way for the above allocation.
- C. Payment by United Way shall be contingent upon Agency compliance with this Agreement. Failure by the United Way to insist upon compliance with any part of this Agreement shall not constitute a waiver either of that part of the Agreement nor of any other part of this Agreement.
- D. The Agency acknowledges and accepts that non-compliance to Part IV of Agency Agreement will result in a 20% reduction in that agency's base allocation in the next allocations cycle.

This agreement was reviewed and approved by the Agency Board of Directors at its meeting of and the officers and executive director of the Agency were there authorized to enter into this Agreement as attested by the Resolution of the Board, duly signed by the Secretary thereof and submitted herewith, and copy of the official minutes of the Agency for the meeting above-referenced.

Date: _____
Agency Board Chair

Date: _____
Agency Executive Director

Date: _____
Board Chair, United Way of Ulster County

Date: _____
President, United Way of Ulster County