



**UNITED WAY OF ULSTER COUNTY'S  
COMMUNITY FUND  
2021-2023 Funding Cycle**

***ANNOUNCEMENT OF FUNDING AND GENERAL GUIDELINES***

**OVERVIEW**

The United Way of Ulster County (UWUC), an independent, privately operated not-for-profit organization located in Kingston, NY announces the availability of \$350,000 from its Community Fund to support local human service programs serving Ulster County residents. Eligible agencies must be an IRS designated 501c3 not-for-profit located in Ulster County, in operation for a minimum of two years, with the primary mission of providing human services to Ulster County residents.

Due to limited funding, the maximum grant award for new programs (those not funded in the previous grant cycle) will be between \$5,000-\$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 (and available funding). Site visits to funded programs will be performed by trained community volunteers and United Way staff during July-October, 2022. If awarded funding, allocations are dispensed by UWUC on a monthly basis, and for this funding cycle, begin in July, 2021 and end in June, 2023.

**Programs funded through this grant process must focus on underserved or disadvantaged Ulster County residents and target at least one the following program areas: Affordable Child and Elder Care, Housing Assistance, Literacy Training, Mental Health Services, Lifeskills Training, Parent Education, Substance Abuse Prevention, and/or Vocational Training.**

All funded agencies are required to comply with and sign UWUC's Non-Discrimination Statement and adhere to UWUC's Agency Agreement. Both are included in this Application Packet for your review. If you have never received funding from UWUC, please review both documents carefully prior to making application to ensure that your agency is able and willing to comply with the requirements therein. If so, please **include a signed Nondiscrimination Statement with your application.** The Agency Agreement will be sent to you for signature in July, 2021, if your program is granted funding.

Eight copies of the completed Community Fund Application must be received by UWUC at 450 Albany Avenue, Kingston, NY **by 5:00 PM, Friday, March 12, 2021.**

## FOCUS OF TARGET AREAS

UWUC's Community Fund focuses on seven target areas that have a positive impact on employability and family stability. Please review the information below prior to beginning your application to ensure that your program fits the established criteria for its prominent target area.

- **Affordable Child and Elder Care:** Includes day care for non-school aged children, before and after school programs for school-aged youth, and day programs for elders. Before and after school programs that are on-site or that provide transportation to and from programming are preferred. In addition to traditional program expenses, funds may be requested for scholarships to assist low-income families in accessing care.
- **Family Mental Health Services:** Whenever possible, 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, home mortgage and/or utility assistance, shelter for the homeless, or any other assistance that is necessary to avoid homelessness. Case management must be a component of a housing assistance program to help ensure future family stability.
- **Life Skills Training:** Training may include, but is not limited to vocational, academic, budgeting, arts education, communication skills, interviewing skills, team building, anger management, stress reduction, or nutritional education.
- **Literacy:** Services can include traditional literacy training geared towards English speaking adults, as well as English as a Second Language, geared towards youth and/or adults. Literacy services for Spanish-speakers, a significant and growing population in Ulster County, is of special interest.
- **Parenting Skills:** 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 participation.
- **Substance Abuse Prevention:** Evidence-based prevention strategies targeted to youth are preferred, however other nontraditional substance abuse prevention services will also be considered for funding.

## PROGRAM EVALUATION

UWUC places a high priority on program evaluation. UWUC does not require that program evaluations have a high level of sophistication. Records of attendance/participation are required, as well as at least one additional program evaluation method (such as a short survey developed in-house that measures progress on identified objectives). United Way is available to provide technical assistance. Contact Stacey Rein, at 331-4199, x1 or e-mail her at [staceyrein@ulsterunitedway.org](mailto:staceyrein@ulsterunitedway.org).

## **PROGRAM PRESENTATIONS**

Once requests for funding are received and reviewed, a program presentation may be required to answer specific questions or concerns. If the funding request is for a program not previously funded by United Way, a program presentation is required. The Contact Person listed on the Cover Page of the Application will be given a list of questions in preparation for the presentation and be notified of the program presentation date a minimum of one week prior. 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 [staceyrein@ulsterunitedway.org](mailto:staceyrein@ulsterunitedway.org).

**UNITED WAY OF ULSTER COUNTY**  
**Community Fund Application Packet**  
**Funding Cycle 2021-2023**

*Cover Page*

Agency Name: \_\_\_\_\_

Program Name: \_\_\_\_\_

Contact Person:

Name \_\_\_\_\_

Telephone # \_\_\_\_\_

Email Address \_\_\_\_\_

United Way *Annual* Request: \_\_\_\_\_

## REQUIRED DOCUMENTS

- \_\_\_\_ 1 Copy of Most Recent Audit
- \_\_\_\_ 1 Copy of List of Board of Directors
- \_\_\_\_ 1 Copy of Job Description or Resume of Key Program Staff
- \_\_\_\_ 8 Copies of Completed Application for Funding

### **FOR NEW AGENCIES ONLY\*:**

- 1 Copy of Tax Exempt Status Letter from IRS
- 1 Copy of Signed Non-Discrimination Statement
- At least 1 recent publication, news article, or other relevant material about the organization or the program for which funding is being requested.

\*“New agencies” are defined as those *not* receiving funding from the United Way in the 2019-2021 grant cycle.

**UNITED WAY OF ULSTER COUNTY**  
**APPLICATION FOR FUNDING**  
2021-2023

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

*Affordable Child and Elder Care* \_\_\_\_\_

*Family Mental Health* \_\_\_\_\_

*Housing Assistance* \_\_\_\_\_

*Life Skills* \_\_\_\_\_

*Literacy* \_\_\_\_\_

*Parenting Skills* \_\_\_\_\_

*Substance Abuse Prevention* \_\_\_\_\_

**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 so, how many are on the waiting list, and what is the average length of time they remain on it?
- Explain how the program increases the likelihood of employment and/or family stability.
- **If the program is new**, what is the strategy and timeline for implementation?

**2. Program Objectives & Outcomes Form                                      1-20 points**

Complete the attached **Program Objectives & Outcomes Form** (page 8) for the 2021-2023 funding cycle. Make sure the program's objectives are measurable. ***Records of attendance/participation as well as an additional evaluation tool are required*** as part of the program evaluation. Include a sample of an evaluation tool you plan to use, other than records of attendance/participation.

### 3. Past Performance

1-20 points

If you received funding from the United Way for this program in the last funding cycle, complete the attached *Final Report Form* (page 9) for the last calendar or fiscal year.

- Provide a sampling of completed evaluation tools.
- If the outcomes achieved were less than anticipated, note what modifications or program enhancements, if any, are planned.

*Due to the COVID-19 pandemic, we understand that in many cases, your program objectives and evaluation tools may have changed or been modified. Please document that in the appropriate columns of the Final Report Form.*

### 4. Program Budget

1-20 points

- Complete the attached Budget Forms (pages 10-11), reflecting two calendar or fiscal years (whichever is most appropriate for your agency/program), one beginning in 2021, and the other beginning in 2022.
- Attach a budget justification for each budget line item in the proposed budget including *income and expenses* (refer to sample on page 12)
- If the program were to receive less funding than requested, 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).

### 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) here, and discuss how you plan to address it.~~

Due to COVID-19 pandemic, site visits were not conducted.

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 2021-2023

Agency \_\_\_\_\_

Program \_\_\_\_\_

<p style="text-align: center;"><b>Program Activities</b> <i>(Summarize from Section #1)</i></p>	<p style="text-align: center;"><b>Program Objectives</b> <i>(must be measurable, <b>limited to 5</b>, and clearly relate to program activities)</i></p>	<p style="text-align: center;"><b>Projected Outcomes</b> <i>(the <b>number or percentage</b> of people who are projected to achieve the objectives.)</i></p>	<p style="text-align: center;"><b>Tools Used to Measure Outcomes</b> <i>(attendance records + at least <b>1 additional measure</b>)</i></p>



**United Way Final Report Form 2019-2021**  
*(for previously funded programs only)*

Agency \_\_\_\_\_

Program \_\_\_\_\_

<p align="center"><b>Program Objectives</b> <i>(must be measurable and limited to 5)</i></p>	<p align="center"><b>Tools Used to Measure Outcomes</b> <i>(attendance records + at least 1 additional method.)</i></p>	<p align="center"><b>Outcomes</b> <i>(based on tools used to measure outcomes, provide the <u>number</u> or <u>percentage</u> of people who achieved each objective.)</i></p>	<p align="center"><b>Program Modifications or Enhancements</b></p>

## PROGRAM BUDGET FORM

Agency Name: \_\_\_\_\_ Program Name: \_\_\_\_\_

	Previous Year's Budget	Previous Year's Actual	2021 Budget	2022 Budget
<b>INCOME</b>	<i>Complete <u>only</u> if the program was funded by the United Way in 2019-2021 cycle:</i>			
1. United Way Request				
2. Individual Contributions				
3. Fundraising Events/Products				
4. Foundations and Corporations - indicate whether <b><u>projected</u></b> (P) or <b><u>confirmed</u></b> (C)				
5. Government Grants and Contracts - indicate whether <b><u>projected</u></b> (P) or <b><u>confirmed</u></b> (C)				
6. Membership Income				
7. Program and/or Client Fees				
8. Investment Income				
9. Other Income				
<b>Total Income (Lines 1-9)</b>				

**PROGRAM BUDGET(Continued)**

Agency Name: \_\_\_\_\_ Program Name: \_\_\_\_\_

	Previous Year's Budget	Previous Year's Actual	2021 Budget	2022 Budget
<b>EXPENSES</b>	<i>Complete <u>only</u> if the program was funded by the United Way in 2019-2021 cycle:</i>			
10. Salaries				
11. Employee Benefits/Payroll taxes, etc.				
12. Consultant/Professional Fees				
13. Supplies				
14. Telephone/Fax/Internet				
15. Postage & Shipping				
16. Occupancy				
17. Equipment				
18. Printing				
19. Travel				
20. Special Assistance to Individuals				
21. Other				
22. Administrative Overhead (up to 25% of budget)				
<b>Total Expenses (Lines 10-22)</b>				

## **SAMPLE: Budget Justification**

### **Income**

1. We are requesting a modest 5% increase from the United Way for 2013-2015.
2. We project a 5% increase in individual donations in 2013 and again in 2014.
3. We project a 5% increase in fundraising income, largely due to our successful Scrabble event.
4. We project a 5% increase in foundation grants (Dollar General, Community Foundation, Ulster Savings).
5. New York State Department of Education (NYSED) grant increases are confirmed for 2013 and 2014.
6. We are not a membership organization.
7. We are reducing our materials fee for new volunteers and are encouraging them to borrow materials from the mid-Hudson libraries.
8. Interest on our money market averages 8%.
9. Dyson Foundation awarded a 3-year general operating grant, which is listed separately from other foundations due to its impact on the budget.

### **Expenses**

10. The CEO voluntarily reduced her salary in 2012, some of which will be restored in 2013.
11. Benefits averaged at 10% of payroll expenses.
12. We recently hired a new CPA whose rates are more affordable for ULA.
13. Our fundraising campaign in 2011 resulted in a large number of in-kind donations – mainly office supplies. Also, the mid-Hudson library system has generously purchased many of our literacy materials, so we do not have to purchase them ourselves.
14. Telephone and internet fees are fixed, but we anticipate increases as a result of opening our satellite office in Port Ewen.
15. Postage costs were reduced due to improved mailing list management, but we anticipate increases as a result of opening our satellite office.
16. We anticipate renewing our lease at Aaron Court with no increase.
17. Equipment will likely need to be purchased when we open our satellite office in Port Ewen.
18. Printing costs were offset by a grant from the mid-Hudson Library System, but we anticipate increases as a result of opening our satellite office.
19. Travel costs for mandatory trainings are included in professional development fees.
20. The CEO participates in White Eagle retreats, and the entire staff participates in quarterly trainings offered through Literacy New York and the Regional Adult Education Network in Orange County.

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

<b>March 12, 2021</b>	<b>Applications Due at United Way</b>
<b>April-May, 2021</b>	<b>United Way Committees Meet Program Presentations Scheduled</b>
<b>June 17, 2021</b>	<b>Recommendations Presented to United Way Board of Directors</b>
<b>Week of June 21, 2021</b>	<b>Notification of Grant Awards</b>
<b>Week of July 12, 2021</b>	<b>First Monthly Payments to Agencies</b>
<b>July-October 2022</b>	<b>Site Visits to All Funded Programs</b>

**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 Funded Agencies (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 funds the Agency to support programs which address identified community needs.
- B. Facilitate collaborations and partnerships with other funding sources and agencies to sustain current programs.
- C. Determine gaps in community services and develop and/or coordinate efforts to fill them.
- D. Provide management and technical assistance to funded agencies, as needed.
- E. Increase the public's awareness and understanding of the nonprofit health and human service sector and those it serves.
- F. Recruit and train community volunteers to evaluate funded programs.
- G. Provide leadership, as appropriate, to respond to local emergencies and disasters.

**III. AGENCY RESPONSIBILITIES**

The Agency agrees to:

- A. Maintain status as a voluntary, not-for-profit corporation with tax-exempt status under Section 501 (c) (3) of the Internal Revenue Code, and appropriate insurance, licenses, certifications, and permits as required by law to operate funded programs.
- B. Comply with the United Way's Non-Discrimination Policy and Agency Agreement.
- C. Identify United Way of Ulster County as a funder on the agency website, and in other marketing venues as deemed appropriate by the Agency.
- D. Give full and active support to the United Way workplace fund drive.
- E. Provide statistical data and reports as requested.
- F. Notify UWUC prior to discontinuing any funded program in whole or in part.
- G. Allow designated United Way volunteers and/or staff to observe and evaluate funded programs.

- H. 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.
- I. The Agency agrees to indemnify and hold the United Way harmless from any and all loss, expense, damage, cost (including attorney's 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.

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, with the following stipulations:

- 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 fall fund drive (9/15 - 12/15).
- C. The agency shall not engage in any direct solicitation of individuals or general membership drives between 9/15 –Thanksgiving. The exception is solicitation in exchange for goods (flowers, candy, etc.) or for event sponsorship.
- D. 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, in monthly payments, to operate the program or programs identified in Schedule A attached hereto and made a part hereof, for the period from July 1, 2021 to June 30, 2023, as funds allow.
- B. 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.

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