

UNITED WAY OF THE WABASH VALLEY

## INVESTMENT STRATEGIES AND PARTNERSHIP REQUIREMENTS MANUAL

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# United Way of the Wabash Valley

## *Vision, Mission and Values*

**VISION:** *We envision...*

**A thriving, inspired community focused on care and collaboration.**

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**MISSION:** *We achieve our vision by...*

**Working with and for our community to create lasting solutions to our greatest challenges.**

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**WHO WE ARE:** *We are the bridge that helps people and organizations work together. We are the workers, the hands that make things happen. We are the hope bringers. Where others see problems, we see opportunity.*

- We believe you know best what our community needs.
  - We believe it is our responsibility to give our community members opportunities to realize their own potential, use their voice, and to spark potential in others.
  - We believe that our neighbors and the organizations in our community will offer their best to help others, and to help themselves, when welcomed to share, lead, and learn.
- 

**VALUES:** *Our work and interactions will be guided by...*

### **Collaboration and Open, Two-Way Communication**

We are dedicated to a culture of listening and an exchange of ideas. We intentionally seek the voices of a variety of audiences, give voice to the often unheard, and lend our knowledge to address our toughest challenges.

### **Accountability and Empowerment**

Today, we hold ourselves to a higher standard, one in which we ask ourselves every day how our efforts will have a lasting impact. We ask the same of our partners and neighbors. By gathering your opinions, reflecting our community's values, and sharing our know-how, we harness the power of community. We listen when you tell us to lead, follow, convene, or make room for new points of view.

### **Passion**

We all have something that is important to us, that motivates and energizes us, that we talk about and get others excited about. For us, it is helping others see the potential in themselves, in our community, and in each other.

## BOLD GOAL AND INVESTMENT STRATEGY

# TOGETHER, WE FIGHT POVERTY

SO EVERYONE IN THE WABASH VALLEY HAS A CHANCE AT A BETTER LIFE



United Way  
of the Wabash Valley



MOVE 10,000 FAMILIES OUT OF  
FINANCIAL STRUGGLES AND INTO STABILITY!

10,000

IT'S NOT A MONEY GOAL,  
IT'S A PEOPLE GOAL.

## HOW WE PLAN TO DO IT

### Education

**Success By 6:** Early childhood education support and programs.

**Graduation:** Success in schooling through graduation with support and programs.

### Health

**Substance Use Disorder:** Support prevention and treatment solutions.

**Health:** Promote healthy lifestyles, improve access to preventative and behavioral health.

### Safety Net

Provide immediate and emergency assistance of vital needs such as food, shelter and clothing.

### Neighborhoods

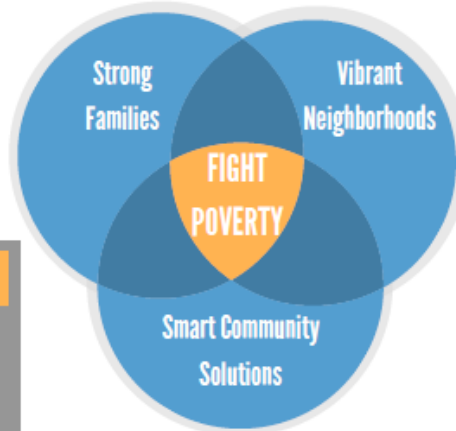
**Neighborhoods:** Reduce crime and drugs while addressing blight.

**Volunteer:** Improve civic engagement.

### Financial Stability

**Job Skills:** Identify and promote continued education and skill development.

**Financial Stability:** Promote financial coaching and income management



## UTILIZING A COMMUNITY IMPACT FUND TO MAKE IT POSSIBLE

### BUILDING COMMUNITY ENGAGEMENT

Through a collective impact approach to problem-solving and a robust and active approach to volunteer cultivation.

### INNOVATIVE FUNDING OPPORTUNITIES

Leverage diverse funding opportunities from grants, impact products and larger matching funds for solutions aimed at fighting generational poverty.

### PROBLEM-SOLVING COLLABORATIONS

No one organization can solve our complex social issues. United Way convenes businesses, nonprofit and public sectors to establish collaborative solutions.

### SAFETY NET PROGRAMS

While solving long term, complex social issues, there remains short-term immediate needs.

## STRATEGY ELEMENTS AND OBJECTIVES

United Way of the Wabash Valley (UWV) [Impact Councils](#) will bring people and organizations together in a structured way to achieve social change through a [Collective Impact](#) approach. Investment strategies are detailed in this document, but will be centered around the following Key Elements and their Impact Councils to achieve the Bold Goal of Moving 10,000 Families Out of Financial Struggles and into Stability. Strategies listed on these next pages are expected to be some of the grant opportunities offered in the future. Each Impact Council will further define the objectives with measurable outcomes.

### Key Element 1: Improve Educational Attainment

#### Success By 6 Council: Early childhood education support and programs

- Strategies:
- Increase high quality childcare programs and access to them
  - Support coordination between ECE and school settings
  - Parent and volunteer engagement in literacy acquisition
  - Engage in public policy and advocacy related to ECE, poverty and community economic prosperity

#### Graduation Council: Success in elementary school through graduation with support and programs

- Strategies:
- Strengthen student support through parents, tutors, mentors
  - Build out-of-school enrichment opportunities for students/parents
  - Build college- and career- readiness skills for middle & high school students; soft/employable skills development
  - Increased focus on transitions to middle school / high school
  - Support post-secondary financial planning and preparation

### Key Element 2: Address Physical and Behavioral Health Barriers to Economic Stability

#### Substance Use Disorder Council: Substance use/abuse prevention and treatment solutions

- Strategies:
- Improve collaborative efforts to identify gaps/overlaps in service
  - Engage in public policy / advocacy related to behavioral health impact on addictions
  - Support additional prevention or treatment options or facilities
  - Support for families: transportation and/or after-treatment care

#### Health Council: Promote healthy lifestyles, improve access to preventative and behavioral health

- Strategies:
- Strengthen cross-sector collaborations to expand prevention options for physical, behavioral and oral health issues
  - Promotion of general healthy behaviors aimed at reduction in chronic health disorders – obesity, behavioral health, drugs
  - Support initiatives to improve access to healthcare and healthcare insurance

### Key Element 3: Support & Stabilize Family Income

#### Financial Stability Council: Promote financial coaching and income management

- Strategies:
- Build financial literacy through community programs and workplace partnerships – case management, coaching, mentoring to improve money managing skills
  - Increase income-building opportunities via financial mentoring and reduced housing costs

#### Job Skills Council: Identify and promote continued education and skill development

- Strategies:
- Build business partnerships for increased access to GED prep and support
  - Parenting support programs for GED and job-skill building
  - Low-income job skill development programs
  - “Pathways to work” program initiatives

### Key Element 4: Connect the community by supporting strong neighborhoods

#### Neighborhood Council: Reduce drugs and crime in neighborhoods

- Strategies:
- Build neighborhood associations and investment projects
  - Support neighborhood [coalitions](#) to address blight;
  - Focused volunteer engagement supporting neighborhood clean-up and rebuilding
  - Focus on public safety through neighborhood strength – “watch programs” to improve monitoring/reduction of drug issue

#### Volunteer Engagement Council: Increase community volunteer engagement

- Strategies:
- Create platform for simple and well-recognized coordination of projects and volunteer opportunities
  - Build business partnerships for improved volunteer contributions
  - Engage in advocacy efforts related to connection between volunteerism and community-building

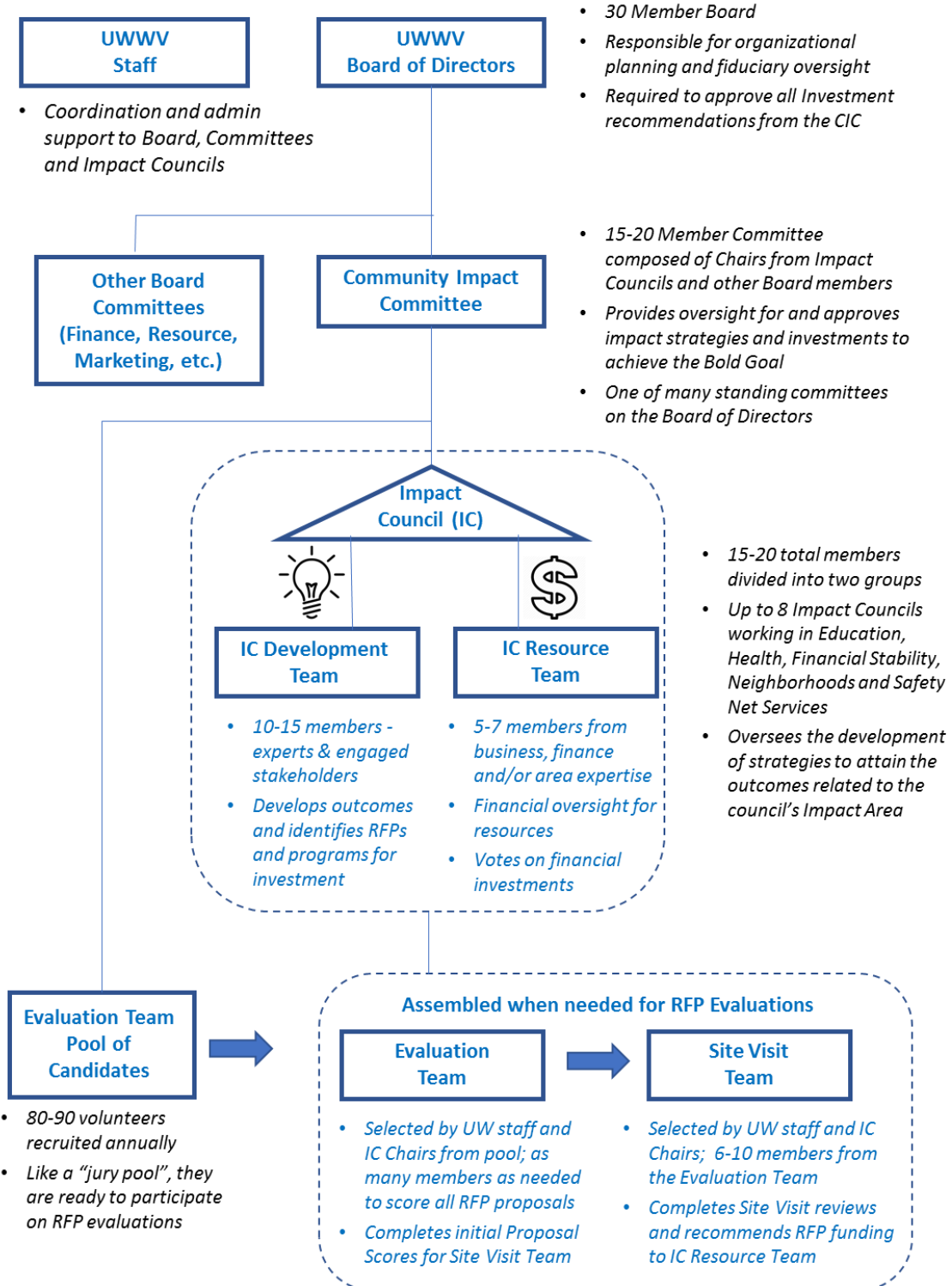
### Core Activity: Safety Net Services

#### Safety Net Council: Supporting emergency services vital to the basic needs of food, shelter & clothing

- Strategies:
- Disaster response; programs that help individuals prepare for, protect against, respond to and recover from natural or man-made disasters.
  - Low income assistance; programs that offer assistance to vulnerable, elderly or disabled individuals to help meet the basic needs of life and avoid hunger, homelessness and medical crisis.
  - Information and referral; programs that link existing community services to those in need

## INVESTMENT STRATEGY ORGANIZATION

This organization chart is provided as a visual map to aid in understanding the methodology United Way of the Wabash Valley will use to identify and invest in the best projects and programs to drive our Bold Goal for the Wabash Valley. Refer to this chart when reviewing this Investment Strategy Guide.



## INTRODUCTION

The purpose of investment strategy policies and procedures is to ensure a transparent process enabling the United Way of the Wabash Valley to make highly strategic community investments aligning with Board approved funding principles. Community investment strategy policies and procedures are designed to be efficient for the United Way of the Wabash Valley, easy for applicants and accountable to donors. Additionally, the policies and procedures will guide our United Way in maximizing impact within our existing operating budget. The resources for managing these investments should be centralized and streamlined to reduce staff time committed on the part of the United Way of the Wabash Valley and grantees while maintaining stewardship of donor funds.

This Investment Strategies and Partnership Requirements guide is the standard planning vehicle for all United Way of the Wabash Valley investments. The community investment planning process is designed to employ best practices to identify strategies, investments and related activities that are most likely to result in achievement of the bold goal for our community, driven by our donors and facilitated by our Board.

The UWWV Board of Directors, [Community Impact Committee](#) and the [Impact Councils](#) described within this document are the stewards of United Way of the Wabash Valley donor contributions. The [Community Impact Fund](#) raised through our annual community-wide Resource Drive is invested in results, or [evidence-based](#) strategies, that fuel progress toward our Bold Goal of Moving 10,000 Families Out of Financial Struggles and into Stability.

Community investments that vary from this Investment Strategy guide may be planned to address urgent needs or opportunities that arise after adoption of this Investment Strategies and Partnership Requirements guide. Such investments must be approved by the appropriate authority depending on the dollar amounts as identified in United Way of the Wabash Valley policies.



## I. COMMUNITY PARTNERS

The partnerships defined are based on an intentional departure from the traditional transactional model of UWWV Member Agencies. The transactional model involved repetitive fund raising and fund allocating to Member Agency programs. The investment strategies described here are based on a relational model wherein UWWV acts as a collaborative entity, not only investing, but convening partners to join together with successful strategies toward the UWWV bold goal for the community.

In this investment strategy, “partnership” has no association with Member Agencies. Investment opportunities described herein are open to the entire community. There is no Member Agency relationship. By going beyond a simple agency-requested fund allocating process as the sole means of community support, UWWV will deepen relevance and impact. In this model, two types of partnerships are envisioned:

### a. Initiative Partners

These organizations or groups partner with UWWV to address high-priority [outcomes](#) selected to achieve significant positive change in certain community conditions. Initiative partners are any community partner that worked independently or with another entity to apply for and receive Collective Impact Grant Funding from any UWWV Impact Council for the express purpose of achieving designated outcomes in the community.

*Example of Initiative Partner: Any recipient of an RFP grant would be an Initiative Partner (e.g., in 2017, Sprouts Childcare as recipients of UWWV's Quality Childcare RFP Pilot Program).*

### b. Collaborative Partners

These stakeholders help UWWV mobilize and work collaboratively with others to define priority issues, establish desired outcomes, determine strategies, advocate and take action. UWWV may initiate collaborations (task forces, [coalitions](#), work groups, etc.) or join ones formed by others. Collaborative Partners may (but do not have to) have membership on an applicable Impact Council. Such partners may receive United Way funds at the discretion of an Impact Council and subsequent organization approvals. Collaborative Partners may also be stakeholders made up of people, businesses, or organizations who invest, volunteer and help UWWV leverage resources, such as with matching grants, build relationships, and increase our visibility in the community.

*Example of Collaborative Partners: The Purdue Extension in their current work to conduct Community Teaching Kitchens under the United Way umbrella would qualify as a Collaborative Partner – working with UWWV on our outcomes and receiving funding for operating an “Impact Product.”*

*Example of Collaborative Partner: Union Hospital's sponsorship of the current Wabash Valley Mobile Market would also qualify.*

## II. COMMITTEE STRUCTURE FOR INVESTMENT STRATEGIES

### a. COMMUNITY IMPACT COMMITTEE (CIC)

The Community Impact Committee is a standing committee of the UWWV Board of Directors that provides oversight for all impact strategies and investments.

#### i. Duties

It shall be the responsibility of the Community Impact Committee to oversee the [Impact Councils](#) that are responsible for recommending and monitoring investments that are of benefit to the community.

Specific duties are summarized in the following responsibilities:

#### 1. Determine Distribution of Resources to Impact Councils

The CIC shall determine the proportion of available resources that are to be distributed to each Impact Council. The CIC will present its recommendations to the Board at least once per year for their approval. This distribution of resources to specific Impact Councils will apply to the total made available for distribution by the Board.

#### 2. Oversee Charges of Impact Councils Based on UWWV Board Input

CIC will oversee all activities and proceedings from the various Impact Councils to ensure uniformity in approach and application of methodologies across all councils.

#### 3. Review/Approve Outcomes Defined by Impact Councils

Desired outcomes in specific Impact Areas will be provided in general terms by the Board of Directors (as specified by strategic planning) to the CIC. The CIC will review and share these with specific Impact Council as well as reviewing changes and/or modifications in outcomes proposed by the expertise within these councils.

#### 4. Summary Progress Reporting to UWWV Board

The CIC will set and hold firm to a regular method and timeline for progress reports to the Board for each Impact Area. Reports should provide general updates on investments and outcome results gained in all Impact Areas.

#### 5. Fiduciary Oversight

The CIC shall review the use of UWWV resources as authorized for specific investments as necessary (or as requested by the Board) to assure appropriate use of those resources.

#### 6. Serve as “New Solutions” Impact Council

From time to time, the CIC may designate special funding to support innovative approaches and new ideas to meet emerging needs or address trends identified in the community. The CIC will coordinate this activity, possibly with the use of a subcommittee as deemed necessary. In this capacity, the CIC will seek to 1) invest in new program ideas and testing at a small scale; 2) invest in new programs/activities that have gained traction and have potential for scale and/or 3) support community development,

leadership development and advance best practices in service delivery to strengthen resources and improve programs/systems in the community sufficient to meet emerging needs. In this manner, UWWV will support promising new approaches to difficult issues and hard to serve communities. UWWV will focus on ideas that emerge from the community or that engage members of the affected community in the solution.

ii. Composition

The CIC shall consist of a chairperson who, for the duration of his/her term, shall be a Vice President of the United Way of the Wabash Valley. Each chairperson and co-chairperson of specific Impact Councils shall automatically become members of the Community Impact Committee. At a minimum, at least three additional at-large members shall be appointed by the VP of Community Impact. These at-large members may not be associated with any of the specific Impact Councils. In addition, the previous year's CIC chairperson shall remain on the CIC the following year to provide some continuity. Attempts will be made to secure committee representation from all counties within the United Way service area. All committee members must be financial supporters of UWWV. No employee, or spouse of an employee of any type of Community Partner may be a voting member of the CIC.

iii. Restrictions

At least three members of the Community Impact Committee shall be United Way Board members. Any CIC member who also holds membership on any type of Community Partner Board of Directors shall refrain from voting on any decision affecting that Community Partner.

iv. Meetings and Attendance

Though the CIC membership will set their annual meeting schedule, it is recommended this group meets a minimum of 5 times per year. If a CIC member misses three (3) consecutively scheduled meetings without prior notification, then that committee member will be contacted by the VP of Community Impact to see if there is continued interest in remaining on the committee.

v. Quorum

A quorum at a CIC meeting shall be one-third (1/3) of the current CIC membership.

b. **IMPACT COUNCILS**

Impact Councils are multi-sector volunteer-led committees of nonprofit, government, community, and business leaders who are issue experts in and/or are passionate about the specific Impact Area of the council. A subset or subcommittee of the full CIC, Impact Councils work to bring successful results to their specified outcome targets in support of the overall UWWV community goals. The Councils will meet periodically throughout the year as needed to ensure United Way's Community Impact partners are carefully selected, monitored, and are accountable to agreed-upon performance measures and results through a Collective Impact process. UWWV Staff and Council Chairs will attempt to recruit members who have expertise and/or passion in their assigned key element and outcomes. Specific duties are summarized in the following responsibilities:

i. Duties

It shall be the responsibility of the Impact Council to oversee the development of and strategies to attain the [outcomes](#) related to that council's Impact Area. Specific duties are summarized in the following responsibilities:

1. Evaluate/Approve Desired Outcomes and Measurement Tools

The Impact Councils examine data and facts about the UWWV service areas, and from that data, support existing or propose new/better outcomes that will lead to solutions to our community's problems at the root cause level. Measurable outcomes related to the council's Impact Area may be provided/suggested by the CIC as functions of the overall UWWV impact strategies, but it is a role of the Impact Council expertise to vet these outcomes as appropriate and/or suggest alternatives that are still in alignment with UWWV goals for the community. A summarized "Strategic Document" will be developed and approved by each Council. A sample document is included with this document as [Attachment C](#).

2. Manage / Invest CIC Granted Resources

Based on their knowledge, members of the Impact Councils recommend, develop and monitor the investment of resources in efforts that align with the investment objectives and priorities of UWWV. Each Impact Council will be provided funding from the CIC for investment in community [initiatives](#), programs and/or [impact products](#). Amounts and timing for distribution of resources to Impact Councils will be determined by the CIC.

One (1) standard and two (2) optional investment strategies are available to all impact councils.

a. Collective Impact Grant Funding

Collective Impact Grant Funding is a standardized process across all impact councils and is described in Section III. Within this investment strategy, volunteer teams will be recruited and will evaluate & recommend investment decisions in multi-year Request-For-Proposal (RFP) Grant Funding and/or similar initiatives. RFPs are to be approved by the entire CIC before being issued. The CIC will monitor for consistency of RFPs between the different Impact Councils and adherence to the Bold Goal. Site Visit Teams visit potential Community Partner sites, assess grant funding applications and recommend funding allocations to the CIC in this standardized process across all Impact Councils. It is permissible for the Impact Council to form a single Evaluation and Site Visit Team from within its own membership in the event of limited need for RFP grant funding reviews. Impact Councils set minimum and maximum grant dollar amounts for community investments at their own discretion.

*Example of Collective Impact Grant Funding: Impact Council uses funds provided from the CIC to issue an RFP to provide funds to remove financial barriers for childcare facilities to improve program quality.*

b. Alternative Investment Opportunities

Funds provided to the CIC can also be held in reserve (as a net restricted asset for UWWV) within the Impact Council and used strategically as determined by the council for impact growth opportunities such as matching funds for a potential larger federal or specialty grant opportunity. Additionally, funding can be invested in public education and impact area specific fund-raising opportunities. Such investments proposed by the impact council must then be vetted and approved by the CIC and UWWV Board of Directors.

*Example of Alternate Investment Opportunity: Vigo County is approached by the State of Indiana for a eligibility in a state-funded program (e.g., On My Way PreK) to improve accessibility to quality childcare, but can only participate if matching funds are provided. Impact Council designates funds from the CIC for this purpose.*

*Example of Alternate Investment Opportunity: Impact Council dedicates funds from the CIC to conduct a learning symposium to better engage a target audience in the impact area outcome work.*

*Example of Alternate Investment Opportunity: Impact Council issues a mini-grant with small maximum awards and less formal process than Part a. above (e.g., UWWV Literacy Grants).*

*Example of Alternate Investment Opportunity: The Impact Council may use a portion of the funds from the CIC to develop and conduct a volunteer-driven fund-raising event dedicated to that impact area.*

c. Develop Collaborative Impact Products

As Impact Councils are intended to be assembled with representative expertise in the designated impact area, the council may brainstorm and propose “[impact products](#)” (a community program or initiative) and seek collaborative partners to further develop and operate or execute the product. Funds provided from the CIC can be used for implementation and continuing support of such products as they measurably achieve designated [outcomes](#).

*Example of Collaborative Impact Products: The Impact Council can develop products similar to Real Men Read (RMR), or the Mobile Market, but instead of UWWV running the programs, the council looks for collaborators, sponsors and even invests funds provided from the CIC for supporting the “impact product”.*

3. Cultivate Business Community Partnerships within Council

Each Impact Council should actively seek and annually review business and/or community partners with membership and engagement on the council. Such partners should be selected with relevance of the impact council’s designated outcomes to that business or community partner’s work. UWWV should seek to develop the partnership through a mutual interest between the identified business and the particular council whereas the business will allow their council representative to devote a certain amount of work time to the council.

4. Summary Progress Reporting to CIC

The Impact Council will generate regular reports to the CIC. Reports will be reviewed as part of a regular CIC meeting agenda. Reports should provide general updates on investments and outcome results gained and shall be submitted regularly, no less than once per year.

ii. Composition

Impact Councils shall consist of two separate governing and working bodies described below. Each separate body shall have a chair and co-chair, the chairs of which, for the duration of their terms, shall be members of the Community Impact Committee. The separate bodies of the Impact Council are described as follows:

1. IC Resource Team

This Resource Team shall consist of minimum of 5 and maximum of 7 persons, selected by UWWV Staff and approved by CIC vote. While membership can include experienced personnel in the field of the particular Impact Council, this team should also include business and finance representation. Restrictions for membership on this Team are covered below in Section iii. This financial governing portion of the Impact Council will have financial oversight for the resources entrusted to the Impact Council. They will review and recommend for approval by the CIC all proposals regarding financial investments in the community brought forward by the Development Team.

2. IC Development Team

The Development Team membership is not limited in number, but individual members will be vetted and approved by UWWV Staff and the Development Team Chair and Co-Chair. There are no restrictions from membership on the Development Team, but the target personnel should include significant experience and/or passion for the particular Impact Council area. Membership preference should also be given to representatives from other related "coalitions" in the community. This working portion of the Impact Council will be primarily responsible for the duties described in Section i.1 above and will provide the backbone of a Collective Impact process with community partners as members. Additionally, this working group will develop all investment proposals including all of those discussed in Section i.2.a,b,c above.

The entire council membership shall be set at a minimum of 8 with additional members approved and added as described above. At the discretion of the Council leadership, passionate and engaged community members may also be granted membership. Attempts will be made to secure council representation from multiple counties within the United Way service area. All council members must be financial supporters of UWWV. It is preferred that council members sign on for a minimum of 3 years. Though no term limits are set for Chairs, Co-Chairs of general membership, due consideration shall be given to turnover in leadership and council membership as volunteers are available and willing.

iii. Restrictions

At least one member of the Impact Council shall be a United Way Board member. No staff member, board member or any other affiliation with a fund-seeking Community Partner may serve on that particular Impact Council's Resource Team. Only one member or affiliate of any organization represented may serve on a particular Impact Council's Development Team. Spouses or partners may not serve together on the same Impact Council in any capacity. The Chair of the Impact Council Development Team may designate a member from the Council to represent them on the Community Impact Committee if there is a conflict such as the Chair being affiliated with an organization receiving or seeking funding.

iv. Meetings and Attendance

Each Impact Council and associated Team will set their own annual meeting schedule. It is anticipated that the full Impact Council will meet twice per year, whereas the Financial Team may meet quarterly for reviews and approvals and the Planning Team may meet monthly. If an Impact Council member misses three (3) consecutively scheduled meetings without prior notification, then that committee member will be contacted by the VP of Community Impact to see if there is continued interest in remaining on the committee.

v. Quorum

A quorum at Impact Council Meetings shall be one-half (1/2) of the current Council membership.

c. **EVALUATION AND SITE VISIT TEAMS**

Both of these teams are volunteer-led committees that can be assembled by any Impact Council to conduct standard reviews in the Collective Impact Grant Funding process described in this document. The Evaluation Team and Site Visit Team refers to two (2) separate teams used to score proposals (Evaluation Team) and visit organization sites (Site Visit Team). Whenever practical—in the case of an RFP that produces only a few applicants—the two teams will be one in the same, but sometimes the Site Visit Team will be formed from some (not all) of the members of the Evaluation Team.

Each year, a pool of potential Evaluation Team candidates will be recruited and secured for possible use in scoring Collective Impact Grant applicants as needed. This pool can include members of a Development Team of any Impact Council, but Development Team members cannot participate on an Evaluation Team or Site Visit Team if they are involved in seeking funds from that particular grant opportunity. Individuals recruited for the pool of candidates should be engaged community members who will be able to spend some time in the evaluation process described herein and including time with an Impact Council member to gain some insight and education regarding the applicable impact area and grant being offered. It is important for potential Evaluation Team members to be able to evaluate grant financials and evaluate probabilities to achieve outcomes with the structure of the program. Certified Public Accountants (CPAs) capable of completing standard financial reviews will be recruited into the pool of candidates.



i. Duties

The specific duties of the Evaluation Team and Site Visit Team are more fully described in the section below on Collective Impact Grant Funding, but can be summarized as follows. For grant applicants progressing past the Proposal Compliance step, Evaluation Teams are formed and are responsible for scoring the proposals. Some of those team members may be on the Site Visit Team and will conduct site visit evaluations under a standardized metric. Each Site Visit Team will formulate final recommendations for the amount of the Collective Impact Grant Funding to be awarded and distributed during the term of the grant and forward those recommendations to the Impact Council.

ii. Composition

Working in conjunction with UWWV Staff, the Impact Council Chair shall select Evaluation Team and Site Visit Team members from the pool and appoint to each Site Visit Team a chairperson and a co-chairperson. The Evaluation Team will be as large as necessary to ensure an appropriate amount of applicant evaluations as needed. Each Site Visit Team shall be comprised of no fewer than six (6) and no more than ten (10) volunteers, including a Chair and Co-chair. Site Visit Team members need not be experts with an educational background in the applicable impact area. It will be attempted to secure one CPA on each Site Visit Team who can review financial documents for the financial health of the organizations applying. Every effort will be made on individual Site Visit Teams to recruit representation from the entire United Way service area and reflect local demographics.

iii. Restrictions

Those sitting on either the Evaluation Team or Site Visit Team cannot be employed or affiliated in any way to the entity requesting grant funding. All pool candidates for the Evaluation Team members must be financial supporters of UWWV.

iv. Meetings and Attendance

Review meetings are conducted only during the course of an evaluation period for the Collective Impact Grant Funding process. It is anticipated that there will be only one meeting for an Evaluation team, but several meetings in a 3-4 week period for the Site Visit Team. Attendance at all meetings is pivotal for the process. The Chair of the Site Visit Team (in consultation with United Way staff) may remove any member of a Site Visit Team who has missed multiple meetings during the process.

### III. **COLLECTIVE IMPACT GRANT FUNDING**

[Collective impact](#) is when multiple organizations work together to solve a specific issue in a structured form of collaboration.

United Way's new [Impact Councils](#) described earlier in this guide will bring people and organizations together, in a structured way, to achieve social change through a collective impact approach. The collective impact approach is based on the belief that no single policy, government department, organization or program can tackle or solve the increasingly complex social problems we face as a society. The approach



calls for multiple organizations or entities from different sectors to abandon their own singular agenda in favor of a common agenda, shared measurement and alignment of effort. Unlike collaboration or partnership, collective impact initiatives have a backbone organization whose role is to help participating organizations shift from acting alone to acting in concert.

*United Way's new Impact Councils will bring people and organizations together, in a structured way, to achieve social change through a Collective Impact approach.*



Impact Councils will have leeway to invest funds provided from the UWWV CIC in a variety of ways as described earlier. One such investment is through Collective Impact Grant Funding. Collective Impact Grant Funding is a standardized process across all impact councils and is described within this section.

a. REQUEST FOR PROPOSAL (RFP) DEVELOPMENT

i. Determination of Grant Target Area

Impact Councils (primarily the Planning Team) will be responsible for developing Requests for Proposals (RFP) for any potential Collective Impact Grant. Using the collective expertise on the council with an understanding of the previously approved outcomes for that impact area, the RFP developed should seek applications from community partners which will achieve the specified outcome for the grant award requested. RFPs will be used for a competitive process and will ask applicants to propose methods for achieving results that best meet the goals for the investment. A suggested template for an RFP is included in this document as [Attachment B](#). Also see RFP Overview Chart at end of this document. The CIC will monitor for consistency of RFPs between the different Impact Councils and adherence to the Bold Goal.

ii. Development of Designated Grant Outcomes

Impact Councils determine RFP [outcomes](#) within their own council as outlined by the goals in the UWWV Strategic Plan. Outcome results should be [evidence-based](#), which refers to any concept or strategy that is derived from or informed by objective evidence. This grant making process and any other community

investments of funding provided from the CIC to a particular Impact Council will work to support the UWWV bold goal for our community. All investment strategies will utilize goal analysis tools at the planning, allocation and evaluation stages including engagement of affected populations or trusted representatives in that analysis. All RFPs are to be approved by the entire CIC before being issued.

b. GRANT FUNDING OPTIONS & SCHEDULE

i. Single Year Program Allocations (Safety Net Only)

UWWV will continue to provide an annual evaluation and potential grant funding for approved Safety Net Programs under the similar process and schedule (including program evaluations, awards and payment scheduled) as described in the previous UWWV MANUAL OF FUNDING, ADMISSIONS AND MEMBERSHIP REQUIREMENTS, with the following exceptions and/or additions:

1. UWWV will no longer maintain Member Agencies and/or requirements for signed membership agreements as a means to obtain potential program funding. Applications for Safety Net Program funding will be open to any organization operating a program within the UWWV service area.
2. The Safety Net Program funding will be available through a competitive grant process and limited funds will be available. Applicants are not guaranteed funding.
3. Applicants receiving Safety Net Program Grant Funding will be required to sign a Grant Agreement stipulating each party's obligations and confirming agreement with all grant funding requirements.
4. Grant awards will be provided in 12 equal monthly payments beginning in April of the year that the grant is approved through March of the following year.

Safety Net programs shall have a specific definition as follows. These programs provide emergent and immediate assistance to limit hunger and homelessness, such as: disaster response; programs that help individuals prepare for, protect against, respond to and recover from natural or man-made disasters; low income assistance; offering assistance to vulnerable, elderly or disabled individuals to help meet the basic needs of life and avoid hunger, homelessness and medical crisis; information and referral; and programs that link existing community services to those in need.

All Safety Net Program Grant Applications will be reviewed by staff to ensure that they meet the safety net definition as outlined above.

ii. Multi-Year Grant Funding

UWWV understands that the achievement of our community goals will require substantial, longer-term investments in the most exceptional programs and projects. Therefore, all Collective Impact Grants awarded by Impact Councils through this standard process will be targeted as noncompeting, continuation over three years (standard three-year grants). On occasion and with approval from the CIC, and backed by sound logic, Impact Councils may issue grants outside of the three-year standard.

Multi-year funding represents the best use of community resources. Organizations will be able to focus more on program implementation rather than annual proposal development. UWWV staff will be able to work on capacity

building [initiatives](#) and identify areas where collective action is possible. Successful programs will be able to articulate clear multi-year funding plans and show a commitment to long-term [outcomes](#) and positive results. Long-term investments in exceptional programs will lead to positive [community impact](#), which will fuel an increase in our annual Resource Drive to fuel a Community Impact Fund.

The UWWV Board and CIC will provide monetary resources from the [Community Impact Fund](#) annually on a rotating basis to those Impact Councils formed and operating. These funds, once issued become part of that Council's net restricted assets. At least 50% of the funds for any proposed RFP must be secured in the Impact Council's net restricted assets before issuing the RFP. The third, or final, year of funding shall be raised as part of the annual Resource Drive during the first two years of grant funding. The final year payment obligations for the awarded grant may be in proportion to the Community Impact Funds raised as part of the Resource Drive. As such, grant recipients may see a reduced third year payment; however, the third year payment may never exceed the original grant award.

c. **STANDARDIZED GRANT PROCESS**

The multi-year grant funding process is available to all [Impact Councils](#) for their potential investment of funds provided from the CIC. The UWWV standard grant process will be implemented in the steps described here.

The overall process begins with a Letter of Intent and Stewardship Review to determine applicant eligibility. UWWV staff will review letters of intent and stewardship documents to ensure that the grant fits and that the organization applying has the proper financial and reporting tools in place. A Proposal Compliance review follows for eligible applicants. After compliance is confirmed, applicants will have their proposals scored by members of an Evaluation Team and discussed by the Site Visit Team (sometimes these are one and the same). After this step, programs scoring sufficiently may be awarded [Site Visits](#). Final scoring after Site Visits will determine which programs are eligible to receive a funding recommendation from the Impact Council. Funding recommendations must go through an approval process before being finalized. All programs will be evaluated using standardized tools that measure the relative strength of both the proposal and site visit. Successful programs will demonstrate a connection between program goals and the community's goals, effective programming and evaluation efforts, and access to the resources necessary to achieve high impact. Final funding decisions cannot be appealed.

The following provides more details on each of these steps.

i. Letter of Intent & Stewardship Review

All issued RFPs will require applicants to submit a Letter of Intent and Stewardship Review Packet prior to the actual application due date as indicated below. This Stewardship Review will determine whether or not an organization is eligible to apply for funding. This will help potential applicants avoid developing lengthy proposals which are not competitive, reduce the number of applicants submitting full proposals to a manageable size for thorough review, and/or inform staff about new programs that may contribute to current or future goals.

A review of the Letter of Intent and Stewardship Review Packet will be completed by at least two UWWV staff. Please note that if the Letter of Intent varies significantly from the grant purpose and [outcomes](#), or if any of the Stewardship Review Form (included at the end of this document) documents are not available and submitted, an organization will be removed from the application process and notified with an explanation of the decision. It is highly recommended that the Letter of Intent and Stewardship Review should be requested and submitted at least 2 months before the grant application due date.

ii. Proposal Compliance Review

After the Stewardship Review is completed and upon receipt of the applications for an issued RFP, the next step is a simple Proposal Compliance Review. This review consists of the yes/no questions listed here and will be assessed by UWWV staff in order to ensure proposal compliance. If a proposal receives a “no” to any of these questions, it will be removed from the process (without exception) and the applying organization will be notified via e-mail. There is no appeals process.

1. Was the organization application packet submitted on time?
2. Was the program proposal complete (including all required sections and attachments)?

iii. Proposal Evaluation Process

Proposals that advance past the Proposal Compliance Review will next be reviewed and scored by volunteers. Based upon the number of applications that advance to this stage, UWWV staff in conjunction with the CI Co-Chairs will select members from the Evaluation Team Pool (see Section I.c above, pg. 13) to form an Evaluation Team that will perform scoring evaluations of the applications. Selection of this team will use the following criteria:

- Each program application must be reviewed by at least three (3) separate persons on the Evaluation Team.
- No Evaluation Team member should be assigned more than five (5) program applications to review.
- CPA members of the Evaluation Team Pool should not be asked to complete program application evaluations and can be placed directly on a Site Visit Team.

For example, if 22 program applications pass the Proposal Compliance Review, then 66 total program application reviews would have to be completed by an Evaluation Team ( $22 \text{ applications} \times 3 \text{ reviews/application} = 66 \text{ evaluations}$ ). Since only 5 evaluations can be assigned to any Evaluation Team member, then these applications would require UWWV staff to select 14 pool members to the Evaluation Team for the necessary proposal evaluations ( $66 \text{ evaluations} \div 5 \text{ proposal evaluations per member} = 14 \text{ Evaluation Team members needed}$ ).

UWWV staff, in conjunction with the Impact Council Chair and Co-Chair will assemble a Site Visit Team from the members of the Evaluation Team. Site Visit Teams will be 6-10 members and should also include a CPA member from the Evaluation Team Pool. Whenever possible, all Evaluation Team members will be members of the Site Visit Team; however, this will not be possible in situations where a large number of applications pass the Proposal Compliance.

With Evaluation Team and Site Visit Team selected, the following steps can occur for the Proposal Evaluation Process:

1. Evaluation Team and Site Visit Team Orientation

The Evaluation Team and any additional Site Visit Team members will meet initially for an orientation, which will familiarize them with this overall process, but will also include a component for education related to the impact area, specific grant proposal and [evidence-based outcomes](#). The education training will be presented by members of the Impact Council Planning Team that are not seeking funding through the particular grant in question.

All volunteers will be trained to use the Best Investment Criteria to make their decisions. When comparing programs applying for grant funding under a particular issued RFP, Best Investment Criteria refers to the programs that most clearly demonstrate:

- **ALIGNMENT:** Connection between program goals, UWWV Impact Council metric(s), and the Bold Goal for our community.
- **IMPACT:** Effectiveness of programming as reflected by evaluation efforts and evidence-based outcomes
- **RESOURCES:** Access to the resources (staff, experience, financial, etc.) to successfully implement the program

2. Application Evaluation

After orientation and prior to any initial discussion meeting with the Site Visit Team, applicant proposals will be reviewed and scored by the selected Evaluation Team using a developed and published scoring rubric. The rubric will evaluate all proposals in three major scored sections which are listed below in Figure 1.

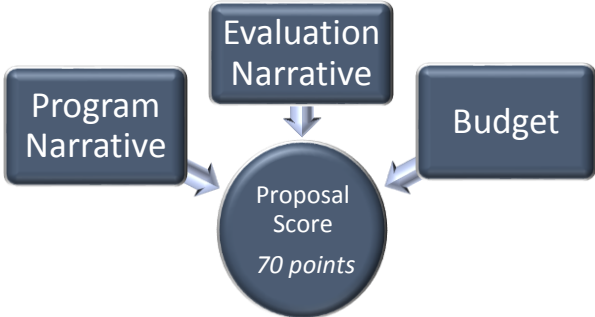


Figure 1: Program Proposal Evaluation Scoring

Each proposal will receive a score that reflects the average from at least 3 separate Evaluation Team member reviews. Once all proposal reviews are complete, the selected Site Visit Team will conduct its initial meeting.

The Site Visit Team will convene to discuss average proposal scores and Best Investment Criteria in an effort to determine which programs will receive [Site Visits](#) and which programs will be removed from the process. The

following methodology will be used to determine automatic inclusion in the applicants to be awarded Site Visits.

When all of the proposal applications are scored by the Evaluation Team, the entire list of applicants will be tabulated to include the Proposal Score and the requested amount. These will be sorted from highest scoring to lowest. The proposals automatically selected for Site Visits will include the top scoring proposals whose sum of requested dollars is between 150% and 200% (as designated in the RFP) of the grant total dollars available.

For example, with \$100,000 in RFP funding available and a recommendation to select the top 150% for Site Visits (as designated in the RFP), the following would be the selection process for these hypothetical programs:

<u>Program</u>	<u>Score</u>	<u>Request</u>	<u>Running Total</u>	
Prog. 1	67	\$25,000	\$25,000	
Prog. 2	66	\$6,000	\$31,000	
Prog. 3	64	\$30,000	\$61,000	Automatically
Prog. 4	60	\$15,000	\$76,000	granted a
Prog. 5	60	\$21,000	\$97,000	Site Visit
Prog. 6	58	\$22,000	\$119,000	
Prog. 7	57	\$30,000	\$149,000	
Prog. 8	56	\$12,000	\$161,000	
Prog. 9	54	\$17,000	\$188,000	For Discussion
Prog. 10	52	\$25,000	\$213,000	

Based on this example, these first seven programs will automatically be granted Site Visits. Programs below the cutoff threshold may still be discussed and a maximum of three (3) additional applicants can be awarded a Site Visit if so deemed by the Site Visit Team. If a proposal is removed at the initial meeting, the applying organization will receive a summary explaining the decision via e-mail. There is no appeal process.

Only full requests will be awarded by UWWV. Partial funding will not be considered. Because of this, it will be important to inform applicants (via the RFP) to request exactly what is needed. Applicants should not request \$50,000 expecting to receive \$30,000 in funding as this will not be allowed, and could also prevent a program from being selected for a Site Visit if the total requested places that program over the limit (as per the previous example).

During the initial Site Visit Team meeting, key questions raised by the team will be captured. Such key questions will be communicated to the appropriate contact person at the organization if a Site Visit is awarded. This will allow program staff the ability to directly respond to key questions raised by the Site Visit Team.

After completion of this initial meeting and the selection of those proposals that will receive Site Visits, all Site Visit Team members will then be asked to complete a Proposal Evaluation score for any applicants that they had not yet reviewed or scored as part of the initial work of the Evaluation Team. In this

way, all Site Visit Team members will complete proposal scoring for all applicants selected for Site Visits.

### 3. Site Visit Evaluation

Those programs awarded a Site Visit at the initial Site Visit Team meeting will be contacted by co-chairs. Site visits should be used for the greatest possible insight into program operations and used especially to inform decisions about funding for high profile [initiatives](#) or investments that contain an element of risk. This may also be useful when grant writing capability is not necessarily reflective of ability to meet the goals of the investment. The Co-Chairs will then coordinate with organization staff to make arrangements for that Site Visit (schedule/location/directions).

Organizations have the option of presenting their Site Visit at their program location or the United Way of the Wabash Valley office at 100 S. 7<sup>th</sup> Street in Terre Haute. After the Site Visit is scheduled, UWWV staff will send to the applicant a list of the specific questions that were raised by the Site Visit Team at their initial meeting. This will allow program staff the ability to specifically respond to key questions at the Site Visit.

The programs that receive a Site Visit will be encouraged to include the following items during a Site Visit presentation:

- Review of key program activities
- Review of key outcomes and [evidence-based](#) impact
- Responses to Council questions sent prior to the Site Visit
- Content that helps the Council experience or understand the program

The total Site Visit is not to exceed 1 hour. The organization will have the first 30 minutes to give a formal presentation and demonstrate the program in operation, if possible. The remaining 30 minutes are reserved for volunteer questions. In the event that the Site Visit Team does not use the full 30 minutes for Q&A, the team will give that time back to the organization to use at their discretion. The Site Visit is an opportunity for the team to gain a deeper understanding of the proposed program. It is also the only opportunity available for the organization to share new information about the proposed program and provide answers to pertinent questions posed by the Site Visit Team. It will be recommended and highly encouraged that the following organization staff be in attendance to help present material and answer questions that the Site Visit Team may have: Board President, applicant organization's Executive Director, Program staff, Grant Writer and Finance staff.

At the conclusion of the visit, Site Visit scores will be determined using a tier-ranking system. Site Visit Team volunteers will organize all programs that received a Site Visit into three tiers defined here. The Average Tier Rank points will be the Site Visit Score:

- **Tier 1:** Top Tier (30 points)  
*Programs that most clearly satisfy Best Investment criteria*



- **Tier 2:** Middle Tier (20 points)  
*Programs that may satisfy aspects of Best Investment criteria, but to a lesser extent than Tier 1 programs*
- **Tier 3:** Bottom Tier (10 points)  
*Programs that may satisfy aspects of Best Investment criteria, but to a lesser extent than Tier 1 and Tier 2 programs*

Volunteers will maintain an equal distribution of programs across each tier per council. For example, if 6 programs are evaluated, only 2 can be Top Tier, 2 will be Middle Tier and 2 must be Bottom Tier. Each volunteer will only be permitted to rank a program if they attended the program’s Site Visit. Volunteers who miss more than 50% of the scheduled Site Visits will not be allowed to rank any programs under consideration. Once all site visit evaluations are complete, each program will have an average tier ranking of 10, 20 or 30 from the Site Visit Team volunteers who conducted evaluations.

Upon completion of the site review scoring, Site Visit Team volunteers will have an initial set of scores that are based on overall application score as shown below (Figure 2). Volunteers will then discuss the overall application scores and Best Investment Criteria, adjust funding levels where necessary, and approve funding recommendations for the RFP for presentation to the Impact Council.



Figure 2: Overall Scoring Breakdown

iv. Investment Approval

The final investment recommendations of each Site Visit Team will be reviewed, possibly modified, and then ratified by the Resource Team of the Impact Council. As only full requests will be granted, it will often be the case that not all available RFP funds will be used. This is acceptable and the unused funds will remain as net restricted assets for that particular Impact Council to use in the future. Funding recommendations from the Impact Council will also be approved by the UWWV [Community Impact Committee](#) (CIC), and the UWWV Board of Directors.

It should be noted that the role for the CIC and Board in the approval process is not to repeat or review the evaluation process conducted by the Impact Council and Site Visit Team. Rather, approval of investment recommendations (including all investment proposals) should be based on the following questions:

CIC Considerations:

- How will this investment impact the community goal?
- Does the Community Partner have a history of success with the stated outcomes related to this investment?



- Is there evidence of coordination between community partners if applicable?
- Where there any concerns identified in the grant application and review that were not addressed?
- Are potential conflicts of interest identified and mitigated?

Board Considerations:

- Does the investment demonstrate a clear understandable (by the public) link to achieving the community goal?
- Does the investment clearly demonstrate how any community partner can collaborate with UWWV to assist in reaching the community goal?
- Does the investment create realistic expectations of UWWV staff and/or volunteers?
- Are there adequate checks and balances in this investment to provide for UWWV transparency and funding accountability?
- Are potential conflicts of interest identified and mitigated?

Funding is not guaranteed. The decision of the Board is final. There is no appeal process. The UWWV Board must approve both the final funding amounts and the payment plan and schedule for all RFP proposals. Funding decisions and a summary explaining those decisions will be promptly communicated to each organization via e-mail.

v. Changes in Reported Information

If reported information changes during the Community Impact Grants Process (after submission of the application, but before funding has been awarded), the organization must submit written (preferably via email) notification to UWWV immediately after the organization becomes aware of the change that explains: what the change has been, why the change was made, and what the effect of the change is on the program/proposal. Please direct such communication to the Director of Community Impact.

If reported information changes after the proposal has been funded (after the grant has been awarded and organization has started to receive funding), the organization must submit notification to UWWV within 30 days after the organization becomes aware of the change that explains: what the change has been, why the change was made, and what the effect of the change is on the program. Such communication will be directed to the Director of Community Impact.

vi. Grant Recipient Agreement

All programs that are awarded funding through any issued Collective Impact Grant from any Impact Council will be required to sign a Grant Recipient Agreement which confirms understanding of and requirements for abiding with all stipulations so as to receive full designated funding over the period of the grant and to allow the organization to apply for future grant funding. Failure to abide by the stipulations of the Grant Recipient Agreement will result in forfeiture of remaining funding and may prevent the organization from applying for future funds. An example of a Grant Recipient Agreement is included as [Attachment E](#).

vii. Program Monitoring

All programs that are awarded funding will be required to track and report outcomes results to UWWV every six months. UWWV staff and Impact Council volunteers will utilize the information in the six-month reports to determine whether or not each program is exceeding, meeting, or falling below expectations outlined in the original grant proposal. The Impact Council volunteers may conduct a Site Visit in order to learn more about the reported outcomes results.

## **Attachment A DEFINITIONS**

**Coalition**— a combination or alliance between persons, factions, organizations, assembled to accomplish a specific objective more effectively than if the entities acted independently.

**Collective Impact**—the idea that large scale social change can be achieved when all stakeholders work together under a common goal and common agenda.

**Community Impact**—changes that improve lives across our diverse communities through the prioritization of needs in Education, Health, Financial Stability, Neighborhoods, and Safety Net.

**Community Impact Committee (CIC)**—the subcommittee of UWWV’s Board of Directors that provides oversight for all United Way impact strategies and investments.

**Community Impact Fund**—monetary resources achieved through the UWWV annual Resource Drive become this “fund” to support all Impact Council work.

**Evidence-Based**- refers to any concept or strategy that is derived from or informed by objective evidence.

**Impact Councils**—committees of non-profit, government, community and business leaders who are issue experts or passionate stakeholders in the areas of Education, Health, Financial Stability, Neighborhoods, and Safety Net; Impact Councils approve and monitor investments for their respective Impact Area.

**Impact Products**-a community program or initiative. Examples are United Way of the Wabash Valley developed Real Men Read and the Mobile Market. Impact Products do not have to be operated by United Way.

**Indicators**-methods to measure and track progress toward outcomes.

**Initiatives**—high priority strategies, programs or projects created to achieve major positive change in certain community conditions.

**Outcomes**—changes in knowledge, attitudes, skills, behavior, condition, status, or other measurable characteristics of a specific individual or group of individuals, as a result of program efforts.

**Site Visit**—a visit to a program site requested by a Site Visit Team to gain an increased understanding of program operations, address specific concerns identified in the program evaluation process, verify program activities and assess performance.

**Attachment B**  
**STEWARDSHIP DOCUMENTATION CHECKLIST**

This list can be modified for each applicable RFP, depending upon the target organizations and their capacity to provide such documentation.

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

Please use this form as a reference. Applicants will complete the checklist on-line and submit these documents by the relevant Stewardship Review deadline. For the purpose of the Stewardship Review process, please provide documents that are as local as possible. For example, if you are the local chapter of a national organization please provide local chapter documents where available.

**Please submit these documents.**

- 1. **Checklist**- (submitted/completed electronically on e-CImpact)
- 2. **Financial Review & Management Letter** - Most recent CPA reviewed Financial Statements. Service Providers are expected to obtain a Financial Review of their Financial Statements within six months of the end of their fiscal year. If the most recent audit had a management letter (also known as internal control deficiency letter) with it, please submit a copy of that and your service provider's formal response.
- 3. **Unaudited Financial Statements** – Most recent financial statements, should include a Statement of Financial Position (Balance Sheet) and Statement of Activities (Income Statement).
- 4. **Tax Return** - Most recent IRS Form 990 or 990EZ. To qualify, the tax return must have a year-end no older than 18 months before the Stewardship deadline.  
**NOTE: You MUST SUBMIT an IRS Form 990/990EZ unless your organization is a church or other house of worship, and thus not required by the IRS to file a return. This exemption DOES NOT apply to general faith-based nonprofit service organizations.**
- 5. **Budget** - Most current Board-approved budget with comparison to previous year and current year to date actual revenues and expenditures.
- 6. **Board Roster** – Most current roster of your Board of Directors indicating those who are officers, members of the Executive Committee, and all standing committees.
- 7. **Board Meeting Minutes** – Most recent board meeting minutes at time of filing.
- 8. **Patriot Act Compliance** – (submitted/completed on-line) United Way requires that each Service Provider certify that those United Way funds and donations will be used in compliance with all applicable anti-terrorist financing and asset control laws, statutes, and executive orders.
- 9. **Disclosures** – (submitted/completed on-line) Please list any major changes and/or circumstances, fraud, litigation, investigation, or other related occurrences since your most recent audit that would affect the financial health of your organization. If there are not any disclosures, please indicate such when completing form online.
- 10. **IRS Determination Letter** - Most recent IRS determination letter. **This document is required only if new applicant, agency did not pass the Stewardship Review Process in the past, or agency had changes/edits to these documents in the past 18 months.**

Attachment C  
Example Impact Council Strategy Document

## Success By 6<sup>th</sup> Impact Council



United Way  
of the Wabash Valley

The Success By 6<sup>th</sup> Impact Council is a multi-sector volunteer committee of nonprofit, government, education, and business leaders who are preferably issue experts in and/or are passionate about early childhood education and it's positive social and economic impact for our community. The Council is a subcommittee of the full United Way of the Wabash Valley Community Impact Committee (CIC).

All UWWV Impact Councils will work towards the overall  
**BOLD GOAL**

**Move 10,000 families out of  
financial struggles and into stability!**

### Objective

Works and invests to bring successful results to the agreed-upon specific outcome targets in support of the overall UWWV community goal.

### Structure

The council membership shall be set at a minimum of 8 persons maximum of 12 persons (including a chair and co-chair seated on the CIC). Each council shall include individuals either working in or with early childhood education, but should also include passionate and engaged community members from all 4 before- mentioned sectors (to include those from business, government and nonprofits). Attempts will be made to secure council representation from multiple counties within the United Way service area. All council members must be financial supporters of UWWV.



## Investment Guidelines

Based on their knowledge, members of the Impact Councils recommend and monitor the investment of resources in efforts that align with the objectives. The Impact Council will be granted funding from the CIC for investment in community initiatives, programs and/or impact products. One (1) standard and two (2) optional investment strategies are available to all impact councils:





-  **Collective Impact Grant Funding** – Standardized multi-year open grant process conducted via evaluation teams and based upon “Requests for Proposals” (RFPs) as developed by the Impact Council.
-  **Alternative Investment Opportunities** - Impact growth opportunities such as matching funds for a potential larger federal or specialty grant opportunity.
-  **Develop Collaborative Impact Products** - may brainstorm and propose “impact products” (a community program or initiative) and seek collaborative partners to further develop and operate or execute the product.

## Framework Strategies from “Stronger United Plan”



Poverty consistently correlates with a lack of education. The census data also makes it clear that children under 5 years of age are particularly vulnerable, as are their parents or caregivers. Access to, affordability of, and operational hours of high-quality early care and education programs are problematic for working, struggling families. We believe that by providing supports to young children and youth, and to families and early childhood care and education programs, we can help break the cycle of poverty.

### Objective: Early Childhood Education Support and Programs

#### Strategies:

-  Increase high quality childcare programs and access to them
-  Support coordination between ECE and school settings
-  Parent and volunteer engagement in literacy acquisition
-  Engage in public policy and advocacy related to ECE, poverty and community economic prosperity

#### Proposed Measurements:

-  Kindergarten readiness
-  Kindergarten retention





## Attachment D Example RFP Template

### Request For Proposal (RFP) Template

An outline to develop an RFP should include, but is not limited to, the following:

1. Description/Overview of the Request for Proposal  
*Intended as a brief summary of all sections listed below. Similar to an Abstract.*
2. Detailed Listing of Program Outcomes  
*This should also include supporting alignment with community goals and strategies.*
3. Funding Opportunity Description  
*This section would include the grant amount and length of the grant as well as the expected methods and timing for payments*
4. Specific Purpose of the RFP  
*Should include why this RFP is being issued and what short- and long-term benefits for the community are expected with the completed work.*
5. [Evidence-Based](#) Strategies  
*All RFPs shall strongly suggest that applicants provide supporting documentation of Evidence-Based Strategies related to the proposal.*
6. Calendar, Listing Important Dates  
*This is intended as a schedule of requirements from initial Letter of Intent to final applications, [Site Visits](#) schedules and even reporting requirements after the grant award.*
7. Letter of Intent Minimum Requirements with Length Restriction  
*All RFPs must specify the requirement for a brief and concise Letter of Intent.*
8. Grant Application Requirements  
*Such requirements could include, but are not limited to policies of nondiscrimination, evidence of knowledge required to successfully run high quality programs, be able to identify and report on outcomes and community [indicators](#) according to agreed upon measures and timeframes, agreement to comply with UWWV's Grant Recipient Agreement (see [Attachment E](#))*
8. Selection Criteria  
*The RFP should make clear those items that will be weighed heavily in the evaluation of the proposal. These include but are not limited to Organizational Capacity, Achieving Results/Program Evaluation, and Program Budget & Expenditure Detail.*
9. Stewardship Documents  
*Each RFP should define the required documentation for the Stewardship Package to be provided with the Letter of Intent. See [Attachment A](#) for an example listing.*

**Attachment E**  
**Example Grant Recipient Agreement**

This Grant Agreement example can be modified for each applicable grant to be issued, depending upon the target organizations.

**UNITED WAY OF THE WABASH VALLEY**  
**SERVICE PROVIDER CONTRACT**

Between

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("United Way Service Provider", hereinafter referenced as "Service Provider")

and

**United Way of the Wabash Valley**  
(hereinafter, "United Way")

**Definition of a United Way Service Provider:**

By definition, an organization that receives United Way Community Impact Grants and signs the United Way Service Provider Contract (hereinafter, the "SPC") is a United Way Service Provider. The requirements of a United Way Service Provider are defined in this SPC. United Way Community Impact Grant references funding awarded to a Service Provider in support of a specific project or program.

**Purpose:**

This SPC outlines the relationship between the Service Provider and United Way. Significant commitments made mutually and by each party are included in this document. In addition, there are many informal and cooperative ways in which the Service Provider and United Way may work together to make measurable impact toward our United Way's Bold Goal for our community.

**Philosophy:**

United Way's investment goals are to create measurable improvements in our service area by granting funds to organizations that reflect the Best Investment Criteria, defined as the projects and programs that most clearly demonstrate:

- **ALIGNMENT:** Connection between program goals, UWWV Impact Council metric(s), and the Bold Goal for our community.
- **IMPACT:** Effectiveness of programming as reflected by evaluation efforts and evidence-based outcomes
- **RESOURCES:** Access to the resources (staff, experience, financial, etc.) to successfully implement the program

United Way respects the work and expertise of these organizations and encourages Service Providers to work together and with United Way to achieve the maximum benefit to our community. United Way strives to maintain accountability to contributors who support the work.

**1. The Service Provider and United Way each agree to:**

- (a) Maintain our respective statuses as a 501(c)(3).



- (b) Promote a positive public image of the other in media, public speaking, and other public relations efforts. Service Provider and United Way representatives will refrain from public criticism or negative comments regarding either organization's staff, volunteers, activities, or United Way grant awards.
- (c) Maintain open communication and respond to issues of concern that could impact the relationship. Each will keep the other informed regarding issues affecting program delivery, organizational financial stability, or significant changes in executive management and/or Board governance.
- (d) Have policies in place and abide by all applicable laws regarding equal opportunities and non-discrimination for employment practices and services to clients.
- (e) Maintain volunteer governing bodies that meet regularly to establish policy and to exercise responsibility for the organization's administration and financial management.
- (f) Comply with all applicable laws and regulations.

**2. United Way agrees to:**

- (a) Provide United Way Community Impact Grant funding to the Service Provider, as approved by United Way's Board of Directors.
- (b) Promote Service Provider as an organization receiving certain funds provided from the Community Impact Fund, subject to the terms of this SPC.
- (c) Safeguard program and financial information provided by participating Service Providers.
- (d) Work collaboratively with the Service Provider, community partners, and/or other funders to support the Service Provider and maximize its impact on the community. United Way will keep the Service Provider abreast of such efforts.
- (e) Provide oversight and accountability for funds raised, and funds distributed.

**3. The Service Provider Agrees to:**

- (a) Use United Way Community Impact Grant funds solely for the Service Provider's own projects and/or programs during the term of this SPC as outlined in Service Provider's grant award communication from United Way.
- (b) Facilitate, on an annual basis, engagement of volunteers, donors, and motivate audiences to the United Way call to action – Live United: Give, Advocate, Volunteer. To further these goals, the Service Provider shall:
  - i. Attend training for, and if asked, participate in the following to promote unrestricted gifts to United Way:
    - 1. Speak on behalf of United Way at business events and/or Resource Drive presentations
    - 2. Host a tour at your organization and/or host a volunteer project
  - ii. Service Providers are not required to, but are strongly encouraged to conduct an internal United Way workplace resource drive. When conducting a United Way resource drive within your organization, encourage the members of your governing Board, staff, and constituents, to contribute, to volunteer their services, and to assist with other resource drive activities.
  - iii. State in promotional communications and at their public events (which can include, but is not limited to, news releases, brochures, printed and web-based collaterals, Service Provider websites, UW logo links on Service Provider websites, social media, advertisements, press releases, and annual reports) that they are a United Way Service Provider.
  - iv. Place a United Way sign, provided by the United Way, by the front door of their primary office. If the location of your primary office is confidential for the privacy and safety of your clients, please notify Mark Johnson via email, [mjohnson@uwwv.org](mailto:mjohnson@uwwv.org).

- v. Agree that the Service Provider, their staff, and volunteers shall not solicit direct designations in any way through the United Way Annual Workplace Resource Drive at any time, with the exception of the Combined Federal Campaign (CFC) and State Employee Charitable Campaign (SECC).
- (c) In return for receiving United Way grant funding and for programs supported by United Way, the Service Provider agrees to the Monitoring Expectations and Reporting Requirements as detailed in Section 4 of this SPC.
- (d) Communicate to the United Way any material change in the operation of a program that is grant funded in a timely manner, with continued United Way Community Impact Grant funding for that program subject to approval of the changes.
- (e) Provide in a timely and complete manner all information requested by United Way. Answer any additional questions and attend any meetings requested by United Way. Such requests shall not be excessive or unreasonable.
- (f) Assume sole financial responsibility for its affairs, including all debts, obligations, and deficits of any kind or nature that Service Provider may incur. Service Provider should take into consideration that the final amount of United Way grant funding disbursed to Service Provider may be adjusted at any time as provided in this SPC.

**4. Monitoring Expectations and Reporting Requirements for programs receiving United Way Collective Impact Grants.**

(a) This important information allows United Way to communicate with the community-at-large, donors, grantors, and the Board of Directors about the value of their investments and the work of our Service Providers. The monitoring and reporting requirements are as follows:

**i. Mid-Year and Year-End Reports.**

1. United Way will notify all Service Providers of the due date for the Mid-Year and Year- End Reports on an annual basis. A report for each funded program must be completed. All notifications to Service Providers, by mail, email or otherwise, will be sent to the Executive Director/CEO and/or Program Contact and/or Board President/Chair “of record.” That is, contact information will be pulled from the Service Provider Profile in e-CImpact (United Way’s on-line grant management system). Therefore, it is imperative that the e-CImpact Service Provider Profile information be kept current at all times by the agency.

**ii. Changes to Outcomes**

1. Program-specific outcomes results will be reported by the Service Provider and United Way will review Mid-Year and Year-End for each funding year.

2. If a program experiences a significant change that necessitates edits in any aspect of the logic model, program-specific outcomes statements, indicators, performance measures, or targets, the program must receive approval from United Way prior to implementing those edits. Please notify Mark Johnson via email, [mjohnson@uwww.org](mailto:mjohnson@uwww.org).

**iii. Formal and Informal Contacts by United Way Staff and Volunteers**

1. United Way shall be entitled to monitor program performance by conducting formal site visits to observe activities in operation, tour facilities, discuss program progress, and meet program and management staff and volunteer leadership. The Service Provider’s United Way Grant Director will contact the Executive Directors/CEOs and/or Program Directors to schedule a site visit. Site visits will be scheduled in advance with Service Providers and will be conducted at a time convenient to the operation of the program.

(i). The site visit will include, but is not limited to, discussing program successes, challenges or problems, budget issues, projected targets, outcomes, and performance measures. United Way may also schedule site visits at other times to monitor program success and stability or review data in support of outcome reporting.

(ii). Informal contacts throughout the year allow United Way to maintain a positive working relationship with Service Providers so that monitoring is not limited to a one-time event. Examples of informal contacts includes sharing best practices, troubleshooting, assisting in fund development planning for scalable models, attendance of United Way staff at funded partner events, e.g., annual meetings and open houses; United Way and Service Provider staff serving on community committees and [coalitions](#); and attendance of Service Provider staff at United Way events, e.g., training, meetings, fundraising, and annual events.

(b) All reports must be completed and submitted using United Way's e-CImpact online system. Instructions for accessing, completing, and submitting reports will be available in the e-CImpact Resource Center.

(c) All data, results, and materials submitted to United Way through the proposal and/or reporting processes are considered the property of United Way. United Way reserves the right to aggregate program results with other similar programs to use in marketing and fundraising materials, presentations, and to develop "best practices" materials to be shared with other organizations.

### **5. Consequences of Non-Compliance with the SPC**

In the event of any non-compliance by a Service Provider with the SPC, United Way reserves, in its sole discretion, the right to:

(a) Withhold, reduce, or cancel payments as well as eliminate United Way Community Impact Grant funding for Service Provider projects and/or programs.

(b) Preclude from application for United Way Community Impact Grant funding until Service Provider in is full compliance with the SPC, based upon the United Way's determination of a Service Provider's failure to comply with the terms of this SPC. If a Service Provider is found to be in non-compliance, United Way will notify the Service Provider in writing of its failure to comply with this SPC before taking disciplinary action.

### **6. Payment**

(a) All Service Providers must sign up for Electronic Funds Transfer (EFT) in order to receive their United Way grant funding. If your organization does not have EFT currently in place, you must submit a completed EFT Authorization Form and W-9 Form (included as part of your United Way Service Provider Contract Packet) to United Way by \_\_\_\_\_ to set up your EFT or your United Way Community Impact Grant funding will be delayed.

(b) EFT payment timing and amount will be as designated in the Service Provider's grant award communication from United Way.

(c) United Way Community Impact Grant funding is contingent upon compliance with terms stipulated in the SPC and related agreements (if applicable).

(d) Failure to submit proper reports, audits, or other requested information by the specified deadline will result in suspended payments.

(e) If sufficient issue arises with the Service Provider's program or the Service Provider itself, the United Way reserves the right to alter or withhold the Service Provider's United Way Community Impact Grant funding.

(f) United Way may modify the amount of funds provided to Service Provider in any year of a Multi-Year Grant, based on the amount of funds raised by United Way that year, or due to other reasons that limit the amount of funds available for disbursement. All Service Provider United Way Community Impact Grant funding in the final year of a Multi-Year Grant are conditional upon United Way's successful collection of pledges from the Resource Drive for that year.

(g) Service Provider will be notified in writing of any modifications in payments.

### **7. Acceptance of Grant Funding**

(a) By executing this SPC, the Service Provider accepts all United Way Community Impact Grant funds as awarded in the United Way Grant Award Letter for the first year of the Grant. Amounts for subsequent years of a Multi-Year Grant will be communicated to Service Providers annually through the United Way Community Impact Grant Award Announcements that are approved by the United Way Board of Directors. In order for the Service Provider to receive the United Way Community Impact Grant Award, the Service Provider must agree to all United Way requirements for the accepted United Way Community Impact Grant Awards as outlined in this SPC.

(b) If any program requires material changes as a result of the level of United Way Community Impact Grant funding awarded, a written notification must be submitted to United Way outlining the reasons for the changes. Changes to the program and continued United Way Community Impact Grant funding for the program are subject to the approval of the United Way.

(c) If the Service Provider elects to decline United Way Community Impact Grant funding for a program, a written communication must be submitted to United Way outlining the reasons for declined United Way Community Impact Grant funding.

(d) Written notifications communicating material changes or declined United Way Community Impact Grant funding should be addressed to:

Mark Johnson  
United Way of the Wabash Valley  
100 S. 7<sup>th</sup> Street  
Terre Haute, IN 47803  
mjohnson@uwww.org

### **8. Termination**

(a) To terminate this SPC, either party must give written notice to the other party at least 30 days prior to the intended date of termination.

(b) In the event of voluntary contract termination by the Service Provider, in order to preserve unity and common good of the community, both parties expect the process and dialogue to be respectful. Both parties prefer that press releases be written and released upon mutual agreement by representatives from staff and boards of both the Service Provider and United Way, and that other information regarding contract termination not be released to the media.

### **9. Patriot Act Compliance Measures**

In compliance with the USA PATRIOT Act (Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism) and other counterterrorism laws, the United Way requires that each Service Provider certify the following: By executing this SPC, the Service Provider certifies that all United Way funds and donations will be used in compliance with all applicable anti-terrorist financing and asset control laws, statutes, and executive orders.

### **10. General**

(a) Any notice required or permitted in this SPC shall be in writing and shall be deemed to have been given when any of the following methods are used and the notice is addressed to the notified party, or such changed address as has been given by that party in a notice which complies with this Section: (i) personal delivery to an authorized representative of the notified party, (ii) United States mail, certified mail, return receipt requested, (iii) electronic communication/email or (iv) commercial delivery with documentation of receipt.

(b) This SPC and its addenda sets forth the entire agreement between the parties regarding the matters herein, and fully supersedes any and all prior agreements or understandings, whether written, oral, implied, or otherwise. Any modification of this SPC will be effective only if it is in writing and signed by both parties. The Service Provider may not assign any or all of its rights under this Contract without the prior express written consent of United Way in each instance.

(c) United Way reserves, in its sole discretion, the right to financially and/or operationally audit programs funded by United Way.

**11. Independent Contractual Relationship**

(a) It is expressly agreed and stipulated by and between the parties, namely the United Way, and the Service Provider, that in executing this SPC, each remains an independent contractor, and that neither party shall be deemed or construed to be an agent, servant, or employee of the other nor any of their affiliate within the meaning of the Workers' Compensation Act of the State of Indiana, any other statute, or under the common law of the State of Indiana.

(b) It is mutually agreed and understood by and between the parties hereto that neither entity shall have right of direction or control over the performance of the SPC by either party save and except as to the results to be accomplished, and that both parties into this SPC with the definite and affirmative understanding and agreement that each is entering into the same as an independent contractor controlling only its own movements and operations and/or its own employees, servants, or agents, and reserving unto each said entity all right to control the same, and that both parties hereby surrender all right or claim of right to control the other, the other's employees, servants, or agents in the performance of this SPC.

**12. Execution**

In order to receive United Way Community Impact Grant funding, the Service Provider must submit the complete, signed and dated United Way Service Provider Contract Packet by \_\_\_\_\_ or your United Way grant funding will be delayed. This SPC is effective \_\_\_\_\_ to \_\_\_\_\_ and is executed electronically on behalf of United Way and Service Provider by their undersigned representatives who are fully authorized to sign this SPC. It is intended by the parties that this contract be signed electronically. Print and keep one fully executed copy for your records.

**United Way Signatures**

By \_\_\_\_\_

**Name: Richard Payonk  
President and CEO  
United Way of the Wabash Valley**

Date \_\_\_\_\_

By \_\_\_\_\_

**Name: Dan Gmelich  
Chief Financial Officer  
United Way of the Wabash Valley**

Date \_\_\_\_\_

**Service Provider Signatures**

By \_\_\_\_\_

**Name:  
President and CEO  
(Service Provider Name)**

Date \_\_\_\_\_

By \_\_\_\_\_

**Name:  
Board President/Chair  
(Service Provider Name)**

Date \_\_\_\_\_