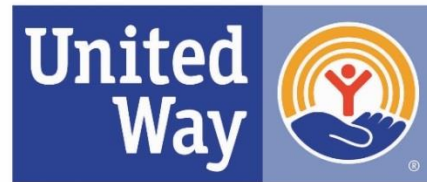


**United Way  
of Northeast Kentucky**

**LIVE UNITED**



**2017 Application for  
United Way of Northeast Kentucky  
Community Investment Funding  
(\$5,001 or greater)**



United Way of Northeast Kentucky (UWNEK) is a local, 501(c)3 organization and member of United Way Worldwide. UWNEK began over 80 years ago and continues to work throughout northeastern Kentucky to meet our mission as the community leader for mobilizing resources to identify and impact human needs through education, financial stability, health, and basic needs.

The basis for United Way support is in the form of the workplace campaign, wherein businesses located in the area host an annual ask for their employees to give to the local community through the local United Way. The unique benefit of the partnership between businesses and United Way is the ability to give a little each paycheck through payroll deduction. These smaller amounts can add up to make a great contribution yearly without the financial impact that same donation may have on the employee if made all at once. For UWNEK funded partners, this is a great and unique benefit to your organization because it can help reduce your need to fundraise with UWNEK business partners as you receive their support through their UWNEK campaign efforts. Becoming a UWNEK funded partner means that your organization has been reviewed by a team of local volunteers and selected to help meet a critical need in the community gaining your organization inclusion among our workplace campaigns as a part of our collaborative efforts throughout the communities we serve to build healthier communities, stronger families and better lives for us all.

Over the last five years, UWNEK has raised and given back to our local communities over \$3,000,000. Though we see reductions in our annual campaigns and donors, we know that our communities are generous and committed to finding solutions to our issues, working together to implement plans for change and building a better life for us all. Our work, collectively as non-profits, doesn't rest and relies on a strong network of collaboration and a reduction in duplicated efforts. We owe our donors and advocates a strong product of results and the knowledge that when we come knocking for assistance that our collective mission is clear, concise and results-driven.

Throughout the coming campaign and funding year, spanning May 2017 through June 2018, UWNEK will once again conduct fundraising activities and events. We'll talk about your agency, other non-profits and the great work that is being done to impact the lives of individuals, families and children here at home. We'll maintain transparency and accountability to the public in all we do. And we will ask for your help in our efforts to raise as much funds as possible so that we can continue to do what we do for 80 more years.

Jon Ulincy

A handwritten signature in blue ink that reads "Jon Ulincy". The signature is written in a cursive, flowing style.

Chair, Board of Directors  
United Way of Northeast Kentucky

## **2017 Application for UWNEK Community Investment Funding Instructions**

This application is for non-profit, community service agencies providing services in Boyd, Carter, Elliott, Greenup and/or Lawrence counties in northeastern Kentucky. This application package is for investment funding requests of \$5,001 or greater.

To be considered for funding from UWNEK for the 2017-2018 funding season, agencies must fully complete the following application and attend a Community Investment Peer Review meeting.

**The investment funding request must concentrate on at least one of the following UWNEK focus areas:**

**Education:** To make sure children and youth can start school ready to succeed, become proficient readers at a young age, stay on track in middle school, earn their high school diploma and pursue a higher education

**Financial Stability:** To empower people to get on stable financial ground with proven methods like job training, financial wellness classes and more with a result of thriving communities where everyone has more opportunity to succeed

**Health:** To build healthier more resilient communities by promoting healthy eating and physical activity, expanding access to quality care and integrating health into early childhood development

**Basic Needs:** To provide food, shelter, clothing and other basic resources to the neediest in our community

Awards are based on this application a peer review meeting (if required), availability of funds and determination of the Community Investment Team. The Team is comprised of UWNEK board members, community volunteers, community partners, and donors. Allocation of awards will be paid via electronic bank transfer the last day of September 2017, December, March, and June 2018.

If you need assistance with the application or have questions, please contact the office at (606) 325-1810. **Specific submission instructions are as follows:**

*Email to [uway@uwnek.org](mailto:uway@uwnek.org) with a cc to [laci@uwnek.org](mailto:laci@uwnek.org)*

*Mail to UWNEK at P.O. Box 2285, Ashland, KY 41101 OR*

*Hand deliver to UWNEK at 2000 Carter Ave., Ashland, KY 41101*

Applications are due to the UWNEK office by **Thursday, April 20, 2017 by 3:00p.m.**

**We will not accept faxed applications.**

**2017 Application – Part A: Agency Information**

**Agency:**

Employer Identification Number:

Physical Address:

Mailing Address:

Phone:

Website:

**Name of CEO or Executive Director:**

Phone:

Email:

**Person managing program (If not CEO/ED):**

Title:

Phone:

Email:

**Name of Financial Representative:**

Phone:

Email:

**If a Coalition, the Coalition’s Fiscal Agent:**

Coalition Contact Name:

Phone:

Email:

**Date of last IRS990 filing:**

**Date of last annual report to the Kentucky Secretary of State:**

Please notify UWNEK within 30 days of any changes in agency or program leadership or financial institutions. If for any reason an agency/program ceases operation, it is the responsibility of the agency to notify UWNEK immediately or a return of unused funds may be requested.

**2017 Application – Part A: Agency Information**

List the name of the program(s) for which funding is requested, the specific amount of funding requested and the UWNEK Focus Area which services most closely align. (Descriptions of the Focus Areas can be found on page 3 – Instructions.)

**Program 1:**

**Funding requested:**

Education  Financial Stability  Health  Basic Needs

**Program 2:**

**Funding requested:**

Education  Financial Stability  Health  Basic Needs

**Program 3:**

**Funding requested:**

Education  Financial Stability  Health  Basic Needs

**Program 4:**

**Funding requested:**

Education  Financial Stability  Health  Basic Needs

**The program(s) serves the following UWNEK service area(s):**

Boyd  Carter  Elliott  Greenup  Lawrence

Purpose of agency (Mission Statement):

## **2017 Application – Part B: Narratives**

### **Need**

Describe the community problem and/or the target population that the program(s) will address. Include at least one current statistic (with citation) that most profoundly demonstrates the need for your program(s). If funding is requested for more than one program, please respond for each program. (No more than 300 words per program)

### **Program**

Describe in detail the program(s) for which the requested funds will be used. Specify the projected number of clients that will be served by the program(s) in this funding year. What is the specific plan for reaching that population? How will staff and/or volunteers deliver the services to clients? (No more than 450 words per program)

How does the program(s) align with one or more of UWNEK's focus areas of Education, Health, Financial Stability and Basic Needs described on page 3? (No more than 300 words per program)

What other agencies/programs are you working with and how do you collaborate to improve outcomes for your clients? (No more than 400 words)

What is your plan to track and measure results? How will you know if you (or more importantly your clients) achieved the projected goal? What research or evidence has demonstrated your program will achieve the goal? (No more than 200 words per program)

### **Agency Capacity**

Describe how the agency supports the program(s). (No more than 250 words)

Describe the internal controls your organization uses to ensure UWNEK funds are securely handled. (No more than 250 words)

### **Sustainability**

If your program has been funded by UWNEK for more than three years, what efforts have you undertaken to secure other revenue for the program? Specifically, what additional funding/resources have been secured for the program? (No more than 250 words)

**2017 Application - Part C: Financial/Budget Section**

Attach separate budgets for each individual program listed on page 5.

Agency Operating Budget (All Funding)		Program/Project Budget (Related to your UWNEK Funding Request)	
Income	Amount	Program/Project Income	Amount
Grants		Grants	
Contracts		Contracts	
United Way		United Way	
Corporate Contributions		Corporate Contributions	
Membership Fees		Membership Fees	
Individual Donations		Individual Donations	
Fees for Services		Fees for Services	
Fundraisers/Events/Sales		Fundraiser/Events/Sales	
Endowment/Interest Income		Endowment/Interest Income	
Other (specify)		Other (specify)	
<b>Total Income</b>		<b>Total Income</b>	
In- Kind		In-Kind	
<b>Total Revenue</b>		<b>Total Revenue</b>	
Expenses	Amount	Program/Project Expenses	Amount
Staff Salaries		Salaries/Wages	
Benefits (insurance, retirement, & other tax related)		Benefits (insurance, retirement, & other tax related)	
Rent & Utilities		Rent & Utilities	
Consultants/Contractors		Consultants/Contractors	
Equipment		Equipment	
Travel		Travel	
Office Supplies		Office Supplies	
Printing/Copying/Marketing		Printing/Copying/Marketing	
Telephone/Internet/Fax		Telephone/Internet/Fax	
Staff/Volunteer Training		Staff/Volunteer Training	
Other (specify)		Other (specify)	
<b>Total Expenses</b>		<b>Total Expenses</b>	

### 2017 Application – Part D: FY2017 Report

Agencies that received an allocation in FY2017 (July 1, 2016 – June 30, 2017), please complete the following information.

Amount of FY2017 allocation:

- Provide an update on progress made by your funded program. Did you meet the goals you set? Describe any influencing factors that may have affected your results. (No more than 300 words per program)
- Please provide a success story of a person that was served by your program over the course of the last fiscal year. Include information about how his/her life was measurably and visibly impacted by the program. (No more than 150 words)
- Describe your collaboration with UWNEK over the last year. For example, did you speak at or conduct an annual campaign event, encourage board members to give to the annual campaign, showcase UWNEK support at a special event, attend LIVE UNITED Day in Frankfort, and/or attend the Annual Volunteer Recognition Dinner. (No more than 200 words)
- If there are certifications or membership standards that your agency/organization must meet to operate, are you in good standing with these regulations? If you are not in compliance, what is your plan to address these issues? (Supporting documentation may be attached with your application)



**2017 Application – Part E: Assurances**

**Anti-Terrorism Compliance Measures**

In compliance with the USA PATRIOT ACT and other counterterrorism laws, the United Way of Northeast Kentucky requires that each agency certify the following:

“I hereby certify on behalf of \_\_\_\_\_ 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.”

Print Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Submission Process Acceptance and Understanding:**

By participating in the UWNEK funding process, the undersigned have carefully read the application, rules of submission, and reviewed the information contained in this proposal for accuracy and completeness. We further understand that an incomplete application or failure to provide the information requested, as well as late submission, will render the submission as non-qualifying and ineligible for funding or further consideration in this funding cycle. The undersigned verify that a representative from this agency will attend a **UWNEK Peer Review** meeting as requested conducted by a volunteer led UWNEK Community Investment Team.

Print Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## **2017 Memorandum of Agreement (Supplemental Fundraising)**

*Awarded agencies will be required to comply with the UWNEK Memorandum of Agreement. The MOA is included for your review, but is not required in your application. If you are notified of awarded funding, the MOA will then be required to proceed with funding. Please review the MOA carefully with leadership to ascertain whether the Agreement can be fulfilled by the agency.*

Between: **United Way of Northeast Kentucky** and \_\_\_\_\_

The mission of United Way of Northeast Kentucky (UWNEK) is to increase the organized capacity of people to meet the human service needs of one another by uniting the community's resources. To achieve this mission, it is UWNEK's policy to permit the greatest amount of flexibility to funded partners in conducting their own fundraising and, at the same time, to ensure the best possible results for the UWNEK Campaign.

Accordingly, we believe funded partners are responsible for obtaining and utilizing as high a portion of their operating expenses as possible through normal program activities such as grants, program fees, contributions, interest on investment income and cash reserves. We also realize and encourage agency fundraising within certain guidelines and rules. These rules are not meant to be punitive to agencies but are in fact helpful to all of us in presenting a united front to raise the revenue necessary to improve the Education, Financial Stability, Health, and Basic Needs of our community and region.

**As parties to this understanding.....**

**Both United Way and the Agency agree:**

- To maintain a responsible and representative governing board that meets regularly to carry out the purposes for which it is organized
- To keep channels of communication open on all matters of common concern
- To conform to policies and procedures governing **United Way** funding including "Outcome Measurement"
- To strive to increase the public's understanding and appreciation of and participation in human service programs
- To preserve the confidentiality of all confidential information disclosed to them by the other and make no disclosure of any kind of confidential information to any person or entity without the express written consent of the party providing the confidential information

### **The United Way agrees:**

- To recognize the responsibility of the **Agency's** board to determine its own policies and manage its own affairs
- To keep channels of communication with the **United Way** Board of Directors and its various committees open to the **Agency**
- To provide annual program and budget reviews by responsible volunteer committees and to direct funding toward programs which meet important community needs
- To set campaign goals with due regard for the financial needs of the community, the economic climate, and the community's fund-raising potential
- To conduct an annual campaign for funds and to make the best effort to raise the greatest amount possible to support community needs
- To be a responsible steward of funds contributed to **United Way** by fully informing contributors about use of funds, honoring wishes of donors, and by conducting an annual audit
- To keep on file documentation of continuing 501(c)3 status as a nonprofit organization
- To inform the **Agency** of an allocation amount by June of each year
- To pay the **Agency** quarterly (end of September, December, March, and June) after its allocation has been determined unless special arrangements have been approved
- To publicly promote the different **Agency** programs whenever possible

### **The Agency agrees:**

- To establish and maintain its status as a non-profit organization and provide evidence of such to the **United Way** office
- To coordinate with and give the full support to **United Way** and its annual campaign
- To submit program and budget information requested on an annual basis to accommodate the annual agency review conducted by **United Way**
- To accept the amount allocated to the agency for the current year
- To assure that funds are used to achieve the desired results as outlined to **United Way**

- To recognize publicly **United Way's** support and include references to the **United Way** logo in print and on **Agency** premises
- To work with other agencies in meeting the needs of the community to prevent unnecessary duplication of services
- Be prepared to document and furnish to **United Way** upon request the program need, target population, service volume, photographs, fee structure, unit cost, accessibility and availability of services, measurability of objectives and mode of service delivery
- Report any significant change in the mission of the agency, program alterations including expansions and retractions, budget problems, special needs, staffing changes, and any other pertinent information that will maintain the close working relationship with **United Way**.

## 2017 Application – Checklist

Ensure that you have included all the following required documents:

- Part A: Agency Information
- Part B: Narratives
- Part C: Financial/Budget Section – Must complete a Budget form for each program listed on page 5 of the application
- Part D: FY2017 Report (for agencies receiving funding from UWNEK 2016-2017)
- Part E: Assurances - Signed and dated Anti-Terrorism Statement and Submission Process Acceptance and Understanding
- Thorough review of Memorandum of Agreement (required, if funded)
- Verification of your agency's 501(c)3 status
- Agency's Board of Directors for 2017-2018, including officers
- Copy of most recent IRS990 filing
- Copy of your agency's profit/loss statement for year to date ending December 31, 2016
- Agencies with revenue of \$750,000 or more provide one copy of your latest annual audit. Agencies receiving funding that meet the revenue threshold and that have not yet conducted an audit will be required to do so by the end of the 2017-2018 grant cycle.

Additional information may be requested prior to your peer review meeting or, if you are approved for funding, before allocations are issued.