

**United Way
of Northeast Kentucky**



2016 Application for UWNEK Community Investment Funding

Checklist

REQUIRED ATTACHMENTS (failure to provide any of these documents may result in disqualification of funding for the 2016 – 2017 allocation season):

- Attachment A – Current verification of your agency’s/program’s 501(c)(3) status.
- Attachment B – Copy of most recent 990 IRS filing.
- Attachment C – Copy of your agency/program’s profit/loss statement for year to date/ending December 31, 2015
- Attachment D – Completion of Part D of this application – annual operating budget (if applying for multiple programs/agencies, complete a budget for each)
- Agency/Program Board of Directors for 2016-2017
- Date of last annual report to the Kentucky Secretary of State: _____
- Signed application, including Anti-Terrorism Statement (included in application)
- Thorough review of application, attachments and Memorandum of Agreement (not due with application – will be required if approved for funding)

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



2016 APPLICATION FOR COMMUNITY INVESTMENT FUNDING – Introduction

United Way of Northeast Kentucky is a local, 501c3 organization and member of United Way Worldwide. United Way of Northeast Kentucky is a former “community chest” whose mission to develop partnerships and fundraising campaigns throughout the region to provide financial assistance to community service groups began 80 years ago. Our United Way continues to work throughout northeastern Kentucky to provide support to non-profits and programs that help fulfill our mission to build stronger communities. The basis for United Way support for many decades came in the form of the *workplace campaign*, wherein businesses located in the area would 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 was, and continues to be, the ability to give a little each paycheck through payroll deduction. These smaller amounts each payday can add up to make a great contribution by year’s end without the financial impact that same donation may have on the employee if made all at once. United Way continues this tradition of workplace giving and annual campaigns to generate financial support for the non-profits throughout our northeastern Kentucky communities.

Though workplace giving and annual campaign are almost synonymous with United Way, today we find ourselves in a continued effort to adapt to the changing workplace, economy, technology and non-profit landscape. There are more non-profits and causes today than ever and donors have the option to give to a number of issues, concerns and benefits...often at their fingertips. Many workplaces have adapted to focused issues or more global causes, as corporations grow in scale. Fundraising events and activities have become a part of our social climate. Charities and causes spring up from passionate ideas and experiences to create movements, generate volunteers and donors.

And while this certainly creates new excitement and builds awareness around issues and needs, both locally and globally, it can also create something of a competitive landscape for donor dollars, volunteer time and attention. All of which are limited, of course. United Way, like most of our fellow non-profits, works diligently to remain relevant to the communities in northeastern Kentucky we serve while also maintaining our historical mission to bridge those who wish to give to those who are serving the people in need. We continue to conduct workplace campaigns and partner with businesses, local, national and global, who wish to help in our efforts to provide funding to our local non-profits.

Over the last 5 years, United Way of Northeast Kentucky has raised and given back to our local communities over \$3M. And 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 to 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 June 2016 through June 2017, United Way of Northeast Kentucky will once again, just as we’ve done for the last 80 years, conduct fundraising activities and events. We’ll ask businesses and industries to donate and host annual workplace campaigns. We’ll ask employees and workers to give through payroll deduction at their places of business. We’ll talk about our non-profits and the great work that is being done to help and impact the lives of individuals, families and children here at home. We’ll vow that we fund local and those funds are going to organizations who work local. 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 what we’ve done for 80 more years.

A handwritten signature in black ink, appearing to read "Keith A. McBride". The signature is stylized with a long horizontal stroke extending to the right.

Keith A. McBride
President, UWNEK Board of Directors

2016 UWNEK APPLICATION FOR FUNDING - Instructions

This application is for non-profit, community service-related organizations, agencies and/or programs serving located in, at least one of, and providing services to the counties served by United Way of Northeast Kentucky that are Boyd, Carter, Elliott, Greenup and/or Lawrence. In order to be considered for funding from UWNEK for the 2016-17 funding season (beginning July, 2015 and ending June, 2016) organizations, agencies and/or programs must complete *in full* the following application and attend a Community Investment Peer Review session as scheduled. Awarded programs are based on this application, the peer review session, the availability of funds and the determination of the Community Investment Committee (CIC). The CIC is comprised of UWNEK board members, community volunteers, community partners and donors. Allocation awards are paid our quarterly, via electronic bank transfer at month's end in September, December, March and June, unless the awarded agency/program is informed otherwise.

If at any time during the allocation year an agency/program experiences changes in leadership, banking or financial institutions or UWNEK contacts, it is the responsibility of the agency/program to notify UWNEK *within 30 days* of the change with corrected information. If for any reason an agency/program ceases operation, it is the responsibility of the agency/program to notify UWNEK *immediately* or a return of unused funds may be requested. Failure to provide requested information during the application process, approval/award process or, if requested, throughout the funding cycle may result in a denial of further and/or future funding. This application does not guarantee approval for funding.

Awarded agencies/organizations will be required to comply with UWNEK standards and agreements outlined in the Memorandum of Agreement, attached for review at the end of this application. The MOA is not required for the submission of the application. If the applicant is awarded funding from UWNEK, then the agency/program will be notified and the MOA will be required in order to proceed with funding. Please review the MOA carefully with your agency/program leadership to ascertain whether the agreement and requirements can be fulfilled by the agency/program.

Please complete the application in its entirety. If additional information for your application is required, you will be notified promptly. Failure to provide information may result in denied funding for the 2016-17 allocation season. If you need assistance with the application, have questions or information needed, please call the United Way of Northeast Kentucky office at (606) 325-1810.

The UWNEK Office is located at: 2000 Carter Avenue, Ashland KY 41101

Our mailing address is: PO Box 2285, Ashland KY 41105

Our general email account for applications is: uway@uwnek.org and you may copy uvol@uwnek.org

APPLICATIONS ARE DUE TO THE UNITED WAY OFFICE BY FRIDAY, APRIL 29TH 2016 BY 3:00 PM

WE WILL NOT ACCEPT FAXED APPLICATIONS

2016 UWNEK APPLICATION FOR COMMUNITY INVESTMENT FUNDING

Part A – Basic Information:

1. **Agency or Organization Name:** Click here to enter text.

2. **EIN Number:** Click here to enter text.

3. **Physical Address, City, State, and Zip:**

Click here to enter text.

4. **Mailing Address, City, State, and Zip:**

Click here to enter text.

Phone: Click here to enter text.

Alt. Phone: Click here to enter text.

5. **Name of CEO or Executive Director:** Click here to enter text.

Phone: Click here to enter text. **E-mail:** Click here to enter text.

Person(s) managing program(s) if not CEO/Executive Director: Click here to enter text.

Title: Click here to enter text. **Phone:** Click here to enter text.

Email: Click here to enter text.

6. **Name of Financial Representative:** Click here to enter text.

Phone: Click here to enter text. **Email:** Click here to enter text.

7. **If Coalition, Coalition Fiscal Agent:** Click here to enter text.

Contact Name: Click here to enter text. **Phone:** Click here to enter text.

Email: Click here to enter text.

For Internal Office Use Only

Date Received: _____

Time Received: _____

Staff Initials: _____

DEADLINE:
April 29, 2016 3:00 PM
(EST)

Your application will be denied if required supporting documents are not submitted with your application.

8. Please certify by checking each box and read entire instructions before completing application.

- My program(s) services one or more of the following UWNEK service areas (please check all that apply): Boyd Carter Elliott Greenup Lawrence (KY)
- Each program for which funding is sought has a separate Budget and Outcomes/Performance Measures proposal. In addition, responses to questions in the application specifically address each program.
- List the name of each program for which funding is requested and select the UWNEK Focus Area with which services most closely align (limit one Focus per program):

Program 1: [Click here to enter text.](#) **Funding requested:** [Click here to enter text.](#)

Education Financial Stability Health Basic Needs

Program 2: [Click here to enter text.](#) **Funding requested:** [Click here to enter text.](#)

Education Financial Stability Health Basic Needs

Program 3: [Click here to enter text.](#) **Funding requested:** [Click here to enter text.](#)

Education Financial Stability Health Basic Needs

Program 4: [Click here to enter text.](#) **Funding requested:** [Click here to enter text.](#)

Education Financial Stability Health Basic Needs

- The applicant agency performs an annual audit OR has the necessary controls in place to ensure funds are properly accounted for and can provide accurate, timely financial information if requested. For agencies with revenue of \$250,000 or more provide (1) copy of your latest annual audit. Agencies meeting the revenue threshold and that have not yet conducted an audit will be required to do so by the end of the 2016-2017 grant cycle should funding be awarded.
- Completed copy of the attached checklist is provided. Required copies of application and additional supporting documentation are provided as outlined.

Amount of Total 2016 Request:
\$ _____

Amount of Total 2015 Allocation:
\$ _____

Part B – Your Agency/Organization and Program(s):

1. Program name(s) for which you seek funding:
 - a. [Click here to enter text.](#)
 - b. [Click here to enter text.](#)
 - c. [Click here to enter text.](#)
 - d. [Click here to enter text.](#)
2. Please describe your agency/organization’s mission **(50 words or less)**:
[Click here to enter text.](#)
3. Describe the community problem 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 more than one program is sought, please respond as relates to each program. **(No more than 300 words per program)**:
[Click here to enter text.](#)
4. Describe in detail the program(s) for which the requested funds will be used. Be specific about what the funds will be used for- ie. supplies, staff support, materials, etc. **(No more than 400 words per program)**:
[Click here to enter text.](#)
5. Describe the target population(s) this program serves. The target population identifies who will change as a result of the program’s intervention. Briefly explain how constituents enter and exit the program and describe your program’s constituents (age, gender, race, needs, risk factors, etc. as relevant), the conditions they face, and a general profile of their strengths and challenges. Describe the specific plan for reaching that population. **(No more than 400 words per program)**:
[Click here to enter text.](#)
6. How does the program align with one or more of UWNEK’s programmatic focus areas of Education, Health, Financial Stability and Basic Needs? Refer to Introduction Page which describes these impact areas in further detail. **(No more than 300 words per program)**:
[Click here to enter text.](#)
7. How does the program help clients break cycles that keep them in poverty? **(No more than 300 words per program)**:
[Click here to enter text.](#)
8. How does your organization/program have the capacity to support the program, including how staff and volunteers will deliver services to clients? Address the infrastructure of your program, additional funding/resources secured, and how your initiatives are self-sustaining:
[Click here to enter text.](#)
9. Describe the internal controls your organization uses to ensure UWNEK funds are securely handled:
[Click here to enter text.](#)
10. If there are certifications or membership standards that your agency/program must meet to operate, are you in good standing or compliant 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**:
[Click here to enter text.](#)
11. Are you anticipating volunteer or staff leadership changes at your agency/program in the coming year? If so, describe your succession planning efforts to ensure the continuity of service delivery:
[Click here to enter text.](#)

12. If your program has been funded by UWNEK for more than 3 years, what efforts have you undertaken to secure other revenue for the program?

[Click here to enter text.](#)

13. If partial funding is awarded, how will the program be adapted? What adjustments would have to be made to this proposal if your request is not fully funded? **(No more than 400 words per program):**

[Click here to enter text.](#)

Part C – Program Results

Please complete the outcomes portion of the application as follows:

14. What methodology will/do you use for tracking results? How will you know if you've achieved your projected targets?

[Click here to enter text.](#)

15. What research or evidence has demonstrated your program will achieve desired outcomes?

[Click here to enter text.](#)

16. If you received UWNEK funding in 2015, provide an update on progress made by your funded program(s). Did you meet the goals you set? Describe any influencing factors that may have affected your results. **(No more than 300 words per program):**

[Click here to enter text.](#)

17. How do you involve clients in service delivery? If you don't currently, how could you do so? **(No more than 250 words per program):**

[Click here to enter text.](#)

18. Please provide (3) success stories of people that have been helped by the program. Success stories should include information about individuals and families served by your program whose lives have been measurably and visibly impacted through your intervention. **(No more than 500 words):**

[Click here to enter text.](#)

Part D- Financial/Budget Section

In addition to the requested information on page 2 of this application, please complete and submit the Attachment D Budget Form for the organization/program for which funding is being requested. If applying for more than one program, please attach separate budgets for each individual program.

ATTACHMENT D

Agency Operating Budget (All Funding)		Program/Project Budget (Related to your UWNEK Funding Request)	
Income	Amount	Program/Project Income	Amount
Grants		Government Grants	
Contracts		Foundations	
United Way		Corporations	
Corporate Contributions		United Way	
Membership		Individual Contributors	
Individual Donations		Fundraising Events	
Fees for Services		Membership Income	
Fundraisers/Events/Sales		In-Kind Support	
Endowment		Government Contracts	
Interest Income		Earned Income	
Other (specify)		Other (specify)	
Total Income		Total Income	
In- Kind			
Total Revenue			
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/Professional Fees	
Equipment		Equipment	
Travel		Travel	
Office Supplies		Office Supplies	
Printing/Copying		Printing/Copying	
Telephone/Internet/Fax		Telephone/Internet/Fax	
Marketing/Advertising		Postage/Delivery	
Staff/Volunteer Training		Other (specify)	
Other (specify)			
Total Expenses		Total Expenses	

Part E - Collaborations:

UWNEK values the ability and willingness of community partners to work with other organizations and volunteers in order to achieve positive, lasting change in our community.

- 19.** What other agencies/programs are you working with and how do you collaborate to improve outcomes for your clients by connecting them with additional services to meet their needs? **(No more than 400 words per program):**

[Click here to enter text.](#)

- 20.** Where applicable, describe if your program serves military service men and women (or retirees)? Please also provide information about your program's benefits to family members of military personnel, e.g., spouses, children, etc. Please include the approximate number of individuals and families served. **(No more than 100 words):**

[Click here to enter text.](#)

- 21.** Describe your collaborations with UWNEK throughout the year. For example, did you partner with UWNEK to speak at annual campaign events? Did you showcase UWNEK support at a special event? Attend LIVE UNITED Day in Frankfort? Attend the Annual Volunteer Recognition Dinner and/or nominate someone from your program?

[Click here to enter text.](#)

- 22.** Does your agency/organization conduct an annual UWNEK fundraising campaign? Do you encourage board members to give to the annual UWNEK campaign?

[Click here to enter text.](#)

- 23.** Describe how your agency/organization will collaborate/partner with UWNEK on future activities and projects to help showcase our collaborative efforts throughout the community. **(No more than 500 words):**

[Click here to enter text.](#)

- 24.** Would your agency/organization be willing to identify and/or nominate potential board members to UWNEK that have demonstrated experience and knowledge of the populations we all serve and efforts in the community to help promote and grow programs?

[Click here to enter text.](#)

Part F - 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 [Click here to enter text.](#) 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: [Click here to enter text.](#) Title [Click here to enter text.](#)

Signature _____ Date: _____

Part G - 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 Committee.

Signed: _____

Printed Name: [Click here to enter text.](#)

Date: _____

2016 Memorandum of Agreement (Supplemental Fundraising)

Between: **United Way of Northeast Kentucky** and [Click here to enter text.](#)

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 organizations in meeting the needs of the community to prevent unnecessary duplication of services

To recognize the **United Way** "black-out" of Agency fund-raising activities that would compete with the **United Way** campaign (Labor Day – Thanksgiving). To request permission from **UW** to conduct any special fund raising requests during this period

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**.

Should your agency/program be approved for funding, you will be required to sign and adopt this agreement before the initial payment is made to your organization.