United Way South Hampton Roads

A Guide to 2017 Community Investments

Our mission is to provide leadership that brings resources together to reduce poverty, increase educational attainment and minimize health disparities for our most vulnerable neighbors.

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Our Strategic Direction

In 2013, the United Way of South Hampton Roads' Board of Directors approved a strategic plan that set an exciting new direction for our work. Since this time, the United Way partnered with the community to launch United for Children, a cradle to career initiative, which has expanded to new schools in Norfolk and to a second city, Suffolk; and Mission United, the first ever coordinated network of community resources in Hampton Roads to provide relief and support to veterans, active duty military members and their families.

Theory of Change

Every community benefits when individuals, groups, and institutions work together to solve shared problems. Because United Way connects and organizes our community to address the critical needs of our time, we play an essential role that no single individual, organization or sector can tackle on its own. Solving complex social issues requires an engaged community of businesses, government, education, labor, faith-based institutions, nonprofits, and individuals. Through its Board and investments process, United Way volunteers by design foster cross-sector collaboration to collectively focus on identifying critical needs, comprehensive solutions and permanent results.

With the community, we:

- Set clear, shared goals aimed to improve community conditions;
- Ensure that our work is informed by research, driven by data, and confirmed by community voice;
- Convene and align resources to move the needle on community priorities;
- Increase community-wide capacity to address specific issues;
- Engage in consistent, open communication to build and nurture trust and a culture of continuous learning;
- Seek and encourage mutual accountability for measuring progress and outcomes.

Although this vision is geared to long term solutions, we continue to monitor and provide stable funding for services that are essential for our most vulnerable neighbors to thrive. We simultaneously embrace a theory of change that shifts interventions from isolated to holistic, permanent pathways for success. Through thoughtful collaborative efforts, we seek to prevent fragmentation, duplication, rigidity, and a lack of coordination. By embracing the principles of collective impact, we can and will change the trajectory for the children and families most in need throughout our communities.

2017 Community Investments

It is within this context that we have committed to designing new funding strategies that support adaptability, flexibility, and responsiveness within our investments. In 2017, the United Way will continue to offer agency certification, through which local nonprofits are included on the donor designations listing and have the option to pursue all competitive grant opportunities, including individual program funding. This year, we will also add in an alternative to certification, whereby organizations can opt to be approved as a non-certified agency which grants access to Initiative Investments, a new funding stream, and the Women United Endowment Fund. In the spirit of continuous improvement, the 2017 Community Investments model will serve as the first iteration of a process that we will continue to evolve and refine.

The Community Investments model will be a staged four-part process. Each agency will need to decide what option(s) or pathway to pursue in order to determine which parts of the process are applicable to them.

Online Submission Portal & Key Dates

The United Way is using Zengine by Wizehive as its online submission portal. Since the portal is currently in development, the link to register and gain access to the system will be shared via email and on the United Way website once it becomes available.

Within the system, agencies will only have access to complete one part of the process at a time and must submit each part by the scheduled deadline. However, agencies are welcome to submit prior to the deadline in order to gain access to the subsequent part(s) sooner than the scheduled opening dates.

For example, if an agency is interested in having more time to complete Part 3, then it may submit Part 2 prior to the February 17 deadline. Generally, United Way staff will need 1-2 days to process incoming applications and move them onto the next stage. Agencies will be notified when they are placed into a new stage of the process.

ZENGINE LAUNCH	Opening Date	January 27
AGENCY SUBMISSION DEADLINES	Part 1: Organizational Overview	February 8
	Part 2: Finance & Governance: • Re-Certification • Non-Certified Agency Approval	February 24
	Part 2: Finance & Governance: • New Agency Certification	March 3
	Part 3: Essential Services & Program Investments	March 17
	Part 4: Initiative Investments & Women United Endowment Fund	TBD

Four-Stage Submission Process

Part 1: Organizational Overview

This stage is the first step in the investments process and covers the organization's contact information, legal status, mission, programs, and strategy. It is a required step for agencies pursing certification and/or any type of funding. Other organizations are encouraged to complete this section to help the United Way better understand the focus of their work and consequently, help us to partner with each other more effectively.

Part 2: Finance & Governance

This section covers information pertaining to an organization's finances, Board of Directors and governance, and personnel practices and policies. This is a required step for agencies pursing certification and/or any type of funding. There are three options for agencies to choose from within this step of the process.

United Way Certification: In general, United Way certification offers a more extensive set of benefits, such as being included on the donor designations list and access to health insurance for agency employees. Certification also provides access to all funding streams. Newly certified agencies are required to be a certified agency in good standing for two years before the Essential Services and Program Investments funding streams are open to them.

- **Option 1: New Agency Certification** – This pathway is open to agencies that want to become a United Way certified agency. Before deciding to pursue this option, agencies are advised to review the full set of certification standards and eligibility requirements.
- **Option 2: Re-Certification –** This pathway is open to agencies that want to pursue renewal of their current United Way certification.

Pathway to Funding for Non-Certified Agencies:

- **Option 3: Non-Certified Agency Approval** – New in 2017, this pathway opens access to the United Way funding streams available in Part Four to non-certified agencies that meet the required standards. Specifically, approved non-certified agencies will gain access to the Request for Proposals (RFPs) that will become available through the United Way's newest funding stream, Initiative Investments, and grant opportunities through the Women United Endowment Fund.

Part 3: Essential Services & Program Investments (Funding)

Part Three serves as the funding application for funding stream 1 (Essential Services) and funding stream 2 (Program Investments). Grants within both of these funding streams operate on two-year cycles with the next application cycle opening in 2017.

Part Three is only accessible to agencies that have been certified and in good standing for a minimum of two years.

Part 4: Initiative Investments & Women United Endowment Fund (Funding)

The United Way expects to release several targeted RFPs each year as part of the Women United Endowment Fund as well as its transition to Initiative Investments. To be eligible, agencies must complete Part One and Part Two and be subsequently approved through one of the options in Part Two. Upon approval, agencies are immediately granted access to these opportunities (there is no waiting period). The specific focus of the RFPs will vary and be determined through a community-driven process. They will be announced as they are identified and are expected to have a quicker turnaround—generally 4-8 weeks from application submission through agency notification.

Eligibility

Agencies must comply with the established standards in order to be eligible for certification and/or funding. The specific standards vary depending on the option or pathway an agency pursues. We highly recommend that agencies carefully review the full set of required standards prior to submitting an application (see Appendix A & B). The following requirements provide a helpful starting point for assessing eligibility.

- Have a direct and substantial local presence within South Hamptons Roads (Chesapeake, Isle of Wight, Norfolk, Portsmouth, Suffolk, and Virginia Beach)
- Primary purpose is being a health and/or human services agency
- 501(c)(3) classification by the Internal Revenue Service
- Up-to-date annual registration with VDACS
- Annual filing of an IRS Form 990
- Annual Independent Audit or External Review (see Audit Policy, Appendix D)

Required Orientation

The United Way is hosting a series of Information & Training Sessions in January 2017. While agencies applying for certification or re-certification are required to attend, these sessions are a great introduction for all organizations interested in learning more about the community investments process and identifying ways to partner with the United Way. These sessions are intended to provide detailed guidance and insight into the investments process, both in terms of the United Way's strategic direction and the online system by which all agencies will complete Parts One through Four.

Orientation Dates & Times

The United Way held six Agency Information & Training Sessions in January 2017. Attendance at one of these trainings is a <u>requirement</u> for all agencies pursuing certification or re-certification.

Review Process

Volunteers play a central role within the United Way review process. United Way staff provide technical assistance and support, and serve as key liaisons between volunteers and agencies. Staff may also seek to verify and clarify data submitted by agencies. The following overview elaborates on the review process for each of the various options agencies may pursue.

New Agency Certification: New agencies applying for certification will be reviewed by a special sub-committee of the Community Investments Committee (CIC). This sub-committee evaluates the agencies across the three categories within the United Way's certification standards—Finance, Governance, and Strategic Fit. Based on findings provided by the sub-committee, the full CIC makes final recommendations to the United Way Board for approval. Notification is expected no later than June.

Re-Certification and Non-Certified Agency Approval: Certification standards are broken down into three categories—Finance, Governance, and Strategic Fit. The Financial Review Panel reviews agencies' adherence to the Finance Standards to assure stability and long-term health. United Way staff supports the review process by ensuring compliance with the Governance and Strategic Fit standards. Any potential issues identified by United Way staff are passed onto the Community Investments Committee for further exploration. Based on findings provided by the Financial Review Panel, the CIC makes final recommendations to the United Way Board for approval. Notification is expected no later than June for Re-Certification, and April for Non-Certified Agency Approval.

Essential Services & Program Investments: Volunteers serving on the Funding Review Panels lead the review of all funding applications within these two funding streams. Since all agencies are now on the same application cycle, agencies are expected to be placed on one of two tracks, which are outlined in the table below. Volunteer reviewers have discretion to request an annual review for some agencies, as appropriate. Based on findings provided by the Funding Review Panels, the CIC makes final recommendations to the United Way Board for approval. Notification is expected no later than June.

	2017 (Spring, April-early May)	**2018** (Spring, April-early May)
Track 1	Interview with budget conference, at United Way office, 30-45 minutes	Site visit, at agency, 1-1 ½ hours
Track 2	Site Visit, at agency, 1-1 ½ hours and Budget conference, at United Way	No planned activity

	office, 20 minutes	

Initiative Investments: The vetting process for this funding stream is generally expected to have a quick turnaround time—about 4-8 weeks in total, which includes the submission period through notification/decisions. Many of the details, including the length of the grant and the review process itself, will be unique to each RFP.

Women United Endowment Fund: The Women United Funding Council leads the review process and makes recommendations to the Women United Board for approval.

Technical Assistance

The Agency Information & Training Sessions are the first opportunity to obtain guidance with the submission process. Following these sessions, United Way staff will be available on an ongoing basis to offer assistance with the online system and to support agencies with planning the most suitable pathway for them.

If you need guidance or have questions, please contact Kathleen Banfield, Director of Community & Partner Engagement:

Email: kbanfield@unitedwayshr.org
Phone: 757-853-8500 ext. 192

Appendices

The appendices included here are intended to provide further detail about the investments process. Please note that the definitions, application questions, standardized outcomes, and certification standards are subject to change as we undergo development and testing of the new process and online system. We will continue to share updates as they become available.

Appendix A: Standards for Certification

Finance Standards

	Requirements for Certification (applicable to new agency, recertification, or both)	**Standard**
Financial Health: Revenue		
	Both	Have an annual minimum level of support and revenue of $200,000 (may be waived on a case-by-case basis, based on factors such as community need and program outcomes)
	Both	Generates revenue from diverse funding sources as an indication of charitable appeal and sustainability
	Both	Debt (if any) and cash flow does not create issue of financial viability or survival, and has no debts resulting from management (i.e. nonpayment of federal withholding)
	Both	Has operational (unrestricted) cash reserve which does not exceed cash flow needs and fair allowances for operational/capital replacement contingencies
Financial Health: Management & Accountability		
	Both	Has annual independent audit (organizations ≥ $250,000) or review of financial position (organizations < $250,000) and conforms to Generally Accepted Accounting Principles (GAAP)
	Both	Has annual independent audit or review of financial position and conforms to Generally Accepted Accounting Principles (GAAP)
	Both	Has and adheres to an annual balanced budget approved by its governing body
	Both	Fundraising and administrative costs constitute ≤25% of operations (or a sufficient explanation is provided if overhead is higher)
	Both	Uses cash or accrual method of accounting for annual audit of IRS 990
	Both	Contains full range of necessary insurance coverage such as liability, auto, malpractice, etc.
	Both	CEO compensation is a reasonable percentage of overall budget and comparable to organizations that have similar size and services

Governance Standards

	Requirements for Certification (applicable to new agency, recertification, or both)	Standard
Governance: Legal Status		
	New Agency Certification	Current 501(c)(3) classification letter
	Both	Updated filing status with Commonwealth of Virginia Department of Agriculture and Consumer Services (VDACS)
	Both	Current IRS Form 990 filed and corresponding with audit's filing year
	New Agency Certification	Current Certificate of Incorporation and all amendments from Commonwealth of Virginia
Governance: Bylaws		
	New Agency Certification	Clearly outlined formal agency structure and lines of authority
	New Agency Certification	Consistent with Certificate of Incorporation
	New Agency Certification	Clearly defined mission and purpose(s) of agency
	New Agency Certification	Procedures for election and tenure of board members and officers, appointment of committees, and regular rotation of board
	New Agency Certification	Attendance requirements and procedures for filling vacancies
	Recertification	Review of any updates to Bylaws in past year
Governance: Board of Directors		
	New Agency Certification	Operational, meets a minimum of 4 times a year, and serves without compensation or conflict of interest
	Both	Membership is not limited to special interest group(s) and includes representatives with knowledge in resource development, program development, evaluation, finance, personnel or public relations
	Both	Established working committees such as finance, program, personnel, marketing, and resource development
	Both	Members attend regularly scheduled Board/committee meetings (minimum of 50% attendance rate annually)

	Both	Demographics of board membership represent a commitment to inclusivity and diversity
	Both	Board participates in fundraising and development
Governance: Personnel Practices		
	New Agency Certification	Written personnel policies and job descriptions exist with year created
	Recertification	Written personnel policies and job descriptions are periodically reviewed and revised accordingly
	New Agency Certification	Procedures for handling employee grievances and disciplinary issues
	New Agency Certification	Established performance review system (at least annually)
	New Agency Certification	Salaries and other forms of compensation benefits evaluated regularly
	Both	Existence of anti-abuse policy
	Both	Equal opportunity employer and has a documented nondiscrimination policy
	New Agency Certification	CEO/ED/President executes BOD policy and oversees internal administration
	New Agency Certification	Internal evaluations are conducted to assess performance of the Chief Executive Officer and the Board of Directors
	Both	Pending legal action or litigation involving the agency or its personnel
	Both	Existence of a succession plan to effectively manage an anticipated or unanticipated change in leadership and reduce vulnerabilities associated with transitions

Strategic Fit Standards

	Requirements for Certification (applicable to new agency, recertification, or both)	**Standard**
Strategic Fit		
	New Agency Certification	Primary purpose of being a health and/or human services agency
	Both	Direct and substantial local presence within the community of South Hampton Roads

	New Agency Certification	Demonstrated history of providing quality and non-duplicated services for a minimum of 3 years
	New Agency Certification	Mission, vision, and values are established, clearly expressed, and in alignment with the UWSHR mission
	Both	Planning processes are in place with clear strategic priorities that align with the mission, are attainable with the resources available, and are revisited regularly
	Both	Ongoing and systematic processes exist for evaluating and improving services, programs and internal practices
	New Agency Certification	Services provided are not cost-competitive with comparable services available in the for-profit sector
Program Fit		
	Both	All programs and services are documented, provide a clear description of the services and target population, and align with the mission and strategic plan
	Both	Outcomes are established, measured appropriately, and track progress towards program goals
	Both	Information regarding programs and services are readily available to the public, including related fees and the availability of discounts and scholarships
	Both	Fee-based services have fair prices and are offered on a sliding scale; reasonable accommodations are made when individuals are unable to pay; the subsidy level necessary to provide the service is clearly articulated

Appendix B: Standards for Non-Certified Agency Approval

	Requirements for Non-Certified Agencies (pursuing funding)	**Standard**
Governance: Legal Status		
	Non-certified agency	Current 501(c)(3) classification letter
	Non-certified agency	Current IRS Form 990 filed and corresponding with audit's filing year
	Non-certified agency	Updated filing status with Commonwealth of Virginia Department of Agriculture and Consumer Services (VDACS)
Governance: Board of Directors		
	Non-certified agency	Membership is not limited to special interest group(s) and includes representatives with knowledge in resource development, program development, evaluation, finance, personnel or public relations
	Non-certified agency	Members attend regularly scheduled Board/committee meetings (minimum of 50% attendance rate at quarterly meetings)
Governance: Personnel Practices		
	Non-certified agency	Equal opportunity employer and has a documented nondiscrimination policy
	Non-certified agency	Pending legal action or litigation involving the agency or its personnel
	Non-certified agency	Internal evaluations are conducted to assess performance of the Chief Executive Officer
Financial Health: Revenue		
	Non-certified agency	Generates revenue from diverse funding sources as an indication of charitable appeal and sustainability
	Non-certified agency	Debt (if any) and cash flow does not create issue of financial viability or survival, and has no debts resulting from management (i.e. nonpayment of federal withholding)
	Non-certified agency	Has operational (unrestricted) cash reserve which does not exceed cash flow needs and fair allowances for operational/capital replacement contingencies
Financial Health: Management & Accountability		
	Non-certified agency	Has annual independent audit or review of financial position and conforms to Generally Accepted Accounting Principles (GAAP)

	Non-certified agency	Has and adheres to an annual balanced budget approved by its governing body
	Non-certified agency	Contains full range of necessary insurance coverage such as liability, auto, malpractice, etc.
Strategic Fit		
	Non-certified agency	Primary purpose of being a health and/or human services agency
	Non-certified agency	Direct and substantial local presence within the community of South Hampton Roads
	Non-certified agency	Demonstrated capacity to provide quality and non-duplicated services
Program Fit		
	Non-certified agency	All programs and services are documented, provide a clear description of the services and target population, and align with the mission and strategic plan

Appendix C: Definitions of Key Terms

Funding Streams represent the different pools of funding available. While each has a distinct purpose and definition, principles of collective impact are embraced across all funding streams.

Investments in Essential Services, or Funding Stream 1, provide individuals and families with vital necessities, such as food and shelter, which are essential to survival and maintaining or moving towards stability. Essential Services fall along a continuum. Episodic services support those facing a sudden, unexpected crisis, such as illness or loss of employment. Long-term supports aim to assist those whose needs are not expected to change, such as mobile meals to homebound elderly. Essential Services can also serve those facing recurring crises; however, in such situations, agencies are expected to connect individuals to services that enable a path towards self-sufficiency.

Program Investments, or Funding Stream 2, include investments in programs that seek to permanently improve people's overall conditions and move them along a path to independence. Funded programs must clearly define and measure results.

Initiative Investments, or Funding Stream 3, are specifically targeted at community-identified strategies within established collective impact initiatives, including both those in which UWSHR is serving as the backbone and other collective impact efforts. These initiatives focus on complex community problems that require broad-based public/private solutions to drive systemic change. Agencies funded under Initiative Investments are generally expected to have the highest level of engagement with UWSHR and other community stakeholders. Note that within UWSHR, United for Children is an initiative and Summer LEAP is a program within the initiative. As UWSHR gradually shifts more of its resources into this stream, funding may also be directed at pilot initiatives. Over time, multiple collective impact initiatives will fall under Funding Stream 3.

Women United Endowment Fund (WUEF), or Funding Stream 4, directs resources towards achieving self-sufficiency and long-term economic security among women and children living in South Hampton Roads. WUEF strives to enhance their quality of life by investing in programs that provide opportunities that allow women to flourish in every part of their lives. Funding priorities center on two primary and interrelated focus areas: Career pathways that build workforce skills and lead to independence; and comprehensive support services that address barriers to self-sufficiency and economic security.

What constitutes a program? In the context of an agency applying for funding, a program is a collection of resources in an organization that seeks to accomplish a certain goal or set of goals. It is a system with inputs, activities and processes, outputs, and outcomes, with ongoing feedback among these parts. In considering a funding proposal, programming and services within an organization that are clearly related and working towards the same goals and/or with the same population must be submitted as one program.

Appendix D: Revised Audit/Review Policy

<table>
<tr><th colspan="3">AUDIT/REVIEW REQUIREMENTS</th></tr>
<tr><th>Annual Gross Revenue</th><th>Required Financial Statement</th><th>Exceptions</th></tr>
<tr><td>≥ $1M</td><td>• Annual independent audit</td><td></td></tr>
<tr><td>$500,000 – $999,999.99</td><td>• Annual independent audit if UWSHR funding constitutes 10% or more of budget
• Otherwise, external review is acceptable</td><td rowspan="2">• All agencies that are required to secure an independent audit for purposes outside of the UWSHR must submit this audit to the UWSHR.
• The UWSHR Community Investments Committee retains discretion and may still request an audit on a case-by-case basis.</td></tr>
<tr><td>< $500,000</td><td>• Annual external review or independent audit</td></tr>
</table>

(Approved at October 2016 BOD meeting)

Appendix E: Zengine Questions/Fields

The following tables represent a full listing of questions and fields that are anticipated to be a part of the Zengine online system. The tables are broken down by Parts 1-3, and the additional columns in Parts 2-3 reflect whether the question is applicable to each of the various paths within the stage. Please be aware that during the development of Zengine, some changes to these questions and formats are expected.

Part 4 will be developed once there is an active Request for Proposal available within Initiative Investments or Women United. While the sheer number of fields represented here may feel overwhelming, there is logic built-in with the goal of asking follow up questions only when they are relevant to you. Additionally, many questions involve quick responses through pre-populated dropdown menus and checklists.

Part 1: Organizational Overview

Zengine Question/Field Label
Legal Name
Commonly Known As Name
Organization Type/Sector
Addresses
Main Office Location
Street 1
Street 2
City
State
Zip Code
Address Type
Question
Is your office location different than your primary mailing address?
If yes, Prompted to add new address to table
Question
Do you have additional office and/or site locations?
If yes, Prompted to add new address to table
Organizational Contact
Main Office Phone
Main Office Fax
Website
Individual Contacts
Role

Name
Title
Office Phone
Office Extension
Cell Phone
Email
Legal Status
Year established
Federal EIN
Are you required to be registered with VDACS?
(If yes) Is your VDACS filing status up to date?
(If exempt) Upload documentation that shows exemption status, such as a letter.
(If yes) Provide date of expiration of current VDACS filing
(If yes) Upload your VDACS letter
(If no) Are you currently awaiting a status update because you submitted the required paperwork?
(If yes) Upload a copy of the first page of your VDACS application and a copy of the check showing your payment fee
Staffing
Total number of full-time (FT) staff
For part-time staff, enter the <u>total</u> number of hours contributed per week by <u>all</u> part-time staff.
Total number of Staff (FTE/Full Time Equivalent)
Mission & Strategic Focus
Mission Statement
Vision Statement
Provide a promotional statement about your work in 25 words or less
Do you participate in any local coalitions or alliances?
(If yes) Which coalitions are you actively involved in?
(If yes) Does your agency have a leadership role within any of these coalitions?

(If yes) Indicate the specific coalition and associated role.
Your Organization's Programs • In the table below, list and describe your organization's current programs and services. Data should reflect the period of July 1, 2015-June 30, 2016.
Program Name
Brief Description
Number of Individuals Served
Key Populations Served
Key Age Groups Served
Geography/Service Area
Your Organization's Priorities • Looking ahead, list your organization's top 3 priorities in order of priority and select a primary focus area that corresponds with each one.
Priority 1
Priority 2
Priority 3
Does your organization currently have a strategic plan?
(If yes) Upload your organization's current strategic plan.
(If yes) Provide the date when this plan was last updated.
(If no) Have you ever had a strategic plan?
(If yes) What period of time did your most recent strategic plan cover?
Upload your organization's logo.

Part 2: Governance & Finance

Zengine Question/Field Label	Re-Certification	New Agency Certification	Non-Certified Agency Approval
Governance and Finance			
What is inspiring your agency's decision to seek United Way certification at this time?		x	
Financials			

Does your organization account for its funds and financial activity in accordance with Generally Accepted Accounting Principles (GAAP)?	x	x	x
Are you currently required to submit an audit for purposes outside of the United Way of South Hampton Roads?	x	x	x
(If yes) Required to submit audit for UW's Part 2	x	x	x
(If no) Enter your organization's annual revenue based on your most recently completed fiscal year	x	x	x
Name of Independent Auditor or Certified Public Accountant	x	x	x
Month of Fiscal Year End	x	x	x
Based on Response to Q in Row 15, revenue and fical year end, applicant must upload required documentation	x	x	x
Upload externally prepared financial statements from most recent fiscal year.	x	x	x
Upload internally prepared balance sheet and P&L statement representing	x	x	x
Upload, if available, a Management Letter and/or Internal Control Report	x	x	x
Confirm the filing year of your Audit/Review and IRS 990 – these must match	x	x	x
Report Conclusions - Audit	x	x	x
Report Conclusions - External Review	x	x	x
Based on your audit/review year, did your organization show a deficit?	x	x	x
(If yes) Discuss how this situation has been addressed including the source of the problem.	x	x	x
Did you submit your 990 by the tax return due date?	x	x	x
(If no) Did/will you file for an extension?	x	x	x
990 Return Type	x	x	x

Upload a copy of signed, complete as filed IRS 990.	x	x	x
Does your agency have a non-United Way endowment or a separate board-designated fund treated as an endowment?	x	x	
If yes, Amount	x	x	
Enter the total amount of funding your agency received from Federal government sources based on your most recently completed fiscal year.	x	x	
Total agency revenue (line 17 above)/Federal funding amount (above answer)	x	x	
Identify the top (highest dollar value) 5 organizations, corporations, and/or government entities from which you have commitments or currently receive funding from. (Enter the following for <u>each</u>)	x	x	
Funder Name	x	x	
Are you receiving these funds as a sub-grantee?	x	x	
(If yes) What is the original funding source?	x	x	
Amount	x	x	
Time Period	x	x	
Is this funding renewable?	x	x	
Aside from your 990, is your organization out of compliance with any bank loan covenants <u>or</u> delinquent in any of its financial accounting as required by State or Federal law?	x	x	x
(If no) Please explain	x	x	x
Is your organization covered by Directors and Officers Insurance?			
Governance			
Please upload a copy of the fully executed original Certificate of Incorporation and all amendments.		x	
Please upload a copy of the Bylaws that govern your organization.		x	
Provide a summary of any significant changes made to your organization's Bylaws in the past 5 years.	x		

Do you have a written, board approved policy establishing a "code of ethics" and governing conflicts of interests among board members and employees?	x	x	
(If yes) Upload your policy.		x	
(If yes) Provide the date when it was last reviewed by staff and board.	x	x	
Do you have a written, board-approved policy regarding "whistleblowing," defining and protecting the rights of employees as required by law?	x	x	
(If yes) Upload your policy.		x	
Board of Directors roster	x	x	x
Full name	x	x	x
Role on BOD	x	x	x
Board Chair Email	x	x	x
Board Chair Phone	x	x	x
Company	x	x	x
Most applicable expertise utilized on board	x	x	x
Date term expires	x	x	x
Renewable?	x	x	x
Board Activity			
List all active sub-committees of Board of Directors.	x	x	x
Provide the annual board attendance rate based on average of full board membership	x	x	x
Does your board review and approve the annual operating and capital budgets?	x	x	x
(If yes) Provide the meeting date when the approval was made by the board.	x	x	x
Does your board review and approve the independent audit or review?	x	x	x
(If yes) Provide the meeting date when the approval was made by the board.	x	x	x
Upload last 12 months of Board minutes.		x	
Provide the meeting date when your board approved you annual balanced budget.	x	x	x
Does your organization have a policy requiring board members to contribute financially?	x	x	
(If yes) Which best describes this policy?	x	x	

Is your organization covered by Directors and Officers Insurance?	x	x	x
(If no) Please explain	x	x	x
(If yes) Name of Insurance Company	x	x	x
(If yes) Amount of coverage	x	x	x
(If yes) Provide further explanation if applicable	x	x	x
Board Demographics Fill in the table to represent how each of your Board members self identifies.	x	x	
Sex - Men	x	x	
Sex - Women	x	x	
Ethnicity - Hispanic or Latino	x	x	
Race - American Indian or Alaska Native	x	x	
Race - Asian	x	x	
Race - Black or African American	x	x	
Race - Native Hawaiian or Other Pacific Islander	x	x	
Race - White	x	x	
Race - Two or more races	x	x	
Total Board Members	x	x	
If applicable, describe how the membership of your Board represents diversity and inclusion in ways that might not be readily apparent based on the information you have provided.	x	x	
Is your organization legally part of a parent organization?	x	x	
(If Yes) Parent Agency Legal Name	x	x	
(If Yes) Parent Agency FEIN	x	x	
(If Yes) Upload a letter from within the last year from the parent organization stating your agency is a chapter or bon a fide affiliate in good standing.	x	x	
Operations & Management			
Discuss what processes are in place if any for strategic planning. Include any processes that are in place to evaluate existing programs, add new programs and services, and to examine the possibility of discontinuing services.			

Does your organization have any official accreditations, certifications, licensures, or affiliations with any state or national organizations?			
(If yes) Indicate with whom and describe the nature of the relationship.			
Program Information		x	
Populate listing of programs from Part 1 for agency to view while completing this section.		x	
List the key data points you reference in order to demonstrate the need for your programs and services.		x	
Data Point		x	
Source		x	
Explanation		x	
For each program listed in Part 1, agency answers a series of questions on Outcomes Taxonomy (from Part 3)		x	
We would like to understand to the fullest extent possible where your programs and services are currently operating or offered. (Questions from Part 3)		x	
Of the individuals you served, what percent were at or below 200% of the Federal Poverty Level?		x	
What level of confidence do you have regarding the accuracy of the number of individuals served that you are reporting?		x	
Are there membership or participant fees for any of your programs or services?		x	
(If yes) What fee structure is used?		x	
Are there specific criteria or qualifications used to assess eligibility for your programs and services?		x	
(If yes) Describe what qualification are used and how this information is verified.		x	
Expanding on the prior 2 questions, describe how you prioritize who accesses your programs or services and specifically, what provisions are made if clients are unable to pay the fee.		x	

Do you use any evidence-based or promising practices in your programs or services?		x	
(If yes) Name of Model or Practice		x	
(If yes) Source/Reference		x	
(If yes) Explanation (Indicate how you meet fidelity of the model)		x	
Did you use the Greater Hampton Roads Community Indicators Dashboard to look up data or identify promising or evidence-based approaches?		x	
(If yes) Describe how you used the Dashboard.		x	
Personnel Practices			
Upload a copy of your Personnel Policies		x	
In what year were these policies created?		x	
Have you amended your personnel policies in the last 5 years?	x		
(If yes) Describe the changes that were made.	x		
Does your organization have an Equal Opportunity and non-discrimination policy?	x	x	x
*(If no)*Please explain.	x	x	x
(If yes) Upload policy.	x	x	
Does your organization have an anti-abuse policy?	x	x	
(If yes) Upload policy.	x	x	
Is there any pending legal action or litigation involving the agency or its personnel?	x	x	x
*(If yes)*Please explain.	x	x	x
Do you have a succession plan in place to manage the risks of planned or unexpected departures of key leaders in your organization?	x	x	
(If yes) Describe what evidence you have to demonstrate a formal plan exists? Include a brief description of your plans and who is responsible for this planning.	x	x	
(If informally) Provide a brief description of your plans to date. If available, include who is responsible and any ongoing planning that is in progress.	x	x	
(If no) Discuss the first steps you will take to begin prioritizing this.	x	x	

Part 3: Essential Services & Program Investments (Funding)

Zengine Question/Field Label	Essential Services	Program Investments
Overview		
Select the program for which you are seeking funding.	x	x
Populate related program data into read only fields	x	x
Funding Amount Requested	x	x
Design & Implementation		
Using data and research, list the key data points you reference in order to demonstrate the need for the program.	x	x
Data Point	x	x
Source	x	x
Explanation	x	x
In addition to the quantitative data cited, describe any qualitative data you've collected and/or used to inform the focus of the program as well as how it is implemented. Consider both the voice of the community, including past or current participants, and what you've observed or learned through your field experience as program providers.	x	x
Are there membership or participant fees for service?	x	x
(If yes) What fee structure is used?	x	x
Are there specific criteria or qualifications used to assess eligibility?	x	x
(If yes) Describe what qualification are used and how this information is verified.	x	x
Expanding on the prior 2 questions, describe how you prioritize who accesses your program and specifically, what provisions are made if clients are unable to pay the fee.	x	x
Do you use any evidence-based or promising practices in your program?	x	x
(If yes) Name of Model or Practice	x	x
(If yes) Source/Reference	x	x
(If yes) Explanation (Indicate how you meet fidelity of the model)	x	x

Did you use the Greater Hampton Roads Community Indicators Dashboard to look up data or identify promising or evidence-based approaches?	x	x
(If yes) Describe how you used the Dashboard.		
Does your program include any two generational strategies?		x
(If yes) Please describe		x
What current or anticipated challenges exist and what steps are you taking to address these?		x
Are there any planned changes to the program's design or implementation for the coming year?		x
(If yes) Please describe		x
Please share any additional details about your program that you feel are important. This space is intended to be an opportunity to provide further insight or clarification into your program. Please do not duplicate information that is included in other responses in this application.	x	x
Types of Assistance	x	
What type(s) of assistance does your program provide?	x	
Can't find an option that matches?	x	
(If checked) Provide a brief explanation of the specific type of assistance you provide and United Way staff will follow up to assist you.	x	
Based on selection to question above, populate relevant types/categories of assistance to calculate units of service	x	
Food distributed	x	
# of bags/baskets/boxes	x	
# of servings per bag/basket/box	x	
Total food distributed	x	
Meals served or delivered	x	
# of meals	x	
# of servings per meal	x	
Total meals served or delivered	x	
Total Units of Service - Food Assistance	x	
Using the definition provided for each assistance type, calculate the total units of service provided for Basic Living & Financial Assistance.	x	
Total Units of Service - Basic Living & Financial Assistance	x	

(If selected) Based on your selection of Emergency lodging or shelter, how many bednights did you provide?	x	
Using the definition provided for each assistance type, calculate the total units of service provided for Health-related Assistance.	x	
Total Units of Service - Health-related Assistance	x	
What level of confidence do you have regarding the accuracy of the total units of service you are reporting?	x	
Results		x
Name the core activities of this program and if clarification is needed, provide a brief description for each.		x
Activity Name		x
Activity Description		x
For each individual or household in the program, define the duration or dosage of the activity if a participant completes it or by the average amount of service you provide per participant.		x
Quantity		x
Measure		x
Series of questions based on Outcome Taxonomy Chart (next tab)		x
Select the outcome categories that your program addresses.		x
Select the corresponding indicators that your program measures. As a general rule of thumb, we recommend focusing on 3-5.		x
(For each indicator selected)		x
Provide additional descriptive information about the focus of this outcome.		x
Total # assessed		x
Total # achieving outcome		x
Total % achieving outcome		x
Primary data collection method		x
Do you use any other data collection methods or measurement tools to assess this program?		x
Internally created surveys		x
When do you administer surveys?		x

Provide a brief explanation, including how the survey was developed, how long it has been in use, who is surveyed, and any other descriptive information.		x
Externally created surveys, screenings, or other tools		x
Provide the name(s) of the tool(s).		x
Observations		x
Interviews		x
Focus groups		x
(If any of the three methods above are checked) Provide a brief explanation, including the purpose, frequency, who is responsible for conducting, related documentation procedures, or any other descriptive information.		x
Program records or document review		x
Provide a brief explanation.		x
External data		x
		x
(If student data) Provide a brief description about the types of data collected.		x
(If other) Please describe		x
External evaluation		x
Provide a brief explanation, including when the evaluation occurred and by whom it was conducted.		x
Other		x
Provide a brief explanation.		x
We invite you to share samples of your measurement tools or evaluation-related documents to help us better understand the impact of your program.		x
Who	x	
Do you track service utilization by:	x	x
(If individuals):	x	x
How many unique individuals did you serve in total though this program?	x	x
What level of confidence do you have regarding the accuracy of the number of individuals served that you are reporting?	x	x
Of the individuals you served, how many fall at or below 200% of the Federal Poverty Level?	x	x
% at or below 200% FPL	x	x

What level of confidence do you have regarding the accuracy of the income data you are reporting?	x	x
Based on the individuals you served, provide the breakdown of where they live.	x	x
Total individuals served	x	x
What level of confidence do you have regarding the accuracy of the geographic data you are reporting?	x	x
(If households)	x	x
How many unique households did you serve in total though this program?	x	x
What level of confidence do you have regarding the accuracy of the number of households served that you are reporting?	x	x
Do you track the number of individuals within each household?	x	x
(If yes)	x	x
Based on the households you served, how many unique individuals did you reach?	x	x
Ask income and geographic questions	x	x
(If no)	x	x
Based on the nature of your work, estimate the number of individuals in each household on average.	x	x
Total # of individuals served	x	x
Ask income and geographic questions (rows 94-99 above) - By HOUSEHOLDS not individuals	x	x
List all data sources used to track program data including specific names of databases or software.	x	x
Do you track outcomes that demonstrate the results of this program?	x	
(If yes) Series of questions on Outcomes Taxonomy should populate (from Program Investments)	x	
Where	x	x
Where is the program active? We would like to understand to the fullest extent possible where your program currently operates or offers services.	x	x
1. Activities or services are offered at our office and/or site locations	x	x
(If checked) Select the locations.	x	x
3. Activities or services are offered in the homes of clients or participants.	x	x

4. Activities or services are offered in school facilities in South Hampton Roads	x	x
(If checked)	x	x
Activities or services are offered:	x	x
Use the listing to select all schools where activities or services are actively offered.	x	x
Chesapeake City Public Schools	x	x
Schools within district	x	x
Isle of Wight County Schools	x	x
Schools within district	x	x
Norfolk City Public Schools	x	x
Schools within district	x	x
Portsmouth City Public Schools	x	x
Schools within district	x	x
Suffolk City Public Schools	x	x
Schools within district	x	x
Virginia Beach City Public Schools	x	x
Schools within district	x	x
Other	x	x
List schools	x	x
5. Activities or services are offered in locations other than those previously listed.	x	x
(If checked) Specify the names of any organizations whose facilities you actively use for this program.	x	x
What other data, if any, do you collect that provides additional context about who this program serves or impacts?		x
Are there other data that you wish you had access to but haven't been successful at collecting?		x
(If yes) Please describe.		x
Budget & Narrative	x	x
Adhering to the following guidelines, upload your organization's current fiscal year budget:	x	x
Include program budget for each program for which you seek funding.	x	x
Separate expenses by personnel and non-personnel.	x	x

Provide a very brief description on any line item expenses that may be confusing such as terminology used or what might be included in the line.	x	x
Budget Narrative: Provide any additional explanation or clarification about your program budget. Make sure to explain or bring attention to the following (as applicable): • Any new expenses projected for the upcoming year such as new staff positions, major supplies or training, etc. • Any anticipated increase or decrease in expenses or revenue for the upcoming year. • Any unusually large expenses. • Types of in-kind donations you receive. • Total revenue generated from program fees.	x	x
Total program budget	x	x
UWSHR funding in relation to total program budget	x	x

Appendix F: Outcomes Framework

In Part 3 of the Zengine online system, agencies applying for Program Investments will be asked to select an outcome category or categories, and then choose corresponding indicators that will be measured. The agency then has an opportunity to further define the outcome based on the unique focus of the program.

The Outcomes Framework is intended to support organizations' individual and collective ability to define, communicate about, and document the impact of our work. The Framework's structure is set up to standardize the types of outcomes measured while providing the flexibility necessary to ensure unique attributes of all partners are assessed and understood. This basic listing of outcome categories and corresponding indicators offers a starting point that can be added to and refined over time.

Outcome Category	**Indicator / Outcome**
Improve maternal and newborn health	% of expectant mothers who had regular pre-natal care
	% of expectant mothers who visited a dentist during pregnancy
	% of newborns with healthy birth weight (≥ 5 pounds 8 ounces)
Increase adult engagement in child success	% of parents reporting an increase in parenting skills and positive, satisfying interactions with their children
	% of children under age 6 read to by their parents at least 5 times per week
Ensure academic and social preparedness for pre-school and kindergarten success	% of children receiving regular comprehensive developmental screenings across domains
	% of children identified as needing supports that address learning challenges
	% of children connected to ongoing supports that address learning challenges
	% of children improving in at least one developmental area
	% of children with developmentally appropriate skills
	% of children improving across developmental domains
	% of 4 and 5 year old children prepared to succeed in kindergarten
Maintain or improve health and well-being	% of children who receive dental sealants
	% experiencing improved overall wellness or quality of life
	% who strengthen their personal support system or social network
	% with improved mental health and functioning
	% reduction in hospital re-admissions and non-urgent emergency room visits
	% who develop skills and attitudes to make lifelong physical activity a habit
	% who develop healthy eating habits
	% who develop skills to prepare healthy meals
Improve social emotional health and development	% who are able to manage emotions and behaviors appropriately
	% who develop quality, healthy relationships with caring adults and/or peers
	% who avoid risky or unhealthy behaviors
	% who develop social and civic skills such as interpersonal communication and conflict resolution
	% who develop a strong sense of self worth and confidence
Promote social responsibility and leadership development	% who participate in community service or civic activities
	% who feel empowered to contribute to positive change in their

	communities
	% who demonstrate leadership skills such as taking initiative and team-building
Promote career awareness and development	% who develop knowledge about career paths and employment options
	% who are aware of their interests and abilities in relation to career choices
	% who demonstrate positive work habits, such as showing up on time
Increase academic achievement and performance	% who improve grade point average (GPA) or school grades
	% who graduate from high school
	% performing at or above grade level
	% who are promoted to next grade level
	School attendance rates and chronic absenteeism
	Increase in time spent reading and/or studying
	% who maintained or improved reading and/or skills over the summer (summer learning loss)
Attain and maintain housing	% who obtain a safe housing option
	% who exit to transitional housing
	% who exit to permanent housing
	% who maintain safe and stable housing for 6 consecutive months
	% who maintain safe and stable housing for 12 consecutive months
	% who avoid foreclosure or eviction and remain housed
Maintain or increase earned income	% of unemployed participants who gain employment
	% of employed participants who maintain employment
	% of employed participants who experience increased wages
	% of employed participants receiving a family sustaining wage
	Change in monthly earned income
Increase financial stability and self-sufficiency	% who increase job search skills, such as resume writing and the ability to identify employment opportunities
	% connected to public benefits
	Change in public benefits by TAFDC, SNAP, Housing subsidy
	% who increase savings
	% who have a bank account
	Average amount saved annually
	% who develop and/or maintain a budget
	% who experience an increase in credit score
	Average change in credit score
	Average balance of savings account
	% who demonstrate increased financial literacy skills, such as being able to balance priorities and plan what to spend money on
Increase access to and participation in community resources and supports	% accessing two or more services within your agency
	% referred to other community resources and supports
	% connected to other community resources and supports after referrals were made
	% of newly enrolled participants in program
	Average attendance rate for program
	% of participants completing program
	% connected to health care coverage, including enrollment in Medicaid, CHIP or marketplace plans
	% receiving follow up clinical services
Develop community-informed systems, professionals, and service providers	% who are equipped with new work-related or professional knowledge and skills