



Policies & Procedures for Funded Programs

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I. INTRODUCTION

a. Mission, Vision, and Values Statements

Mission

We organize and mobilize community resources to improve lives in Henderson County.

Vision

To be a catalyst in making a positive and lasting impact on the human condition in Henderson County.

Values

In everything we do, we will conduct ourselves with care, passion, and integrity to improve the human condition of our neighbors through: our accountability, focus, and partnerships; nurturing and developing our human resources; and empowering our donors.

b. Goals

- i. Community Leadership. To be recognized by human service agencies and the community at large as an organization that inspires, mobilizes, and leads a caring community to work together to create a positive force for change in Henderson County.
- ii. Community Engagement. To establish and continuously improve the annual fundraising campaign that is energetic, passionate, empowering, and inclusive of all Henderson County residents.
- iii. Community Building. To craft a human care agenda for Henderson County, build coalitions around this agenda, and allocate resources in the most effective manner to improve lives and our community in accordance with the agenda.
- iv. Community Relationships. To establish and continuously improve collaborative relationships with donors, human service agencies, local human service funders, and other community and regional stakeholders.
- v. Community Accountability. To exercise exemplary stewardship of donors' investments in their community through uncompromising ethical standards and best business practices.

c. Relationships with Partner Agencies

- i. Community Objective. United Way of Henderson County (UWHC) looks upon its relationship with agencies receiving UWHC funding as that of a joint undertaking expressed in terms of what is best for the community. Each agency's program and activities must be a part of a total community objective and will be evaluated accordingly.
- ii. Community Resources. UWHC will effectively allocate community resources in cooperation with community partners to meet identified community needs.
- iii. Eligibility Requirements. Agencies must meet UWHC funding eligibility requirements, and programs must address at least one UWHC Target Issue avoid duplication of effort, and perform with accountability and responsibility for the use of allocated dollars. A program must have a measurement tool in place to determine the effectiveness of the services provided and the benefit to its clients. All agencies must meet date deadlines when submitting Eligibility Criteria and Applications. Agencies that miss deadlines will not be eligible for funding.
- iv. The program funding cycle will be on a bi-annual basis (every two years).
- v. Best Practices. The board of directors and staff of each agency are responsible to use best practices to administer its internal affairs and ensure the program services they provide are effectively and efficiently addressing the current health and human service needs of Henderson County.

II. PARTNERSHIP

a. Partnership Agreement

The partnership agreement is a UWHC form that is bi-annually reviewed and approved by the UWHC Board. The document accompanies the bi-annual program funding award letter and is negotiated and signed by the agency executive director and board chair or designee and the UWHC executive director and board chair or designee. By signing the partnership agreement, the agency agrees that it will adhere to the conditions of the partnership, standards, policies, and procedures of UWHC. Any special conditions required by the UWHC or the agency will be included in the partnership agreement.

b. Eligibility Requirements

- i. Funding Eligibility. Agencies must satisfy the requirements of the UWHC Agency Funding Eligibility Criteria to apply for program funding. To be considered for funding, a program must address a UWHC Target Issue under

Education, Income or Health with the goal to help UWHC meet HC 2025 Community Impact goals or apply under Basic Needs/Crisis Services. In addition, the agency must be a 501(c)(3) with at least a two-year history of providing health and human service programs to the residents of Henderson County. Agencies must also submit all forms and documents required in the Eligibility Criteria online package. Agencies applying for funding should show an overhead of 25% or less.

- ii. Collaborations. Agencies may combine resources and apply together in a new collaborative program addressing one or more of the UWHC 2025 Target Issues or UWHC identified Community Impact gap in services. Agencies wishing to collaborate and apply for funding are required that at least one of the agencies is a current United Way funded partner. In the application, supplemental materials including a management plan will be required.
- iii. Agency Operating Reserve. Reserves are important because all nonprofit organizations operate in an environment of uncertainty. The unreliability of many funding sources and fluctuations in cash flow frequently put a strain on organizational resources. Reserve levels refer to the length of time an organization can operate without revenue. UWHC expects agencies that receive program funding to maintain a 90 day operating reserve or an appropriate line of credit.

c. Non-Compliance/Termination Policies

- i. Termination. Any agency may terminate its partnership agreement with UWHC at any time and cease to receive its monthly allocation as of the date of notification or another mutually agreed upon date. In the case of embezzlement, or failure to meet the requirements as stated in the UWHC Agency Funding Eligibility Criteria, or wrongdoing on the part of the agency or program staff, funds may be withheld immediately. In any case of termination, the agency will cease to identify itself as a UW agency, and UWHC will cease to include the agency as one receiving program funding.
- ii. Non-Compliance Policy. In the event an agency appears to be in violation of UWHC policies contained in this document, a letter will be sent notifying the agency that an inquiry will be made by the UWHC executive committee. UWHC will notify the agency by letter of any problems or concerns found as a result of the inquiry. The agency will have 10 days to respond and 30 days to correct the issue. UWHC actions affecting program funding require the approval of its board of directors. Possible actions include withholding the agency's monthly funding.

- iii. Significant Program Changes. If significant changes which would impact the continuation of the program occur, the agency must immediately contact UWHC staff. The staff will contact the CIC and appropriate volunteers regarding this change. In special circumstances, the UWHC ED may temporarily hold any payments to partners pending a final determination by the Board.

III. FUNDRAISING and CO-MARKETING

a. UWHC Campaign

- i. Annual Campaign. UWHC will conduct an annual community-wide fundraising campaign. Funded Community Partners are required to participate by holding their own internal United Way campaigns. The traditional time frame for campaign is between September and January. However, UWHC recognizes the diverse needs of organizations that conduct campaigns. If the organization prefers a non-traditional time to hold its internal United Way campaign, please contact UWHC for assistance.

Agency will:

1. Provide speakers, agency tours, agency fair displays, and program information material as needed to assist UWHC.
2. Encourage agency staff and board members to give to the annual campaign.

- ii. Capital Campaigns. A partner agency planning to conduct a capital fundraising campaign will notify UWHC once the campaign has been approved by the agency's board of directors.

b. Marketing

- i. UWHC is committed to promoting Funded Community Partners' programs and services to the community. For UWHC to effectively communicate and market those programs and services, Funded Community Partners will be expected to:
 1. Use the current UW logo provided by UWHC on annual reports and any other appropriate printed materials.
 2. Use the current UW logo provided by UWHC on all websites.
 3. Do not include the UW logo on solicitations, event invitations or social media sites.
 4. Display a sign provided by UWHC in a prominent place on the agency's premises.

- c. **2-1-1 Information & Referral Line** - Agencies receiving UWHC program funding should list programs on the NC 2-1-1 information and referral line, and provide annual program updates when requested by NC 2-1-1. Agencies should have NC 2-1-1 cards available for clients; the cards will be provided to all funded community partners by UWHC. Agencies are encouraged to include the NC 2-1-1 logo on their websites.

IV. FUNDS DISTRIBUTION

a. Overview

In early 2010, UWHC and Western Carolina Community Action (WCCA) completed an extensive assessment of a cross-section of Henderson County residents about what they thought were the most critical needs in our community. Community volunteers took all of the collected assessment data and started refocusing the work of United Way. In June 2010, the UWHC Board adopted four focus areas and 17 community objectives with the goal of making lasting improvements in Henderson County. In 2011, UWHC began the fundamental change towards Community Impact. This process involved many volunteers, community leaders, UWHC staff and community experts meeting to refine the future focus of UWHC. Through this process the Henderson County 2025 (HC 2025) goals were established. This document narrowed the four focus areas and 17 objectives to six community objectives under Education, Income and Health while maintaining funds for Basic Needs/Crisis Services of Henderson County residents.

The UWHC Board-approved focus areas are listed below.

b. Henderson County 2025 Community Impact Target Issues

i. Education

1. Target Issue: Kindergarten Readiness
Objective: Increase the percentage of Henderson County children entering Kindergarten ready to learn.
2. Target Issue: School Readiness
Objective: Improve the school performance of economically disadvantaged students.

ii. Income

1. Target Issue: Financial Stability
Objective: Decrease number of individuals living below the poverty line.
2. Target Issue: Affordable Housing
Objective: Increase number of families and individuals who have affordable, safe, decent housing.

iii. Health

1. Target Issue: Reducing Obesity
Objective: Decrease the number of obese children and adults.
 2. Target Issue: Healthy Youth Behaviors
Objective: Decrease the use of drugs, alcohol, and tobacco among middle and high school youth. Decrease teen pregnancy.
- iv. Basic Needs/Crisis Services
Objective: Temporarily provide services to meet the minimum needs of HC residents.
Objective: Provide food, clothing, housing, utilities to Henderson County residents who have experienced unexpected loss.

c. Program Funding

- i. Funding Cycle. United Way of Henderson County funds programs rather than overall agency operations. Funding is distributed on a July 1 – June 30 cycle. UWHC will accept applications every two years for program funds.
- ii. Funding Criteria. Program funding is competitive, allowing UWHC to fund programs that best meet the needs of the people of Henderson County. No program, regardless of whether it has received funding in the past, is guaranteed funding. Agencies must first satisfy the requirements of the UWHC Agency Funding Eligibility Criteria to apply for program funding. To be considered for funding, a program must meet a UWHC HC 2025 Target Issue with the results to assist UWHC reach our community goals.
- iii. Program Evaluation Panels. There are four Program Evaluation Panels, one each for Education, Income, Health, and Basic Needs/ Crisis Services. Volunteers are trained and have expertise on target issues, review and evaluate program funding applications.
- iv. Funding Level guidelines. To ensure that UWHC funds have a measurable impact, \$5,000 is the minimum funding level. Programs are required to show a diverse funding stream. UWHC will fund no more than 60% of a program's total budget.

The second year funds will be proportional based on the year one funding. For example, if the program received 1% of total allocable dollars in year one, it will receive 1% of total amount available in year two, provided outcomes reports show adequate progress toward goals.

- v. Closed Designation. UWHC will continue as a closed designation organization, accepting designations restricted to UWHC funded programs, UWHC target issues, other UWHC specified foundations or United Ways.

- vi. Separate Stream Designations. Designated donations will not be added to the Community Impact Fund for allocation. Funded Community Partner agencies will be notified in February, and again in May, about donor designations from UWHC campaign. UWHC expects that these donations will be acknowledged by the agency with a letter to the donor. The acknowledgement letter should not include the donated amount. The UWHC donor is not to be added to the agency's donor list. Designated contributions will be considered separate stream designation as indicated by the donor to specific programs.

d. Funding Meeting and Funding Application

- i. Funding Meeting. UWHC may require agencies applying for funding to attend a mandatory meeting to receive information about the upcoming funding cycle, if the Community Investment Council determines that such a meeting is necessary. If such a meeting is called, attendance at the meeting would be expected for an agency to be considered in the upcoming funding cycle. In addition to notifying agencies, a press release of the annual funding meeting would be provided to the local media.
- ii. Program Intent. After eligibility to apply for UWHC funding is granted, agency must contact UWHC Director of Community Impact to establish the target issue(s) for which they will apply. UWHC's online application process requires setting up the system for a specific target issue.
- iii. Funding Application. Applications and an in person interview are required. UWHC will notify agency regarding interview schedule. If an agency's Funding Application is not received by UWHC on or before the specified deadline, the agency is not eligible for program funding.
- iv. Mid-Year and Year-End Reports. Due on a schedule and in a format prescribed by UWHC, Mid-Year and Year- End Reports are required for each program receiving UWHC funding. If there are compelling reasons and/or changes in program results, the agency or UWHC have the option to schedule an in person review. If an agency's Mid-Year or Year-End Report is not received by UWHC on or before the specified deadline, the agency is in violation of UWHC policies contained in this document. (Refer to Section II, paragraph c, item ii.)

e. Program Evaluation Panel Review

- i. Role of Panels. Community volunteers and volunteers with expertise specific to a Program Evaluation Panel's objectives evaluate applications for UWHC funding. Panels include six to ten volunteers, and the chair for each panel is a member of the UWHC Community Investment Council (CIC). Panels conduct a detailed review of each program funding application and meet face-to-face with agencies seeking program funding. Each chair makes a fact-based funding recommendation for programs reviewed by his/her panel to the CIC.
- ii. Panel Expertise. Panel members are expected to serve multi-year terms and to collectively develop expertise concerning the issues within their focus area and to advise the CIC about needs, priorities, services, and program effectiveness within each focus area.
- iii. Program Evaluation. Panel members will use a consistent program evaluation form to guide them as they review each program funding application. (see attachment B)

f. Community Investment Council (CIC)

- i. Role of the CIC. The CIC consists of the chair, who is a UWHC Board member, the focus area panel chairs, who are board members, staff support, and any other member appointed by the UWHC Board. This is a year-round, standing committee with the responsibility of recommending all actions regarding the distribution of funds. The CIC reviews funds allocation issues, whether they occur during the normal funding cycle or not, and makes recommendations quarterly and annually to the UWHC Board of Directors through the executive committee.
- ii. Review. The first responsibility in the normal funding cycle is for the CIC to review agencies to meet Eligibility Criteria. Once met, programs must complete Funding applications.
- iii. Responsibilities of the CIC. The CIC makes recommendations for funding based on the program evaluations of the Program Evaluation Panels and the priorities set forth by the UWHC Board of Directors. The CIC chair takes any and all recommendations to the Executive Committee and also makes the presentation of the funding recommendations to the UWHC Board for approval.

g. Award Letter and Partnership Agreement

The UWHC Board will continue to approve program funding annually. An award letter and partnership agreement for the funding period is sent to each agency at the beginning of the two year funding cycle. These documents provide the amount of funds granted for year 1, any conditions or contingencies for the funding, recommendations from the review panels, and any special arrangements. The partnership agreement between UWHC and the agency must be signed by the agency director and agency board chair and returned to UWHC within a specified time frame as indicated in the funding award letter. The level of funding for year two is contingent upon the availability of funds. Agencies will be notified about amounts for year two funding in late May of year one.

h. Monitoring Timeline for Two Year Funding

- i. In May of Year 1 of each funding cycle, UWHC will notify Agencies/funded programs of any adjusted allocation of program funding, based on campaign results and budget.
- ii. Agencies will submit an Outcome Report for Year 1 in July, at the start of the second funded year. The CIC will review these reports. If the CIC has significant concerns about progress toward goals, CIC will provide written questions to the Executive Director (ED) of the Agency being reviewed. The ED will have ten (10) business days to respond in writing. Following receipt of the written report, UWHC will schedule a face-to-face meeting between the CIC and Agency ED at the end of the 10 day period. CIC will make a subsequent recommendation to the Executive Committee in September to maintain, alter or discontinue funding.
- iii. In November of Year 2 of each funding cycle, agencies will submit their most recent 990 and audit report for an annual financial review, conducted by the CIC. Any serious concerns identified in the financial review could warrant further inquiry by the CIC and possible recommendations to the Board of Directors if a change to program allocations is warranted.

i. Appeals

The funding process is structured to ensure a thorough and careful review of each program funding proposal. And, every effort is made to be equitable within the constraints imposed by the needs of all HC 2025 supported programs and available funds.

Due to the thoroughness of the funding process and multiple opportunities for an applying program/agency to provide information and answer questions, there will be no appeal for additional funds after the funding determination has been announced.

Agency/Program opportunities to provide information and answer questions:

- Eligibility – CIC (and panel members) will contact agency about questions, to clarify areas of concern or request additional information.
- Application – Panel members or UWHC staff will contact agency about questions from the application; panel members may contact agency multiple times during program/application review.
- Interview – Panel members will ask questions after the program presentation, during the interview and possibly after the interview if they need further clarification.

UWHC staff and CIC volunteers are available during the funding process and throughout the year for questions, concerns, ideas and suggestions from health and human service nonprofit organizations.

j. Payment of Awarded Funds

Monthly payments of one-twelfth the annual funded amount will be made unless otherwise and approved by the UWHC Executive Committee and Board. UWHC reserves the right to pay some grants by invoice only or by submission of actual receipts. Any special payment arrangements will be indicated in the funding award letter and partnership agreement.

k. Emergencies

UWHC funded programs may request out of cycle emergency allocations. Emergency funding is subject to the availability of funds and may be provided for actual emergencies (fire, flood, theft, etc.), but not because of budget shortfalls. The agency must demonstrate that funding for an emergency is not available from any other source, and must also show that the expenditure cannot be postponed until the next funding request is submitted. Upon receipt of a written request for an emergency allocation, the CIC will hold a review conference with the agency and, in consultation with the UWHC finance committee, formulate a recommendation to the UWHC board of directors. The board will promptly act on the recommendation and advise the agency of its decision

Attachment A – Important Funding Criteria

Quality of Project

Programs requesting funding must address one of the stated UWHC HC 2025 target issues or Basic Needs/Crisis Services. In an effort to be responsive to community needs, the vision, barriers, and objectives will be periodically reviewed and may change as community conditions and needs change. The proposed program must demonstrate how specific strategies will benefit clients and begin to reduce or eliminate the identified focus area barrier(s). Specific and measurable client-based results must relate to the focus area vision and objective.

Client Based Results/Previous Success at Achieving Results

In its funding request, each program is required to submit one to three proposed client based results, which relate to the target issue objective for which the program is trying to have an impact. Program results reflect the benefits or changes for individuals and/or populations during or after participating in program activities. Results are stated in measurable terms, include a baseline or target against from which progress can be measured, a rationale for setting the target at a certain level, and a timeline for accomplishment. They should make sense and be relatively easy to explain and understand.

Well Managed Program

In evaluating overall program management panels review program financial information, service delivery and demand, and appropriate staffing and resources to effectively implement a program. Basic management information on the total agency is also considered.

- **Program Financial Management and Budgeting:** Programs must clearly define the need for UWHC funding, explain significant budget increases or decreases and budget deficits or surpluses, and have a reasonably stable funding base. The proposed budgets must be reasonable for the services and programs delivered.
- **Service Delivery:** Criteria for analysis include: demand trends for service such as the presence of a waiting list, if services are provided to an underserved population or geographic area, demographic information on those being served, and whether or not the program responds appropriately to newly identified client and/or community needs. Above all, is the program making an impact on the population it is serving and how is the agency tracking those program results?
- **Staff and Programming Requirements:** Organizations must allocate sufficient resources, including the staff, volunteers, and physical space to accomplish their goals and outcomes. Staff must be adequately trained, evaluated and supported and must have the qualifications to do the job. Part of the evaluation is a determination of whether the program has allocated an appropriate level of resources to accomplish its goals, and if it represents an efficient and effective use of resources.
- **Community Collaboration:** If programs are collaborating with others for successful results, the partners and the roles assumed by each need to be identified.

Agency Information and Management

Assessment of an agency focuses on its mission, board activity and development, financial information and the overall quality of the agency's administration. This information will be reviewed at the face-to-face meeting with the agency and Program Evaluation Panel.

Demonstrated Community Involvement and Integrated Service Delivery

Agencies and programs applying for funding must demonstrate community involvement. This community involvement can include networking with other providers, active monitoring of community conditions, and the participation in organizations that endeavor to improve life in Henderson County. As agreed to in the funding contract, each agency needs to be an active participant in the annual UWHC campaign. In addition, organizations need to be part of an integrated service delivery system. This includes knowledge of other resources available to their clients, information and referral with follow-up, and consumer education about available resources. Agencies should also cooperate with other agencies providing services, be active participants in a system that addresses the needs of clients over time, and be responsive to the community in which services take place.

Collaboration

Collaboration refers to efforts of multiple organizations in the planning and delivery of services. While cooperation is an absolute essential among all organizations, collaboration requires far more planning and effort to be implemented successfully. Where appropriate, UWHC encourages collaboration among programs as a way to reduce costs, encourage efficiency, and develop a more community-wide focus on results. While collaboration is not an end in itself, it is a proven means to a desired end of more effective service delivery.

Attachment B – Program Evaluation Scoresheet

Rank _____



PROGRAM EVALUATION SCORE SHEET

Program Name _____ Agency _____

Focus Area _____ Targeted Objective _____

Amount Requested: \$	Unduplicated Number Served -	Individuals:	Families:
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PROGRAM QUALITY

(Scores: 0 = No, 1 = Minimal, 2 = Somewhat acceptable, 3 = Acceptable, 4 = Good, 5 = Excellent)

Program Quality Indicator	Score
1. Program design is clearly articulated; target population and goals are well-defined.	
2. Program replicates an industry accepted, research based best practices model.	
3. Program's intensity and duration are realistic to achieve desired outcomes.	
4. Program staff have credentials/knowledge/experience/commitment necessary to implement program.	
5. Program has sufficient/appropriate functional resources - space, equipment, materials, staff/client ratio.	
6. Program is accessible, e.g. convenient hours, location/transportation, language, affordable cost.	
7. Program has a system in place to track and measure progress/success on targeted outcomes.	
8. Program uses past results to make improvements or meet changing community needs. [OR, if this is a NEW program – Program design is specifically well-suited to our community needs.]	
9. Program has met its targets for numbers served and for measureable outcomes in the past. [OR, if this is a new program – Agency has a strong history of high-quality programming and measurable outcomes.]	
10. The organization has a long term commitment to the program and a plan to sustain it.	
11. The organization coordinates with other organizations to improve efficiency and benefit community.	
Total Quality Score (Possible score = 55)	

PROGRAM ALIGNMENT

- High =** The program addresses one or more specific objectives in HC 2025 and outcomes are closely aligned with the measureable goal.
- Moderate =** The program addresses one or more specific objectives in HC 2025 and outcomes contribute to attainment of the measureable goal.
- Low =** The program addresses one or more specific objectives in HC 2025 and outcomes may directly or indirectly contribute to goal attainment.

Program Alignment Score	(Circle one.)	N/A	Low	Moderate	High
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PROGRAM SCOPE

(Scores: 0 = No, 1 = Minimal, 2 = Somewhat acceptable, 3 = Acceptable, 4 = Good, 5 = Excellent)

Extent to Which the Program Advances Achievement of HC 2025 Goals	Score
1. Impact on participants' behaviors or circumstances is significant enough to advance goal achievement.	
2. Number of participants with successful outcomes is large enough to advance goal achievement.	
Program Scope Score (Possible score = 10)	

RECOMMENDATION FOR UWHC INVESTMENT IN PROGRAM

Recommendation (circle one)	Not recommended	Recommended	Highly Recommended
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COMMENTS

(What factors were the most important in determining your recommendation?)

Individual Evaluation by _____, Panel Member

Composite Panel Evaluation _____, Panel Chairperson

Signature

Date _____

Reviewed by Community Investment Council _____, CIC Chairperson

Signature

Date _____