



Policies & Procedures for Funded Programs

Approved by UWHC Board of Directors August 23, 2023

Contents

I.	Introduction	Page 3
II.	Partnership	Page 4
III.	Fundraising and Co-Marketing	Page 5
IV.	Funds Distribution	Page 6

Attachment A – Important Funding Criteria

Attachment B – Program Evaluation Scoresheet

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. UWHC 2023-2028 Strategic Plan Goals

- Community Impact: UWHC will invest in equitable collaborative solutions to critical community needs in order to improve the lives of Henderson County residents.
- Community Engagement & Education: UWHC will be a leader and trusted voice when engaging and educating community stakeholders and creating positive change.
- Resource Development: UWHC will grow and sustain funding to equitably address community needs through a resource development plan that includes diverse revenue streams.
- Organizational Capacity: UWHC will enhance organizational capacity to best support the achievement of our mission and a sustainable future.
- Equity: UWHC will build capacity and institutionalize equity throughout the organization as we continue to be a voice for equity in our community.

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, 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 annual program funding award letter and is negotiated and signed by the agency executive director and the UWHC executive director. 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, Financial Stability 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. 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. Supplemental materials may be requested to clarify and define roles of the collaboration.

- 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 45 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 at funded agency: UWHC will conduct an annual community-wide fundraising campaign. Funded Community Partners are encouraged 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.

- ii. Funded partners are encouraged to provide speakers, agency tours, agency fair displays, and program information material as needed to assist UWHC. UWHC respects and protects client confidentiality and the limited bandwidth of nonprofits to provide assistance.

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.

- 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 program updates when requested by NC 2-1-1 or as needed to keep their information on the database up to date. 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, Financial Stability 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: Provide community services to help improve the school performance of historically underserved student populations.

- ii. Financial Stability:
 - 1. Target Issue Economic Self-sufficiency
Objective: Improve financial stability for individuals and families experiencing economic hardship
 - 2. Target Issue: Affordable Housing
Objective: Increase number of families and individuals who have affordable, safe, decent housing.
- iii. Health
 - 1. Target Issue: Physical Activity & Nutrition
Objective: Improve the level of physical activity & nutrition for children and adults
Target Issue: Healthy Youth Behaviors
Objective: Decrease risky/harmful behaviors including the misuse of substances among middle and high school youth
- iv. Basic Needs/Crisis Services
Objective: Temporarily provide essential services and resources to residents in crisis

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.
- ii. Funding Criteria. Program funding is competitive, allowing UWHC to fund programs that best meet the needs of the people of Henderson County. The funding will be awarded to the agency to use for the areas of highest need. Reporting will be required on both the program and agency level.
- iii. 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 Target Issue with results that assist UWHC in reaching our community goals.
- iv. Program Evaluation Panels. There are four Program Evaluation Panels, one each for Education, Financial Stability, Health, and Basic Needs/ Crisis Services. Volunteers are trained and have expertise on target issues, review and evaluate program funding applications.
- v. 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.

- vi. Separate Stream Designations. UWHC also raises designated funds that may provide additional funds for your organization. If a donor designates to a funded partner, 100% of the donor designations support that organization. Designated donations are separate than Community Impact Fund allocations. Visit liveunitedhc.org/accountability for more information. 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 Development 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 are required for each program requesting funding. An in-person interview is required for all new programs, and may also be required for current programs where clarification is requested by the funding review panel. UWHC will notify agency regarding interview schedules. 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 a minimum of five volunteers, in addition to the chair for each panel who is a member of the UWHC Community Investment Council (CIC). Panels conduct a detailed review of each program funding application. Each chair makes a fact-based funding recommendation for programs reviewed by his/her panel to the CIC.

Agency/Program opportunities to provide information and answer questions:

- Eligibility – UWHC staff will contact agency about questions, to clarify areas of concern or request additional information.
 - Application –UWHC staff will contact agency about questions from the application.
 - Interview – Key questions will be communicated by UWHC staff to the agency prior to the interview. Panel chairs may ask additional questions after the program presentation, during the interview and possibly after the interview if they need further clarification.
- ii. 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 fund allocation issues, whether they occur during the normal funding cycle or not, and makes recommendations 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 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 funding, based on campaign results and budget.
- ii. Reporting requirements:

Year 1:

- Mid-Year Report:
 - Reporting period July 1- December 31
 - Assigned in December, due January 31st
- Year 1 Outcome report:
 - Reporting period July 1st -June 30th
 - Assigned in June, due July 31st

Year 2:

- Mid-Year Report:
 - Reporting period July 1- December 31
 - Assigned in December, due January 31st
- Year 2 Outcome report:
 - Reporting period July 1st -June 30th
 - Assigned in June, due July 31st

- iii. 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.

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.

UWHC staff 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.

Attachment A – Important Funding Criteria

Quality of Project

Programs requesting funding must address one of the stated UWHC 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. Each proposed program must demonstrate how specific strategies will benefit clients and address a UWHC target issue and objective. Specific and measurable client-based results must relate to the focus area 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.

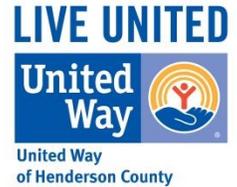
- **Program Financial Management and Budgeting:** Programs must clearly define the need for UWHC funding, explain significant budget increases or decreases and budget deficits or surpluses, and have a reasonably stable funding base. The proposed budgets must be reasonable for the services and programs 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.

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 Issue _____

Year 1 Amount Requested	Unduplicated # Served (Year 1) - Individuals:	Families:
\$:	Unduplicated # Served (Year 2) - Individuals:	Families:

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 depth and duration are realistic to achieve desired outcomes.	
4. Program is actively working against racial, ethnic, and/or other disparities facing historically underserved populations.	
5. Program is accessible, e.g. convenient hours, location/transportation, language, affordable cost.	
6. Program has a system in place to track and measure progress/success on targeted outcomes.	
7. 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.]	
8. The organization has a strong history of high-quality programming and measurable outcomes.	
9. The organization has a long-term commitment to the program and a plan to sustain it.	
10. The organization coordinates with other organizations to improve efficiency and benefit community.	
11. Program engages clients/communities to co-create solutions, working alongside clients.	
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 objective(s).
- Moderate =** The program addresses one or more specific objectives in HC 2025, and outcomes contribute to attainment of the objective(s).
- Low =** The program addresses one or more specific objectives in HC 2025, and outcomes may directly or indirectly contribute to attainment of the objective(s).

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

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 Objective(s)	Score
1. Impact on participants' lives is significant enough to advance the objective(s).	
2. Number of participants with successful outcomes is large enough to advance the objective(s).	
Program Scope Score (Possible score = 10)	

RECOMMENDATION FOR UWHC INVESTMENT IN PROGRAM

Recommendation (circle one)	Not recommended	Recommended	Highly Recommended
------------------------------------	-----------------	-------------	--------------------

COMMENTS

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

Please check one and sign:

Individual Evaluation by _____, Panel Member
Signature

Composite Panel Evaluation _____, Panel Chairperson
Signature