

# UNITED WAY OF TOMPKINS COUNTY

## Grant Policies and Funding Parameters

Thursday, September 8<sup>th</sup>, 2017

**LIVE UNITED**



## **TABLE OF CONENTS**

### **OVERVIEW**

**Letter from James**

**Our Mission and Values**

### **GENERAL PARTNER ELIGIBILITY & GRANT PROCEDURES**

**Grant Review Process**

**Eligibility Check List**

**Required Agreements**

**MOU**

**Non-discrimination policy**

**Patriot Act Compliance**

**COMMUNITY CARE FUND**

**T. MERRELL SHIPHERD FUND**

**EMERGENCY NEED FUND**

**STUDENT ENGAGEMENT FUNDS**

**Youth and Philanthropy**

**FOCUS**

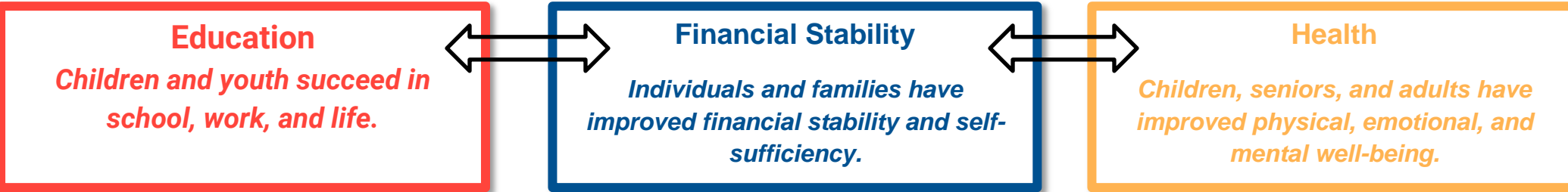
**Ithaca College Student United Way**

**TECHNICAL TRAINING**

**Apricot Training Guide**



# United Way of Tompkins County Community Investment Strategies



**Community Grant Opportunities**  
*(Open to all eligible organizations in Tompkins County)*

**Community Care Fund**  
*(Multi-Year Grant Investments)*

- Supporting programs under Education, Financial Stability, Health, and Hunger & Food Security

**T. Merrell Shpherd Flexible Fund**  
*(One Year Grant Investments – Rolling Grant Applications)*

- Address new and emerging community needs
- Encourage organizations to apply as a collaboration

**Student Engagement Funds**  
*(Youth & Philanthropy, FOCUS, Ithaca College Student United Way)*

- Supports programs under Education, Financial Stability, and Health

**Emergency Request Funds**  
*(One Time Grant Funding – Rolling Grant Applications)*

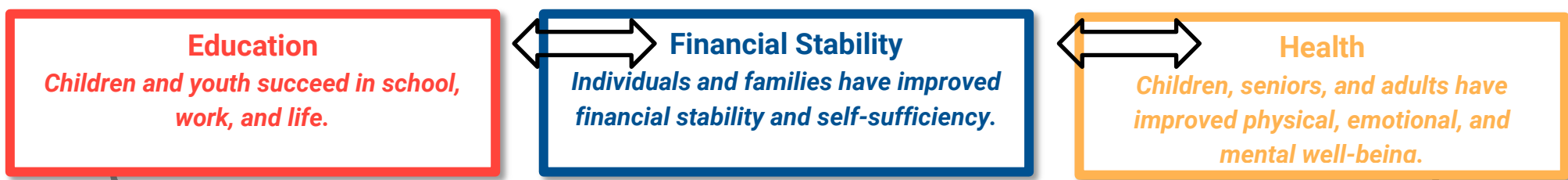
- Address emergencies within the community that would seriously impair an organization's continued operation

**Programs and Special Initiatives**

- Urgent Rx
- Asset Coalition
- Student and Campus Engagement



# United Way of Tompkins County Community Investment Structure and Responsibilities



## Community organization applies for community grant opportunity

- United Way of Tompkins County Staff**
- Provide overarching assistance during each part of the grant review process.
  - Act as a liaison between the review teams and the applicant agencies.
  - Circulate information between volunteers and partner agencies
  - Provides technical assistance
  - Support volunteer activities and work and coordinate scheduling
  - Supports partner agency collaborations with UWTC.

- Community Investment Committee & Review Teams**
- Review proposed grant applications
  - Review Team Lead Volunteers make funding recommendations to Community Investment Committee (CIC).
  - Recommends schedule of total awarded funds for Board action
  - Recommends actions regarding special funding requests
  - Provides stewardship and accountability for community investments and policies

- United Way of Tompkins County Board of Directors**
- Review and provide final approval of funding recommendations from the Community Investment Committee and Review Teams.

## **ELIGIBILITY STANDARDS CHECKLIST**

1. The organization must be incorporated as a not-for-profit, charitable organization and qualify as tax-exempt under Section 501(c)(3) of the Internal Revenue Service Code.
2. The organization must provide essential health, human, developmental, or recreational services within Tompkins County consistent with the established Funding Philosophy and Guiding Principles for Fund Distribution.
3. The organization must maintain responsible management, including a Board of Directors and a Chief Executive Officer, or similarly functioning position.
4. The organization must have a responsible governing Board of Directors, or if a national or state organization, a responsible Advisory Board composed of local persons serving without compensation, or a conflict of interest, and meeting at least quarterly.
5. The organization operates in accordance with established bylaws which include a statement of purpose and objectives, procedure for elections, quorum requirements, duties, and authority of the governing Board and officers.
6. The organization is able to document community support and evidence of ongoing financial stability.
7. The organization maintains accounting records which conform with the generally accepted standards of accounting and financial reporting.
8. The organization must have its accounts audited annually by an independent public accountant within four (4) months following the close of its fiscal year and submit an original copy of this audit to the United Way.
9. The organization maintains appropriate statistical records including: delivery and use of services, per unit costs, outputs and outcomes.
10. The organization has developed and maintains measurable standards of quality and program outcome models.
11. Organization must be in compliance with local, state, and federal policies governing its programs and organization.
12. The organization operates, by policy and practice, without discrimination in all respects including services to individuals, selection of Board and committee members, and the employment of staff.

**PARTNER AGENCY**  
**MEMORANDUM OF AGREEMENT**  
**BETWEEN**

---

(Name of Agency)

**AND**

**UNITED WAY OF TOMPKINS COUNTY**

---

and United Way of Tompkins

(Name of Agency)

County agree that by joining together as partners in a voluntary, community-wide effort we will mobilize our resources to deliver responsive, effective and efficient human service programs.

**To this end, both parties agree to:**

- Recognize the need for full accountability to donors contributing to the United Way of Tompkins County.
- Promote the understanding of community issues and support of the partner organizations' program that addresses human service needs.
- Comply with the policies and procedures adopted by the United Way Board of Directors.
- Comply with the Generally Accepted Accounting Principles (GAAP).
- Commitment to include at every level of work, all segments of the community without regard to (including but not limited to) race, creed, color, gender, national origin, age, sexual orientation, marital status, or disability.
- Maintain responsible management, such as a Board of Directors and a Chief Executive Officer.
- Keep each other informed on current operations, programs and services, problems and contemplated operating and capital changes.

**It is agreed that Partner Agencies will:**

- Make optimal use of resources in meeting the needs of its target population and the community it serves, including appropriate cooperation, coordination and collaboration with other service providers.



- Participate in the community investment review process, submit required application and financial forms in a timely manner and prepare outcome models which reflect the mission, vision and practice of the partner agency.
- Cooperate fully in the annual County Campaign by (1) conducting a United Way campaign; and (2) participating in community events.
- Recognize and respect United Way's responsibility to modify funding patterns in response to changing community needs to maximize benefits to the community.
- Identify participation as a United Way partner in news releases, media programs, letterheads, web pages, brochures, etc., including use of the UWTC logo.
- Report any major program/budget changes that may affect how United Way invested dollars are spent.

**It is agreed that the United Way of Tompkins County will:**

- Conduct community-wide fundraising efforts to effectively and proactively develop financial resources to support health and human service organizations in Tompkins County.
- Provide partner agencies with community campaign and fundraising expectations in a timely manner.
- Convene forums for partner agency feedback on policy and programming changes.
- Provide training, technical assistance and coordination for special projects and collaborative efforts as deemed appropriate by the United Way Board, staff and partner agencies.
- Participate in community assessment projects on a regular basis to ensure that United Way funds address community needs.

United Way of Tompkins County reserves the right to withhold funding should a partner agency fail to comply with one or more terms of this agreement. Funding may be withheld until the issue is resolved between the agency and United Way.

A partner agency may terminate its participation with United Way at the end of any month, with a minimum of 30 days written notice. The agency shall return to the United Way any funds that were intended for use after the date of termination.

\_\_\_\_\_  
CHIEF EXECUTIVE OFFICER'S SIGNATURE

\_\_\_\_\_  
DATE

\_\_\_\_\_  
AGENCY'S BOARD CHAIR SIGNATURE

\_\_\_\_\_  
DATE

\_\_\_\_\_  
PRESIDENT, UNITED WAY OF  
TOMPKINS COUNTY

\_\_\_\_\_  
DATE

\_\_\_\_\_  
CHAIR OF THE BOARD, UNITED WAY OF  
TOMPKINS COUNTY

\_\_\_\_\_  
DATE



### Agency Non-Discrimination Policy Verification Statement

Agency: \_\_\_\_\_

United Way of Tompkins County embraces inclusiveness, diversity, and equal opportunity as core values. We understand that the community is stronger when the gifts of all people are respected, embraced and maximized to build a healthier community.

In support of our core values, United Way of Tompkins County requires all agencies seeking funding from its Community Fund to have a written nondiscrimination policy adopted by the agency’s board of directors that affirms the agency’s commitment to include at every level of its work, all segments of the community without regard to (including but not limited to) race, creed, color, gender, national origin, age, sexual orientation, marital status, or disability.

Please check one of the following statements:

**Yes**, my agency (named above) has a Board-adopted non-discrimination policy that meets or exceeds the standard set forth in the Non-Discrimination Policy of United Way of Tompkins County as stated above.

**No**, please provide an explanation:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
CHIEF EXECUTIVE OFFICER’S SIGNATURE

\_\_\_\_\_  
CHIEF EXECUTIVE OFFICER’S PRINTED NAME

\_\_\_\_\_  
DATE SIGNED

\_\_\_\_\_  
BOARD PRESIDENT’S SIGNATURE

\_\_\_\_\_  
BOARD PRESIDENT’S PRINTED NAME

\_\_\_\_\_  
DATE SIGNED





# United Way of Tompkins County

313 North Aurora Street  
Ithaca, New York 14850  
Phone 607.272.6286  
Fax 607.272.2736

June 2017

Federal regulations, under the USA Patriot Act and other counterterrorism laws, require that United Way of Tompkins County (UWTC) institute a comprehensive compliance program designed to detect and prevent the flow of funds to terrorists and/or terrorist organizations.

We ask that you cooperate with our compliance program by completing and returning the Patriot Act Compliance form on the bottom of this letter. Your organization's response is required to receive United Way of Tompkins County funding.

The completion of this form will be an **annual process**.

Please sign and return this form by mail, fax or email ASAP.

If you have any questions concerning this process or the form, please contact me at 607-272-6286 or [jpeeples@uwtc.org](mailto:jpeeples@uwtc.org). Thank you for your attention to this matter.

Sincerely,

John Peeples  
Finance Director  
[jpeeples@uwtc.org](mailto:jpeeples@uwtc.org)

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## ANTI-TERRORISM COMPLIANCE MEASURES

In compliance with the USA PATRIOT ACT and other counterterrorism laws, the United Way of Tompkins County, Inc. requires that each agency certify the following:

"I hereby certify on behalf of \_\_\_\_\_  
[name of agency] that all United Way funds and donations will be used in compliance with all applicable anti-terrorist financing and asset control laws, statutes and executive orders."

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

Title: \_\_\_\_\_

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

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

Organization Address: \_\_\_\_\_

EIN: \_\_\_\_\_

(Please Print)

## COMMUNITY CARE FUND

United Way of Tompkins County helps people meet their immediate, basic needs while creating lasting change by strengthening the three building blocks for a good life: education, financial stability and health.

**EDUCATION:** Children and youth succeed in school, work and life.

**FINANCIAL STABILITY:** Individuals and families have improved financial stability and self-sufficiency.

**HEALTH:** Children, seniors and adults have improved physical, emotional, and mental well-being.

### PURPOSE

The Community Care Fund was established to enable the United Way of Tompkins County to invest in programs improving the health, education and financial stability of people throughout Tompkins County. Funds are utilized to help people meet their immediate, basic needs while creating lasting change by strengthening the building blocks for a good life.

Preference is given to proposals which:

- Have specific measurable objectives and outcomes that align with UWTC's mission, vision, and values;
- Show strength and breadth of collaborations outlined in the proposal submitted;
- Are designed to have a demonstrated impact upon program recipients.

### GRANT SIZE

Grant size varies depending on the availability of funds.

### ELIGIBILITY

Applicants should thoroughly review the general partner eligibility and grant procedures document for funding eligibility requirements.

### APPLICATION PROCEDURE

All applications must be submitted online through [Apricot](#). Community Care Fund is a two year grant cycle with two stages to the applications process:

- Stage One: An overview of agency information and program implementation to ensure alignment with UWTC's mission, vision, and values.
- Stage Two: Detailed program application

See 2018-2020 grant timeline for specific dates.

## **GRANT REPORTING**

If an organization receives a grant from the Community Care Fund, it will be required to submit an eight month interim outcomes report, a one year final report, and a two year final report. Additionally, recipients may be asked to assist with marketing and media efforts to highlight their work.

## T. MERRELL SHIPHERD FLEXIBLE FUND

United Way of Tompkins County helps people meet their immediate, basic needs while creating lasting change by strengthening the three building blocks for a good life: education, financial stability and health.

**EDUCATION:** Children and youth succeed in school, work and life.

**FINANCIAL STABILITY:** Individuals and families have improved financial stability and self-sufficiency.

**HEALTH:** Children, seniors and adults have improved physical, emotional, and mental well-being.

This fund was established to honor T. Merrell Shipherd, former Director of United Way of Tompkins County, who, throughout his life, worked to bring people together to find effective solutions to community challenges.

### PURPOSE

The T. Merrell Shipherd Fund provides financial support to quality programming and services, addresses new and emerging needs in the community, supports efforts to improve organizational efficiency, and encourages agency collaborations.

Projects can be at various stages of the innovation process: identifying the need, increasing collective understanding of the issue, generating ideas, or testing and implementing solutions. Proposals can focus on one area and can be at any stage of implementation.

Preference is given to proposals which:

- Have specific measurable objectives and outcomes that align with UWTC mission, vision, and values;
- Establish creative and innovative approaches to meeting needs;
- Shows strength and breadth of the collaborations outlined in the proposal submitted;
- Have a high potential for success if funded and are designed to have a demonstrated impact upon program recipients;
- Demonstrate a history of successfully undertaking new ventures.

### GRANT SIZE

Grant size varies depending on the availability of funds.

### ELIGIBILITY

Applicants should thoroughly review the general partner eligibility and grant procedures document for funding eligibility requirements.

Grants may be made for one time funding to new projects or for the significant expansion of existing project, and should not be viewed as ongoing program support. If

a program is funded, the organization(s) may apply for a second consecutive year of funding. Once a program has been funded for two consecutive years, it will no longer be eligible for the T. Merrell Shipherd Flexible Funds. Applicants are encouraged to address a sustainability plan for their proposal. Applicants applying for capital requests are encouraged to discuss the calculable impact of a gift to their fund.

## APPLICATION PROCEDURE

All applications must be submitted online through Apricot. Grant applications can be submitted at any time and will be evaluated on a rolling basis.

There are two stages in the United Way of Tompkins County T. Merrell Shipherd Flexible Fund grant selection process.

- *Initial Review:* The T. Merrell Shipherd Review Committee will evaluate applications on a rolling basis. We will communicate our decision via email approximately six to eight weeks from the submission date.
- *Final Review:* The organization will be asked to complete a full application. The committee will then make its final decision and notify the applicant organization.

For most applications, we estimate the entire selection process – from the time the application is received to the final funding decision – will take four to six months. Organizations can expect to receive their grant payment about one month following the final decision.

## GRANT REPORTING

If an organization receives a grant from the T. Merrell Shipherd Flexible Fund, it will be required to submit a report twelve (12) months after the grant award notification or within one month of the project completion, whichever comes first. Additionally, recipients may be asked to assist with marketing and media efforts that highlight their work.

## EMERGENCY FUND

United Way of Tompkins County helps people meet their immediate, basic needs while creating lasting change by strengthening the three building blocks for a good life: education, financial stability and health.

**EDUCATION:** Children and youth succeed in school, work and life.

**FINANCIAL STABILITY:** Individuals and families have improved financial stability and self-sufficiency.

**HEALTH:** Children, seniors and adults have improved physical, emotional, and mental well-being.

The United Way Emergency Fund was created to address short-term emergency needs.

### PURPOSE

To address emergencies that are time sensitive, unanticipated, and unbudgeted; that significantly impair an organization's programs, services, or continued operation. Grants may be made for one-time funding and there is no commitment for continuation of funding in future years.

Applications will be evaluated based upon the following criteria:

- The emergency is time-sensitive, unanticipated, and unbudgeted;
- It significantly interferes with the organization's ability to provide critical services to Tompkins County residents;
- Community need for organization and services is well-documented;
- The purpose of the emergency funding request, the amount of request, and documentation of financial need is provided;
- Extent to which available funds can adequately address the emergency;
- The emergency request is not part of an annual work plan or budget;
- The problem could not have been averted with prior planning.

### GRANT SIZE

Grant size varies depending on the availability of funds.

### ELIGIBILITY

Applicants should thoroughly review the general partner eligibility and grant procedures document for funding eligibility requirements.

Grants may be made for one time funding with no commitment for continuation of funding in future years. Applicants are encouraged to include a sustainability plan within their proposal.

## **APPLICATION PROCEDURE**

All applications must be submitted online through Apricot. Grant applications can be submitted at any time and will be evaluated on a rolling basis.

The Community Investment Committee or designated review team will evaluate applications on a rolling basis. We will communicate our decision via email six to twelve weeks from the date the application is submitted. All recommendations are subject to the availability of funds through the Emergency Reserve Fund.

## **GRANT REPORTING**

If an organization receives a grant from the Emergency Fund it will be required to submit a report twelve (12) months after the grant award notification or within one month of the project completion, whichever comes first. Additionally, recipients may be asked to assist with marketing and media efforts that highlight their work.

## YOUTH AND PHILANTHROPY FUND

United Way of Tompkins County helps people meet their immediate, basic needs while creating lasting change by strengthening the three building blocks for a good life: education, financial stability and health.

**EDUCATION:** Children and youth succeed in school, work and life.

**FINANCIAL STABILITY:** Individuals and families have improved financial stability and self-sufficiency.

**HEALTH:** Children, seniors and adults have improved physical, emotional, and mental well-being.

### PURPOSE

The Youth and Philanthropy initiative is designed to give local students the opportunity to become more engaged with their community and think about how philanthropy can become an important part of their lives.

This program inspires and provides youth with a greater understanding of current community needs, while allowing them to explore individual leadership abilities, participate in team-building activities, learn about charitable giving, develop a grant application, receive and review grants, and to invest money in community programs that are making a difference for local residents and organizations

Applications will be evaluated based upon the following criteria:

- *Need:* The community need is clearly defined and demonstrated.
- *Impact:* Community impact is made through specific measurable goals and outcomes. The program is intended to make a significant, sustainable impact.
- *Implementation:* The program is thoughtful, realistic, and clearly addresses the identified community need. The organization(s) are able to execute the work effectively (have a plan to meet the needed capacity).
- *Creativity and Innovation:* The organization(s) is able to outline a new, innovative approach to service delivery for either a new community need or a historically chronic service challenge.

### GRANT SIZE

The Triad Foundation, in partnership with United Way, provides the students with \$25,000 to grant to the community. Students review the grant applications and provide funding recommendations based on the criteria above.

### ELIGIBILITY

Applicants should thoroughly review the general partner eligibility and grant procedures document for funding eligibility requirements.



Grants may be made for one time funding to new projects or for the significant expansion of existing project and should not be viewed as ongoing program support. Applicants are encouraged to address a sustainability plan for their proposal. Applicants applying for capital requests are encouraged to discuss the calculable impact of a gift to their fund.

### **APPLICATION PROCEDURE**

All applications must be submitted online through Apricot. The YAP application opens in August and closes in early October.

Fifteen to thirty students from across Tompkins County review the applications and make their recommendations to the Community Investment Committee and the Board of Directors for approval. The grants are awarded to the receiving organizations in early December.

### **GRANT REPORTING**

If an organization receives a grant from YAP, it will be required to submit a final report the following fall. Additionally, recipients may be asked to assist with marketing and media efforts that highlight their work.

## FOCUS FUND

United Way of Tompkins County helps people meet their immediate, basic needs while creating lasting change by strengthening the three building blocks for a good life: education, financial stability and health.

**EDUCATION:** Children and youth succeed in school, work and life.

**FINANCIAL STABILITY:** Individuals and families have improved financial stability and self-sufficiency.

**HEALTH:** Children, seniors and adults have improved physical, emotional, and mental well-being.

### PURPOSE

FOCUS is an extension of the UWTC's Youth and Philanthropy program. UWTC volunteers and staff work for several weeks with local elementary and middle school students on leadership, development activities, reviewing community needs, and a hosting competitive grant process for their town.

The FOCUS program was established with the goal of engaging younger students in local philanthropic efforts. Through this program, students participate in consensus building activities, review grant applications, conduct interviews, and deliberate about how to award funds.

Since the program's beginning in 2002, the towns of Dryden, Caroline, Newfield, Groton, Enfield, Trumansburg, Danby and Lansing have all hosted FOCUS programs. To date, students have donated over \$34,000 to nonprofit organizations.

Applications will be evaluated based upon the following criteria:

- *Need:* The community need is clearly defined and demonstrated.
- *Impact:* Community impact is made through specific measurable goals and outcomes. The program is intended to make a significant, sustainable impact.
- *Implementation:* The program is thoughtful, realistic, and clearly addresses the identified community need. The organization(s) are able to execute the work effectively (have a plan to meet the needed capacity).
- *Creativity and Innovation:* The organization(s) is able to outline a new, innovative approach to service delivery for either a new community need or a historically chronic service challenge.

### GRANT SIZE

The Dryden Youth Opportunity Fund and the Cornell Student United Way provides the students with \$2,000 to distribute to local agencies. Students review the grant applications and provide funding recommendations based on the criteria above.

## **ELIGIBILITY**

Applicants should thoroughly review the general partner eligibility and grant procedures document for funding eligibility requirements.

## **APPLICATION PROCEDURE**

All applications must be submitted online through Apricot. The FOCUS application opens in February and closes in late March.

A group of ten to twenty students review the applications and make their recommendations to the Community Investment Committee and the Board of Directors for approval. The grants are awarded to the receiving organizations in early June.

## **GRANT REPORTING**

If an organization receives a grant from FOCUS, it will be required to submit a final report the following spring. Additionally, recipients may be asked to assist with marketing and media efforts that highlight their work.

## ITHACA COLLEGE STUDENT UNITED WAY FUND

United Way of Tompkins County helps people meet their immediate, basic needs while creating lasting change by strengthening the three building blocks for a good life: education, financial stability and health.

**EDUCATION:** Children and youth succeed in school, work and life.

**FINANCIAL STABILITY:** Individuals and families have improved financial stability and self-sufficiency.

**HEALTH:** Children, seniors and adults have improved physical, emotional, and mental well-being.

### PURPOSE

The Ithaca College Student United Way (IC SUW) is a student-led initiative dedicated to community-wide charitable and volunteer efforts.

The Ithaca College Student United Way raises funds to award to local nonprofits through a competitive grant process. IC SUW acts as a link between the campus community and local organizations, provides students with experience in the nonprofit sector and grant writing, engages students with the local community, and encourages youth empowerment.

Applications will be evaluated based upon the following criteria:

- *Need:* The community need is clearly defined and demonstrated.
- *Impact:* Community impact is made through specific measurable goals and outcomes. The program is intended to make a significant, sustainable impact.
- *Implementation:* The program is thoughtful, realistic, and clearly addresses the identified community need. The organization(s) are able to execute the work effectively (have a plan to meet the needed capacity).
- *Creativity and Innovation:* The organization(s) is able to outline a new, innovative approach to service delivery for either a new community need or a historically chronic service challenge.

### GRANT SIZE

Grant size varies depending on the availability of funds.

### ELIGIBILITY

Applicants should thoroughly review the general partner eligibility and grant procedures document for funding eligibility requirements.

### APPLICATION PROCEDURE

All applications must be submitted online through Apricot. The IC SUW application opens in September and closes in early November.

Students review the applications and make their recommendations to the Community Investment Committee and the Board of Directors for approval. Awards are general received by the recipients in early February.

### **GRANT REPORTING**

If an organization receives a grant from Ithaca College Student United Way, it will be required to submit a final report the following fall. Additionally, recipients may be asked to assist with marketing and media efforts that highlight their work.