



SOCIAL INNOVATION FUND
CINCINNATI / NORTHERN KENTUCKY

Request for Proposals

2010 Subgrant Cycle

Current Funders and Partners in the Cincinnati/Northern Kentucky Social Innovation Fund:

Corporation for National and Community Service
The Thomas J. Emery Memorial
The Greater Cincinnati Foundation
The Carol Ann and Ralph V. Haile, Jr./U.S. Bank Foundation
KnowledgeWorks
JPMorgan Chase Foundation
The P&G Fund
SC Ministry Foundation
The Strive Partnership
United Way of Greater Cincinnati
The Craig Young Family Foundation

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IMPORTANT INFORMATION

Each applicant must submit both a Letter of Intent and a Full Proposal.

An individual organization may only serve as applicant or lead applicant on one proposal.

1. Additional copies of the *Request for Proposals* document can be downloaded from the Cincinnati/Northern Kentucky Social Innovation Fund website: www.cincysif.org/rfp.
2. The Letter of Intent submission DEADLINE is 4:30 p.m. on Friday, October 15, 2010. No late submissions will be accepted. For detailed information see page 5.
3. An optional RFP Overview Session will be held Monday October 11, 2010 from 10:00 a.m. - 12:00 p.m. at the Schiff Conference Center, Cintas Center of Xavier University. Registration is required; for detailed information see page 4.
4. REQUIRED trainings will be held for all applicants on describing the project's evidence of effectiveness, continuous improvement, and data-driven decision processes. As part of eligibility for funding, a project representative must attend one of the three training sessions held on October 20, 21 and 26. Registration is required; for detailed information see page 4.
5. The Full Proposal submission DEADLINE is 4:30 p.m. on Friday, November 19, 2010. No late submissions will be accepted. For detailed information see page 6.
6. For information on technical assistance, see page 4.
7. See Appendix A for a complete timeline of the application process.

Introduction

The Purpose and Mission of the Cincinnati/Northern Kentucky Social Innovation Fund

The mission of the Cincinnati/Northern Kentucky Social Innovation Fund (SIF) is to identify and support innovative and effective community solutions along the Cradle-to-Career Continuum. The SIF is exclusively focused on Greater Cincinnati's urban core, specifically, the city of Cincinnati in Ohio and the cities of Covington and Newport in Kentucky.

The SIF will support social innovations in the following issue areas:

- Youth Development and School Support
- Economic Opportunity

The SIF considers “social innovation” as the development of a potentially transformative practice or approach to meeting critical social challenges. An approach is “transformative” if it not only produces strong impact (as defined on page 12) but also: 1) has the potential to affect how the same challenge is addressed in other communities; 2) addresses more than one critical social challenge concurrently; or, 3) produces significant cost savings through efficiency gains.

The Cincinnati/Northern Kentucky Social Innovation Fund will support nonprofit organizations or collaborations of nonprofit organizations to expand or replicate effective, innovative strategies to improve outcomes for low-income children and their families in the targeted communities. The SIF builds on the collective work of the SIF partners to:

- 1) convene the community across all sectors,
- 2) support children and youth from cradle to career and support workforce development,
- 3) inform decision making with data,
- 4) employ a high standard of continuous quality improvement, and
- 5) remain steadfastly accountable for progress and challenges.

Through this project, the SIF Partners are committed to providing catalytic support to help our community's children succeed from cradle to career and help people find and keep jobs.

With this purpose, the SIF is soliciting full proposals from nonprofit organizations and collaborations (see page 2 for eligibility requirements). Full proposals are due by November 19, 2010. A full review process will be conducted in December 2010 and January 2011. Awards will be announced on February 1, 2011.

The Corporation for National and Community Service and the Cincinnati/Northern Kentucky Social Innovation Fund

The Cincinnati/Northern Kentucky Social Innovation Fund is funded through the federal Social Innovation Fund, an initiative of the Corporation for National and Community Service enacted by the Edward M. Kennedy Serve America Act. The initiative is a new way of doing business for the federal government as it sets a higher standard for evidence, empowers communities to identify and drive solutions, and targets funding to solutions that generate strong impact.

In July 2010, the Corporation awarded a partnership of local funders a two year, \$2 million grant to support the local SIF. The partners are matching the grant with an additional \$2 million to make nearly \$4 million in support available to organizations supporting low-income communities in Cincinnati, Covington and Newport. This support will take the form of both funding and capacity building services. Through the initiative, the SIF will work with subgrantees to expand and replicate innovative strategies that can show effectiveness in addressing one of the following priority outcomes:

- Kindergarten Readiness
- Fourth Grade Reading
- High School Graduation and College Preparedness
- Postsecondary Education Enrollment and Completion
- Sustained Employment

Because the SIF is funded in part by federal dollars, applicants will be required to comply with federal grant policies and any other statutory and administrative provisions. These requirements are detailed on page 3 of this document.

In addition, by applying for SIF funding, applicants agree to allow the SIF to disclose basic information about the applicant organization (name and contact information) and a general description of the proposed project.

Eligibility Requirements

Consideration will be given only to those proposals that meet the following eligibility requirements:

- **Type of organization**
Organizations described in section 501(c)(3) of the Internal Revenue Code and exempt from taxation under section 501(a), or any entity or organization described in sections 170(c)(1) or (2) of the Internal Revenue Code. The types of organizations that can receive SIF subgrants includes most charitable organizations, states, local governments (and other political subdivisions), public schools, tribes, as well as certain faith-based organizations and other educational institutions.
- **Focused on Low-Income Communities**
Applicants must propose to serve low-income communities, defined as 200 percent or less of the Federal Poverty Level.
- **Geography**
Applicants must be currently serving residents of Cincinnati, Newport, and/or Covington or must be able to demonstrate that proposed services were planned prior to the release of this RFP, will be operational within six months of subgrant funding, and have extensive local support.
- **Outcome Alignment**
Applicants must propose to impact one of the Priority Outcomes defined by SIF partners:
 - Kindergarten Readiness
 - Fourth Grade Reading
 - High School Graduation and College Preparedness
 - Postsecondary Education Enrollment and Completion
 - Sustained Employment
- **Matching Funds**
Applicants must provide a dollar-for-dollar cash match on all SIF subgrants. Applicants must demonstrate commitment of 25% of the match funds by the submission date for the application to be eligible for consideration (see page 9 for details on the match requirement.)
- **Evidence of Effectiveness**
Applicants must be able to demonstrate at least a preliminary level of evidence of effectiveness (as defined on page 13).

What the Grant Will Support

This *Request for Proposals* provides opportunities to support the expansion or replication of effective community strategies along the cradle-to-career continuum.

Because we believe in data-driven decision-making, the SIF will consider proposals for a variety of projects and strategies that are able to demonstrate their effectiveness in improving one of the priority outcomes. We anticipate funding 5-10 grants and are striving for balance in both geography and outcome area in our subgrant portfolio. SIF grants will range from \$100,000 to \$400,000 per year with a total of \$1.7 million available for grants in Year 1. Grants made for this competition will be for three to five years contingent upon satisfactory progress of the subgrantee and the availability of funding from the Corporation for National and Community Service and local funding partners.

- The SIF has a strong preference for community solutions that are currently working in and can demonstrate effectiveness in the targeted communities. Applicants that are not currently operating in the targeted communities will need to demonstrate that local programming was planned prior to the release of this RFP, will begin operations within six months of the subgrant award and significant local partnership and resources exist to support the organization and project.
- While projects do not need to be physically located in the targeted communities, the SIF has a strong preference for projects with a majority of program participants who are residents of those communities.
- Organizations with at least a moderate level of evidence of effectiveness for their project may apply to expand or replicate those projects in the targeted geography.
- Organizations with only preliminary evidence of effectiveness for their projects must apply to initially use grant funding to increase their evidence of effectiveness through evaluation.
- Organizations without at least preliminary evidence of effectiveness are not eligible to apply.

Along with funding, selected subgrantees will receive extensive training and technical assistance in continuous quality improvement, evaluation, data-driven decision-making, and organizational effectiveness.

SIF funds may be used for:

- The primary purpose of the SIF funds are to support the replication and expansion of innovative and effective community strategies.
- Successful subgrant implementation will be evaluated in terms of the applicants' success in addressing a documented need and reaching their stated impact, service, quality and financial targets.
- Costs to support these targets may include, but are not limited to:
 - Project operating costs to support expansion or replication
 - Evaluation
 - Organizational capacity development, including:
 - Training
 - Board and volunteer recruitment and training
 - Information systems and technology
 - Purchase of equipment and supplies.
- Subgrantees are required to match all funds on a 1:1 cash basis. However, fundraising is not an allowable cost under this program. Subgrantees may not allocate staff time spent fundraising to the project budget.

Training & Technical Assistance

To assist potential applicants in responding to the RFP, the SIF partners have set up a series of information and training sessions.

Optional RFP Overview Session

October 11, 2010

- The SIF Partners are hosting an **optional** Overview Session to walk through the goals of the SIF, eligibility requirements, match requirements, the application process, and answer technical questions related to the application process.
- The session will be held on:
 - Monday, October 11, 10:00 a.m. - 12:00 p.m. at the Schiff Conference Center, Cintas Center of Xavier University
- Registration is required. To register please send an email with your name and organization name to rsvp@strivetogether.org with "RFP" as the subject line.

Required Continuous Improvement/Project Effectiveness Pre-Proposal Training

October 20, 21 and 26, 2010

- To increase potential applicants' capacity to respond to the RFP, the SIF will host **required** training sessions on specific aspects of the SIF program that must be addressed in the proposal: Project Effectiveness and Continuous Improvement Planning.
- The trainings will provide applicants with examples of how to demonstrate a project's level of evidence of effectiveness and how to describe past continuous improvement activities and future continuous improvement plans in the RFP.
- **Each applicant is required to send at least one project representative to one of the training sessions.** All applicants are required to attend even if a project representative has previously completed Strive's Six Sigma training.
- The sessions will be held (choose one) on:
 - Wednesday, October 20, 8:30 a.m. - 12:00 p.m. at Northern Kentucky University, Student Union, Room 104 (for map and directions: <http://www.nku.edu/campusmaps/index.php>)
 - Thursday, October 21, 8:30 a.m. - 12:00 p.m. at Northern Kentucky University, Student Union, Room 104 (for map and directions: <http://www.nku.edu/campusmaps/index.php>)
 - Tuesday, October 26, 1:30 p.m. - 5:00 p.m. at American Red Cross, Cincinnati Area Chapter (2111 Dana Avenue, Cincinnati, OH 45207)
- Registration is required. To register please send an email with your name, organization name and date of session you wish to attend to rsvp@strivetogether.org with "Training" as the subject line.

Technical Assistance

- Applicants can email questions to mike.baker@uwgc.org.
- Periodically, answers to frequently asked questions will be posted on the project website (www.cincysif.org).

Optional Pre-proposal Technical Assistance Webinars

- The SIF will hold two webinars in the weeks leading up to the proposal deadline to answer Frequently Asked Questions that arise during the application process.
- These webinars will be held on November 4 and 11. Details on how to access the webinars will be available on the project website (www.cincysif.org) by November 1.

Application Components & Process

Each applicant must submit both a Letter of Intent and a Full Proposal.

Letter of Intent

The Letter of Intent will serve as an information collection opportunity for the SIF partners to determine the number and types of proposals we will receive. This will assist us in recruiting the appropriate number of external reviewers.

- A Letter of Intent must be submitted on the required form as shown in Appendix B, by email, no later than 4:30 p.m. on Friday, October 15, 2010 to sif@uwgc.org.
- An electronic copy (Word document) of the required form is available for download at www.cincysif.org/rfp.
- The contents of the Letter of Intent are:
 - Name and contact information of applicant (or lead applicant) organization
 - Partners (if applicable)
 - Project Title
 - Brief description of project (2-3 sentences)
 - Tax exempt status of organization
 - Geography to be covered (Cincinnati, Newport, and/or Covington)
 - Issue area
 - Youth Development and School Support
 - Economic Opportunity
 - SIF Priority Outcome(s) Addressed by the Project
 - Kindergarten Readiness
 - Fourth Grade Reading
 - High School Graduation and College Preparedness
 - Postsecondary Education Enrollment and Completion
 - Sustained Employment
 - Expected Request (stated as a range)
 - A statement of assurance that the required match will be met (see page 19)
 - A statement of assurance that the applicant, if awarded a grant, will comply with SIF and Federal grant policies and will participate in all training, technical assistance and project activities including evaluation and learning circles (see page 19)
 - A statement of the current level of evidence for the proposed initiative
 - A statement of the applicant's experience with third party evaluation
- Letters of Intent received after the deadline will not be accepted. If a Letter of Intent is not submitted, or submitted after the deadline, the organization is not eligible to submit a full proposal.

Full Proposal

The Full Proposal is an in-depth description of the project, including budget information, match documentation, and the organization's financial information.

- Seven (7) copies of the complete Proposal must be received by 4:30 p.m. on Friday, November 19, 2010 at:

For mailed proposals:

United Way of Greater Cincinnati
2400 Reading Road
Cincinnati, OH 45202

For hand-delivered proposals (please note the street address is different than the mailing address):

United Way of Greater Cincinnati
2035 Reading Road
Cincinnati, OH 45202

- In addition, the Executive Summary must be completed on the required form as shown in Appendix C and submitted via email by the deadline to sif@uwgc.org. An electronic copy (Word document) of the form is available for download at www.cincysif.org/rfp. A paper copy of the Executive Summary must also be included with the full proposal.
- Proposal components include:
 - Executive Summary (see Appendix C)
 - Proposal Narrative (see Appendix D)
 - The Proposal Narrative will address the review criteria on Project Effectiveness & Design and Organizational Capacity & Leadership as described on pages 11-16.
 - The Proposal Narrative must be completed on the required form as shown in Appendix D and then printed for submission.
 - The Proposal Narrative may be no more than 15 pages in length, single-spaced, and typed in 11-point Arial font with 1-inch margins.
 - An electronic copy (Word document) of the Proposal Narrative is available for download at www.cincysif.org/rfp
 - Project Budget (see Appendix E)
 - The Project Budget must be completed on the required form as shown in Appendix E and then printed for submission.
 - An electronic copy (Excel document) of the Project Budget is available for download at www.cincysif.org/rfp
 - Budget Narrative (see Appendix F)
 - The Budget Narrative will address the review criteria on Cost Effectiveness & Budget Adequacy as described on pages 16-17.
 - The Budget Narrative must be completed on the required form as shown in Appendix F and then printed for submission.
 - The Budget Narrative may be no more than 3 pages in length, single-spaced, and typed in 11-point Arial font with 1-inch margins.
 - An electronic copy (Word document) of the Budget Narrative is available for download at www.cincysif.org/rfp

- Match Documentation (see Appendix G)
 - The Match Documentation will address the review criteria on Match Sources as described on pages 16-17.
 - The Match Documentation must be completed on the required form as shown in Appendix G and then printed for submission.
 - Letters of commitment from funders may be attached to this section
 - An electronic copy (Word document) of the Match Documentation is available for download at www.cincysif.org/rfp
 - Organizational Financial Information (see Appendix H)
 - The Organizational Financial Information must be completed on the required forms as shown in Appendix H and then printed for submission.
 - An electronic copy (Excel document) of the Organizational Financial Information is available for download at www.cincysif.org/rfp
 - Supporting Documentation
 - Up to five (5) pages of supporting documentation may be submitted with the full proposal. This may include charts, graphs and tables, project timetable, Letters of Support or other documentation. If appropriate, please provide reference to this material in the Project Narrative. Please do not include brochures, annual reports, evaluation reports, or electronic media (video, CD, DVD, etc.).
- See Appendix J for the Full Proposal Application Checklist
 - Proposals received after the deadline will not be accepted. Electronic transmissions (fax or email) will not be accepted, with the exception of the Executive Summary as described above.

Application Review & Selection Process

The SIF selection process will be carried out in three phases.

Phase 1 – Full Proposal Review (December 2010)

Phase one of the review will focus on reviewing the full proposals based on the Proposal Review Criteria listed below; details of the review criteria are outlined in the next section on pages 11-17. The criteria are weighted to place emphasis on establishing the level of evidence for the proposed initiative and determining project effectiveness.

The review will include external reviewers who will provide input into the SIF partners' selection process.

Review Criteria and Weighting

Project Effectiveness & Design – 55%

- Targeted Community and Priority Outcome
- Statement of Need or Benefit
- Project description and methodology
- Evidence of Effectiveness

Organizational Capacity & Leadership – 30%

- Organizational Background and Profile

- Organizational Strengths and Challenges
- Financial Strengths (including grants management experience)
- Data-Driven Decision Making Strategies
- Culture of Innovation

Cost Effectiveness & Budget Adequacy – 15%

- Budget and Project Design
- Match Resources

Phase 2 – Site Visits & Organizational Interviews (January 2011)

Applicants with the strongest proposals will move on to the second phase of the selection process.

The applicants selected to move on from Phase 1 will be asked to participate in Site Visits and Organizational Interviews. These interviews will focus specifically on organizational management and leadership strengths and challenges and will provide an opportunity for reviewers to address any items that need clarification from the Phase 1 review.

Organizations selected for participation in Phase 2 of the review will be contacted in the first week of January 2011 to schedule a site visit and interview.

Based on input from the first two phases, a subset of applicants will move on for final consideration in Phase 3.

Phase 3 – Portfolio Selection

The final phase of the selection process will look collectively at finalists to determine how they best fit together as a portfolio of subgrantees that meet the SIF partners' intentions.

This will be done considering the following criteria:

- The strength of evidence of effectiveness
- The promise for replication/expansion
- The organizational capacity of each applicant
- The potential of the portfolio to significantly impact priority outcomes
- The potential of the portfolio to inform the sector on best practices and impact
- The diversity of the portfolio in terms of geography (within the targeted region), issue area and priority outcome

Only applicants who have been moved on to Phase 3 of the selection process will be included in the final portfolio selection.

The Cincinnati/Northern Kentucky Social Innovation Fund Oversight Committee will make the final decision on the final portfolio of subgrantees.

- All funding decisions are made at the discretion of the SIF Oversight Committee, taking into consideration input from external reviewers.
- Qualification under the criteria and eligibility requirements listed in the *Request for Proposal* do not entitle an organization to receive funding.
- The SIF reserves the right to reject any and all applicants, in part or in whole; to negotiate with applicants and to award funding to those applicants deemed most likely to contribute to the success of the goals of the Social Innovation Fund.

Subgrantees will be announced on Tuesday, February 1, 2011.

Disclosure of Applicant Information & Review Decisions

The SIF is committed to transparency in its selection process. Because of this, we are committed to making available specific information about the application process, the applicants and the review process, and decisions.

Specifically, the SIF has provided information about the review process in this document. The SIF will provide the following additional information upon request:

- The names of all external reviewers (after the selection process is complete)
- Summary information about the review process decisions and how the selected subgrantees fared in the process
- The name of the lead applicant, contact information for the lead applicant, the name(s) of any project collaborators, and a brief description of all submitted proposals

By submitting a proposal in response to this RFP, the organization and collaborating partners are consenting to allow the SIF to make this information available to the public.

Requirements for Participation in the Cincinnati/Northern Kentucky Social Innovation Fund

SIF subgrantees must comply with the match requirements, SIF and Federal grant policies and participate in all training, technical assistance and project activities including evaluation and learning circles.

Matching Funds

Subgrantees will match the SIF funds received (dollar-for-dollar, cash). Any organization that receives funding under this Request for Proposals is responsible for securing the necessary matching funds. Matching funds may come from State, local, or private sources, which may include State or local agencies, businesses, private philanthropic organizations, or individuals. Federal funds, including Federal block grants being distributed by state or local governments, may not be used towards the match requirement.

Organizations may use existing resources to meet match requirements, however organizations must be able to demonstrate that SIF funds are not being used to supplant existing resources.

The value of any in-kind goods or services provided to the applicant cannot be included in the proposed or final budgets. In cases of collaborative applications, only cash contributions from partner organizations may count towards the match.

SIF and Federal Grant Policies

All recipients of grant funds through this competition will be required to comply with SIF and federal policies.

SIF grant funds may not be used for:

- Fundraising, capital campaigns or requests for facility construction (although project related equipment may be included in requests)
- Overhead expenses greater than 8% of direct costs
- Payment to registered lobbyists for lobbying purposes
- Endowment funds
- Individuals
- Private, for-profit entities

- Religious organizations for religious purposes
- Political causes
- Payment of retroactive expenses or deficit reduction or forgiveness

All SIF subgrantees must also comply with federal grant policies pertaining to Nonprocurement Debarment and Suspension, Drug-Free Workplace, Non-Discrimination, and Trafficking in Persons.

Additionally, SIF subgrantees must comply with the requirements of the National and Community Service Act of 1990, as amended by the Serve America Act, codified as 42 U.S.C. 12501 et seq. Subgrantees are expected to comply with the federal cost principles, administrative requirements and audit requirements applicable to their agency, as detailed in the relevant Office of Management and Budget Circulars (http://www.whitehouse.gov/omb/circulars_default).

Meetings and External Evaluation

In addition to the funds to be awarded successful applicants, the SIF will provide for periodic meetings of subgrantees to offer technical assistance on shared issues regarding project design and implementation. The SIF will retain the services of an evaluation consultant to assist in initiative evaluation. Both of these investments are distinct from the reporting and monitoring requirements that will be outlined specifically in grant agreements.

It should be noted that while applicants have flexibility in demonstrating evidence of effectiveness in terms of the measurable indicators, if selected for participation, organizations will be asked to broaden their evaluation efforts to determine effectiveness in impacting additional measurable indicators related to the SIF priority outcomes.

Application Review Criteria

Criteria Category	Weight	Criteria
Project Effectiveness & Design	55%	A. Targeted Community and Priority Outcome
		B. Statement of Need or Benefit
		C. Evidence of Project Effectiveness or Impact
		D. Project Evaluation Plan
		E. Project Description and Methodology
Organizational Capacity & Leadership	30%	A. Organization Background and Profile
		B. Organizational Strengths and Challenges
		C. Financial Strengths and Grant Management Experience
		D. Data-Driven Decision Making Strategies
		E. Culture of Innovation
Cost Effectiveness & Budget Adequacy	15%	A. Budget and Project Design
		B. Match Funding

The specific descriptions of the selection criteria are listed below. The selection criteria are categorized as either eligibility criteria or application review criteria.

Reviewers will first assess an application against the eligibility criteria. If this review shows that an application does not meet any one of the eligibility criteria specified below, the application will not be further reviewed. All eligible applications will be fully reviewed and assessed based on both the eligibility and application review criteria.

The first two criteria categories will be addressed in the Proposal Narrative. To best respond to the criteria, we suggest you address each question, suggestion, or bullet as it may pertain to your project. However, these recommendations on addressing the criteria are not exhaustive. Applicants should be careful to specifically address the eligibility and application review criteria to the maximum extent practical while maintaining the space limitations of the proposal.

Project Effectiveness & Design (55%)

A. Targeted Community and Priority Outcome

Eligibility Criteria

To maximize impact of the SIF project we are looking to fund organizations and/or collaboratives that are serving low-income communities in Cincinnati, Covington and Newport to address one or more of the following priority outcomes:

- *Kindergarten Readiness*
- *Fourth Grade Reading*
- *High School Graduation and College Preparedness*
- *Postsecondary Education Enrollment and Completion*
- *Sustained Employment*

While projects do not need to be physically located in the target communities, the SIF has a strong preference for projects with a majority of program participants who are residents of those communities.

In the area of sustained employment, preference will be given to projects proposing to serve a majority of participants who are 18-25 years old.

The proposal narrative must provide evidence of the applicant's experience working within the targeted geography and the issue area and priority outcome.

Addressing the Eligibility Criteria

1. Describe the target community or communities the project proposes to serve
2. Describe the population within the community the project proposes to serve (include the percentage of proposed program participants who are residents of the target communities and the ages of proposed program participants)
3. State the priority outcome this project intends to address. Describe the organization's experience in working towards this outcome.

B. Statement of Need or Benefit

Eligibility Criteria

The SIF project is interested in funding organizations and/or collaboratives that address a critical unaddressed or unmet need within one of the target communities, as it relates to a priority outcome. The proposal narrative must provide evidence of the applicant's knowledge of the community need or how the proposed project will benefit the targeted community.

Addressing the Eligibility Criteria

1. Describe the problem, challenge or need within the community or population that is unaddressed or unmet, OR the community benefit the project will impart
2. Provide the research, statistic(s) or evidence that shows this need or benefit exists

C. Evidence of Project Effectiveness or Impact

Eligibility Criteria

The SIF is not only looking for innovative "big ideas" but also effective community solutions. Applicants should demonstrate how existing projects have proven to be effective. Applicants should describe existing evidence of project effectiveness.

The SIF will use the following definitions of impact and evidence (these definitions are consistent with the Corporation for National and Community Service):

- *Strong impact means an impact with a substantial likelihood of yielding a major change in life outcomes for individuals or improvements in community standards of living. This definition will vary with context. To give examples, a mentoring program that cut youth crime by two percent over a given period would not have a strong impact, but a program that cut such crime by 20 percent could. A program that increases earnings by \$50 per week for one month, and then fades out, would not have a strong impact. A program that increased earnings by this amount for a period of years would.*
- *Strong evidence means evidence from previous studies whose designs can support causal conclusions (i.e., studies with high internal validity), and studies that in total include enough of the range of participants and settings to support scaling up to the State, regional, or national level (i.e., studies with high external validity). The following are examples of strong evidence: (1)*

More than one well-designed and well-implemented experimental study or well-designed and well-implemented quasi-experimental study that supports the effectiveness of the practice, strategy, or program; or (2) one large, well-designed and well-implemented randomized controlled, multisite trial that supports the effectiveness of the practice, strategy, or program.

- *Moderate evidence means evidence from previous studies whose designs can support causal conclusions (i.e., studies with high internal validity) but have limited generalizability (i.e., moderate external validity), or studies with high external validity but moderate internal validity. The following would constitute moderate evidence: (1) At least one well-designed and well-implemented experimental or quasi-experimental study supporting the effectiveness of the practice strategy, or program, with small sample sizes or other conditions of implementation or analysis that limit generalizability; (2) at least one well-designed and well-implemented experimental or quasi-experimental study that does not demonstrate equivalence between the intervention and comparison groups at program entry but that has no other major flaws related to internal validity; or (3) correlational research with strong statistical controls for selection bias and for discerning the influence of internal factors.*
- *Preliminary evidence means evidence that is based on a reasonable hypothesis supported by research findings. Thus, research that has yielded promising results for either the project, or a similar program, will constitute preliminary evidence and will meet the SIF's criteria. Examples of research that meet the standards include: 1) outcome studies that track program participants through a service "pipeline" and measure participants' responses at the end of the program; and 2) pre- and post-test research that determines whether participants have improved on an outcome of interest.*

Addressing the Eligibility Requirements

1. State the level of evidence of effectiveness for the proposed project (Preliminary, Moderate or Strong Evidence; or Strong Impact)
2. Describe a summary of recently completed specific evaluations, studies and research conducted by the organization on the proposed project (provide a link to any available reports). Specifically, describe the a) type of evaluation, b) research question that was answered, c) the population studied, d) the results of the evaluation, and e) the interpretation of those results.
3. Describe past project achievements expressed in terms of both:
 - Direct impact
 - Systemic impact (influence on the underlying system that is creating the targeted problem, such as government policy, social norms, or industry practices)
4. For projects that are not currently operating, provide a description of the project hypothesis and specific research that supports it (cite the research and provide a link to any online reports)

D. Project Evaluation Plan

Application Review Criteria

The SIF expects to fund applicants with rigorous evidence of effectiveness. The SIF expects that all grantees will have a clear and detailed plan for evaluating the impact of the project activities and that projects without at least moderate evidence will present a plan to increase the level of evidence of project effectiveness.

Addressing the Review Criteria

1. If the project can demonstrate only a preliminary evidence of effectiveness, describe program plans to increase the evidence of effectiveness through rigorous evaluation (the research question to be answered, the design of evaluation, and population to be studied)
2. Describe plans for additional evaluation during replication/expansion. Specifically address what the research question is that will be addressed and what population will be studied
3. Describe how the organization disseminates knowledge and data to other organizations and the field

E. Project Description and Methodology

Application Review Criteria

The SIF is interested in applications from organizations proposing a wide range of strategies to effectively impact the priority outcomes. A clear description of the project activities is required for the proposal.

Addressing the Review Criteria

1. Summary description of overall project
2. Description of goals and objectives for project and how those goals relate to the priority outcomes of the SIF
3. Description of how goals relate to the established evidence of effectiveness
4. Timetable for implementation of project
5. Goals for organizational growth relating to the project replication or expansion
6. Organizational capacity building activities to support replication or expansion
7. List collaborators on the project and describe their roles
8. Unique position of organization to address the need or benefit (e.g., skills, location, etc.)
9. Organizational or community factors that may accelerate or decelerate replication/expansion and how the applicant proposes to deal with or leverage these factors
10. Organizational capacity needs to support the project replication/expansion

Organizational Capacity & Leadership (30%)

A. Organizational Background and Profile

Application Review Criteria

The SIF is interested in supporting organizations that have a history of addressing the proposed issue areas and have diverse relationships in the targeted communities.

Addressing the Review Criteria

1. Provide a brief history of the organization as it relates to working within the target geographic community, working with low-income communities, and working within the issue area.
2. Provide the mission and vision of the organization and how the proposed project supports that mission and vision

3. Briefly describe other key programs and services not covered by the proposed project
4. Describe key collaborators and relationships that advance your work in the community

B. Organizational Strengths and Challenges

Application Review Criteria

One of the key determinants of success or failure of replication and expansion efforts is organizational leadership – both in terms of how an organization is led and how it leads others in the community. The SIF expects to partner with successful applicants not only to expand or replicate effective projects but also to build organizational capacity to sustain those projects. It is critical that successful applicants be able to conduct honest self-assessment of key strengths and challenges.

Addressing the Review Criteria

1. Describe the organization's core competencies or organizational expertise
2. Describe the organization's key strategic advantages and/or challenges as they relate to expanding/replicating the proposed project
3. Describe the organization's key operational challenges (related to the ability to operate the organization successfully on a day-to-day basis)
4. Describe the organization's key human resource challenges
5. Describe how the organizational leadership will provide support for expansion or replication and how the leadership capacity will be built to sustain the work over time
6. Describe examples of how the organization provides leadership within the community to be served and/or the community of nonprofit organizations working in the same issue area

C. Financial Strength & Financial Management Capacity

Application Review Criteria

As one of the eligibility requirements, all applicants must provide a 1:1 cash match for every grant. In addition, the SIF is particularly interested in investing in financially strong organizations where the likelihood for sustainability is high.

Addressing the Review Criteria

1. Describe the diversity and stability of the organization's funding streams
2. State the organization's three largest funding sources and the percentage of the organizational budget represented by each source
3. Describe the organization's ability to meet the match requirements (25% must be committed by the time of application)
4. Describe the organization's ability to sustain funding in the initiative after the grant period concludes
5. Describe the organization's history of managing large grants including federal grants and detail the organization's capacity for doing so

D. Data-driven Decision Making Strategies

Application Review Criteria

The SIF is particularly interested in supporting and rewarding organizations with a demonstrated history and commitment to using data to improve and continuously improve program and organizational performance. Technical assistance for subgrantees will partially focus on developing and implementing a rigorous continuous improvement process.

Addressing the Review Criteria

1. Describe the organization's process for reviewing organizational and program data and incorporating that data into planning
2. Describe the organization's management, organizational and/or technological resources that are in place to support data-driven decision making
3. Provide specific examples of how the organization has used rigorous evaluation in organizational management including investment of resources
4. Provide specific examples of the use of rigorous evaluation data to drive program improvement and increase the organization's base of evidence of how the proposed project is working

E. Culture of Innovation

Application Review Criteria

The SIF is interested in supporting applicants with a demonstrated commitment to innovation and supporting innovative ideas.

Addressing the Review Criteria

1. Describe the organization's processes for developing significant new ideas, evaluating whether or not the organization should invest in a new idea, and developing plans to carry them out
2. Describe the organization's goal setting processes
3. Describe the opportunity that currently exists for replicating or expanding the proposed innovation
4. Describe the organization's management, organizational and/or technological resources that are in place to support innovation
5. Describe the organization's ability to leverage community resources to provide cost effective support of organizational programs, and give specific examples of successes in this area

Cost Effectiveness & Budget Adequacy (15%)

A. Budget and Project Design

Application Review Criteria

In evaluating the cost effectiveness and budget adequacy of the proposed project, the SIF will consider:

- *Whether the proposed project is cost-effective based on:*
 - *The extent to which the proposed project demonstrates diverse, non-SIF resources for project implementation and sustainability*
 - *The extent to which the organization is proposing to provide more than the minimum required share of the costs of the proposed project*

- *Whether the proposed budget is adequate to support the project's design*

Addressing the Review Criteria

1. Provide specific details of the project expenses, e.g., title and role for each project staff, cost and use of individual equipment, etc. Please indicate whether the cost is budgeted to the SIF funds or the match funds. For Contracts and Consultants, please provide a breakdown of the individual categories for each contractual relationship.
2. Demonstrate how the proposed project has or will obtain diverse non-SIF and non-Federal resources for program implementation and sustainability
3. Discuss the adequacy of the budget to support the proposed project design including how it is sufficient to support project activities and how it is linked to the desired outputs and outcomes. Specifically, describe and quantify in detail the costs associated with the proposed project's expansion/replication, project evaluation and the organizational capacity building activities. Include costs *that may be paid for with resources* other than Federal or matching funds.

B. Match Sources

Eligibility Criteria

At the time of submission of the application, applicants must demonstrate either cash-on-hand or commitments (or a combination thereof) toward meeting 25 percent the first year's matching funds, based on the amount of SIF grant request.

Addressing the Eligibility Criteria

- Applicants may demonstrate cash-on-hand by a statement from the Chief Financial Officer or other officer that the organization has established a reserve of otherwise uncommitted funds for the purposes of performing a SIF grant. Applicants may demonstrate commitments by a dated and signed letter from each donor/foundation, indicating the amount of funds committed for the specific use of supporting the SIF grant. Such a letter must contain a firm commitment to provide the applicant the stated funding upon award of a SIF grant.

Application Review Criteria

In addition to the match eligibility criteria, the SIF will evaluate the extent to which you have a combination of cash-on-hand or commitments to meet the full match requirements, and whether your organization will be able to provide financial resources for your SIF project beyond the minimum required match.

Addressing the Application Review Criteria

- Describe the additional commitments the organization plans to secure, and how they will be secured. In the budget, the sources of match funds must be listed.
- Describe the extent to which the organization proposes to provide matching funds in excess of the minimum requirement

Appendix A – APPLICATION TIMELINE

Friday, October 1, 2010	Cincinnati/Northern Kentucky Social Innovation Fund Request for Proposals (RFP) Released
Monday, October 11 10:00 am - 12:00 pm	<u>Optional Training:</u> RFP Overview Session Registration required
Friday, October 15 4:30 pm	Deadline for <u>receipt</u> of Letter of Intent
Wednesday, October 20 8:30 am - 12:00 pm	<u>Required Training:</u> Continuous Improvement/Project Effectiveness Pre-Proposal Training Registration required <i>* Only required to attend one of these three sessions.</i>
Thursday, October 21 8:30 am - 12:00 pm	
Tuesday, October 26 1:30 pm - 5:00 pm	
Thursday, November 4	<u>Optional:</u>
Thursday, November 11	Pre-proposal Technical Assistance Webinars to address frequently asked questions about the application process
Friday, November 19 4:30 pm	Deadline for <u>receipt</u> of full proposal
December 2010	Phase 1: Proposal Review
January 2011	Phase 2: Site Visits and Organizational Interviews Phase 3: Portfolio Selection
Tuesday, February 1, 2011	Grant Awards Announcement

Appendix B – LETTER OF INTENT

- The Letter of Intent must be submitted on the required Letter of Intent form (in a Word document) by email, no later than 4:30 p.m. on Friday, October 15, 2010 to sif@uwgc.org.
- An electronic copy (Word document) of the required Letter of Intent form is available for download at www.cincysif.org/rfp.

NAME OF APPLICANT ORGANIZATION: (or lead applicant)			
STREET ADDRESS:			
CITY, STATE, ZIP:			
CONTACT PERSON & TITLE:			
CONTACT PERSON'S PHONE:		EMAIL:	
PARTNERS (if applicable): Please list the organizations' full name			
PROJECT TITLE:			
BRIEF DESCRIPTION OF THE PROJECT: (2-3 sentences)			
TAX EXEMPT STATUS:	<input type="checkbox"/> 501(c)(3)	If not a 501(c)(3), state the tax exempt status:	
GEOGRAPHY: (check all that apply)	<input type="checkbox"/> Cincinnati	<input type="checkbox"/> Covington	<input type="checkbox"/> Newport
ISSUE AREA: (check all that apply)	<input type="checkbox"/> Youth Development and School Support		<input type="checkbox"/> Economic Opportunity
PRIORITY OUTCOMES: (check all that apply)	<input type="checkbox"/> Kindergarten Readiness <input type="checkbox"/> Fourth Grade Reading <input type="checkbox"/> High School Graduation and College Preparedness <input type="checkbox"/> Postsecondary Education Enrollment and Completion <input type="checkbox"/> Sustained Employment		
EXPECTED REQUEST (state as a range):			
STATEMENTS OF ASSURANCES:	<input type="checkbox"/> The applicant organization understands that as an eligibility requirement of the Cincinnati/Northern Kentucky Social Innovation Fund, it is required to provide a cash match equal to the amount of the award. Applicants must demonstrate commitment of 25% of the match funds by the submission date for the application to be eligible for consideration. <input type="checkbox"/> The applicant organization agrees that if awarded it will comply with SIF and Federal grant policies and will participate in all training, technical assistance and project activities including evaluation and learning circles.		

<p>A STATEMENT OF THE CURRENT LEVEL OF EVIDENCE FOR THE PROPOSED INITIATIVE: (See pages 12-13 of the RFP)</p>	
<p>A STATEMENT OF THE APPLICANT'S EXPERIENCE WITH THIRD PARTY EVALUATION:</p>	

Appendix C – EXECUTIVE SUMMARY

- The Executive Summary must be completed on the required form and submitted via email by the deadline to sif@uwqc.org.
- An electronic copy (Word document) of the form is available for download at www.cincysif.org/rfp
- A paper copy of the Executive Summary must also be included with the full proposal.

NAME OF APPLICANT ORGANIZATION: (or lead applicant)			
STREET ADDRESS:			
CITY, STATE, ZIP:			
CONTACT PERSON & TITLE:			
PHONE:		EMAIL:	
FAX:		WEB:	http://
ORGANIZATION'S ANNUAL OPERATING BUDGET:	\$		
TAX EXEMPT STATUS:	<input type="checkbox"/> 501(c)(3)	If not a 501(c)(3), state tax exempt status on the line below	
FEDERAL TAX ID NUMBER:			
GEOGRAPHY: (check all that apply)	<input type="checkbox"/> Cincinnati <input type="checkbox"/> Covington <input type="checkbox"/> Newport		
ISSUE AREA: (check all that apply)	<input type="checkbox"/> Youth Development and School Support <input type="checkbox"/> Economic Opportunity		
PRIORITY OUTCOMES: (check all that apply)	<input type="checkbox"/> Kindergarten Readiness <input type="checkbox"/> Fourth Grade Reading <input type="checkbox"/> High School Graduation and College Preparedness <input type="checkbox"/> Postsecondary Education Enrollment and Completion <input type="checkbox"/> Sustained Employment		
PROJECT TITLE:			
PROJECT TIME FRAME: (mm/dd/yyyy – mm/dd/yyyy)			
AMOUNT OF PROJECT BUDGET:			
AMOUNT OF SIF REQUEST:			

PROJECT DESCRIPTION – Word Limit: 300

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PARTNER ORGANIZATIONS

NAME OF PARTNER ORGANIZATION:		
STREET ADDRESS:		
CITY, STATE, ZIP:		
CONTACT PERSON & TITLE:		
CONTACT PERSON'S PHONE:	EMAIL:	
NAME OF PARTNER ORGANIZATION:		
STREET ADDRESS:		
CITY, STATE, ZIP:		
CONTACT PERSON & TITLE:		
CONTACT PERSON'S PHONE:	EMAIL:	
NAME OF PARTNER ORGANIZATION:		
STREET ADDRESS:		
CITY, STATE, ZIP:		
CONTACT PERSON & TITLE:		
CONTACT PERSON'S PHONE:	EMAIL:	
NAME OF PARTNER ORGANIZATION:		
STREET ADDRESS:		
CITY, STATE, ZIP:		
CONTACT PERSON & TITLE:		
CONTACT PERSON'S PHONE:	EMAIL:	

Attach additional sheet for partner organizations, if necessary

Appendix D – PROPOSAL NARRATIVE FORM

- The Proposal Narrative must be completed on the required form and then printed for submission
- The Proposal Narrative may be no more than 15 pages in length, single-spaced, and typed in 11-point Arial font with 1-inch margins
- An electronic copy (Word document) of the Proposal Narrative is available for download at www.cincysif.org/rfp

Project Effectiveness & Design (55%)

A. Targeted Community and Priority Outcome

1. Describe the target community or communities the project proposes to serve
2. Describe the population within the community the project proposes to serve (include the percentage of proposed program participants who are residents of the target communities and the ages of proposed program participants)
3. State the priority outcome this project intends to address. Describe the organization's experience in working towards this outcome.

B. Statement of Need or Benefit

1. Describe the problem, challenge or need within the community or population that is unaddressed or unmet, OR the community benefit the project will impart
2. Provide the research, statistic(s) or evidence that shows this need or benefit exists

C. Evidence of Project Effectiveness or Impact

1. State the level of evidence of effectiveness for the proposed project (Preliminary, Moderate or Strong Evidence; or Strong Impact)
2. Describe a summary of recently completed specific evaluations, studies and research conducted by the organization on the proposed project (provide a link to any available reports). Specifically, describe the a) type of evaluation, b) research question that was answered, c) the population studied, d) the results of the evaluation and e) the interpretation of those results.
3. Describe past project achievements expressed in terms of both:
 - a. Direct impact
 - b. Systemic impact (influence on the underlying system that is creating the targeted problem, such as government policy, social norms, or industry practices)
4. For projects that are not currently operating, provide a description of the project hypothesis and specific research that supports it (cite the research and provide a link to any online reports)

D. Project Evaluation Plan

1. If the project can demonstrate only a preliminary evidence of effectiveness, describe project plans to increase the evidence of effectiveness through rigorous evaluation (the research question to be answered, the design of evaluation, and population to be studied)

2. Describe plans for additional evaluation during replication/expansion. Specifically address what the research question is that will be addressed and what population will be studied
3. Describe how the organization disseminates knowledge and data to other organizations and the field

E. Project Description and Methodology

1. Summary description of overall project
2. Description of goals and objectives for project and how those goals relate to the priority outcomes of the SIF
3. Description of how goals relate to the established evidence of effectiveness
4. Timetable for implementation of project
5. Goals for organizational growth relating to the project replication or expansion
6. Organizational capacity building activities to support replication or expansion
7. List collaborators on the project and describe their roles
8. Unique position of organization to address the need or benefit (e.g., skills, location, etc.)
9. Organizational or community factors that may accelerate or decelerate replication/expansion and how the applicant proposes to deal with or leverage these factors
10. Organizational capacity needs to support the project replication/expansion

Organizational Capacity & Leadership (30%)

A. Organizational Background and Profile

1. Provide a brief history of the organization as it relates to working within the target geographic community, working with low-income communities, and working within the issue area.
2. Provide the mission and vision of the organization and how the proposed project supports that mission and vision
3. Briefly describe other key programs and services not covered by the proposed project
4. Describe key collaborators and relationships that advance your work in the community

B. Organizational Strengths and Challenges

1. Describe the organization's core competencies or organizational expertise
2. Describe the organization's key strategic advantages and/or challenges as they relate to expanding/replicating the proposed project
3. Describe the organization's key operational challenges (related to the ability to operate the organization successfully on a day-to-day basis)
4. Describe the organization's key human resource challenges
5. Describe how the organizational leadership will provide support for expansion or replication and how the leadership capacity will be built to sustain the work over time
6. Describe examples of how the organization provides leadership within the community to be served and/or the community of nonprofit organizations working in the same issue area

C. Financial Strength & Financial Management Capacity

1. Describe the diversity and stability of the organization's funding streams
2. State the organization's three largest funding sources and the percentage of the organizational budget represented by each source
3. Describe the organization's ability to meet the match requirements (25% must be committed by the time of application)
4. Describe the organization's ability to sustain funding in the initiative after the grant period concludes
5. Describe the organization's history of managing large grants including federal grants and detail the organization's capacity for doing so

D. Data-driven Decision Making Strategies

1. Describe the organization's process for reviewing organizational and program data and incorporating that data into planning
2. Describe the organization's management, organizational and/or technological resources that are in place to support data-driven decision making
3. Provide specific examples of how the organization has used rigorous evaluation in organizational management including investment of resources
4. Provide specific examples of the use of rigorous evaluation data to drive program improvement and increase the organization's base of evidence of how the proposed project is working

E. Culture of Innovation

1. Describe the organization's processes for developing significant new ideas, evaluating whether or not the organization should invest in a new idea, and developing plans to carry them out
2. Describe the organization's goal setting processes
3. Describe the opportunity that currently exists for replicating or expanding the proposed innovation
4. Describe the organization's management, organizational and/or technological resources that are in place to support innovation
5. Describe the organization's ability to leverage community resources to provide cost effective support of organizational programs, and give specific examples of successes in this area

Appendix E – PROJECT BUDGET

- The Project Budget must be completed on the required form and then printed for submission
- An electronic copy (Excel document) of the Project Budget is available for download at www.cincysif.org/rfp

Budget – Years 1 & 2

A proposed budget for years 1 and 2 of the project must be submitted with the full proposal. The budgets should describe how grant funds will be used to effectively support activities described in the proposal narrative.

- Do not include unexplained amounts, amounts for miscellaneous or contingency costs, or unallowable expenses such as entertainment costs.
- Round all figures to the nearest dollar.
- For each line item, the SIF portion and the match portion must be shown.
- Refer to the Funding Restrictions in this section for information on allowable costs in Federal grants.

Budget Category Descriptions & Instructions

The budget is divided into four categories, with related subcategories. The following definitions of each category and subcategory give more insight into what should be included in the budget.

On the budget form, include the total amounts for each subcategory; in the budget narrative, please provide specific details of the project expenses, e.g., title and role for each project staff, cost and use of individual equipment, etc. On both the budget form and in the budget narrative, please indicate whether the cost is budgeted to the SIF funds or the match funds. For Contracts and Consultants, please provide in the budget narrative a breakdown of the individual categories for each contractual relationship.

I. Personnel

This category should capture all the personnel costs required to perform the project. SIF funds may not supplant existing funding for any current positions included in the budget. Costs identified under Personnel should be exclusively for project staff who are employees of the applicant organization. Costs for project staff that are not employees of the organization should be included under Purchased Services.

The Personnel subcategories include:

Project Staff: Time or salary costs attributable to such project staff as project manager, project coordinator, case manager, senior staff, etc. who provide direct input to the project. This subcategory includes staff titles/roles directly related to the technical and professional aspects of the project, such as nurses, epidemiologists, graduate students, research associates, scientists, research analysts, statisticians, economists, etc. This subcategory would **exclude** positions falling under the Administrative Staff and Other subcategories.

Administrative Staff: Administrative support positions (such as receptionist, administrative assistant, project assistant, secretary), general clerical help, temporary help, coders, data entry, phone bank staff (callers), etc.

Other Staff: Any salary costs not covered under the Project Staff and Administrative Staff subcategories.

Fringe Benefits: Should include all federal, state and local taxes as well as health insurance, tuition and other benefits provided to employees. Indicate the percentage used to calculate the fringe benefit costs. If different rates were used for different individuals, use an average on the budget form and explain the individual rates in the narrative for Fringe Benefits. If the rate exceeds 35%, please provide a list of benefits included.

In the budget narrative, provide the following information for each position as it relates to the project:

- Subcategory
- Staff title/role
- The base annual salary of each position
- The FTE (full-time equivalency or percentage of effort). Full-time equivalency represents the total percentage of time, to be funded by the grant, under each personnel subcategory. Please enter the information as a decimal, rounded to the equivalent of a full percent, e.g., .05 for 5%.

II. Other Direct Costs

These are direct non-personnel project-related costs **excluding** consultant fees and contracts. In the budget narrative, state the amount requested for each of the subcategories and in the budget narrative provide the breakdown of subcategory costs by the specific cost.

Office Operations: Includes Supplies, Printing/Duplicating, Telephone, Postage, Service/Maintenance Agreements, Software, Computer Usage and Staff Training (e.g., computer training, time management training, writing and presentation courses, etc.) directly related to the project.

Communications/Marketing: Funds needed to increase awareness and visibility as well as to promote a project. Includes costs such as printing brochures, newsletters, press kits, media training, printing reports, dissemination of findings, and non-personnel website costs devoted to the project.

Travel: Travel by project staff and consultants directly related to the project. Includes costs such as travel to professional meetings to promote the project, travel to perform interviews or surveys and travel to provide project associated interventions. This category would also include any transportation stipends paid to project participants or clients. Such stipends should be described in the budget narrative in terms of eligibility and basis for payment. For local travel, use the mileage reimbursement rate approved by the applicant organization and clearly identify that rate.

Meeting Expenses: Project related expenses for meetings, including meeting room rental, audiovisual equipment rental, slide presentation costs, and meals/refreshments.

Surveys: Costs associated with conducting surveys that do not fall under Personnel or Purchased Services. This would include items such as temporary help (interviewers, data coders, data entry clerks, etc.), polling costs, design and development of survey instruments, mailing of questionnaires, expenses related to telephone surveys (toll calls, 800 lines, additional temporary phone lines ,etc.), printing, and dissemination of findings.

Equipment: Computers, printers, faxes, telephones, postage meters, etc. purchased or leased for the direct use of the project. Itemize the equipment and provide unit and total costs. Computers and other equipment for personnel devoting less than 80% time to project, must be justified as to their sole use for the project or the expense must be adjusted to compensate for non-project uses.

Project Space: Space costs required as a result of this project and adjusted to include only the pro-rated costs of occupied space or the actual cost of additional space requirements. Provide the basis used to calculate the amount requested, e.g. \$10/sq. ft. X 500 sq. ft. = \$5,000, in the budget narrative.

Other: Includes any cost not covered under Other Direct Costs, e.g., purchased information, books, etc.

III. Purchased Services

This category is specifically for Consultants and Contracts.

Consultants: This item represents fees or honoraria paid to individuals for a specific service provided, based on an agreed *per diem* rate. Some examples are technical assistance, speaking fees or service on an advisory committee. The fees and honoraria should not exceed \$500 per day for a full day's work. Higher *per diem* fees must be explained and justified.

Contracts: Agreements entered into with specific deliverables and expectations negotiated for an agreed upon price over a specified period. The salaries and fringe benefits of those working on the project who are not employees of the applicant organization would be included under Contracts. The amount of each contract must be stated, the duration, the deliverables and how the amount requested was determined. If the contractor is not identified, an addendum to the budget narrative will be required once the contract is signed. **No funds can be expended for contracts until this addendum is provided and approved, even if completion is after the awarding of grant funds.**

IV. Indirect Costs

Indirect costs are overhead expenses incurred by the applicant organization as a result of the project but that are not easily identifiable with a specific project. These are administrative expenses that are related to the overall operations and are shared among projects and/or functions. Examples include executive oversight, accounting, grants management, legal expenses, utilities, and facility maintenance.

The approved maximum Indirect Cost rate is 8% of the requested operating costs (Personnel and Other Direct Costs). Indirect costs should not be applied to the Purchased Services category.

Funding Restrictions

If an application is selected for award, the SIF will determine the final amount of the award of federal funds, and will negotiate a final budget. Upon award, compliance with the approved budget will be a material term and condition of the grant agreement with the grantee. Proposed and final budgets may only include allowable costs as defined in the applicable cost principles for the award recipient (<http://www.whitehouse.gov/omb/circulars/index.html>):

- 2 CFR Part 220—Cost Principles for Educational Institutions (OMB Circular A-21)
- 2 CFR Part 225—Cost Principles for State, Local and Tribal Governments (OMB Circular A-87)
- 2 CFR Part 230—Cost Principles for Non-Profit Organizations (OMB Circular A-122).

The proposed and final budgets may only include actual expenditures by the applicant organization. **The value of any in-kind goods or services provided to the applicant cannot be included in the proposed or final budgets.**

The budgets will allocate allowable costs to either the federal or non-federal share of the total budget. The non-SIF share of the budget must equal or exceed the SIF share of the budget (this implements the dollar-for-dollar cash match requirement). There is no requirement that the non-SIF share of the budget "mirror" or be allocated on the same basis as the SIF share of the budget. As described in the OMB cost principles, applicant budgets will include a combination of direct or indirect costs. Applicants may budget for indirect cost rates not to exceed 8% of direct costs.

Sample Project Budget for Year 1

- A budget must be completed for both Year 1 and Year 2.
- On the budget form, include the total amounts for each subcategory; in the budget narrative, please provide specific details of the project expenses, e.g., title and role for each project staff, cost and use of individual equipment, etc.
- On both the budget form and in the budget narrative, please indicate whether the cost is budgeted to the SIF funds or the match funds.

YEAR 1				
Budgeted Expenses		Income Source		
I. PERSONNEL	Amount	SIF	Match	TOTAL MATCH
Project Staff	\$175,000	\$75,000	\$100,000	\$175,000
Administrative Staff	\$28,000	\$0	\$28,000	\$28,000
Other Staff	\$0	\$0	\$0	\$0
Fringe Benefits @ 28%	\$84,840	\$21,000	\$63,840	\$84,840
PERSONNEL SUBTOTAL	\$287,840	\$96,000	\$191,840	\$287,840
II. OTHER DIRECT COSTS				
Office Operations	\$8,100	\$0	\$81,000	\$81,000
Communications/Marketing	\$6,000	\$6,000	\$0	\$6,000
Travel	\$10,750	\$10,750	\$0	\$10,750
Meeting Expenses	\$4,300	\$0	\$4,300	\$4,300
Surveys	\$9,400	\$0	\$9,400	\$9,400
Equipment	\$11,000	\$11,000	\$0	\$11,000
Project Space	\$0	\$0	\$0	\$0
Other	\$18,000	\$18,000	\$0	\$18,000
OTHER DIRECT COSTS SUBTOTAL	\$67,550	\$45,750	\$94,700	\$140,450
DIRECT COSTS SUBTOTAL	\$355,390	\$141,750	\$286,540	\$428,290
III. PURCHASED SERVICES				
Consultants	\$12,000	\$10,000	\$2,000	\$12,000
Contracts	\$125,000	\$100,000	\$25,000	\$125,000
PURCHASED SERVICES SUBTOTAL	\$137,000	\$110,000	\$27,000	\$137,000
IV. INDIRECT COSTS				
Indirect Cost Rate = 6% x Direct Costs Subtotal	\$21,323	\$0	\$21,323	\$21,323
GRAND TOTAL	\$513,713	\$251,750	\$334,863	\$586,613

Appendix F – BUDGET NARRATIVE

- The Budget Narrative must be completed on the required form and then printed for submission
- The Budget Narrative may be no more than 3 pages in length, single-spaced, and typed in 11-point Arial font with 1-inch margins.
- An electronic copy (Word document) of the Budget Narrative is available for download at www.cincysif.org/rfp

Cost Effectiveness & Budget Adequacy (15% - combined with the Project Budget and the Match Documentation)

A. Budget and Project Design

1. Provide specific details of the project expenses, e.g., title and role for each project staff, cost and use of individual equipment, etc. Please indicate whether the cost is budgeted to the SIF funds or the match funds. For Contracts and Consultants, please provide a breakdown of the individual categories for each contractual relationship.
2. Demonstrate how the proposed project has or will obtain diverse non-SIF and non-Federal resources for project implementation and sustainability.
3. Discuss the adequacy of the budget to support the proposed project design including how it is sufficient to support project activities and how it is linked to the desired outputs and outcomes. Specifically, describe and quantify in detail the costs associated with the proposed project's expansion/replication, project evaluation and the organizational capacity building activities. Include costs *that may be paid for with resources other than Federal or matching funds*.

Appendix G – MATCH DOCUMENTATION

- The Match Documentation must be completed on the required form and then printed for submission
- Letters of commitment from funders may be attached to this section
- An electronic copy (Word document) of the Match Documentation is available for download at www.cincysif.org/rfp

Cost Effectiveness & Budget Adequacy (15% - combined with the Project Budget and the Budget Narrative)

B. Match Sources

1. Applicants may demonstrate cash-on-hand by a statement from the Chief Financial Officer or other officer that the organization has established a reserve of otherwise uncommitted funds for the purposes of performing a SIF grant. Applicants may demonstrate commitments by a dated and signed letter from each donor/foundation, indicating the amount of funds committed for the specific use of supporting the SIF grant. Such a letter must contain a firm commitment to provide the applicant the stated funding upon award of a SIF grant.
2. Describe the additional commitments the organization plans to secure, and how they will be secured. In the budget, the sources of match funds must be listed.
3. Describe the extent to which the organization proposes to provide matching funds in excess of the minimum requirement.

Appendix H – ORGANIZATIONAL FINANCIAL INFORMATION

- The Organizational Financial Information must be completed on the required forms and then printed for submission
- An electronic copy (Excel document) of the Organizational Financial Information is available for download at www.cincysif.org/rfp

Organization Balance Sheet & Income Statement

This financial information will help us gather the most relevant and important financial information needed to assess your organization's financial status. The SIF will review the two most recent years of information side-by-side, along with a budget-to-actual comparison for the current year.

Appendix I – GLOSSARY OF KEY TERMS

Capacity Building – intentional, coordinated and mission-driven efforts aimed at strengthening the management and governance of nonprofits to improve their performance and impact. This occurs through organization development activities, such as leadership development, strategic planning, program design and evaluation, board development, financial planning, and management and others.

Collaboration – a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve common goals. Collaboration includes a commitment to: mutual relationships and goals; a jointly-developed structure and shared responsibility; mutual authority and accountability for success; and, sharing outcomes, resources and rewards.

Collaborative – to be considered for SIF investment, a collaborative must demonstrate shared decision-making, shared resources and shared accountability among participating organizations and groups.

College Preparedness – the knowledge, skills and behaviors a student needs in order to enroll and succeed – without remediation – in a credit-bearing general education course at a postsecondary institution.

Cradle-to-Career Continuum – the key milestones, or transition points, in a child’s life from birth to entering kindergarten, moving from elementary to middle school, from middle to high school, high school to college or career training, and from college freshman to sophomore are often points that determine whether or not a child is successful in school and in life. For more information see http://www.strivetogether.org/roadmap_to_success.

Program Evaluation – a systematic study conducted to assess how well a program is working, typically focused on achievement of program objectives. For purposes of the SIF, program evaluation will focus on evidence of the program’s effectiveness in reaching one or more of the SIF priority outcomes.

Expansion (program) – increasing the scope of program to make services more widely available to those in need.

Fourth Grade Reading – the necessary vocabulary, comprehension, and cognitive skills that make up fundamental reading proficiency at the fourth-grade level.

Funders’ Collaborative – a social investment approach in which funders pool financial resources in order to achieve agreed-upon community outcomes. Generally, funders that contribute a threshold amount to the pool participate in decision-making about the oversight and evaluation of the initiative funded by the collaborative.

High School Graduation – the completion of a high school program resulting in receiving a diploma.

Kindergarten Readiness – the foundational knowledge, skills, behaviors, and supports a child needs to succeed – without remediation – in kindergarten and beyond.

Low-income – for purposes of the SIF, low-income is defined as 200 percent or less of the Federal Poverty Level.

Matching Funds – the non-SIF portion of the budget, which must be equal to or greater than the SIF portion of the budget, to meet or exceed the dollar-for-dollar match requirement.

Outcomes – benefits or changes for individuals or populations during or after participation in program activities reflecting a change in knowledge, attitudes, skills, behavioral changes, or changes in condition or status.

Outputs – direct products of program activities and usually measured in terms of the volume of work accomplished; e.g., number of classes taught, counseling sessions conducted, educational materials distributed, and number of participants receiving the service.

Postsecondary Education Completion – a student’s completion of an academic program at an accredited public, private, two- or four-year institution so that a credential, diploma or degree is earned.

Postsecondary Education Enrollment – a student’s enrollment in an academic program at any accredited higher education institution, including public, private, two- and four-year institutions.

Program Effectiveness – for purposes of the SIF, program effectiveness is defined by the evidence of effectiveness described on pages 12-13 of this RFP.

Replication (program) – the act of making an existing effective program available to a new target audience (e.g., geography) while maintaining fidelity to the existing, proven model of service.

SIF Portfolio – the group of organizations selected to receive support from the Cincinnati/Northern Kentucky Social Innovation Fund.

Social Innovation – the development of a potentially transformative practice or approach to meeting critical social challenges. An approach is “transformative” if it not only produces strong impact but also 1) has the potential to affect how the same challenge is addressed in other communities, 2) addresses more than one critical social challenge concurrently, or 3) produces significant cost savings through efficiency gains.

Sustained Employment – the foundational knowledge, skills, behaviors, and supports an individual needs to retain employment for at least one year.

Target Population – a defined set of people that a deliberate action is intended to benefit. A target population may be defined by relationship to a particular program or service (e.g., clients of community shelters for homeless families), by geographic locations (e.g., residents of Eastside neighborhood), by demographic characteristics (e.g., Hispanic children), by relationship to an issue of concern (e.g., recent immigrants who are unemployed), or in other ways.

Appendix J – FULL PROPOSAL APPLICATION CHECKLIST

- Before mailing the proposal, please check to be sure that all pre-proposal requirements have been met and that all the required elements of the full proposal are included for submission.
- Seven (7) copies of the complete Proposal must be received by 4:30 p.m. on Friday, November 19, 2010 at:

For mailed proposals:

United Way of Greater Cincinnati
2400 Reading Road
Cincinnati, OH 45202

For hand-delivered proposals (please note the street address is different than the mailing address):

United Way of Greater Cincinnati
2035 Reading Road
Cincinnati, OH 45202

Pre-proposal Requirements

- Continuous Improvement and Project Effectiveness Information Session (October 20, 21, or 26) - page 4
- The Letter of Intent was submitted by the deadline at 4:30 p.m. on Friday, October 15, 2010 (see page 5)

Full Proposal Components

All components must be completed on the required forms then printed for submission. Electronic copies of the forms are available for download at www.cincysif.org

- Executive Summary (see Appendix C)
 - The Executive Summary must be submitted via email by the deadline to sif@uwgc.org. An electronic copy (Word document) of the form is available for download at www.cincysif.org/rfp. A paper copy of the Executive Summary must also be included with the full proposal.
- Proposal Narrative (see Appendix D)
- Project Budget (see Appendix E)
- Budget Narrative (see Appendix F)
- Match Documentation (see Appendix G)
- Organizational Financial Information (see Appendix H)
- Supporting Documentation (see page 7)

Proposals received after the deadline will not be accepted. Electronic transmissions (fax or email) will not be accepted, with the exception of the Executive Summary as described above.