



**REQUEST FOR PROPOSAL (RFP)
SOCIAL INNOVATION FUND PROJECT EVALUATION**

**UNITED WAY OF CENTRAL INDIANA
3901 N. MERIDIAN STREET
INDIANAPOLIS, IN 46208**

MARCH 22, 2016

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1. SUMMARY AND BACKGROUND

United Way of Central Indiana (United Way) is currently accepting proposals to develop and guide implementation of an evaluation plan for a collective impact initiative to improve family stability through a two generation approach. With the recent release of a Notice of Funding Availability (NOFA) from the Corporation for Community and National Service (CNCS) for the Social Innovation Fund grant program (<http://www.grants.gov/web/grants/search-grants.html>), United Way is currently preparing a proposal for submission to this national competition.

The purpose of this Request for Proposal (RFP) is to solicit proposals from qualified individuals or organizations to develop and direct a rigorous evaluation of all programs and services in the proposed collective impact initiative. The primary goal of the initiative is to improve family stability in targeted Indianapolis neighborhoods through a comprehensive and integrated approach that addresses the multidimensional aspects of instability including education, employment, finances, health and housing.

United Way brings together compassionate people who are committed to improving lives in our community. We are a strategic, mission-driven organization with a clear goal: help all Central Indiana residents achieve and maintain self-sufficiency. We accomplish this goal by focusing on the key areas of community impact that help people learn more, earn more and lead safe and healthy lives.

United Way supports and provides leadership and resources for key community initiatives focused on four priority areas: education, income, health and meeting basic needs. United Way also collaborates with 91 partner agencies through funding, training and technical assistance to achieve specified and measurable outcomes in the four priority areas.

United Way's administrative offices are in Indianapolis, Marion County, Indiana with regional offices located in adjacent counties. United Way's service area includes Boone, Hamilton, Hancock, Hendricks, Marion and Morgan Counties. Additional information about United Way can be found at www.uwci.org.

2. PROPOSAL GUIDELINES

This Request for Proposal represents the requirements for an open and competitive process. Proposals will be accepted until 5:00 pm EST April 4, 2016. Any proposals received after this date and time will be returned to the sender. All proposals must be signed by an official agent or representative of the entity submitting the proposal.

If the organization submitting a proposal must outsource or contract any work to meet the requirements contained herein, this must be clearly stated in the proposal. Additionally, costs included in proposals must be all-inclusive integrating any outsourced or contracted work. Any proposals which call for outsourcing or contracting work must include a name and description of the organizations being contracted.

All costs must be itemized to include an explanation of all fees and costs.

Contract terms and conditions will be negotiated upon selection of the winning bidder for this RFP. All contractual terms and conditions will be subject to review by the United Way's Community Impact team, Strategic Information team and Grants team and will include scope, budget, schedule, and other necessary items pertaining to the project.

3. PROJECT PURPOSE AND DESCRIPTION

The purpose of this project is as follows:

The Social Innovation Fund (SIF), a program of the Corporation for National and Community Service (CNCS), combines public and private resources to grow the impact of innovative, community-based solutions that have compelling evidence of improving the lives of people in low-income communities throughout the United States. The SIF invests in three priority areas: economic opportunity, healthy futures, and youth development. The SIF makes grants to experienced grantmaking institutions that are well-positioned within communities to identify the most promising programs and guide them towards greater impact and stronger evidence of success. In addition to funding, Social Innovation Fund recipients receive significant technical assistance to support implementation of their innovative programs.

The Social Innovation Fund embodies a commitment to use rigorous evidence to both select recipients of federal funding and to validate the impact of its funded program models. The Social Innovation Fund is driven by three core principles: (1) many of the most compelling solutions to persistent social problems in low-income communities are being developed in those communities and not in federal offices in Washington, D.C.; (2) significant impact can be generated for society by proactively identifying the best community-based solutions, strengthening their evidence base, and supporting the growth of their impact; and (3) the federal government can help drive social innovation by stimulating, focusing and enhancing public-private partnerships and cross-sector collaborations to grow the impact of the best community solutions. See Addendum A for further information on SIF.

United Way is currently developing a SIF proposal for the anticipated 2016 funding cycle. This initiative, if funded, would leverage and augment current community assets and initiatives in three Indianapolis geographic "focus areas" (including neighborhoods with high crime rates) to improve the stability of individuals and families through measurable improvement in early childhood education, postsecondary and employment pathways, economic assets, health and well-being and social capital. The expected results would include family economic success, education success for kids, and family development success. See Addendum B for the SIF proposal concept, overarching theory of change and outcomes.

As a SIF grant recipient, United Way would serve as the administrator of the initiative and the grantmaking institution who would award sub-grants to community organizations to support implementation of evidenced-based programs and services pre-defined by United Way.

Project Description:

United Way is seeking a program evaluation consultant or evaluation consulting firm to develop and guide implementation of a rigorous evaluation of programs and services provided as part of a SIF initiative. These programs and services will be provided by sub-recipients selected by United Way in a competitive process.

The Social Innovation Fund has three tiers of evidence: preliminary, moderate, and strong. Social Innovation Fund recipients must fund program models with at least preliminary evidence of effectiveness and support further evaluation of those models in order to increase the level of evidence, thereby adding to the existing evidence base, and developing greater understanding of what makes the program successful. These evaluations must be conducted by an independent third party evaluation partner. It is the expectation of CNCS that each program model will achieve moderate or strong evidence of impact by the end of the three to five-year sub-award period. Reference materials identified later in this RFP provide definitions of the three tiers of evidence.

4. PROJECT SCOPE

The scope of this project includes development and oversight of an evaluation plan that will measure the effectiveness of the overall program model, the specific programs and services delivered by sub-recipients and as well as changes in selected quality of life indicators in the targeted neighborhoods. The evaluation component must also help build the knowledge base for other initiatives addressing similar community issues across the nation. The evaluator will also be tasked with providing technical assistance to United Way and the sub-recipients to build their capacity to meet requirements included in the evaluation plan and to continue to measure the impact of the program model and its services into the future.

The evaluation plan would be fully developed after United Way is awarded a SIF grant. In the early months of the first year of the initiative, the evaluator would work closely with United Way and with direction from CNCS to create a detailed evaluation plan. The SIF evaluation plan should be constructed according to the following outline (suggested lengths for each section are in parentheses below to provide a sense of relative emphasis):

Executive Summary (estimated 1-2 pages)

I. Introduction (estimated 1-2 pages)

- A. Program Background and Problem Definition
- B. Overview of Prior Research
- C. Overview of Study
- D. Connection of this Study to Future Research

II. Program Theory, Logic Model, and Outcomes of Interest (estimated 2-4 pages)

III. Research Questions and Contribution of the Study (estimated 2-4 pages)

- A. Research Questions
 - 1. Impact
 - a. Confirmatory
 - b. Exploratory
 - 2. Implementation
- B. Contribution of the Study

IV. Study Components (estimated 10-15 pages)

- A. Impact Evaluation Design
- B. Implementation Evaluation Design

- C. Sampling, Measures, and Data Collection
 - 1. Sampling
 - a. Sampling Plan and Power Calculation
 - b. Recruitment, Retention, and Informed Consent
 - 2. Measures
 - 3. Data Collection Activities
- D. Statistical Analysis of Impacts
- E. Multiple Outcome Measures

V. Protection of Human Subjects Protocol (estimated 0.5-1 page)

VI. Reporting Results, Timeline, and Budget (estimated 2-4 pages)

VII. Evaluator Qualifications and Independence (estimated 2-4 pages)

VIII. Grantee/Subgrantee Role and Involvement (estimated 0.5-1 page)

The Social Innovation Fund *Evaluation Plan Guidance* should be followed in the development of the plan. This guidance, which includes definitions of tiers of evidence previously mentioned, can be found at

<http://www.nationalservice.gov/sites/default/files/documents/SIF%20Evaluation%20guidance%208%205%202014.pdf>

The evaluator would engage with United Way immediately following conclusion of the vendor selection process. **The initial focus of the evaluator's work will be providing technical support to the United Way team in writing the content for the *Proposal for Evaluation* portion of the application narrative prior to the May 10 application deadline as well as other grant application content deemed appropriate. Work on portions of the SIF grant proposal must be performed by the selected vendor on a pro bono basis. SIF grant funds and matching funds will support evaluator costs incurred after receipt of the SIF award.**

The *Proposal for Evaluation* narrative section of the grant application must address the following criteria:

1. United Way's capacity to ensure successful evaluation(s) of its sub-recipient portfolio as demonstrated by:
 - a. Experience in managing and supporting evaluations of past funded program models;
 - b. Experience influencing and supporting recipients to use evidence to improve program performance;
 - c. Demonstrated ability to apply evidence/evaluation results to decision-making and investment strategies;
 - d. Staff or contractor ability to ensure successful evaluation of their sub-recipients' program models.
2. The quality of United Way's plan to assess sub-recipient applicants for readiness and capacity to implement a rigorous evaluation plan that would achieve moderate or strong levels of evidence over a three to five-year period.

3. The adequacy of United Way's plan to assess needs for and provide technical assistance to sub-recipients as they design, implement, and monitor evaluations of their program models, including a description of the role of staff and contractors.
4. Whether United Way's evaluation strategy is likely to result in funded program models achieving at least moderate levels of evidence over a three to five year grant period.
5. United Way's description of how its budget will support the cost of reasonable evaluation activities that will meet the Social Innovation Fund evaluation requirements.
6. Whether United Way's proposed solution(s) has at least a preliminary level of evidence and has the potential to increase its level of evidence under the Social Innovation Fund, and achieve at least a moderate level of evidence of effectiveness. Research that supports United Way's assessment must be cited.

In addition to addressing the above criteria, the *Proposal for Evaluation* should include:

1. Statement of the primary research questions to be answered base on the overarching theory of change and outcomes (see Addendum B).
2. Discussion of United Way's approach to developing and implementing an evaluation plan and brief discussion of the multi-year plan's major components and implementation timeline.
3. Discussion of the process for implementing the evaluation plan including relationships among United Way, sub-recipients and the evaluator, and delineation of each party's respective roles and responsibilities. This discussion should include the evaluator's approach to assessing United Way's and sub-recipients' technical assistance needs in meeting evaluation requirements of the SIF grant and to providing technical assistance to build evaluation capacity.
4. Identification of short-term outcomes for sub-recipients for each intervention based on the overarching theory of change and outcomes (see Addendum B), and preliminary identification of data to be collected and assessment instruments to be used.
5. Specification of budget requirements to support the evaluation component and rationale for these projected costs.

In response to this RFP, bidders should describe in detail the proposed approach and discussion of resources required to:

1. Assist United Way with the writing of the *Proposal for Evaluation* portion of the SIF grant application narrative;
2. Develop the evaluation plan in collaboration with United Way;
3. Identify required components of the plan including the processes for determining –
 - a. program theory
 - b. logic model
 - c. outcomes of interest
 - d. research questions
 - e. impact evaluation design
 - f. implementation evaluation design
 - g. sampling
 - h. measures
 - i. data collection activities
 - j. statistical analysis of impacts
 - k. multiple outcome measures

4. Guide implementation of the evaluation plan assure the integrity of plan components;
5. Assess and provide technical assistance to United Way and sub-recipients to build evaluation capacity;
6. Work with CNCS and the network of other SIF recipients to build the evidence base for United Way’s proposed program model and for other similar program models; and
7. Retain status of independent evaluator while serving as a technical resource to United Way and its sub-recipients.

Based on the overarching theory of change and outcomes (see Addendum B), each bidder must submit:

- **Initial draft of research questions;**
- **Potential program outcomes for sub-recipients; and**
- **Preliminary identification of evidence-based practices that can achieve these outcomes.**

Each bidder should also describe other activities that the bidder views as essential to fulfilling the role of SIF project evaluator and provider of evaluation technical assistance to United Way and its sub-recipients.

5. REQUEST FOR PROPOSAL AND PROJECT TIMELINE

Request for Proposal Timeline:

All proposals in response to this RFP are due no later than 5:00 pm EST April 4, 2016.

Evaluation of proposals will be conducted from April 4, 2016 until April 7, 2016. If additional information or discussions are needed with any bidders during the review process, the bidder(s) will be notified.

The selection decision for the winning bidder will be made no later than April 8, 2016.

Upon notification, the contract negotiation with the winning bidder will begin immediately. Contract negotiations will be completed by April 15, 2016.

Notifications to bidders who were not selected will be completed by April 8, 2016

6. BUDGET

The bidder’s proposal must include proposed costs to complete the tasks described in the project scope. Costs should be stated as one-time or non-recurring costs (NRC) or monthly recurring costs (MRC). **Indirect costs must not exceed 26% of the total budget.**

Below is a budget template that may be modified to fit each bidder’s proposal.

Category	Amount
Professional fees (include hourly rate)	
Administrative support	
Supplies	
Printing	

Information technology expenses	
Phone	
Postage	
Other	
Total	

Include a budget narrative that explains how all costs were determined and why they are essential for the proposed scope of work.

7. BIDDER QUALIFICATIONS

Bidders should provide the following items as part of their proposal for consideration:

1. Description of experience in program evaluation and evaluation technical assistance that are similar in scope to that required of United Way's envisioned SIF initiative;
2. Discussion of two or more comparable program evaluation and technical assistance projects accompanied by reports or other documentation of the work and results;
3. References or endorsements from two or more customers with whom the bidder conducted comparable projects;
4. Anticipated human resources the bidder will assign to this project (total number, role, title, experience); and
5. Description of the project management methodology to be used

8. PROPOSAL EVALUATION CRITERIA

United Way will evaluate all proposals based on the following criteria. To ensure consideration for this Request for Proposal, the bidder's proposal should be complete and include all of the following criteria:

1. Overall proposal suitability: proposed solution(s) must meet the scope and needs included herein and be presented in a clear and organized manner
2. Organizational Experience: Bidders will be evaluated on their experience as it pertains to the scope of this project
3. Previous work: Bidders will be evaluated on examples of comparable
4. Value and cost: Bidders will be evaluated on the cost of their solution(s) based on the work to be performed in accordance with the scope of this project
5. Technical expertise and experience: Bidders must provide descriptions and documentation of staff technical expertise and experience

Each bidder must submit their proposal electronically to chuck.brandenburg@uwci.org by April 4, 2016 at 5:00 pm EST.

Social Innovation Fund



What is the Social Innovation Fund (SIF)?

The Social Innovation Fund (SIF), a program of the Corporation for National and Community Service (CNCS), combines public and private resources to grow the impact of innovative, community-based solutions that have compelling evidence of improving the lives of people in low-income communities throughout the United States. The SIF invests in three priority areas: economic opportunity, healthy futures, and youth development.

The Social Innovation Fund makes grants to experienced grantmaking institutions that are well-positioned within communities to identify the most promising programs and guide them towards greater impact and stronger evidence of success. These grants range from \$1-\$10 million annually for five years. The recipients then match the federal funds dollar-for-dollar and hold open competitions to identify high-performing nonprofit organizations working in low-income communities that have innovative solutions with evidence of compelling results. Once selected, these nonprofits must also match the funds they receive, and participate in rigorous evaluations of the impact of their programs. The nonprofits share data, lessons learned and results – helping to build the capacity of the social sector and lift-up solutions that can transform lives and communities.

In addition to funding, Social Innovation Fund recipients receive significant technical assistance to support implementation of their innovative programs. Participation in SIF gives recipients greater visibility and plugs them into a national network of funders and nonprofits that are committed to fostering social innovation to improve lives in low-income communities throughout the U.S.

In just five years, the Social Innovation Fund and its private-sector partners have invested more than a half a billion dollars in compelling community solutions. The Social Innovation Fund portfolio represents \$241 million in federal grants and more than \$516 million in non-federal match commitments. To date, the SIF has awarded 35 grantmaking institutions and 189 nonprofits working in 37 states and the District of Columbia.

The Corporation for National and Community Service is a federal agency that engages more than five million Americans in service and champions community solutions through its AmeriCorps, Senior Corps, Social Innovation Fund, and Volunteer Generation Fund programs, and leads the President's national call to service initiative, United We Serve. For more information, visit NationalService.gov.

ADDENDUM B

SIF CONCEPT

Persistent Problem To Be Solved – Instability of low-income families living in selected Indianapolis neighborhoods with the highest crime rates. Family instability encompasses finances (income, assets, debt load, etc.), education (low educational attainment), employment (unemployed, under-employed, low wage jobs), housing (unsafe, unaffordable, precariously housed, etc.), and health (poor health status, health disparities, etc.).

Corporation for National and Community Service (CNCS) Issue Areas – Supported programming would operate in the SIF identified issue areas of Youth Development and Economic Opportunity. Aligned research-based interventions would impact two generations (i.e., households of young adult parents/caregivers and their young children, primarily ages 0-8). Youth development services and initiatives would focus on kids achieving age-appropriate developmental milestones that prepare them for school. Economic Opportunity efforts will focus on continued expansion of the Centers for Working Families network providing or assuring education, training and employment supports customized to individuals' needs.

In addition to core early childhood education and employment and economic assets interventions, neighborhood models will also address the health and well-being of participants and help them develop social capital.

Rationale and Approach

The approach will be to create an education pipeline that helps individuals in the targeted neighborhoods achieve developmental, academic and job skills benchmarks. See attached PowerPoint presentation for a high level, visual representation of the initiative. As a collective impact initiative this SIF project will:

- Create a common agenda to improve family stability;
- Define shared measurable goals focused on early development, school success and career preparation;
- Coordinate activities needed to achieve benchmarks along the pipeline using existing assets and resources and developing new ones where gaps exist;
- Develop communication channels and process to assure coordination, course adjustments and accountability; and
- Identify UWCI, the SIF grantmaker, as the organizational backbone of the initiative with dedicated staff with the requisite skills for leading the overall effort and coordinating activities of partners.

Operational Model – Our operational model will be geographic-based as we address family instability across a number of interconnected issues (primarily to be focused on education and employment) in three urban areas in Indianapolis that include neighborhoods with high crime rates and other social and economic challenges commonly occurring in low-income and under resourced communities.

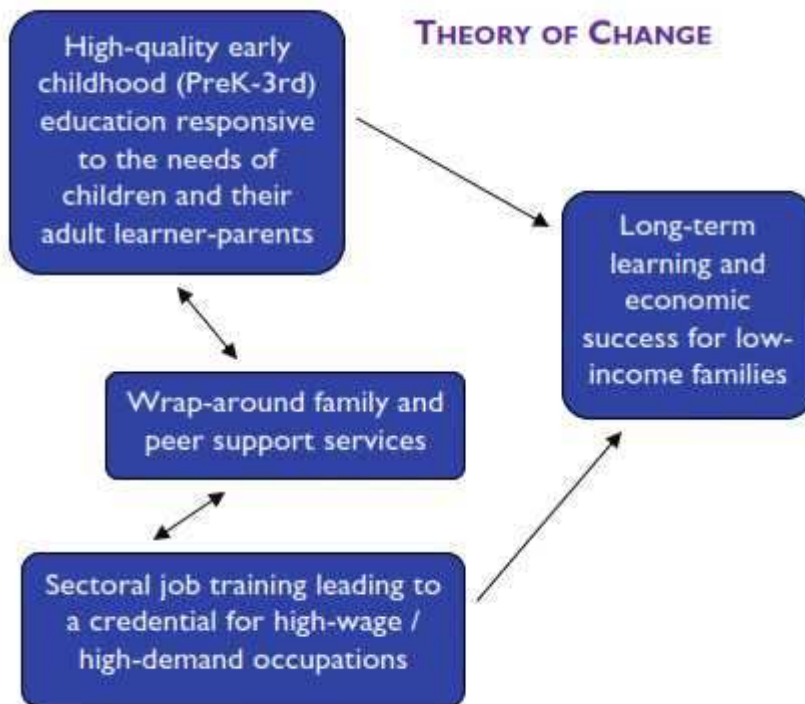
Problem documentation – We will need to share data that supports the size and severity of family instability in the targeted neighborhoods. Data may include:

- Small geography poverty data (zip code, census tracts, etc.)
- Key demographics in neighborhoods that illustrate disparate impact (race, ethnicity, resident status, marital status, household composition, etc.)

- Employment and income (unemployment rates, income inequality, etc.)
- Educational opportunities and attainment (e.g., quality early childhood education “seats”, etc.)
- Early grade reading (ISTEP+ ELA and Read IREAD 3 pass rates, high school graduation rates, percent of age 25 and older population with H.S. degree or greater)
- Crime data (personal and property)
- Housing (costs, values, vacant properties, percent of residents in public or subsidized housing, etc.)

Document that current solutions are insufficient – How do we document that some of what’s operating on the ground currently is working, but is not of sufficient scale to move key indicators of family stability? We can show good outcomes at an individual program level for clients/customers/participants (i.e., we can show good outcomes in the CWF network, in the Nurse Family Partnership program and in others listed in the strategy menu below), but demonstrate that not enough people are being impacted to show much improvement at the neighborhood level as reflected in the above data.

Theory of Change – We will need to develop a logic model that illustrates how we envision our resources, activities, outputs and outcomes (short-term, intermediate and long-term) being connected in correlational and/or causal ways to improve family stability. One depiction of this chain of logic comes from Dual-Generation Strategy Initiative Research Brief, February 2012:



Strategies – We will implement the type of funding strategies identified in the SIF application as “Strategy B.” UWCI as the recipient grantmaker will develop a “menu” of two-generation strategies that are evidenced-based (including program models that span the three tiers of evidence defined in the SIF application) for potential sub-recipients to choose from. The single

or multiple strategies incorporated into sub-recipient grant applications will vary based on the needs and assets in each of the targeted neighborhoods.

The strategy “menu” could potentially include:

- Prenatal and early childhood home visiting
- High quality early child education as determined by Levels 3 and 4 In PTQ or accreditation
- Family engagement services
- Safe and affordable housing
- Early literacy programs
- Community Schools (PIEs in IPS)
- Out-of-school positive youth development (including licensed school-age child care)
- Centers for Working Families (employment and financial coaching, income supports)
- Training and employment services (EmployIndy, sectoral partnerships, credential-based training, etc.)
- Post-secondary, career-track education and training
- Wraparound family and peer support (including access to behavioral health services and “executive” skill building)

We will need to identify tiers of evidence for specific programs/practices in the above menu. We will need to describe how combinations of services from the menu will be “innovative,” more effective and bring about positive change faster.

Outcomes that we may want to posit from our theory of change include:

- Family economic success and upward mobility (connect this with UWCI’s community income goal of reducing families who spend more than 30% of income on housing).
 - ✓ Increased access to public benefits
 - ✓ Increased net income
 - ✓ Increased net worth (savings/assets)
 - ✓ Improved credit scores/reduced debt load
 - ✓ Enrollment and completion of education and training programs
 - ✓ Employment and job retention
 - ✓ Safe, affordable and stable housing
- Education success for children (connect this with UWCI’s community education goals of high quality child care, 3rd grade reading and high school graduation)
 - ✓ Attending high quality early childhood education provider
 - ✓ Increased capacity of accessible and affordable high quality early care and education
 - ✓ Kindergarten readiness
 - ✓ Reading proficiency (3rd grade ISTEP ELA and IREAD 3 pass rates)
- Family “development” success
 - ✓ Improved parenting skills
 - ✓ Increased family engagement in children’s education and development
 - ✓ Building social capital through growing support systems and community engagement

Sub-recipient Selection – We will be required to manage an open RFP process as the selection vehicle for re-granting SIF funds. A minimum of 80% of the SIF grant has to be invested with sub-recipients. The minimum sub-award is \$100,000 and should be for a 3- to 5-year term.

Our approach will be to seek out one or more subrecipients who would coordinate the work in each of the targeted neighborhoods. We will request proposals that demonstrate applicants' capacity to develop and implement a comprehensive neighborhood initiative comprised of programs and services from the strategy menu and designed to achieve the outcomes previously identified.

Applicants will be asked to identify how they (and their partners) connect to and engage with current initiatives that are relevant to this SIF concept. We are particularly interested in their engagement with quality of life plan efforts, the City's 2020 plan, UWCI's early childhood education 10-year plan, Marion County Re-entry Coalition, CWF network and Your Life Matters. We want subrecipients to build on these existing efforts and to integrate proposed new interventions into these frameworks. The operation of integrated programs and services intentionally delivered in neighborhoods with robust community development efforts will be highlighted as the primary innovative characteristic of the project.

Community Centers are an obvious target for the RFP. However, there are other entities that have assets and neighborhood leadership roles that will make them eligible as well, either as lead entities or as part of consortia.

Evaluation – Evaluation is a very important component of a SIF initiative. The purpose of evaluation in SIF is to demonstrate the impact of the interventions in our collective impact initiative in the context of three tiers of evidence: preliminary, moderate and strong. All programs and interventions funded must be assessed as having preliminary evidence at a minimum. By the end of each 3- to 5-year sub-award the evidence must have increased to the moderate or strong level. All programs in an initiative are expected to demonstrate growth over the grant period in terms of number of individuals served. CNCS views SIF as a vehicle for strengthening the evidence base of all interventions funded through sub-awards and to widely share “what works” and encourage adoption of “best practices.”

The evaluation must be conducted by a third party independent evaluation partner. We will select the evaluator during the planning process and engage the evaluation partner in development of the evaluation component of the grant application.

Up to 20% of the SIF award can be used for administrative costs and evaluation. The largest portion of the 20% will need to be devoted to evaluation. There are limitations on the percentage of match funds that can be spent on administrative or evaluation costs.

As part of evaluation the SIF recipient must provide the capacity building and technical assistance necessary for sub-recipients to fulfill evaluation requirements and continue to measure their program's impact into the future.

Scaling

Scaling will be different for strategies of different strengths

Evaluation Plan

- External evaluator
- Projected costs

Organizational Capability of UWCI

- Background and Staff Capacity
 - Case for ability to support approach and outcomes
 - Experience and success in relevant program oversight
 - Capacity to analyze data for evaluation and continuous improvement
 - Capacity of staff and contractors
 - Capacity to meet compliance requirements
 - Commitment to long-term relationships with sub-recipients
- Sub-recipient Support
 - Track record of goal setting and implementing with grant recipients
 - Track record of evaluating performance of grant recipients
 - Experience in providing technical assistance to grant recipients
 - Plan for capacity building in sub-recipients re: compliance with federal grants management, scaling and evaluation
 - Plan for building sub-recipient performance measurement systems
 - Plan for monitoring compliance of subrecipients and their progress towards goals
- Sustainability
 - Commitment to continue to invest beyond the grant period
 - Plan to enable sub-recipients to continue evaluation and sustain growth beyond the grant period

Budget – We anticipate submitting a \$5 to \$6 million for the full five-year period. Eighty percent of federal funds must be invested in grants to sub-recipients. Dollar for dollar match is required at both the recipient and sub-recipient levels. Matching funds must be unrestricted new or existing dollars. They cannot be previously obligated funding redirect to SIF. Applicants must demonstrate the ability to meet 50% of their first year cash match requirement.

Social Innovation Fund (SIF)

Public – Private Partnership Opportunity

December 2, 2015

LIVE UNITED



**United Way
of Central Indiana**

What is Social Innovation Fund (SIF)?

- Major program of the Corporation for National & Community Service (a federal agency).
- *Created in 2009: awarded \$177.6 million in grants to 27 intermediaries that invested in 282 different non profits.*
- Intermediaries are working in 37 states and DC.
- *7 United Ways have been awarded SIF grants.*
- Grantees are conducting 86 different interventions.

LIVE UNITED



United Way
of Central Indiana

What is Social Innovation Fund (SIF)?

SIF awards grants to identify, validate, and grow promising approaches to challenges facing local communities, using the following six design elements:

- **Innovation:** new ways to solve old problems.
- **Evidence:** robust assessment of strategies by “primary”, “moderate” and “strong” tiers of evidence.
- **Scale:** deeper and broader impact.
- **Grantmakers:** experience in conducting competitive grant processes & recognizing high performing programs.
- **Match:** triples the federal investment.
- **Knowledge Sharing:** sharing & adding to the tiers of evidence across all grantees.

LIVE UNITED



United Way
of Central Indiana

EIH&B Metrics

UNITED WAY OF CENTRAL INDIANA COMMUNITY IMPACT FRAMEWORK

<h3>EDUCATION GOALS</h3>  <ul style="list-style-type: none"> 80% of Central Indiana child care centers are high-quality 90% of Central Indiana 3rd graders are at grade-level reading ability 90% on-time high school graduation rate for all Central Indiana students 	<h3>INCOME GOAL</h3>  <ul style="list-style-type: none"> Reduce the percentage of financially unstable families in Central Indiana to 25% 	<h3>HEALTH GOALS</h3>  <ul style="list-style-type: none"> Reduce the childhood obesity rate in Central Indiana by 12% by 2025 Improve state health rankings for Central Indiana counties 	<h3>BASIC NEEDS GOAL</h3>  <ul style="list-style-type: none"> Ensure that the basic needs of Central Indiana residents are met
<p>FOCUS</p> <p>United Way seeks to increase academic success for Central Indiana's youth by enhancing child care quality, strengthening early reading skills and supporting youth development opportunities.</p>	<p>FOCUS</p> <p>United Way seeks to improve the financial stability of low-income families in Central Indiana by enhancing a system of sustainable employment, income supports and educational attainment.</p>	<p>FOCUS</p> <p>United Way seeks to improve the physical and mental health of Central Indiana's children, families and communities by promoting the adoption of healthy weight and other healthy behaviors.</p>	<p>FOCUS</p> <p>United Way supports efforts to provide the basic needs of food, shelter, legal aid and transportation to the highly vulnerable and those in crisis.</p>
<p>COMMUNITY METRICS</p> <ul style="list-style-type: none"> Percent of Central Indiana child care centers at Paths To Quality (PTQ) level 3 or 4 3rd grade ISTEP+ English Language Arts (ELA) Cohort graduation rate (the number of high school students that graduate in 4 years) 	<p>COMMUNITY METRICS</p> <ul style="list-style-type: none"> Percent of Central Indiana households spending more than 30% of income on housing Average family income Average per capita income Unemployment rate in Indianapolis-Carmel MSA 	<p>COMMUNITY METRICS</p> <ul style="list-style-type: none"> Childhood obesity rate Adult obesity rate Tobacco usage rates Rates of physical inactivity Excessive alcohol and drug use rates Mental health provider ratio Rate of uninsured 	<p>COMMUNITY METRICS</p> <ul style="list-style-type: none"> Food insecurity rate Number of homeless children Percent of unmet needs for 2-1-1 callers
<p>PROGRAM METRICS (NUMBER AND PERCENTAGE OF)</p> <ul style="list-style-type: none"> Children enrolled in child cares rated PTQ level 3 or 4 Children assessed for kindergarten readiness using ISTAR-KR Students passing ISTEP+ ELA Students with at least a 95% school attendance rate Students reporting suspension or expulsion Students progressing to the next grade level Students passing End of Course Assessment (ECA) Students graduating with their 4-year cohort K-12 students with Individualized Education Programs (IEP) who complete annual goals 	<p>PROGRAM METRICS (NUMBER AND PERCENTAGE OF)</p> <ul style="list-style-type: none"> Individuals placed in jobs Individuals placed still employed at 90 days Individuals reporting increased total income or maintaining increased total income Individuals reporting increased net worth or maintaining increased net worth Individuals reporting improved credit score or maintaining improved credit score Individuals reporting that they earn a living wage Individuals successfully completing adult education, post-secondary degrees/certifications, or other training programs (i.e., completion rate) 	<p>PROGRAM METRICS (NUMBER AND PERCENTAGE OF)</p> <ul style="list-style-type: none"> Individuals maintaining healthy weight Individuals participating in physical activity sessions or exercise programs Individuals participating in nutrition improvement programs Individuals progressing with treatment or therapy plan Individuals receiving recommended health screenings Individuals receiving or maintaining health insurance Uninsured individuals receiving treatment Uninsured individuals receiving medication 	<p>PROGRAM METRICS (NUMBER OF)</p> <ul style="list-style-type: none"> Individuals receiving emergency shelter Individuals receiving mortgage/rental assistance Individuals receiving utility assistance Individuals receiving meals Individuals provided transportation or transportation aid Individuals whose legal engagements have been resolved

- United Way will seek to invest its resources in initiatives, partnerships and changes in public policy that help Central Indiana accomplish the Education, Income, Health and Basic Needs goals.
- United Way programs and certified agencies will have to report on the applicable program metrics; the applicable metrics will be determined through a consultation with United Way's Community Impact and Strategic Information Teams.
- United Way will collect data on the number of individuals served and the number of times a service is delivered, even if it is to the same individual; both will be considered as desired outputs.

For more information, visit www.uwci.org/yournetwork.

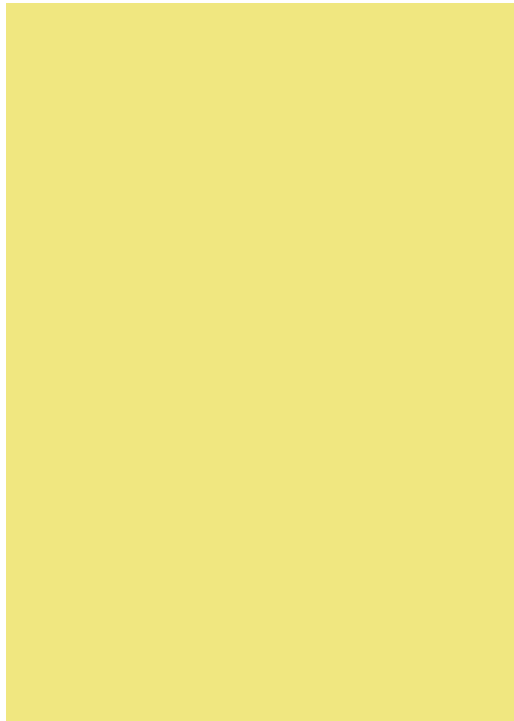


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For more information, visit www.uwci.org/yournetwork.



Education Goals



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Income Goal

Reduce percentage of financially unstable families in Central Indiana to 25%

1 IN 3



**In 2012, 31.8%
of Central Indiana
families were
financially unstable**

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UWCI – Indianapolis SIF Proposal

- +/- \$5 million annually from SIF over 5 years
- +/- \$5 million annually from UWCI (grant recipient)
\$1-for- \$1 match
- 80% of SIF funds must be awarded via competitive RFP process.* Additional \$1-for-\$1 match from sub-recipients (provider collaboratives).
- 50% of year one match must be cash in hand or committed by time of application (approx. Feb 2016)

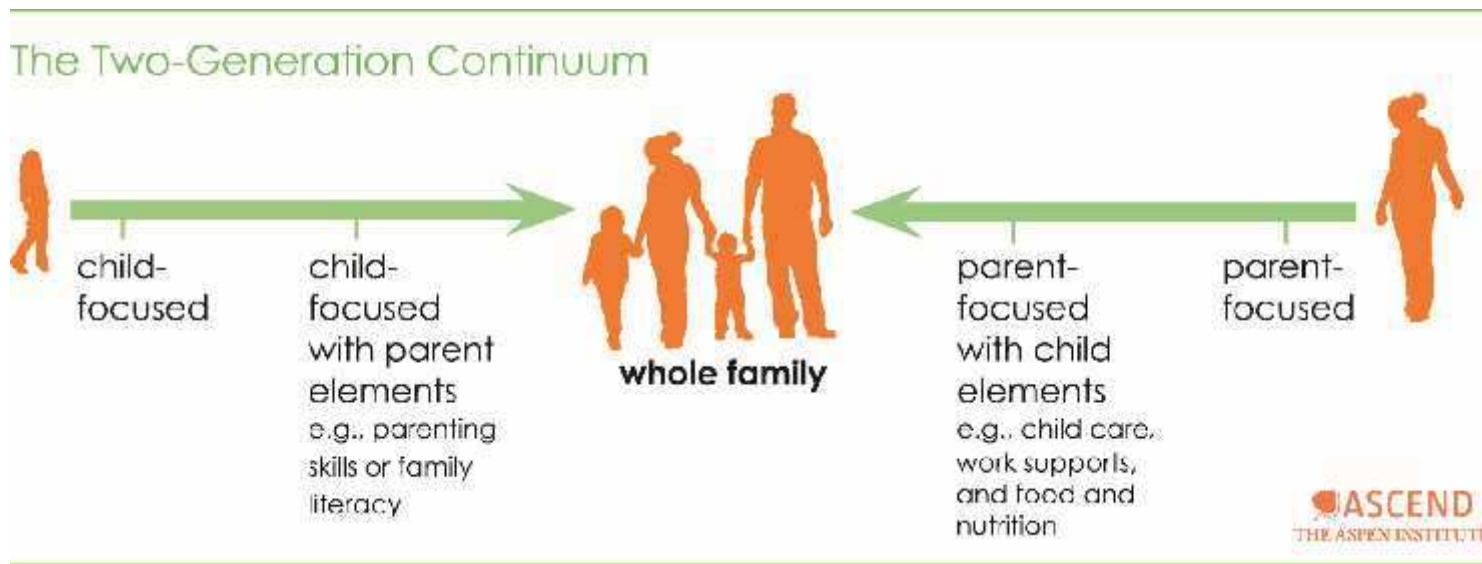
*Minimum \$3.2 million annual match by sub-recipients

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UWCI – Indianapolis SIF Proposal



What Is a Two-Generation Approach?

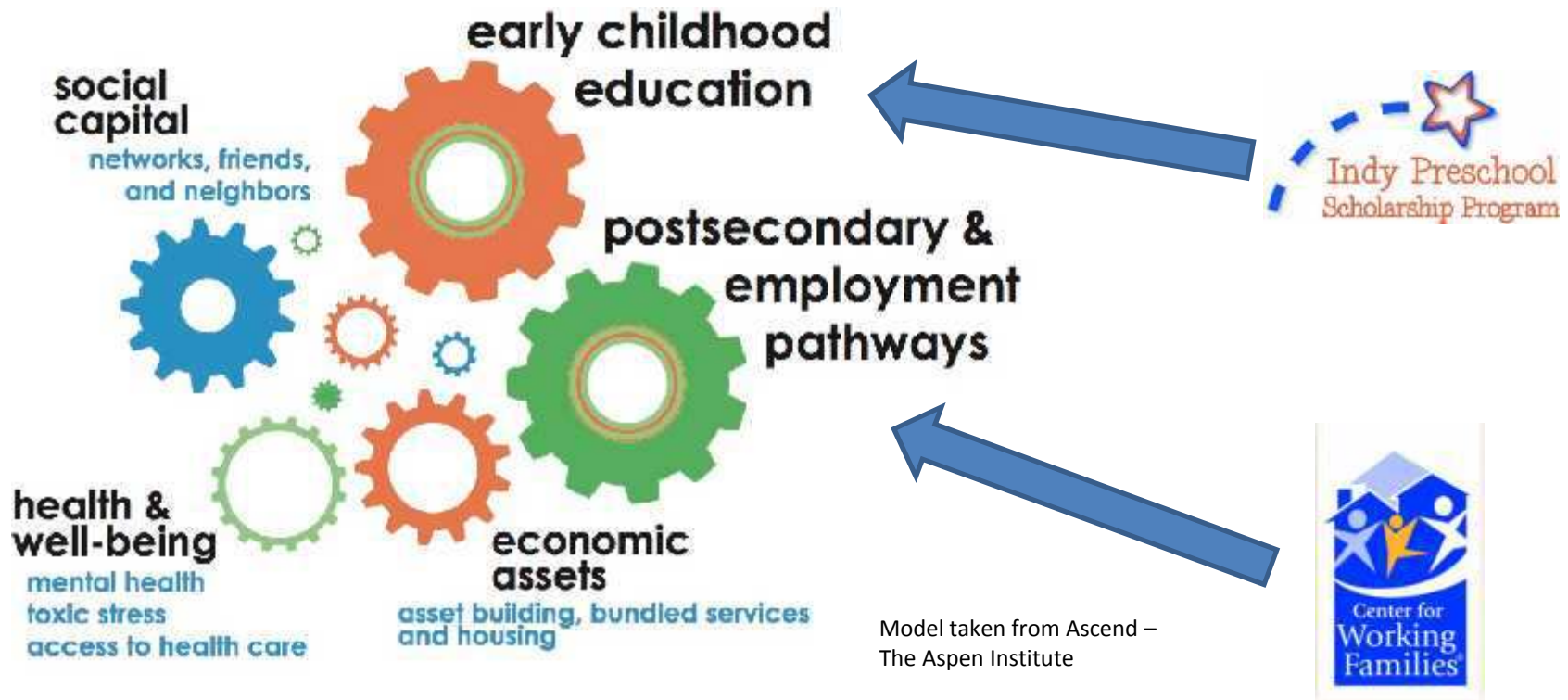
Two-generation approaches focus on creating opportunities for and addressing needs of both vulnerable children and their parents together.

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UWCI – Indianapolis SIF Proposal

Instability of low-income families living in selected focus areas among those identified by Indianapolis Department of Public Safety:

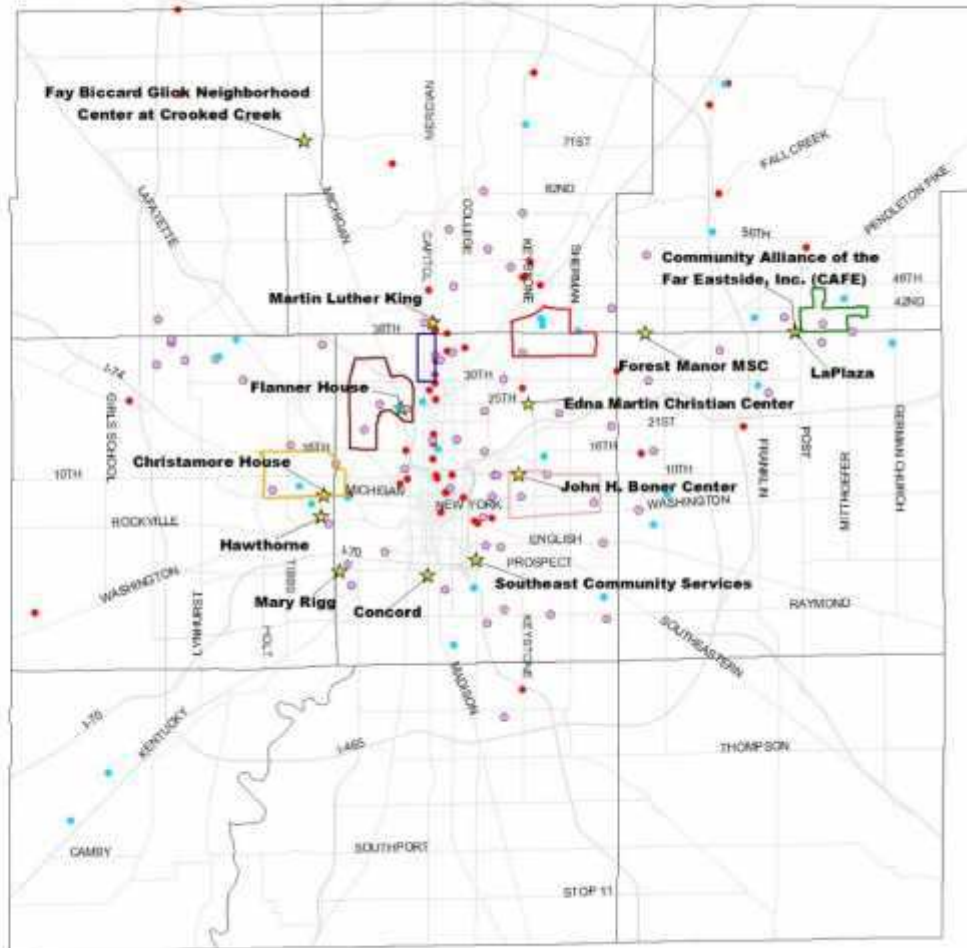
Focus Area	Quality of Life Plan Lead Agency
E. New York & Sherman	John Boner Neighborhood Center
16 th Street & Tibbs	IUPUI/Westside CDC
34 th & Illinois	Children’s Museum
42 nd & Post	Community Alliance of the Far Eastside
29 th & MLK	Flanner House
38 th & Sherman	Edna Martin Christian Center/Forest Manor Community Center/UNECDC

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Marion County Public Safety Hotspots, Community Centers, and Schools



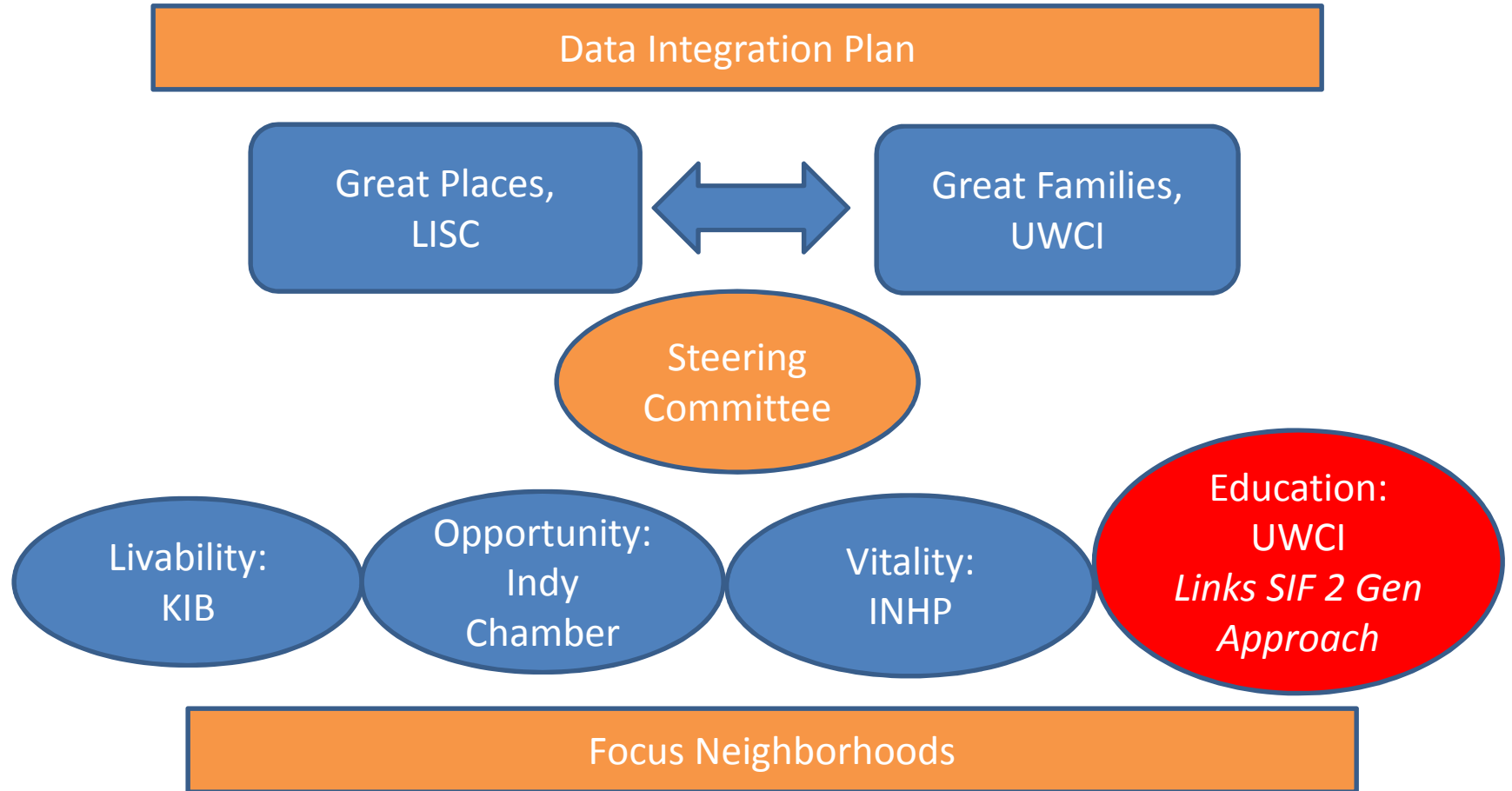
- Charter School
- IPS School
- ★ Community Center
- United Way Agency
- 16th and Tibbs
- 29th and MLK
- 34th and Illinois
- 36th and Sherman
- 42nd and Post
- New York and Sherman Street

Source: IN Department of Education, Department of Public Safety, 2013
Created by United Way of Central Indiana, August 2015

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Great Places, Great Families 2020



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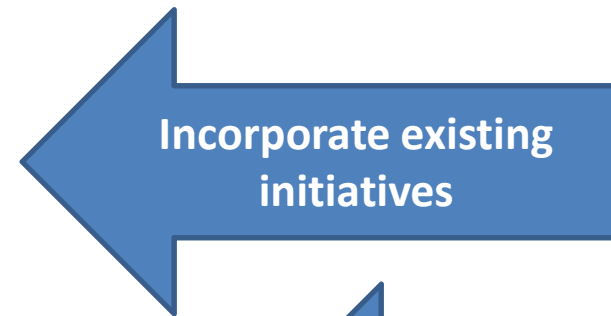
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of Central Indiana

Great Places, Great Families 2020

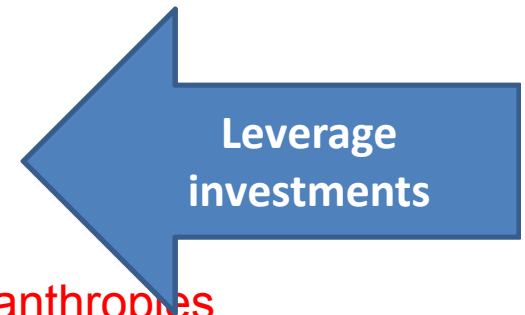
- Neighborhood Quality of Life Plans
- City of Indianapolis 2020 Plan
- UWCI Early Child 10 Year Plan
- UWCI Data Integration Plan



- Great Places 2020
- Center for Working Families
- Marion County Re-entry Coalition
- Dept of Public Safety Crime Prevention Efforts
- “Your Life Matters” Initiative



- Federal Promise Zone (secured by Near Eastside)
- 16 Tech (lead by CICP on Near Westside)
- Department of Justice Byrne Grant (Northwest Area)
- Far Eastside Success Initiative (supported by The Glick Philanthropies)



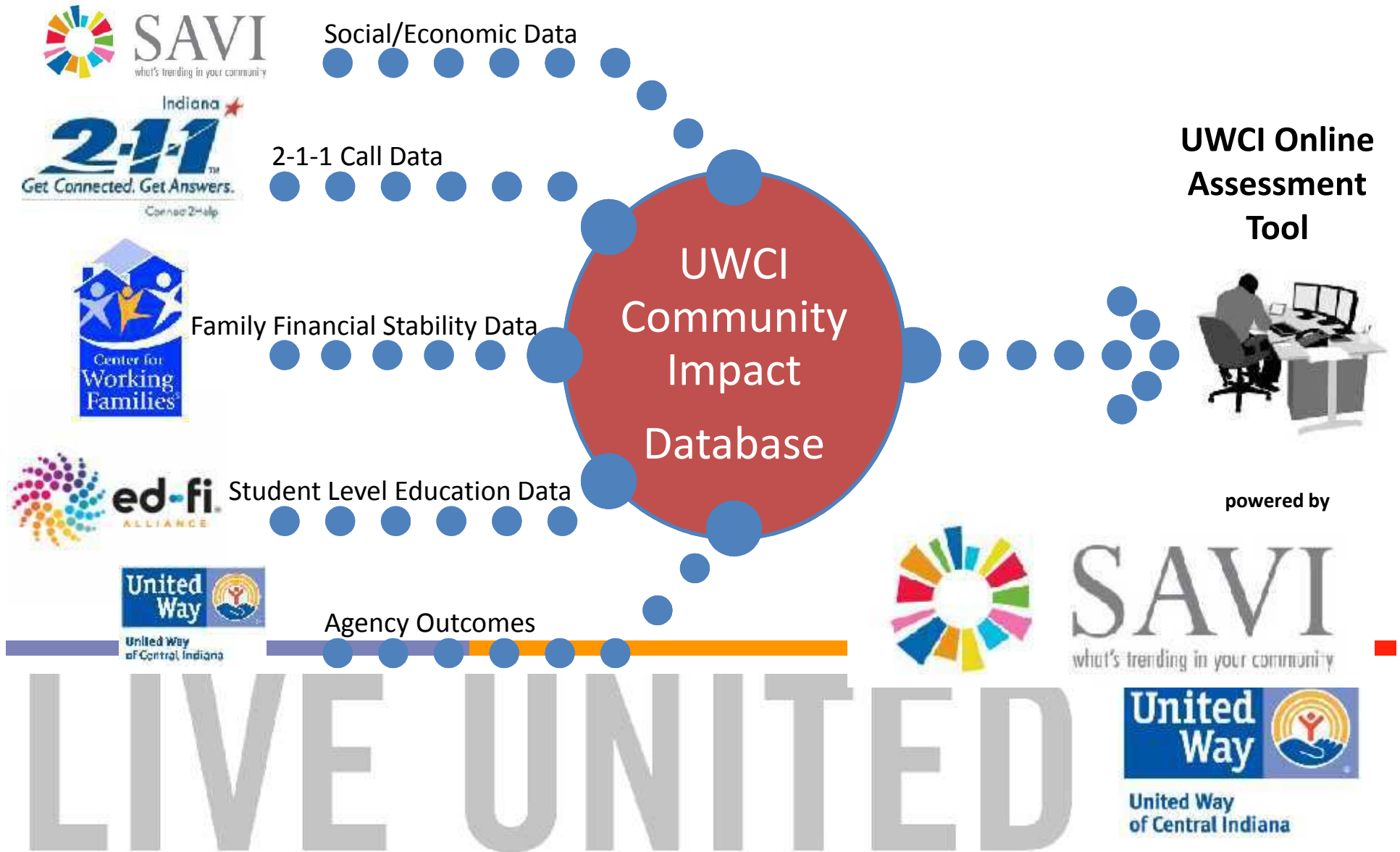
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UWCI Data Integration Plan:

Diagram



UWCI – Indianapolis SIF Proposal

Identifying the Match

Basic Match Requirements:

- 50% of the match must be secured by 2/1/16 = \$2.5 million.
- New grants/investments that are identified by funders as SIF investments.
- Investments must benefit the six focus areas.

Internal Analysis:

- Grants team identified portions of nearly \$18 million of 2014-2015 funding that would have likely counted as match.

Potential Supporters:

- Presented to Meridian Society Steering Committee.
- The Glick Philanthropies have indicated support/interest.
- Presented to Ruth Lilly Philanthropic Funds.

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UWCI – Indianapolis SIF Proposal

SIF Key Elements	Great Places, Great Families 2020
Innovation	2 Gen Approach; Data Integration; Individual and Family interventions couple with community development
Evidence	Data Integration
Scale	Focus on selected neighborhoods
Grantmakers	UWCI experienced in competitive grantmaking for both private & public funds
Match	Have pipeline to secure match
Knowledge Sharing	Part of the SIF Grantee Network

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UWCI – Indianapolis SIF Proposal

- April –ongoing 2015: Research & Discovery by UWCI staff
- August 28, 2015: Presented concept to internal Business Review session
- October 8, 2015: Community Impact Committee endorses submission
- October 14, 2015: Executive Committee endorses submission
- October 19-22, 2015: UWCI staff attend UWW/Aspen Institute
- **December 2, 2015: Request approval from Board to submit**
- **December 11, 2015: Deadline for federal budget passage**
If funded in the federal budget:
 - **Late Jan/Early Feb 2016: Expected announcement to apply**
 - **March 2016: Expected submission deadline**
 - **July 2016: Expected award announcements**

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UWCI – Indianapolis SIF Proposal

- Does a SIF application align with our Community Impact goals and strategies?
- Will this fundraising divert dollars away from other UWCI priorities? In other words, what are the opportunity costs for UWCI?
- Does UWCI have the prospect candidate pool to raise this level of required match?
- Will UWCI be able to secure an evaluation/research partner ASAP?
- Is UWCI willing to expand staff capacity to oversee this initiative? (expected 3-4 staff positions are needed)

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Board Action Requested

Authorize UWCI staff to submit a request to the Social Innovation Fund (SIF) for the 2016 application round in the amount of up to \$5 million per year over a 5 year period.

The board understands this authorization commits UWCI to the following if the SIF application is awarded:

- Secure \$5 million per year in match funds over five years, with \$2.5 secured by 2/1/16,
- Secure a third party evaluation partner prior to the grant submission,
- Agree to be a cooperative partner with SIF,
- Be prepared to assist sub-recipients in securing their 50% match,
- Be prepared to add UWCI staff (likely 3-4 positions) to manage/administer.

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**SOCIAL INNOVATION FUND
THEORY OF CHANGE**

IF...

...we establish neighborhood networks of comprehensive, integrated two-generation services for young children and their parents across the domains of *Early Childhood Education, Postsecondary & Employment Pathways, Economic Assets, Health & Well-Being* and *Social Capital*;

THEN...

- More children will enter kindergarten ready to learn
- More parents will acquire 21st century skills & credentials and have career-track jobs
- More families will be financially stable
- More children and parents will be physically and mentally healthy
- More families will have formal and informal networks of support

ADDITIONALLY, IF...

...these neighborhood networks also leverage existing community development and neighborhood improvement plans and initiatives;

THEN...

...families can choose to remain in neighborhoods that promote a high quality of life.

Client-level Outcomes:

1. Increase the percentage of children ready for kindergarten.
2. Increase the percentage of parents who complete credentialed postsecondary education/training.
3. Increase the percentage of parents working in career-track jobs.
4. Increase the percentage of parents who spend less than 30% of income on housing.
5. Increase the percentage of parents who increase savings and/or decrease debt.
6. Increase in healthcare coverage enrollment.
7. Increase in access to mental health and addiction services.
8. Increase in reported levels of physical and mental wellness.
9. Increase in reported levels of civic engagement and participation in community life.
10. Increase in formal and informal networks of support.

Community-level Outcomes:

11. Increase in employment rate.
12. Increase in average household income.
13. Increase in educational attainment levels.
14. Decrease in violent crime.
15. Increase in voter turnout.