



# Request for Proposals

## 2019 ALICE<sup>®</sup> Impact Funding

April 26, 2018

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In the fall of 2016, Aloha United Way (AUW) embarked on a strategic planning process where we solicited feedback from many community stakeholders – nonprofit partner agencies, labor, government, business and other strategic community partners. The feedback informed and supported a renewed commitment to strengthening our community and nonprofit sector. To maximize our impact in tackling deeply entrenched and complex social problems, AUW will utilize a *collective impact* framework.

## Summary

This funding opportunity is intended to effect systems-level change in order to support upward financial mobility for lower-income families and individuals in Hawaii. Key components of this initiative include program performance evaluation, shared metrics, capacity-building, and collaboration. The three funding categories are:

- Increase earning potential and/or reduce household expenses
- Improve access to benefits and community resources
- Support development of financial capability and “soft skills”

AUW is accepting funding proposals until June 15, 2018 for the grant period beginning January 1, 2019. Applicants must attend one of three informational sessions, and submit an intent to apply by May 25, 2018.

Possible annual funding amounts for each grantee are \$50,000; \$100,000; and \$200,000 or more.

Total funding available for this initiative is based on AUW’s annual workplace campaign revenue. Therefore, the precise amount is not known at this time. We anticipate approximately \$2,000,000 will be available annually.

The grant cycle is expected to be for three years, ending December 31, 2021. However, continued investment in this initiative is dependent on grantee performance and will be determined on an annual basis. Depending on the success of the initiative overall, funding for some grantees may extend beyond three years.

## Background Information

Aloha United Way has been supporting our community for nearly 100 years. Through our fundraising and funding efforts, we help to make possible the programs that address the community’s greatest needs. AUW’s strategic plan, approved by the Board of Directors in April 2017, was the impetus to adopting a *collective impact* framework.

Collective impact is the coordinated activities, among important stakeholders from different sectors, to solve a specific social problem. The success of collective impact requires five conditions<sup>1</sup>:

- Common agenda – shared vision, understanding of the problem, and strategy
- Shared measurement system – agreement on how success will be measured and reported
- Mutually reinforcing activities – coordination among diverse stakeholders, each performing activities in which it excels
- Continuous communication

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<sup>1</sup> Kania, John and Mark Kramer, Collective Impact, Stanford Social Innovation Review, Winter 2011

- Backbone support organizations – the supporting infrastructure for the entire initiative

Rather than narrowly focusing on isolated interventions, collective impact places emphasis on a system and how parts of that system interact with each other. Beginning in July 2017, AUW worked with community stakeholders to conduct a comprehensive systems mapping process. The objective was to identify “leverage points” to support upward financial mobility of lower income households in our community. Many leverage points were identified and thoroughly assessed with broad community input. Considerations included the ability to effect change at that particular leverage point; potential impact to the overall system; other people/organizations already working in that area; AUW’s capability and capacity; potential leverage resources; and our stakeholder network’s unique position and strategic advantage to create maximum impact. Ultimately, AUW selected three leverage points, which became the funding categories for this RFP.

On January 9, 2018, AUW released ALICE: A STUDY OF FINANCIAL HARDSHIP IN HAWAII<sup>2</sup>. ALICE® (Asset Limited, Income Constrained, Employed) individuals and families are hardworking people we interact with every day, who have a job – or two or three – yet cannot afford basic necessities to remain stable and self-sufficient. There are 165,013 (37%) ALICE households in Hawaii and an additional 47,066 (11%) households living below the federal poverty level. Astonishingly, nearly one in two households in Hawaii are ALICE and below.

ALICE families have income above the Federal Poverty Level, but not high enough to afford a basic household budget that includes housing, child care, food, transportation and health care. In Hawaii, the annual Household Survival Budget for a four-person family is \$72,336 and for a single adult is \$28,128. Applicants are encouraged to review the ALICE report overview available at <https://www.auw.org/alice>.

By focusing resources, we aim to support upward financial mobility for ALICE families and individuals in Hawaii. We want to move from a system that focuses resources primarily on families and individuals below the federal poverty level, to a system that also offers effective pathways for moderate-income households to rise to a level of self-sustainability. AUW embraces the reality that sustainable social change must involve cross-sector coordination, long-term commitment, and investment in deeper relationships with strategic partners.

## Eligibility

Any nonprofit operating on Oahu is eligible if the organization meets the following requirements.

- Holds a 501c3 determination
- Compliant with the Patriot Act
- In good standing with the Department of Commerce and Consumer Affairs
- Registered and compliant with the Hawaii Attorney General’s Office
- Fiscally sound

Current AUW partner agencies meet these requirements. Any organization that is not currently an Aloha United Way partner agency may apply for community impact funds, but will be required to submit documentation to demonstrate eligibility should the proposal be awarded.

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<sup>2</sup> United Way, ALICE: A STUDY OF FINANCIAL HARDSHIP IN HAWAII, 2017, <https://www.auw.org/alice>

If a coalition of agencies is applying, a lead agency must be designated as the applicant for this funding. The applicant must meet the eligibility requirements listed above and will be responsible for fulfilling the terms and conditions of the grant. Applying as a coalition of agencies may be advantageous where it improves service delivery.

Aloha United Way will conduct due diligence during the review stage of submitted proposals. This may result in further inquiries about an agency’s proposal, eligibility, and/or financial soundness. Additional documents may be requested, including copies of financial statements or IRS Form 990 returns.

## Funding Categories

AUW intends to fund projects that support ALICE households in achieving upward financial mobility and developing financial resiliency. Projects will target the root causes of financial instability, and implement innovative solutions to:

1. Increase earning potential and/or reducing household expenses
2. Improve access to benefits and community resources
3. Support development of financial capability and “soft skills”

Applicants will have the ability to select one or more of the funding categories indicated above in the application form.

Impact funding is largely unrestricted and can be used for anything necessary to administer the project including planning, personnel, facility expenses, and indirect costs. This funding opportunity is not limited to supporting direct services alone. AUW recommends that grantees commit 25-50% of awarded funds toward capacity-building activities, which may include evaluation, resource development, staff training, etc.

## Funding Levels and Proposal Timeline

Grant period	January 1, 2019 to December 31, 2021
Funding levels*	\$50,000, \$100,000, and \$200,000 or more
Total funding available	Approximately \$2 million per year
RFP released	April 26, 2018
Application form available	April 30, 2018
Informational session: <i>InSynergy</i> , Downtown	May 9, 2018, 2:00-4:00PM
Informational session: <i>HI Okinawan Center</i> , Waipahu	May 16, 2018, 9:30-11:30AM
Informational session: <i>Iolani School</i> , Honolulu	May 22, 2018, 9:00-11:00AM
Intent to apply due	May 25, 2018 at 4:00 PM HST
Proposals due	June 15, 2018 at 4:00 PM HST
Notification of awards	October 2018
Initial grantee convening	December 4, 2018
Grant period begins, funding released	January 2019

\*Please note that the amount of funding awarded may differ from the funding level requested.

## Terms and Conditions

Once selected, grantees will be required to meet the following terms for funding:

- Attend and actively participate in grantee meetings to collaborate with AUW and other grantees on shared goals and coordination of services. Gatherings may also include trainings and technical assistance support.
  - The senior executive and the project director of grantee organizations, and of organizations participating in an awarded coalition, will be expected to attend all gatherings.
  - We anticipate scheduling up to four half-day convenings annually during the grant period.
- Support an integrated communications strategy. This may include coordination of publicity and marketing of your program with Aloha United Way, as well as sharing progress reports via public communications.
- Develop evaluation methodology that is designed to inform project activities and lay the groundwork for future rigorous impact evaluation.
- Provide ongoing progress reports at a frequency to be determined. Reporting will consist of narrative and numeric inputs. Detailed expenditures will not be reported.
- Provide regular updates about evaluation activities, challenges, and progress of the project through conference calls or in-person meetings with the AUW team.
- Provide summary final reports and evaluation results to AUW.
- Demonstrate steady progress on the project initiative. Unlike previous multi-year grant cycles, AUW will determine in real-time throughout the course of this three-year funding cycle which projects will receive continued funding.

Further information regarding these requirements will be made available at the time of funding. These requirements are intended to evaluate the project's effectiveness, identify where adjustments may be necessary, and inform how AUW can support grantees.

Aloha United Way intends to use the proposal materials of awarded initiatives on our website and other public communications to describe the projects we help support.

## Proposal Requirements

The online application forms will be available beginning **April 30, 2018**. Access to the e-CImpact website can be obtained at the following link: <https://agency.e-cimpact.com/login.aspx?org=13010F>

Proposals are due **Friday, June 15, 2018, 4:00 PM (HST)**. Incomplete applications will not be considered. The e-CImpact application module will automatically close on the due date and time. Therefore, no late submittals will be possible. All applicants are strongly encouraged to submit their proposals early to avoid technical problems that could delay proposal submission.

Current partner agencies can use their existing log-in information to enter the site. Non-partner agencies will need to create a new account.

The length of the application is controlled by character limits embedded in the online application. Character limits will be identified in each section. Please note that e-CImpact does not have a spell check feature. On narrative sections, you may consider writing the sections in Word, spell check the document, and copy/paste it into the appropriate online section. The e-CImpact system can accept only text and numeric responses. It is not able to accept graphics or special formatting (bold, underline, etc.). While we may request additional information at a later date, please realize that no attachments will be required or accepted with the proposal. We appreciate clear, relevant, and concise responses to the section prompts.

Agencies are permitted to submit multiple proposals, but only one proposal per funding category. Each proposal should be unique and distinctly different from the others.

All applicants must notify Aloha United Way of their intent to apply and to include a brief description of the proposed project by May 25, 2018 via email to Monique Weisman, Community Impact Director, at [mweisman@auw.org](mailto:mweisman@auw.org).

## Proposal Instructions and Scoring Criteria

Proposals will be reviewed and scored by trained community volunteers. The table below outlines the scoring criteria and points for each section of the proposal. The total possible base score is 100. Bonus points are available for proposals that address specific considerations (see Bonus Points sections for details). Including bonus points, the total possible score overall is 115.

Proposal Section	Instructions	Scoring
Proposal Contact Information	Identify the individual completing the application. This person should be able to clarify information provided on this proposal.	Required but not scored
ALICE Project Contact Information	Identify the point of contact for the ALICE project. This person should be able to answer questions about the project being proposed.	Required but not scored
Funding Category	Select the primary funding category that will be addressed by the project. If the project intervention addresses multiple funding categories, select option 4: <ol style="list-style-type: none"> <li>1. Increase earning potential and/or reducing household expenses</li> <li>2. Improve access to benefits and community resources</li> <li>3. Support development of financial capability and “soft skills”</li> <li>4. Multiple funding categories</li> </ol>	Required but not scored
Executive Summary (1200 characters)	Briefly describe the management structure, governance and mission of your organization. Summarize the key elements of your proposal and project. Consider completing this section last. This	Required but not scored

Proposal Section	Instructions	Scoring
	summary may be used by Aloha United Way as a project description for external communications.	
<p>Organization’s Experience, Capability, and Willingness to Partner, Collaborate, and Learn</p> <p>(6000 characters)</p>	<ul style="list-style-type: none"> <li>• Detail the collaboration component of the project. Include specifics about how your agency and other stakeholders will work together to strengthen areas related to accessibility, service delivery, performance measurement, and continuous quality improvement.</li> <li>• Describe any experience your agency has had collaborating with other stakeholders to undertake a multi-organization initiative. Please indicate the organizations involved with the collaborative and the capacity in which each operated. Briefly describe <u>how</u> you learned from the collaborative project (what process was put in place to understand the impact of the intervention) and how you applied what you learned towards contributing to an improved community.</li> </ul> <p>Note: Collaboration in this context goes well beyond making referrals to other agencies. It means organizations systematically adjust and align work with each other for greater outcomes. It includes a shared mission, shared goals, shared decision-making and often shared resources.</p>	30 points
<p>Identify Potential Partners</p> <p>(1500 characters)</p>	<p>Identify <u>new</u> cross-sector stakeholders whose partnership would enhance services to your target population. These may include organizations your agency has never worked with or has had limited contact with to date. Describe how the work of these stakeholders would complement your proposed project. New stakeholders may or may not provide direct services.</p>	5 points
<p>Description of Need and Target Population within the ALICE Group</p> <p>(2400 characters)</p>	<p>Applicants are encouraged to review the ALICE report overview available at <a href="https://www.auw.org/alice">https://www.auw.org/alice</a>. The focus of project interventions must be on families or individuals within the ALICE population, which comprises a diversity of sub-populations. The project must target a specific sector of the ALICE group on Oahu and respond to a need that, if implemented appropriately, will reduce disparities for that group.</p> <ul style="list-style-type: none"> <li>• Define the ALICE population your project activities will focus on. Specify age, gender, household composition, household size, geography, culture or another sector of the ALICE population as relevant.</li> </ul>	10 points

Proposal Section	Instructions	Scoring
	<ul style="list-style-type: none"> <li>Describe the need your project will address to reduce disparities for this group. Include data on the prevalence of the problem.</li> </ul>	
ALICE Project Description (3000 characters)	<ul style="list-style-type: none"> <li>Describe your project and how it will support the proposed area of funding. Articulate why the intervention is important and how it will make a difference for your target population.</li> <li>Describe staffing, the activities and processes involved, the intended results, and how you anticipate achieving the intended results, including any preliminary evidence that the initiative will be effective or any evidence-based models that it is based on.</li> <li>Include a timeline of activities necessary to prepare for launching the initiative.</li> </ul>	25 points
Performance Measurement (3000 characters)	<ul style="list-style-type: none"> <li>Describe your evaluation plan.</li> <li>Indicate how you will determine if the project is a success. Indicate your understanding of why it is important to measure the effectiveness of your proposed intervention.</li> <li>Include any already established performance metrics generally accepted for measuring program effectiveness in the funding area selected for this project.</li> <li>Describe how you are positioned to conduct data collection and how you would use data to make ongoing adjustments to your intervention as a means to reach your objectives.</li> <li>Demonstrate your understanding of the importance to establish 2-3 common metrics to be collected by all grantees within the same funding category, and your commitment to collecting those metrics as part of the cohort.</li> <li>Demonstrate your commitment to openly sharing the outcomes of your data analysis with other grantees, allowing all involved to learn and benefit from one another's findings.</li> <li>Metrics will be reported electronically via e-Clmpact at regular intervals for the duration of the grant period.</li> </ul>	25 points
Establish Project Objectives for Your Selected Funding Category	Objectives describe the specific measurable end-products of your intervention. They should be SMART: specific, measurable, achievable, realistic, and time-framed.	

Proposal Section	Instructions	Scoring
(subcategory of Performance Measurement)	<p>Objectives may be a direct product of an intervention (e.g., number of clients who complete a program) or they may represent an increase or decrease of a condition or change in knowledge, attitude, skills or behaviors (e.g., percent of participants who increase earned income or percent of participants who learn a particular skill during a specified period).</p> <ul style="list-style-type: none"> <li>• Establish up to 15 objectives for each funding category your project will address.</li> <li>• Each objective should include a quantifiable annual target (number or percent expected to achieve).</li> <li>• When counting individuals, specify whether unduplicated or duplicated.</li> <li>• The number of objectives to include should be commensurate with the complexity of the proposed project.</li> <li>• Include data sources and collection methods.</li> </ul>	
Budget	<p>Provide the projected 2019 budget for the initiative. Indicate whether expenses are for direct service or evaluation/capacity-building costs. Total budget expenses should equal the annual funding amount requested from AUW.</p> <p>Also indicate the amount of secured and pending non-AUW funding that has been requested for the project. All numbers should reflect the first year budget only.</p>	5 points
Annual Amount Requested from AUW	<p>Enter the amount of annual funding requested. Available amounts are:</p> <ul style="list-style-type: none"> <li>• \$50,000</li> <li>• \$100,000</li> <li>• \$200,000</li> <li>• More than \$200,000</li> </ul> <p>Enter the <u>exact</u> amount. The only amounts below \$200,000 that will be accepted are \$50,000 and \$100,000.</p> <p>Note: The amount of funding awarded may differ from the funding level requested.</p>	
Budget Narrative (subcategory of Budget section)  (1500 characters)	<ul style="list-style-type: none"> <li>• Describe the scalability of the project.</li> <li>• Demonstrate your understanding that 25-50% of awarded funding should be dedicated to evaluation and other capacity-building activities vs direct service delivery.</li> <li>• Explain any unusual fiscal circumstances or anticipated changes to the budget over the years.</li> </ul>	

Proposal Section	Instructions	Scoring
Senior Executive Initials	Enter initials to indicate that an executive with authority to legally commit the agency has approved the application and is submitting it on behalf of the agency.	Required but not scored

## Bonus Points

Five areas of special consideration could result in added points. Proposals that explicitly demonstrate that their initiative will either integrate or potentially result in any of the five areas listed below will be awarded up to three bonus points per area. A total of 15 bonus points is possible.

Areas of special consideration		Bonus available
Prevention	Projects that aim to prevent a condition or prevent the worsening of a condition related to financial capacity	3 points
Cross-sector engagement/collaboration	Meaningful partnership with government and business	3 points
Results in systems change/impact	Projects that can potentially lead to sustained change at a systems level	3 points
Financial return on investment	Demonstrated return on investment	3 points
Leveraging of non-AUW resources (financial or other)	Substantial investment from other stakeholders	3 points

## Evaluation

The overarching goal of the evaluation is to provide actionable information to both grantees and AUW throughout the funding period. Ultimately, the evaluation should:

- 1) Provide actionable information (qualitative and quantitative) that supports learning for partners throughout planning and implementation;
- 2) Inform accountability, decision-making, and continuous improvement of both grantees and funding partners;
- 3) Assess progress towards effective practices and the stated objectives of the initiative (across multiple levels including policy, systems, and communities);
- 4) Reflect the complexity of the system and the issues being addressed, while remaining adaptive and goal-oriented; and
- 5) Be able to make meaningful judgments about progress to inform both AUW and partners.

Evaluations are an important component of the continuous learning and knowledge-building that is key to AUW’s mission and values. Technical assistance will be provided to help recipients finalize their evaluation plans, develop internal capacity to conduct the evaluation, participate in a peer support network, and use evaluation results to improve project activities.

- **Evaluations must address key theoretical or empirical linkages between the proposed intervention and expected outcomes:** The evaluation methodology should be specific and related to the stated goals, objectives, and priorities of the project. Evaluations should be designed to inform project activities and lay the groundwork for future rigorous impact evaluation.
- **Recipients must provide updates on the progress of their project and evaluations to AUW:** Recipients are required to provide regular updates about evaluation activities, challenges, and progress through conference calls or in-person meetings with the AUW team.
- **Recipients must provide final reports and evaluation results to AUW:** Recipients are required to provide summary final reports of evaluation results to AUW in accordance with the timeline included in the agreed upon evaluation plan.

## Points of Contact

Questions regarding this funding opportunity can be sent to Monique Weisman, Community Impact Director, via e-mail to [mweisman@auw.org](mailto:mweisman@auw.org) through **June 12, 2018**.

Questions regarding accessing the on-line application website, e-CImpact, should be directed to Sheryl Dodge, Community Impact Associate, via e-mail to [sdodge@auw.org](mailto:sdodge@auw.org) any time before 10:00 AM (HST) on **June 15, 2018**.

## Informational Sessions

Applicants must attend one of three informational sessions listed below. Due to space considerations, the number of attendees is limited to two per agency. Please RSVP at least two days before the session.

Partner agencies must RSVP by logging into e-CImpact: <https://agency.e-cimpact.com/login.aspx?org=13010F>. Links for each of the information sessions can be found on the home page.

Non-partner agencies only may RSVP by emailing Monique Weisman at [mweisman@auw.org](mailto:mweisman@auw.org).

### DOWNTOWN

Date	Wednesday, May 9th
Time	2:00 – 4:00 PM
Site	InSynergy, conference room
Address	828 Fort Street Mall, Suite 500, Honolulu, HI 96813
Capacity	50 people
Parking	Harbor Court, 847 Bethel Street. Go to RSVP link for more details about location. When sessions ends, present the parking ticket to receive cash for up to 2-1/2 hours parking.

## WAIPAHU

Date	Wednesday, May 16th
Time	9:30 – 11:30 AM
Site	Hawaii Okinawan Center
Address	94-587 Uke'e Street, Waipahu, HI 96797
Capacity	100 people
Parking	Free, open lot on site

## HONOLULU

Date	Tuesday, May 22nd
Time	9:00 – 11:00 AM
Site	Iolani School, Sullivan Center
Address	563 Kamoku Street, Honolulu, HI 96826
Capacity	150 people
Parking	Free, parking structure on site

## Additional Materials

The links below are included to provide you with additional information about the ALICE population, the collective impact model, and systems thinking, all of which heavily influenced AUW's strategic direction. Also included is a link providing more in-depth information about the collaborative process.

- ALICE report: <https://www.auw.org/alice>
- Collective Impact: [https://ssir.org/articles/entry/collective\\_impact](https://ssir.org/articles/entry/collective_impact)
- <http://orsimpact.com/directory/ci-study-report.htm>
- Systems Thinking: <https://vimeo.com/174541762>
- Tools for Sustaining Partnerships: <https://www.hhs.gov/ash/oah/resources-and-training/tpp-and-paf-resources/community-mobilization-and-sustainability/tools/index.html>

Any misstatements that appear in this document are unintentional and Aloha United Way will work to resolve any misinterpretations. However, all conclusions and determinations made by Aloha United Way, with regard to this request for proposal, will be final.