

PART I - FACE SHEET

APPLICATION FOR FEDERAL ASSISTANCE

Modified Standard Form 424 (Rev.02/07 to confirm to the Corporation's eGrants System)

1. TYPE OF SUBMISSION:

Application Non-Construction

2a. DATE SUBMITTED TO CORPORATION FOR NATIONAL AND COMMUNITY SERVICE (CNCS): 05/10/16	3. DATE RECEIVED BY STATE:	STATE APPLICATION IDENTIFIER: NA
2b. APPLICATION ID: 16SI185320	4. DATE RECEIVED BY FEDERAL AGENCY: 05/10/16	FEDERAL IDENTIFIER:

5. APPLICATION INFORMATION

LEGAL NAME: United Way of Central Indiana DUNS NUMBER: 081530479	NAME AND CONTACT INFORMATION FOR PROJECT DIRECTOR OR OTHER PERSON TO BE CONTACTED ON MATTERS INVOLVING THIS APPLICATION (give area codes): NAME: Chuck Brandenburg TELEPHONE NUMBER: (317) 921-1284 FAX NUMBER: INTERNET E-MAIL ADDRESS: chuck.brandenburg@uw.ci.org
ADDRESS (give street address, city, state, zip code and county): 3901 N. Meridian Indianapolis IN 46208 - 0409 County: Marion	

6. EMPLOYER IDENTIFICATION NUMBER (EIN): 351007590	7. TYPE OF APPLICANT: 7a. Non-Profit 7b. Community-Based Organization
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8. TYPE OF APPLICATION (Check appropriate box).

NEW NEW/PREVIOUS GRANTEE
 CONTINUATION AMENDMENT

If Amendment, enter appropriate letter(s) in box(es):

A. AUGMENTATION B. BUDGET REVISION

C. NO COST EXTENSION D. OTHER (specify below):

Note: United Way requested \$15,692,659 for five years as reflected in this application. The approved award is for \$7 million for three years. Some aspects of this application will be impacted by the lower than requested funding level.

10a. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 94.019 10b. TITLE: Social Innovation Fund	9. NAME OF FEDERAL AGENCY: Corporation for National and Community Service
12. AREAS AFFECTED BY PROJECT (List Cities, Counties, States, etc): Four urban neighborhoods in Indianapolis, Marion County, Indiana	11.a. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Great Place Great Families 11.b. CNCS PROGRAM INITIATIVE (IF ANY): SIF - Geographic Youth

13. PROPOSED PROJECT: START DATE: 09/30/16 END DATE: 09/30/20	14. CONGRESSIONAL DISTRICT OF: a.Applicant <input type="text" value="IN 07"/> b.Program <input type="text" value="IN 07"/>
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15. ESTIMATED FUNDING: Year #: <input type="text" value="1"/>	
a. FEDERAL	\$ 3,297,592.00
b. APPLICANT	\$ 3,297,633.00
c. STATE	\$ 0.00
d. LOCAL	\$ 0.00
e. OTHER	\$ 0.00
f. PROGRAM INCOME	\$ 0.00
g. TOTAL	\$ 6,595,225.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:
 DATE:

NO. PROGRAM IS NOT COVERED BY E.O. 12372

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. TYPED NAME OF AUTHORIZED REPRESENTATIVE: Chuck Brandenburg	b. TITLE:	c. TELEPHONE NUMBER: (317) 921-1284
d. SIGNATURE OF AUTHORIZED REPRESENTATIVE:		e. DATE SIGNED: 05/10/16

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Executive Summary

Overview - As a respected community leader and grantmaker, United Way of Central Indiana (UWCI) identifies community needs, develops strategies and builds collaborations between funders and service providers to deliver outcome-based services. UWCI is recognized for its expertise in Early Childhood Education and Family Economic Success. In FY 2015, UWCI awarded 222 grants to nonprofit organizations totaling \$25.5 million dollars.

With SIF support, UWCI will implement a geographically-based initiative, Great Places, Great Families (GPGF), using a two-generation approach that focuses on creating opportunities for both vulnerable children and their parents. This initiative focuses on strengthening families in targeted communities by following Aspen Institute's two-generation model. The SIF priority issues addressed by GPGF are Youth Development and Economic Opportunity.

Four distressed Indianapolis neighborhoods have been chosen as the focus of GPGF. These neighborhoods were chosen because of high crime rates and other factors such as poverty, unemployment and low education levels. These areas have been identified for revitalization by a Local Initiative Support Corporation-funded project, Great Places 2020, that seeks to transform ailing neighborhoods into dynamic centers of culture, commerce and community. Additionally, these neighborhoods are receiving resources from the Indianapolis Mayor's Office of Public Health and Safety which addresses neighborhood violence.

Working with UWCI on this initiative is a third-party evaluation team, led by the Indiana University Public Policy Institute (IUPPI) and The Polis Center (Polis), both based at Indiana University-Purdue University Indianapolis (IUPUI). Analysts with IUPPI specialize in collaborating with community stakeholders for program evaluations, analysis and research design; Polis' strengths lie in data management, collection, dissemination, technical assistance and training.

UWCI requests \$15,692,656 for the term 9/30/16, to 9/30/21. The year one CNCS request is \$3,331,656 with a one-to-one match from UWCI. Main sources of match are private and local government funds.

Project Summary - Potential subrecipients will propose integrated services to children and adults that

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address outcomes in a two-generation approach. GPGF will target families with children ages 0-5 who live in the four neighborhood. Family Economic Success (FES) and Early Childhood Education (ECE) will be the anchor domains of GPGF.

The targeted neighborhoods are high need as demonstrated by 35%-41% of families living in these neighborhoods are below the poverty level and the self-sufficiency standard.

The theory of change for GPGF is as follows: by establishing neighborhood networks of comprehensive, integrated two-generation services that serve the whole family, then more children will enter kindergarten ready to learn, more parents will acquire 21st century skills and credentials and have career-track jobs, more families will be financially stable. Additionally, as these neighborhood networks also leverage existing community development and neighborhood improvement plans and initiatives - as envisioned by the Great Places 2020 project - then families will remain in these improving neighborhoods that promote a high quality of life.

Long-term outcomes: 1) 80% of young children participating in ECE services will be ready for kindergarten; and 2) 60% of participating adults will achieve financial stability for their families.

A successful sub-recipient profile will include:

- * Mission alignment with GPGF and its theory of change.
- * Track record of high-quality interventions yielding measurable results.
- * Collective capacity to implement interventions in ECE and FES.
- * History of partnerships with organizations in the neighborhood.
- * History of evaluating program outcomes, and using evaluation results to improve programs and commitment to rigorous evaluation.
- * Relationships with local funders and a plan for raising match funds.

The GPGF team will coordinate technical assistance to help subrecipients develop and implement a two-generation approach. This will include:

- * Consulting about RFP requirements and process.
- * Building subrecipients evaluation capacity.
- * Operating successful programmatic partnerships.

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- * Developing effective engagement strategies with program participants.
- * Consulting with subrecipients about strategies for raising matching funds.

Program Design

United Way of Central Indiana (UWCI), deeply rooted in the larger Indianapolis community for nearly a century, has effectively worked to help residents and communities achieve and maintain self-sufficiency by focusing on four key areas of community impact: education, income, health and basic needs. With an annual operating budget of \$66 million, UWCI invests in expert research and performs regular community assessments to identify the areas of greatest need and to advance the best solutions to address these needs. Working with key stakeholders in the community, and in partnership with businesses, human services agencies, schools and government, UWCI strategically targets donor dollars and funds from private and public sources to high-impact programs that deliver measurable results. Because of that long history of collaboration, UWCI has selected Strategy B for the program design.

Specifically, UWCI will work with potential subrecipients to propose plans to implement pre-defined innovative, evidence-based interventions as solutions to the problem of family instability in targeted neighborhood clusters. UWCI will facilitate a two-generation approach to family stability that focuses on creating opportunities for and addressing the needs of both vulnerable children and their parents together. UWCI will utilize the primary interventions of high-quality early childhood education (ECE) and family economic stability services (FES) as primary paths for this solution. In addition, the program will support interventions to help develop participants' social capital and to address the impact of toxic stress from living in poverty.

i. RATIONALE AND APPROACH

UWCI will implement a geographically-based initiative called Great Places, Great Families (GPGF) that uses a two-generation approach to address key factors that impact family stability: finances, employment, education, health and social capital.

After several years of focusing on targeted improvements for ECE and FES for vulnerable families in Indiana, UWCI is considered a leader in initiating positive change for struggling Hoosier families. In 2012, UWCI established bold ten year goals to improve early child development services, particularly

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for low-income children. UWCI is on target to achieve these goals because it has marshalled traditional fundraising strategies and skills as a community convener, and inspired the public, business and philanthropic communities to make additional investments resulting in a game-changing, five year \$20 million investment to fund a preschool scholarship program. UWCI has challenged the community to build on this progress by advocating aggressively for statewide funding for early childhood education during the 2017 state legislative session. UWCI will employ these same strategies in fundraising and engagement for GPGF: 1) present a community problem; 2) set bold goals; 3) propose a compelling solution; 4) inspire the public, private and philanthropic sectors to join; and 5) track progress and share results.

In Fall 2014, the Indianapolis Metropolitan Police Department (IMPD) leveraged a new data analysis system that identified six "hot spot" neighborhoods that accounted for 4.7% of the Indianapolis population but 20% of the homicides and 30% of non-fatal shootings. These neighborhoods turned out to be the very ones where many of the children and families supported by UWCI-funded programs reside. IMPD reached out to several community stakeholders, including UWCI, for assistance in its efforts to leverage its data to develop non-policing strategies to lower the crime rate. UWCI saw a unique opportunity to answer IMPD's call for help from the human-services network. The IMPD data analysis led UWCI to re-evaluate whether its current education and income stability strategies were reinforcing silos that hinder progress toward collective goals. UWCI began to consider whether it could leverage its reach to support an environment for collaboration and shared goals across the nonprofit network, working with IMPD and local philanthropists in an effort to strengthen families in the most distressed neighborhoods.

The process to find answers led to the realization that UWCI's education and income strategies should be intentionally linked at the neighborhood level. UWCI was introduced to the concept of a two-generation approach by United Way Worldwide, through its work with Ascend at the Aspen Institute, a nationally recognized hub for breakthrough ideas and collaborations that move children and their parents toward educational success and economic security.

In January 2016, IMPD commissioned an analysis of the IMPD's six "hot spots" by Indiana University Public Policy Institute (IUPPI). IUPPI found crime in those areas were closely associated with unemployment, low educational attainment and poverty. The analysis further stated that efforts

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to address these issues must be collaborative, community-focused and consistent and accompanied by quality data collection and analysis. As IMPD acknowledged, it is the expert in policing and the criminal justice system, but UWCI is the expert in human services delivery.

Concurrently, the Indianapolis Local Initiative Support Corporation (LISC) was in the development phase of its Great Places 2020 (GP) initiative, a visionary community development project aimed at transforming ailing neighborhoods into dynamic centers of culture, commerce and community. To date, three neighborhoods have been selected for the GP initiative -- all located closely to IMPD "hot spots."

In Fall 2015, UWCI began sharing its version of the two-generation approach with city officials, funding partners and nonprofits to test the idea and solicit feedback. UWCI's Vice President of Community Impact also invited key leaders in the distressed neighborhoods to be part of the conversation.

From there, UWCI conducted meetings with neighborhood groups, city-wide partners and other stakeholders with expertise in the five components critical to the two-generation model: postsecondary education and workforce preparation, early childhood education, economic supports, health and well-being and social capital. These meetings elicited advice on best practices and provided UWCI with essential information on the interest level of nonprofits to further participate.

Through analyzing information gathered in this process, GPGF identified four clusters of distressed urban neighborhoods in Indianapolis to focus on: Near West, Northwest/Midtown, Near Eastside and Far Eastside. In addition to achieving positive outcomes for families served by GPGF recipients, the effort should produce population-level improvements in these communities and lead to more engagement in neighborhood revitalization efforts through enhanced resources and increased collaboration.

The identified clusters are overwhelmingly populated by high need households:

* 35.16%-41.48% of families living in the neighborhood clusters are below the federal poverty level compared to 16.67% in the surrounding Marion County aggregate (Census Bureau, 2014).

* 46.38%-62.88% of the population under age 18 is living in poverty compared to 30% in Marion

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County aggregate (Social Assets and Vulnerabilities Index [SAVI], 2013).

* 61.4%-68.82% of the population is at or below 200% of the federal poverty level compared to 41.05% in Marion County aggregate (SAVI, 2013).

There are additional indicators of risk for family instability in the identified neighborhood clusters, including:

* 44%-45% of all crimes are violent crimes and simple assaults compared to 34.74% in Marion County aggregate (SAVI, 2014).

* 23%-28% of adult residents do not have a high school diploma compared to 15.2% in Marion County aggregate (IN Dept. of Education).

* 9%-25% of elementary students passed the standardized state test for reading and math compared to 43% in Marion County aggregate (IN Dept. of Education).

* 42%-49% of households spend 30% or more of their income on housing compared to 35.75% in Marion County aggregate (Census Bureau, 2014).

In addition to risks for instability posed by inadequate income, education and housing, exposure to violent crime and mental health issues negatively impacts the lives of children and adults in these areas. A recent community health assessment identified mental illness as a significant problem across all age groups with depression being the most common mental health disorder. The assessment also pointed to inadequate capacity of mental health services and the lack of coordination of health care critical to those impacted by mental illness (Community Health Assessment-2014, Marion County Public Health Dept.). Further, the toxic stress associated with poverty places young children at high risk for adult chronic diseases, including depression, as the exposure to persistent adversity interrupts normal brain development (The Science of Early Life Toxic Stress for Pediatric Practice and Advocacy, Johnson, Riley, Granger and Riis, 2013).

These neighborhoods also experience disproportionate incarceration rates, which negatively impacts the emotional health of children separated from an incarcerated parent. The resulting trauma can have lasting effects, including depression, anxiety and decreased self-esteem (A Shared Sentence, The Devastating Toll of Incarceration on Kids, Families and Communities, Annie E. Casey Foundation, April 2016).

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To address these issues and to move children and their parents toward educational success and economic security, GPGF will focus on two critical areas: increasing early childhood education (ECE) capacity and the availability of family economic stability (FES) services.

There are clear indicators of the need to do so, including:

- * The identified gap in high-quality ECE "seats" in the targeted neighborhood clusters. In the seven zip codes that roughly encompass the clusters, there are only 216 ECE providers participating in Indiana's voluntary quality-rating system for early childhood education providers, known as Paths to Quality (PTQ). Collectively, they offer only 8,466 "seats."

- * Given the 0 to age 5 population of an estimated 20,207 in these zip codes, the unmet need is approximately 11,741. The high need for quality ECE was also demonstrated in a 2012 UWCI study that estimated that nearly half of all Marion County kindergarteners (about 9,000) were destined to start school unprepared based on standardized assessments.

- * The current landscape for ECE services in Indianapolis/Marion County is fragmented with several classifications of center- and home-based providers with different required standards and uneven quality. In 2015, only 30% of children in ECE programs were in facilities rated as high quality according to the PTQ four-tier rating system (Indiana Early Learning Advisory Committee Annual Report, January 2016). UWCI's work over the past four years has begun to change this landscape by increasing the number of ECE providers that earn the PTQ top rankings, but an estimated 65% of all ECE providers are still ranked in the bottom two PTQ tiers, or are not rated at all.

- * 93,566 (26%) households experience financial hardship, according to standardized criteria set by the United Way's ALICE (Asset Limited, Income Constrained, Employed) Project. These families are working but not able to afford the basic necessities of housing, food, child care, health care and transportation (UWCI ALICE Report, Rutgers University-Newark School of Public Affairs and Administration, Fall 2014).

Each of the identified neighborhood clusters has an array of providers offering ECE and FES services. Past and current solutions have helped some families address individual needs but, due to lack of integration, it's unknown if isolated interventions have been sufficient to strengthen the entire family for the long term. The persistence of stagnant outcomes at the neighborhood level suggests that the current scope of services, delivery structures and methods are inadequate for solving complex problems faced by families.

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The theory of change for GPGF is as follows: by establishing neighborhood networks of comprehensive, integrated two-generation services that serve the whole family - addressing the key components of postsecondary education and workforce preparation, early childhood education, economic supports, health and well-being and social capital - then more children will enter kindergarten ready to learn, more parents will acquire 21st century skills and credentials and have career-track jobs, more families will be financially stable, more children and parents will be healthy and more families will have formal and informal networks of support.

Additionally, as these neighborhood networks also leverage existing community development and neighborhood improvement plans and initiatives - as envisioned by the Great Places 2020 project - then families will remain in these improving neighborhoods that promote a high quality of life.

UWCI has established the following as primary long-term outcomes:

1) 80% of young children participating in ECE services will be ready for kindergarten using validated assessment instruments; and 2) 60% of participating adults will achieve financial stability for their families as indicated by spending less than 30% of income on housing.

The short-term outcome following year one will be ones for which subrecipients can collect data in program database systems and through implementation of validated assessment instruments. These program outcomes are as follows:

* For ECE services: 1) 60% of participating classrooms will improve program quality as shown by higher ratings on two standard instruments, Classroom Observation Scoring System (CLASS) and the Early Childhood Environmental Rating Scales (ECERS); and 2) 80% of participating children will show growth in developmental and school readiness domains using two validated tools: the Brigance Kindergarten Screen to evaluate cognitive skills and the Peabody Picture Vocabulary Test to assess vocabulary development.

* For FES services: 1) 75% of participants will receive bundled workforce development services; 2) 40% of participants will obtain employment; 3) 75% of participants will retain employment for a minimum of 3 months; and 4) 30% of participants will experience an increase in their net income.

UWCI hypothesizes that providing services to children and adults in an integrated two-generation approach will yield better ECE and FES outcomes that will lead to increased family stability than

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would be achieved in child-only and adult-only programs. UWCI and the third-party evaluator will design evaluation methods to test this hypothesis, which will include a quasi-experimental evaluation comparing child and adult GPGF participants with participants in non-integrated programs.

UWCI and the third party evaluator will design methods to assess additional outcomes that will likely include: 1) increase the number of high quality ECE seats accessible to children in the target neighborhood clusters; 2) increase the percentage of adults who complete credentialed postsecondary education/training; 3) increase the percentage age of adults working in career-track jobs; 4) increase in participants' formal and informal networks of support; 5) Increase in reported levels of civic engagement by participants; and 6) decrease in the percentage of individuals and families reporting poor mental health.

Finally, a number of neighborhood indicators will be tracked to assess whether the GPGF programs implemented in the context of community planning and development efforts contributes to improvements in quality of life as reflected in such factors as improved employment rates, median household income, educational attainment, home ownership, crime rates and voter participation.

GPGF largely rests on the assumption that it must be integrated with current community development initiatives in the neighborhood clusters to be successful. Nearly two years ago, at the request of then-Indianapolis Mayor Greg Ballard, the community convened a meeting of key community stakeholders to discuss how Indianapolis could improve neighborhood change strategies by better integrating and aligning investments. This stakeholder group developed a vision for aligning their collective resources to maximize benefits to the neighborhoods. GPGF incorporates this collective vision.

The neighborhood clusters chosen for GPGF are included in a number of aligned community initiatives. For example, UWCI will use the Great Places 2020 structure as the community mechanism to generate support for GPGF activities, rather than creating a new one. This will reinforce the commitment of institutions and funders to align their investments for greater impact. It will also strengthen relationships between neighborhoods and city leaders, leading to deeper and longer term investments that will help ensure sustainability after GPGF has ended.

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In the last four years, all GPGF neighborhoods have completed "Quality of Life Plans" as part of a larger city initiative that has engaged residents to identify their neighborhood priorities. Nonprofits and other institutions use these plans to identify and implement activities to support achievement of neighborhood goals. These plans will play a prominent role in our competitive grant process, as respondents will be required to show evidence of integrating these Quality of Life Plans in their efforts.

Each neighborhood cluster also has unique opportunities that will align well with GPGF. An example is the Near Eastside, which has been designated a federal Promise Zone (PZ). GPGF aligns with two of PZ's critical goals: increased economic security and expanded educational opportunities.

Description of Programming Strategy - ECE and FES will be the anchor domains of the two-generation initiative. A young child's achievement of developmental benchmarks and readiness for school and a parent's capacity to earn a living wage are the foundations upon which family stability is built. Increased earnings for low-income families can mitigate a number of problems for children that are associated with poverty, including poor health status, poor school performance and risky and delinquent behaviors (Haveman, R., Wolfe, B., & Wilson, K., 1997; Brooks-Gunn, Jeanne and Duncan, Greg J., 1997; Bradley, R.H. & Corwyn, R.F., 2002; Dahl, G. & Lochner, L. 2005).

Potential subrecipients will be required to collaborate and jointly respond to a Request for Proposal (RFP) with program models that provide high-quality, high-intensity integrated services to children and adults. All five elements critical to the two-generation approach - early childhood education, postsecondary and employment pathways, economic assets, health and well-being and social capital - must be addressed. The proposals must reflect plans for integrated neighborhood-based services and identify specific functions and budgets for each component that will serve as the basis for subrecipient grants and funding agreements. The health (specifically, toxic stress) and social capital domains of the two-generation approach must be addressed primarily through capacity-building of the ECE-FES provider partnerships through training and technical assistance and with a funding pool to purchase educational and therapeutic services for families. The focus on ECE strategies to expand access to high-quality early learning education for children through age five clearly aligns this proposal with the Early Childhood Education optional priority of the SIF NOFA.

Eligible participants will be defined as parents with children (ages 0-5) who reside in one of the four

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targeted neighborhood clusters and who are financially unstable. In year one, it is anticipated that 1,000 young children (ages 0 to 5) and 1,000 adults (primarily parents or guardians of young children) will be served by the two-generation initiative.

The proposed model is innovative in the following ways:

- * Applying the two-generation approach in a different way. The two-generation models that UWCI has researched are primarily implemented within one organization, where the entire organization changes its culture. UWCI also wants to change organizational culture, but across separate entities that specialize in child-focused and adult-focused programs, to link their efforts into a family-focused culture. This model will also support participant access to services from multiple points of entry and expand access to services for struggling families. This may include recruitment of parents of children attending high-quality ECE in selected areas or parents with young children accessing income support services through FES providers.
- * Intentional alignment with neighborhood revitalization efforts. UWCI wants to ensure the two-generation approach is not randomly implemented but, rather, intentionally aligned with neighborhood revitalization efforts that are focused on improving the physical, economic and livability characteristics of the neighborhood.
- * Implement a city-wide data integration system. UWCI is leading the development of a data integration system that collects client-level data from UWCI agencies and student-level data from schools and combines it with various community-wide data sources (including IMPD) into a data warehouse. UWCI's third party evaluator and Strategic Information Team will develop data analytics and community tools to identify what combination of interventions in what circumstances produce the best results in specific circumstances for GPGF participants.

Early Childhood Education - Children ages 0-5 in families enrolled in GPGF will receive high-quality early childhood education from providers that have achieved the top two quality rankings in PTQ. In Indiana's mixed-delivery model of early childhood education, high-quality services can be received in licensed child care centers, child care ministries, family child care homes and in public, charter and sectarian schools.

Research, at the preliminary tier of evidence, shows that high quality early childhood programs - those that address health and safety, provide a stimulating environment; maintain small student-

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teacher ratios; use scientifically-based curriculum; employ highly qualified teachers who develop close, nurturing relationships with children and effectively engage parents - promote age-appropriate development across all domains and provide a foundation for academic success ("Background for Community-Level Work on School Readiness: A Review of Definitions, Assessments, and Investment Strategies," Child Trends, March 2000). UWCI will promote these evidence-based practices throughout program implementation. Prior to releasing the RFP, UWCI will work with the third-party evaluator to identify additional evidence-based ECE practices and in capacity-building work with ECE providers.

Maintaining and expanding high quality ECE to children in GPGF will also require continuing investment in professional development for ECE administrators and teachers. UWCI will collaborate with subrecipients and ECE experts to provide training and technical assistance that will include: 1) child development training for current or prospective teachers to pursue certification and degree programs; 2) coaching for current operators of family child care homes to meet PTQ quality levels and achieve teaching credentials; 3) recruitment of new child care home operators, training and ongoing support from the UWCI-funded Early Learning Indiana's Child Care Answers, a training and referral program that offers peer support; 4) continuing education to improve instructional skills, quality and quantity of child-teacher interactions, family engagement strategies; and 5) training, technical assistance and coaching to ECE program directors on business planning and business management practices. UWCI has also budgeted funding to assist with minor renovations and furnishings for classrooms to facilitate providers' advancement in PTQ levels and to create stimulating learning environments.

Family Economic Security - The FES component of the two-generation model will focus on strengthening and enhancing the Center for Working Families (CWF) model of education and training, employment and asset building for enrolled parents. CWF is an innovative community service delivery model designed to address the challenges of the working poor and equip them with the financial capabilities, strategies and tools needed to achieve financial stability. Built on a model developed by the Annie E. Casey Foundation, CWF provides low-income families with three primary services: access to income supports, employment and career readiness, and financial literacy education. Research shows that bundling CWF's three service components (income supports, financial coaching and employment coaching) are effective in helping participants achieve employment and

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financial goals including increase in net income, increase in credit score, long-term job retention and increase in net worth.

Previous Social Innovation Fund support of CWF is changing the nonprofit landscape in Indianapolis by shifting the focus of social services delivery from providing transactional services to the working poor to equipping families with tools to increase their incomes and improve their futures. This philosophical shift has positioned Indianapolis to expand the CWF approach to other service categories. GPGF will be an opportunity to expand this service approach in an integrated neighborhood model.

LISC's 34-month evaluation of outcomes for 40,000 low-income CWF participants revealed a strong correlation between the number and type of services used by CWF participants and their ability to increase earned income and improve their overall finances (Building Sustainable Communities: Integrated Services and Improved Financial Outcomes for Low-Income Households, Sarah Rankin, Local Initiatives Support Corporation, April 2015). Key findings of the study include:

- * 74% job placement rate.
- * 78% six-month job retention rate.
- * 76% of participants increased their net income.
- * 60% either increased their credit score or acquired a credit score.

Prior to releasing the RFP for the ECE/FES provider partnerships, UWCI will work with the third-party evaluator to identify additional evidence-based FES practices and capacity-building work with FES providers. Specific FES services will include: 1) access to income supports; 2) workforce supports (high school completion, job readiness skills, postsecondary education and training for career-track employment, on-the-job training, job placement and supports for job retention and advancement); and 3) economic assets (credit and debt counseling, matched savings accounts and safe and affordable housing, including access to subsidized housing). In each GPGF provider partnership, job-developer staffing capacity will be assessed and added as needed to effectively build relationships with employer partners, create referral pipelines once clients are trained and serve as liaisons/coaches after clients are placed with employers.

Contextual job training opportunities will be added to the CWF model offered to parents in GPGF.

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LISC Indianapolis is currently investing its SIF in workforce development providers that are well-positioned to add contextual job training to their portfolio of services. UWCI will work with LISC to identify parents in GPGF to link them to middle-skills jobs.

Additional Program Components - Once participants are identified, family assessments will be conducted that include evaluation of children's early development status and needs; parents' education, training and employment status and needs; and an overall psychosocial assessment of family assets, needs and challenges. From the assessments, case plans will be developed to identify short-, intermediate- and long-term goals with strategies and actions to achieve the outcomes.

The following are key components that will be employed to ensure effective program implementation:

- * Case management will be included to address basic needs, family crises and other barriers that prevent families from successfully engaging with the ECE and FES components. Case managers will develop and maintain partnerships with other service providers and community resources and assets that families need to be successful in ECE and FES. UWCI currently sponsors the Indianapolis Case Management Institute (ICMI), which provides training on best practices in case management. UWCI will extend this professional development resource to GPGF subrecipients.
- * ECE/FES provider partnerships will include "flex" funds in their operating budgets to provide limited assistance to families to help them address barriers to their successful engagement in GPGF. Eligible expenses may include security deposits for housing, auto repairs, educational fees and other emergency assistance.
- * GPGF families will be assisted in building formal and informal support networks needed to gain access to services and resources for them to succeed. GPGF will also promote greater civic engagement by families as an additional avenue for building social capital. The case managers will work with families to identify civic engagement interests and develop ways to help families participate. Applicants will also be asked to budget funds for social-capital training and technical assistance.
- * GPGF will focus on addressing behavioral health issues in the neighborhood clusters. This will require building subrecipients' capacity to identify problems and develop a robust and effective referral network for education and therapeutic services, including possible co-location of services. Training and technical assistance from qualified mental health and human-services providers will be needed to build this capacity. UWCI will require potential subrecipients to budget funds for training and technical assistance to build providers' capacity and for the purchase of mental health services for

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GPGF families without third-party payers.

The following types of organizations will be eligible to compete for subrecipient grants:

- * High-performing nonprofit human service providers with missions and programs that align with GPGF issue areas and theory of change and that have capacity to achieve priority outcomes as described above. This may be demonstrated by accreditation, certification or other third-party verification.
- * Human-services providers that either have a significant operating presence in the targeted neighborhood clusters or have track records of partnering with community-based organizations in other neighborhoods.
- * Human-services providers with a track record of successful collaborations with other organizations. Collaborations may also focus on efforts beyond programming (e.g., public policy, systems improvements and community development).

UWCI will provide the following technical assistance and training to subrecipients:

- * Consulting on RFP requirements and process.
- * Designing and implementing the evaluation plan and building subrecipients' evaluation capacity.
- * Educating on compliance with requirements for managing a federal grant.
- * Applying the overall program design in each targeted neighborhood cluster.
- * Operating successful programmatic partnerships.
- * Developing effective engagement strategies for and with program participants.
- * Consulting with subrecipients about strategies for raising their matching funds.
- * Data collection and analysis.
- * Two-generation approach.

ii. PROPOSAL FOR SUBRECIPIENT SELECTION

In year one, it is anticipated that there will be two primary subrecipients partnering in each of the four targeted neighborhood clusters to provide integrated ECE and FES services. The estimated dollar range of subrecipient awards is \$100,000 to \$350,000.

The criteria for selecting subrecipients will be weighted heavily on how well the applicants

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demonstrate their commitment to the three innovative components of GPGF as follows:

1. Organizational Culture Change: Applicants must show evidence that their board, executive leadership and staff are committed to the two-generation approach as outlined in this proposal. UWCI expects the joint-applicants' boards to sign an interdependent agreement to illustrate leadership's commitment to successful program implementation. This will require details on the level of engagement and/or evaluation of the chief executive officer's role in this process and evidence of how staff job responsibilities and expectations will change. UWCI will also expect to see explanations of how the agency staff will interact as one team to benefit the children and family participants and how they will hold each other accountable for success.

2. Integration with Neighborhood Revitalization: Successful subrecipients will need to clearly identify how their two-generation strategy will relate and support the Quality of Life Plan in the respective neighborhood cluster. Specific goals in the plan should be cited, as well as demonstration of knowledge that the applicant is aware of what initiatives are underway and ideas of how they should/could align. It is expected the applicants will also demonstrate their participation and role with the Great Places 2020 initiative and how their strategy connects families to these efforts.

3. Data Integration: Subrecipients will need to demonstrate a commitment to data integration and the use of data to drive decision making. Applicants will need to provide an analysis of their current data collection and data management capabilities. Applicants with deficiencies in data management will not be disqualified but will need to demonstrate awareness of these deficiencies and the barriers to addressing those deficiencies. Applicants must agree to share client-level data, designate a staff person as their data steward and agree to fully collaborate with the third-party evaluators.

A successful sub-recipient profile will include:

- * Mission alignment with GPGF and its theory of change.
- * Track record of providing high-quality interventions yielding sustainable and measurable results.
- * Collective capacity to implement "pre-defined" interventions including expertise in ECE and/or FES and commitment to participate in quality improvement efforts and a joint evaluation.
- * History of partnerships with organizations in the neighborhood.
- * Capacity for program growth of GPGF interventions over time.

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- * History of successfully evaluating program outcomes and evidence of using evaluation findings to improve programs and their results.
- * Commitment to engage in rigorous evaluation.
- * Healthy, current relationships with local funders and a specific plan for raising the required match.
- * Commitment and capacity to comply with federal grant requirements as evidenced by acceptable compliance reviews for prior grant funding.

UWCI will develop a subrecipient selection process for the RFPs that includes the following elements:

- * Identify pool of qualified organizations based on the profile described earlier.
- * Develop the application in weeks 1-4 and announce its release via multiple media outlets, including the Not-for-profit News, with information on obtaining and submitting proposals in weeks 5-6.
- * Identify and recruit independent review team during the development of the application, and ensure there are no conflicts of interest.
- * Convene a minimum of two bidders' conferences prior to proposal submission.
- * Provide technical assistance to applicants as they are developing proposals (weeks 8-14).
- * Set due date for letter of intent during week 8.
- * Set application due date during week 15.
- * Review of proposal during weeks 15 to 17.
- * Interview finalists during week 18 to gather further evaluative information.
- * Subrecipient selection during week 19.
- * Negotiate and execute subrecipient contracts between weeks 20 and 24.
- * Implement programming beginning week 25.

UWCI has a successful history of grant-making through competitive and evaluation-driven selection processes. In fiscal year 2015, UWCI awarded 222 grants to nonprofit organizations totaling nearly \$25.5 million. This represents approximately 38% of the organization's operating budget. Examples of UWCI's grant-making capabilities include:

- * For the past eight years, UWCI has offered a competitive impact grants program, offering \$10 million to UWCI agencies to support innovation in service provision.
- * Unrestricted operational funding is currently awarded to certified agencies on the basis of agency evaluation ratings that include standards for: Response to Community Needs, Results Driven, Diversity and Inclusion, Governance, Management and Finances plus an assessment of the agency's

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alignment with UWCI priorities.

* An open, competitive grant process was conducted for the Homelessness Prevention and Rapid Rehousing Program (HPRP) to award HUD funds. Proposals were rated using review criteria that included ability to quickly increase service capacity needed to deliver this specialized housing program and to integrate it with existing homelessness prevention and intervention services and other basic needs programming. UWCI awarded \$5,857,169 to 20 service providers over three years.

UWCI will assess subrecipient applicants for readiness to implement program growth through submission of written applications and interviews with applicants' leadership. Applicants must describe their success in implementing programs with fidelity and in achieving measurable client outcomes, document success in increasing the reach of programs, and demonstrate ability in refining programs. UWCI's long history of agency evaluation will provide the expertise and tools needed to assess applicants' governance, management and program-delivery capacities, which will serve as predictors of applicants' potential for program growth.

iii. PROPOSAL FOR EVALUATION

UWCI has deep experience in evaluating early childhood education and human services programs for families living in poverty to gauge their effectiveness. UWCI regularly collects and analyzes data regarding the quality of child care providers that are accessed by low-income families. Monitoring of this information, along with regular analysis of the highest-need zip codes helps determine where to recruit providers that will most benefit from UWCI investments to increase the availability of, and access to, high-quality care by low-income families.

In addition to evaluating community data to inform provider recruitment strategies, UWCI is currently evaluating the impact of high quality ECE services, including results from a pilot pre-K program. Thirty-one of 32 children enrolled in this program met or exceeded the 80% threshold for reaching developmental benchmarks based on year-end ISTAR-KR assessments. In addition, the CLASS environmental rating scale reflected statistically significant improvement in instructional support; the domain of teacher-child interaction most strongly correlated with sustained child outcomes beyond pre-school. Longitudinal analysis of third-grade state assessments of the first cohort of these children will be available in summer 2017 after they have completed third grade.

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UWCI's capacity to ensure successful evaluations of subrecipients' programs has also been demonstrated by evaluative work performed in the organization's primary school-age literacy program, ReadUP. ReadUP is a one-on-one tutoring program that uses trained volunteers to help students with phonics, fluency, vocabulary and comprehension. Students are assessed for reading ability at the beginning and ending of the program. The goal is for participating students to be reading at grade level by the end of the program.

The evaluation of ReadUP in school year 2012-13 revealed that students participating in 50 or more tutoring sessions consistently outperformed their non-ReadUP peers, as well as their ReadUP peers who received fewer tutoring sessions. Students in third grade consistently outperformed fourth and fifth grade ReadUP participants with an 81% pass rate (compared to 58% with fourth- and fifth-grade students). Students in third grade also outperformed their non-ReadUP third-grade peers, regardless of reading level at the beginning of the school year or the students' socioeconomic status, effectively closing the achievement gap.

Using these results, researchers established recommendations to target third-grade students who were no more than one year behind, with an emphasis on recruiting more tutors at the beginning of the year to maximize number of sessions received. The proportion of third graders in the program increased from 5% in the early years of the program to 81% in the last academic year. Sixty-two percent of students are projected to receive 50 or more sessions, increasing from 13% in the previous year. By implementing this strategy, the percent of students meeting end-of-year benchmarks is projected to increase to 82%, up from 67% in previous years.

The third-party SIF evaluation team, led by the Indiana University Public Policy Institute (IUPPI) and The Polis Center (Polis), has sufficient capacity to ensure successful evaluation of the subrecipients' program models. These units are based in Indiana University-Purdue University Indianapolis' (IUPUI) School of Public and Environmental Affairs and School of Liberal Arts respectively. Analysts from IUPPI specialize in collaborating with community stakeholders for program evaluations, analysis and research design, while Polis' strengths lie in data management, collection and storage, usually for community organizations as well.

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Breanca Merritt, PhD, Senior Research Analyst; IUPPI, will serve as Principal Investigator for the evaluation. Dr. Merritt works with multiple projects at the IU Public Policy Institute. Her previous research experience and current interests focus on policy outcomes related to public health, inequality, poverty, and education. Before joining the Institute, she worked as a project manager for a grant funded through the National Institutes of Health, served as a Research Fellow for the Oklahoma Policy Institute, and produced peer-reviewed publications. Her work utilizes skills such as program development and implementation, program evaluation, survey design, and the maintenance and analysis of large databases.

John Marron, AICP; Senior Policy Analyst, IUPPI, AICP, will serve as Evaluation Advisor. He is a certified professional planner and researcher at the IUPPI. Marron's research work is largely focused on housing and community development, community-based planning, aging and quality of life issues, economic development and abandoned property reuse. He has interest in how research, public policy and local actions contribute to a community's identity and its residents' quality of life. Marron specializes in using Geographic Information Systems (GIS) to conduct geospatial analysis for the benefit of the institute's client base.

Sharon Kandris, Director of Community Informatics, Polis Center, will design and implement the evaluative structure. Ms. Kandris joined Polis in 1999 after working with the City of Concord, North Carolina, Planning Department, where she supported the development and maintenance of the city's GIS. With twenty years of experience with spatial decision support, analysis and consulting, she directs several large community information systems and data integration initiatives covering multiple disciplines.

Evaluation partners will work collaboratively to design and implement the evaluation plan. IUPPI will focus on researching evidence-based practices and designing the conceptual structure to support evaluation; managing human resources to craft, manage, and assess findings from the evaluation and providing technical assistance to UWCI and subrecipients related to transforming findings into practice and programs. IUPPI will serve as the primary connection between IUPUI's interdisciplinary faculty and the subrecipients to provide an array of content and technical expertise throughout the life of the initiative to help inform practice and evaluation.

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Polis currently works with UWCI to support data collection, management and storage for a new and larger data integration system that combines client level data from community organizations about family financial stability, social economic data and agency outcomes. The Social Assets and Vulnerabilities Information System (SAVI) is the technological and analytical vehicle Polis uses to facilitate this work. SAVI, the nation's largest and most comprehensive system for collection and analysis of community data, assists organizations to be more strategic and effective in service delivery and to improve social outcomes by providing online data access, data analysis, training and consulting on interpretation and use of data. The focus on technology enhancements to increase the impact of GPGF evidence-based interventions clearly aligns this proposal with the Technology optional priority of the SIF NOFA.

Polis will incorporate data collected for subrecipients into the SAVI data integration structure. They will design and implement standards and procedures to ensure highly reliable and complete datasets are available for collecting, warehousing and integrating all data necessary to implement the evaluation structure. Polis will work with UWCI and subrecipients to provide technical assistance for designing and implementing policies and procedures to collect, store, maintain and use subrecipients' organizational and program participant data for organizational and programmatic decision making. Polis will also integrate community-level measures, as well as other potentially relevant measures, into dynamic web-based and static print dashboards and data portals, as suggested by the evaluation plan.

The SAVI data integration structure will be an invaluable asset to the GPGF evaluation by supporting subrecipients' needs assessments, evaluation of programs and services and budgeting. Specifically, the structure will:

- * Provide richer data about the services and programs available for GPGF recipients.
- * Integrate the client-level data records to identify unique individuals and families served by GPGF and other programs.
- * Integrate program results with individual and family outcomes data and SAVI's socioeconomic data.
- * Produce geographically-based and population-based reports and analytics to support subrecipients needs assessments and decision making.
- * Provide training, capacity building and decision support for planning, measurement, and improvement of GPGF.

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The evaluation partners are committed to working with CNCS to develop a quality evaluation plan. IUPPI currently participates in the federal Promise Zone National Evaluation Research and Data Sharing peer exchange as part of its role as the evaluator for the IndyEast Promise Zone, and it is and/or has been engaged in evaluations of multiple initiatives, including those of LISC and Grantmakers in Aging, to participate in peer learning networks on related initiatives.

IUPPI and Polis will work with UWCI and its subrecipients to develop a detailed, rigorous evaluation plan to achieve moderate or strong evidence during the grant period. UWCI and the evaluation team will work together to provide criteria for reviewers to assess the evaluation capacity of the subrecipients. These criteria will be developed along with the evaluation plan, so that specific needs for the initiative will be realized through the criteria. In part, this will include a technology survey to assess the capacity of participating agencies to collect, access, share and use client-level data for planning and evaluation purposes. Information collected from the survey will also guide the technology assistance and training that will be provided to subrecipients. Other evaluation criteria will include the extent to which subrecipients currently conduct or have conducted evaluations for existing or previous programs and whether they have staff who have conducted evaluations in-house or in cooperation with consultants.

The evaluation team will provide an overview of the purpose of evaluating project outcomes. These opportunities involve facilitating training sessions for data collection for the program sites, as well as providing ongoing assistance.

IUPPI and Polis will provide technical assistance to make data analysis meaningful to UWCI and subrecipients. These efforts will be supported by a lead evaluator and staff policy analysts with years of experience providing technical assistance to community-based nonprofits. These individuals will have knowledge of the evaluation plan -- from having helped develop and implement the plan through working closely with the principal evaluation consultant.

The development of this technical assistance plan will largely depend on the finalized evaluation plan informed by the capacity assessment and focused on the identified evaluation potential of the subrecipients. Polis will lead technical assistance related to data collection, tracking, storage and

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manipulation while IUPPI staff will lead technical assistance in supporting data-driven organizational strategic decision making and program related investments. Specific technical assistance efforts will be tailored to meet the needs of the recipient organization, within the context of their GPGF efforts.

Another key issue in monitoring technical assistance is maintaining independence of the main evaluator from programmatic and client-level activities. As noted above, the structure of the evaluation plan will minimize the potential to lose independence and objectivity. Further, drawing on subject matter experts from across the university system, crafting a research design and driving implementation accordingly should further reduce the concern about a lack of independence.

UWCI will work with the evaluation team to develop a research and evaluation plan. The research plan is closely related to the evaluation design in that the preliminary research questions of interest in the initiative will help shape how the program should be structured for research purposes and influence the design of the evaluation plan. A multi-level approach has been chosen to address child and adult outcomes. This perspective allows both preliminary and moderate evidence to be obtained through the initial stages and ongoing years of the program.

By taking both a community-based and two-generation approach to improving outcomes, the program design offers a unique opportunity to assess the full extent of factors that may affect child, adult and community outcomes. Because this overall design includes outcomes at community, programmatic and client levels, the evaluation plan will need to account for these various layers that may influence outcomes. Since the design calls for existing solutions (SIF Strategy B) that can be implemented by the subrecipients, several similar programs exist that provide preliminary and moderate evidence. Specifically, preliminary evidence may be achieved through an ongoing outcome study and pre- and post-test research to identify annual changes and throughout the duration of the initiative.

Moderate evidence will be achieved in two main ways: the use of evidence-based programs to structure the developed programs for this initiative and through a quasi-experimental evaluation design. The quasi-experimental design will capture change in the identified outcomes for clients in the targeted program areas relative to areas not receiving the evidence-based program. Additionally, these outcomes could be compared over time to have an increased likelihood of showing a causal role for the programs. In other words, the initiative will be able to identify the extent to which the programs

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are effective at improving client and family-level change. For both implementation and outcome evaluations, the evaluation team will utilize a series of general approaches that will help identify and/or clarify specific research questions, identify target populations, disparate groups of interest and operationalize project objectives.

In addition to the theory of change presented earlier in this document, an evaluation strategy achieving moderate evidence for this initiative would entail two components. First, collecting data on the community outcomes will require both ongoing data surveillance and initial information about some of the key trends in these targeted areas.

Second, the crux of this process involves evaluating the programs and organizations operating as subrecipients. Crucial to evaluation of the entire program design is a process or implementation evaluation for the sites and programs participating in the initiative. These evaluations will clarify the extent to which the programs operate as planned and whether they require modification to more effectively address and improve client outcomes. Ideally, similar evaluation tools can be used across program sites to ensure some comparability across programs. The dual data collection would allow for an ongoing comparison.

Finally, determining the role of client-level data, specifically for children and their parents or within household units is critical. This information is needed to understand the overall outcomes of the program and the extent to which the programs improved participant outcomes and, eventually, community outcomes as well. Collecting and analyzing this information over time, for program and control sites, should lead to moderate to strong levels of evidence by the conclusion of the funding period.

The evaluation plan requires that subrecipients' programs begin, at a minimum, with a preliminary level of evidence with opportunities to improve to moderate or strong levels of evidence by the end of the funding period. GPGF's multi-level approach will achieve these evidence levels through ongoing evaluation and analysis of overall program results by the end of the funding period.

Although the evaluation plan is not finalized, at a minimum, the existing budget would have to account for the following research and evaluation components:

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- * Collaboration among UWCI, third-party evaluation team and CNCS to develop a research and evaluation design.
- * Collaboration with faculty experts.
- * Time and effort to design and implement technical assistance efforts to subrecipients.
- * Submission to the University's Institutional Review Board to protect the rights and welfare of humans participating as subjects.
- * Identifying and developing realistic sample sizes.
- * Collecting client-level participation and other outcome data involves gathering information about parents and their children, which may involve face-to-face interviews to complete questionnaires for those with varying literacy levels. This component is crucial for understanding program outcomes for the two-generational approach.
- * Data collection for sub-recipient programs (feasibility and quality improvement).
- * Ongoing data management and integration.
- * Data analysis to assess program effectiveness.
- * Production of deliverables. These deliverables may include reports to CNCS and subrecipients, academic publications and policy briefs for community stakeholders and organizations.

Details on cost determination for components of the evaluation are included in the Budget Justification subcategory of COST-EFFECTIVENESS AND BUDGET ADEQUACY.

Since UWCI focuses on a variety of outcomes across multiple topics, an effective evidence-based strategy should seek to target its main outcomes of interest, namely early childhood education and family economic stability. Research suggests that the most effective evidence-based programs that address both children and parents, involve engaging families through ECE programs. Specifically, several evidence-based programs scientifically support improved outcomes for children and parents through providing family support services through ECE programs (Manning, 2010).

The general approach of ECE programs with family support services has incurred strong levels of evidence, as multiple programs exist with this broad approach. These components have been evaluated to be effective across many studies taking place in various areas of the United States. Across broader evaluations of effectiveness, these programs were identified as including educational components addressing literacy, numeracy, cognitive development, socio-emotional development and

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motor skills. Many offered meals, health care, social services and parental supports and, ideally, enrolled students before age three.

A specific example is with the Chicago Child-Parent Centers (CPC). These centers provide ECE and comprehensive family support to children from low-income families (Mersky, Topitzes, and Reynolds, 2011). Parents were required to participate weekly with their child and receive home visits and referrals to social service agencies. The program emphasizes preschool students with evidence that children participating in the program have improved long-term outcomes (such as mental health and avoidance of incarceration), in addition to short-term benefits (kindergarten readiness). These benefits, also observed to be better than youth who did not participate in the program, were based on multiple city-wide evaluations of program quality and follow-up data from more than 20 years of children participating in the program, following them into adulthood.

In addition to the program components providing at least preliminary evidence through pre- and posttest evaluations, the evaluation structure supports the potential to achieve at least a moderate level of evidence. Because the program design focuses on providing support for four specific areas of Indianapolis, this approach provides evidence that a quasi-experimental design within Indianapolis is feasible.

iv. PROPOSAL FOR GROWING SUBRECIPIENT IMPACT

UWCI has a long history of supporting pilot programs that have been expanded and sustained over time. For example, five years ago, UWCI was awarded a grant from the Siemer Institute for Family Stability to reduce student mobility as a way to improve academic success. The initial grant started with one site and has now expanded to four sites through increased funding from Siemer and UWCI. In addition to expanding to other sites, the program has evolved into a two-generation approach, becoming a part of the FES work of CWF programs. Participants in this family stability program have been successful in meeting or exceeding program year 2014 goals for securing stable housing (98%), reducing disruptive school mobility (93%) and increasing income (28%).

Furthermore, UWCI routinely receives funding from the Indianapolis-based Lilly Endowment - one of the world's largest private philanthropic foundations - in the form of a Homelessness Targeted

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Initiative Fund (HTIF) for the purpose of conducting research and implement promising but untested ideas in the area of homelessness intervention and prevention. One systematic change resulted from various homeless providers collaborating to create what is now called the Professional Blended Street Outreach Team (PBSOT). All homeless providers pool their outreach workers in a coordinated way to ensure coverage 24/7 and to intentionally share information about the homeless neighbors they engage. The PBSOT work in tandem with the police department to intervene with homeless people before an arrest is necessary. UWCI used HTIF funds to start this initiative as a three-year pilot to test the idea and evaluate the impact. Within the first year, this intervention had served 26 clients and saved \$265,000 in tax dollars through avoiding arrest and jail, as well as reduced emergency room costs by successfully convincing homeless people to leave the street and seek services and housing. The city now provides continued funding, and UWCI continues to support the PBSOT through participating partner agencies.

UWCI will leverage these experiences as a part of GPGF. As promising practices move into evidenced-based practices, UWCI's funding investments will increase, and its approach to growing effective subrecipients will focus on targeting organizational development and improving data management.

For decades, UWCI has leveraged extensive capacity-building strategies as a part of its work with agencies. In 2006, UWCI developed an evaluation system that assesses agencies in six standards in the categories of Organizational Strength (Governance, Finances, Management) and Community Impact (Results Driven, Response to Community Needs, Diversity/Inclusion), which agencies must meet to receive annual funding from UWCI. For those agencies that do not meet standards, UWCI has a Capacity Building Fund available to support specialized consultants to assist agencies with their deficient standards. Since 2007, UWCI has reduced the number of partner agencies from 106 to 91 through this evaluation process that identifies capacity issues, determines an intervention and then achieves a result. Some agencies separated from UWCI, five agencies merged, and a few others closed.

UWCI employs several strategies to assist agencies that are meeting standards to help them with continued improvement. UWCI is currently operating three peer forums attended by 38 UWCI agency executives. These forums are venues to share best practices or solicit feedback in a safe, confidential environment. The first Peer Forum group has been successfully operating for nine years with many of the original members still active participants. UWCI also sponsors 10-12 trainings per

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year specifically for our nonprofit partners in topics such as grant writing and financial management. UWCI will leverage this model and establish a Peer Forum for subrecipients to support their program implementation.

In GPGF, UWCI will determine subrecipients' capacity for growth by assessing the same areas of organizational strength discussed above with a particular focus on evidence of program implementation fidelity and progress toward participant outcomes using analysis of data collected as part of the initiative's evaluation design. Progress in these areas, as well as subrecipients' track record of attracting greater financial investment and demonstrating support from partners and neighborhood stakeholders, will indicate that the program is well-situated for growth.

An additional strategy for supporting subrecipient growth will target management and use of data to improve program delivery and design. The data-integration plan is a critical strategy to assist subrecipients in improving their data systems to show impact and client change. UWCI has several research analysts on staff that will be available to train and advise subrecipient staff on data collection, analysis and reporting. Additionally, IUPPI and Polis staff will be available for consultation and support. UWCI will convene the staff responsible for data within each sub-recipient on a routine basis to share data and best practices.

UWCI will also invite all subrecipients to participate in a monthly data meeting, facilitated by the IMPD. This meeting was initially proposed by IMPD Chief, Troy Riggs, in an effort to move toward increased community policing in the identified "hot spots." Through this forum, subrecipients will be able to use data to agree upon and prioritize community outcome goals and share progress towards objectives.

UWCI has two capacity-building staff members that implement these initiatives and also directly implement small capacity-building projects and training. All of UWCI's capacity building approaches and programs will be integrated with technical assistance strategies for the GPGF subrecipients based on the needs of each neighborhood cluster.

UWCI's Strategic Information Department is committed to supporting the current agency network through technical support on data collection and data analysis. UWCI agencies will be required to

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provide certain elements of data to support data integration efforts. Efforts to Outcomes (ETO) is a web-based participant tracking software used primarily by nonprofit agencies to track and measure program outcomes. In February 2016, UWCI became the owner of the ETO enterprise that is used primarily to track outcomes for the CWF program. As the enterprise owner, UWCI can add other agencies as ETO sites for an additional fee. UWCI has created a fee structure that is affordable and provides some limited subsidy to agencies as they begin to ramp up their data collection. With this fee, UWCI will also provide unlimited technical support to assist agencies with data analysis, reporting and user training. This same opportunity will be offered to subrecipients that are not UWCI agencies.

Organizational Capability

i. ORGANIZATIONAL BACKGROUND AND STAFF CAPACITY

For almost 100 years, United Way of Central Indiana (UWCI) has been a leader in improving the quality of life for the 1.6 million residents of Indianapolis and its surrounding communities. UWCI identifies, advances and advocates for the best solutions to the community's most pressing challenges through comprehensive community initiatives, targeted programming, public policy advocacy and financial and technical support for human-services partner agencies.

In May 2014, UWCI's Board of Directors approved a new strategic direction, The New U, focused on creating pathways to self-sufficiency for individuals and families. UWCI developed a framework with community goals and related measures to guide the development, implementation and evaluation of strategies in four priority areas: education, income, health and basic needs.

Early Childhood Education - UWCI is committed to a community-impact goal, approved in 2012, to ensure that every Central Indiana resident has access to resources necessary to achieve self-sufficiency. This includes a strong focus on increased access to affordable, high-quality early childhood education (ECE). In the past six years, UWCI has invested more than \$16.5 million in the early childhood system to increase the quantity and quality of service provision.

In 2012, UWCI adopted a ten-year plan to improve child care and early childhood education with the primary goal of improving child outcomes by creating more high quality "seats" for young children and increasing the number of children attending high-quality programs. UWCI launched the Child Care Quality Improvement (CCQI) project to increase the number of child care centers and registered

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ministries on the State of Indiana's four-tiered quality measurement system, known as Paths to Quality (PTQ.) UWCI's goal is to help 110 child care providers reach Level 3 or higher in ten years. Since 2012, 55 partner child care providers have advanced to PTQ Levels 3 or 4. Additional quality improvement strategies include grants to high-need child care centers for curricula, books and other instructional materials, and professional development assistance for teachers.

In 2015, UWCI facilitated creation of the Indianapolis Preschool Scholarship Program (IPSP) to increase quality and capacity of early education. The goal is to increase high-quality ECE capacity for low-income three- and four-year-olds. This five-year, \$50-million investment brings commitments from the public, corporate and philanthropic sectors to ensure that all children have access to high-quality ECE. In year one, IPSP received 5,066 applications for 1,525 slots. UWCI, the program administrator, will expand the number of opportunities in 2016-17 through a continued focus on increasing provider capacity and raising \$10 million in philanthropic support.

Recent UWCI ECE successes include:

- * As of December 31, 2015, 35% of Central Indiana child care licensed centers and registered ministries are "high-quality" (PTQ Level 3 or 4) compared to only 14% in 2012.
- * In 2015, 37% of children with federal Child Care and Development Fund vouchers (administered by the State of Indiana) were enrolled in high-quality programs, compared to only 17% in 2012.
- * Since 2009, UWCI's \$5 million investment in 58 facility and 30 playground improvements has helped registered ministries to attain basic health and safety standards.
- * IPSP provided over 1,500 scholarships to low-income children. UWCI secured over \$600,000 to create 703 additional seats in ECE programs that accept scholarships.

Economic Success - UWCI focuses on economic success with a goal to reduce the percentage of financially unstable families in Central Indiana to 25% by 2021. In 2013, 31.4% of Central Indiana families spent more than 30% of their income on housing, the threshold for financial instability.

Center for Working Families (CWF) is UWCI's leading family economic stability model. UWCI currently supports ten CWF sites with a goal to expand to an additional three in 2016. As of 2014, CWF centers helped 3,100 participants increase net income by an average of \$870 and credit scores by an average of 45 points. In addition, 550 were newly employed, 215 retained employment for six

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months and 177 retained employment for twelve months. Under UWCI's leadership, the network supports current centers and vets new sites for expansion across its service area.

In partnership with the Local Initiatives Support Corporation (LISC), UWCI is enhancing the CWF model to accelerate participants' progress toward financial stability. LISC National was recently awarded SIF funding to support the implementation of Bridges to Career Opportunities programming within three of the Indianapolis CWF sites. These programs connect CWF participants to middle-skills jobs with career pathways while helping local employers hire trained employees.

UWCI recognizes that ECE and family economic stability (FES) strategies alone cannot ensure self-sufficiency for low-income families. These families may be experiencing weakened social networks, inadequate housing and mental health challenges that negatively impact their ability to maintain employment and their children's academic success. UWCI will leverage relationships with partners, including the UWCI-supported Indianapolis Neighborhood Resource Center (INRC) and Eskenazi Health, a leading healthcare provider in Central Indiana, to help subrecipients address these issues with their participants.

Experience and Capacity to Collect and Analyze Data - UWCI's Strategic Information (SI) Department supports community and programmatic goals through rigorous evaluation processes. Led by Dr. Demetrius Glover, Vice President of Strategic Information, the SI Department works with ECE and FES staff to apply approaches and methodologies to measure program outcomes. Dr. Glover has held research positions in education, healthcare and workforce development where he employed analytical research methodologies to gather and analyze data to inform strategic decision-making. Collectively, the SI team possess an array of evaluation and analytical skills including evaluation design, social research, program evaluation, statistical analysis, survey design and analysis and training and technical assistance expertise.

UWCI is focused on expanding its capacity for data collection and analysis through the development of a data integration system. This system will more effectively measure community impact on UWCI's four priority areas and will expand the scope of data for decision-making. This system will support community assessments; evaluation of programs, including subrecipient services and funding allocation decisions for UWCI agencies.

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UWCI's Community Impact team collaborates with SI to design evaluations that demonstrate programmatic impact and inform program enhancements and improvements. The ECE team, assisted by UWCI's academic research partners, regularly collects and analyzes data to inform provider recruitment strategies that will increase the capacity of providers to offer high-quality care.

UWCI approaches evaluation using the following tools and methodology:

- * Indiana Standards Tool for Alternate Reporting of Kindergarten Readiness (ISTAR/KR), an observational assessment developed and managed by the Indiana Department of Education (IDOE), is used to benchmark and monitor ECE students' growth in multiple domains of kindergarten readiness.
- * The IDOE-approved Peabody Picture Vocabulary Test (PPVT), the Bracken School Readiness Assessment-3 (BSRA-3) and the Social Competence and Behavior Evaluation (SCBE) are used to evaluate outcomes in ECE scholarship programs.
- * The IDOE-approved Classroom Assessment Scoring System® (CLASS) is used to measure the quantity and quality of teacher-child interactions.
- * UWCI tracks progress towards income stability goals in CWF through its Efforts to Outcomes (ETO) database. ETO includes participant-level data that is used to assess participant outputs and outcomes. Key outputs and outcomes include: 1) Number and percentage of individuals receiving a single core service vs. bundled services; 2) Number of individuals obtaining employment; 3) Number of individuals retaining employment (3 months, 6 months and 12 months); and 4) number of individuals increasing net income and credit scores.

UWCI has consistently utilized staff and contractors to conduct program evaluations. Indiana University Public Policy Institute (IUPPI) and the Polis Center (POLIS), both based at Indiana University-Purdue University Indianapolis, have significant experience collecting and analyzing data required for evaluation, continuous improvement, and other purposes. This experience includes performing data collection and management strategies for organizations involved with targeted communities in this application. The team's analysis skills include qualitative and quantitative methods that will be relevant for UWCI's proposed GPGF. Examples of projects that address the third-party evaluators' capacity for data collection and analysis include:

- * In April 2015, IUPPI was chosen to manage data acquisition, tracking and reporting for the Indy

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East Promise Zone (PZ). This initiative provides opportunities for IUPPI and the Polis Center to maximize and complement their respective skills. The centers are working with the PZ coordinators, committee chairs and sub-grantees to develop, implement and track individual, familial, organizational, and community-level outcomes. This project offers geographic, programmatic and organizational overlap between the PZ and GPGF. IUPPI and Polis will also utilize similar data sources so efficiencies will be gained in collaborating on these efforts.

* Both IUPPI and Polis have conducted analyses of the Indianapolis urban neighborhoods targeted in the GPGF initiative. In 2014 and 2015, IUPPI and Polis partnered with the Indianapolis Metropolitan Police Department (IMPD) to identify and conduct research in neighborhoods with high crime rates. Their findings are informing policy decisions by city leaders and established baselines against which future efforts can be evaluated.

Organizational Budget and Implications - UWCI's budget for the 2015-16 fiscal year is \$66,383,615. This budget is reflective of historical expenses and revenues for the organization based on the past three fiscal years, with a range of \$53 - \$66 million. A grant of \$3,331,656 from SIF will represent approximately 5% of the organizational budget.

UWCI's Finance department consists of ten individuals with experience in handling complex accounting practices and large federal grants. UWCI's financial management capacity is sufficient to meet the financial management requirements of a SIF grant. Expenses associated with administrative requirements, including reporting and quality control, will be the joint responsibility of the incumbent grants administration team and the GPGF Director.

Experience, Qualifications and Current Capacity of Staff and Contractors - Christie Gillespie, Vice President, Community Impact at UWCI, will provide project oversight. Ms. Gillespie has over twenty years of experience in nonprofit management focusing on community development issues, human services and local government. Prior to working at UWCI, Ms. Gillespie served in various executive and staff positions in community development, human services and state policy. The community organizing and agency operation skills she gained as Executive Director of the Community Alliance of the Far Eastside (CAFÉ), a local neighborhood center, will be invaluable to the development and implementation of GPGF. Since 2007, she has led UWCI's Community Impact team to guide the implementation of its key focus areas, while managing the allocation investments for certified

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agencies, the agency evaluation process and monitoring.

Michelle Beer, Director of Income at UWCI, will provide oversight for the FES component. Ms. Beer has over ten years of experience in the nonprofit sector. Since coming to UWCI, she has worked with various community-wide initiatives focused on financial education and stability. She is currently responsible for managing the local Center for Working Families (CWF) network.

UWCI's Director of Education will provide oversight for the ECE component. UWCI is currently seeking to fill this open position with a seasoned educator with strong leadership and strategic thinking skills, as well as significant management and collaborative leadership experience in early childhood and/or K-12 settings. If necessary, Ms. Gillespie will play an interim role in overseeing the work related to early childhood education.

Ability to develop systems necessary to comply with federal grant requirements - Since 2009, UWCI has successfully managed \$39.8 million in federal grants, either directly awarded from the federal government or as sub-granted from the State of Indiana. These federal grant funds include: Homelessness Prevention and Rapid Rehousing Program, Tenant-Based Rental Assistance Program, Education Training Voucher Program, Child Care Development Fund, Supportive Services for Veteran Families Program, AmeriCorps, Volunteer Income Tax Assistance Program and Low Income Home Energy Assistance Program. UWCI has consistently met grant requirements for all of these programs, including financial management, administrative and programmatic requirements. This compliance includes completion of federal Office of Management and Budget A-133 audits.

Of note, UWCI is currently administering a third-year continuation AmeriCorps State and National Grant. This grant requires UWCI to conduct criminal background checks consisting of National Sex Offender Public Registry (NSOPR) and FBI and state criminal history checks for AmeriCorps members, as well as for persons in "covered positions." UWCI will apply this experience and relationships with background check providers to comply with CNCS National Service Criminal History Check Requirements.

Capacity to maintain long-term relationships with sub-recipients - UWCI is highly respected throughout Central Indiana and has a long history of well-established relationships with nonprofit

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human services providers, community-based organizations, businesses, government and philanthropic entities. Given UWCI's extensive network of relationships with human service providers and other nonprofits, we expect that a number of subrecipient applicants will be entities with whom UWCI has maintained working relationships through programmatic partnerships, funding or technical assistance. UWCI is confident that the innovative design of the proposed initiative, the significant resources that will be brought to the table and the promise of transformative outcomes for families and neighborhoods will serve to strengthen and sustain relationships with entities who are engaged in this project.

ii. SUBRECIPIENT SUPPORT, MONITORING AND OVERSIGHT

UWCI has extensive experience setting and implementing goals with agencies and grantees. UWCI evaluates its certified agencies' capacity to provide quality programs, including goals and measurable outcomes that are results-driven and responsive to community needs. Established standards are used to assess program delivery capacity. In some broader community initiatives that require collaboration among multiple providers, such as the \$20 million, Lilly Endowment-funded Quality Early Childhood Initiative, a three-year project to improve the capacity of high-quality early childhood programs serving children birth through age five, UWCI partners with provider agencies in designing interventions and evaluation plans.

Throughout UWCI's history of grant-making, goals are explicitly articulated for each grant program. Goals are stated in RFPs and in other guidance provided to potential applicants. Applicants are expected to follow guidelines in developing proposals, including instructions on developing a theory of change and formulating measurable outcomes. UWCI also provides technical assistance in the form of bidders' conferences and one-to-one consultation with UWCI staff, offered prior to submission of proposals. This technical assistance focuses on goal-setting and development of theories of change and measurable outcomes.

In outcome-focused community initiatives, UWCI evaluates performance of grant recipients, particularly in their progress toward and achievement of outcomes, by reviewing data that tracks program participants and measures outcomes at the end of their involvement in the program compared to baseline measures at the beginning of their engagement. Examples of outcomes

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measured include: increased numbers of low-income children in high-quality ECE programs, improved early literacy skills, reduced school mobility, secured and retained employment, completed postsecondary or credential training, increased net worth, obtained stable housing and increased access to income benefits.

Technical assistance and other services to sub-recipients - Because a geographically-based, two-generation approach will be a change in practice for the majority of subrecipients, the GPGF team will coordinate training and technical assistance in shaping program components that are well-integrated, complementary and mutually supportive of achievement of parent and child outcomes. UWCI will enlist consultative services from a national expert on the two-generation approach from either the Ascend of the Aspen Institute or the Annie E. Casey Foundation to develop a technical assistance plan.

Furthermore, the GPGF team, other UWCI staff and consultants will support subrecipients to: 1) support overall program design; 2) develop strategies to provide opportunities for participants to build social capital, especially support networks; 3) engage participants in specific neighborhood community development initiatives, as well as encouraging participants to increase their civic engagement; and 4) achieve scaling, evaluation and other key program goals.

The GPGF Director and team will do this by:

- * Providing ongoing technical assistance to subrecipients on overall program operations, including meeting federal financial management and administrative requirements. This includes review of subrecipient funding agreements by UWCI legal counsel for adherence to federal requirements prior to submission to CNCS.
- * Providing orientation and initial training on federal grants management to subrecipients shortly after their selection. The GPGF team will also develop a user-friendly grants management handbook that includes understandable summaries of relevant federal financial, administrative and program requirements with links to specific federal documents and resources.
- * Leveraging UWCI expertise, as well as IUPPI and Polis, to provide technical assistance to subrecipients. This assistance will build capacity of UWCI and its sub-grantees for ongoing data collection, tracking and evaluation to inform program-related investments and organizational directions.

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After methodological approaches are designed, a timeline and task list for building grantee and subrecipient capacity and structures, data collection and provision, technical assistance and program-level reporting will be devised, driving plan implementation throughout the five-year award period. This includes assisting subrecipients in improving and refining the theories of change and program outcomes included in their program applications, establishing processes and implementing tools for collecting program data, providing customized program evaluation training and ongoing coaching to assess fidelity of implementation and assist them in using data to make decisions about program improvements.

To build subrecipient scaling capacity, the third-party evaluator will work with subrecipients to determine whether scaling needs to focus on further validation of the program approach or if the evidence of efficacy is sufficient for the subrecipient to plan for program expansion. If the program approach is in the stage of moving from preliminary to moderate evidence, then scaling should focus on increasing validation.

Planning for scaling will also include assessment of unmet demand or need for the program approach and determination of staffing and facility needs.

Subrecipient performance measurement systems will be developed as part of the overall evaluation plan and will capture the multi-level nature of the general project design. These systems will focus on the fidelity and effectiveness of program implementation in achieving client outcomes. The main evaluation components will include measurement of client-level and programmatic improvements over time. The client-level data collected from each subrecipient will be integrated into a data system to generate analytics around performance and outcome measurement for subrecipients, as well as the collective outcomes of all organizations involved the project.

IUPPI and Polis will take the lead in developing the system by:

- * Assessing the quality of subrecipients' current performance measurement systems.
- * Developing performance indicators to measure adequacy and fidelity of program implementation and short-, intermediate- and long-term participant outcomes.
- * Identifying data required for the selected performance indicators and determine if data is available.
- * Testing the performance indicator system during a pilot phase of implementation or through a

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simulation process.

* Training administrators and providers to use data for program management, improvement and outcomes assessment.

Compliance and progress monitoring vehicles will include review of periodic progress reports addressing program implementation, review of progress on achievement of benchmarks, review of financial and administrative performance indicators and consultation with the third-party evaluator on subrecipients' adherence to evaluation protocols and progress toward achievement of participant outcomes. The GPGF team will review these reports and meet with subrecipients to jointly review data and implications and develop corrective action plans or program modifications.

iii. STRATEGY FOR SUSTAINABILITY

Starting in April 2015, UWCI led a deliberative process to evaluate the viability of a SIF grant to launch a neighborhood-focused, two-generation approach in Indianapolis. Significant time was devoted to assessing how well the elements of this program aligned with the community impact strategy and ten-year goals adopted by UWCI's Board of Directors around the priority areas of education, income, health and basic needs.

In preparation for this grant application, UWCI staff engaged in robust conversations with community partners, the City of Indianapolis, neighborhood-based organizations and the IMPD to gather input, review data and catalogue other city-wide initiatives. After compiling the information, common themes and likely neighborhood targets emerged and a concept paper was developed to present to UWCI's Leadership Team, its Community Impact Committee, Executive Committee and, finally, the Board of Directors for approval. This process was chosen to ensure that, at all staff and volunteer levels of UWCI, there was agreement that 1) the proposed project is well aligned with UWCI's community impact goals and, 2) if awarded, UWCI was willing to make a long-term commitment to this effort.

Because the proposed two-generation approach is so greatly aligned with UWCI's ten-year Community Impact goals, organizational leadership is committed to continuing this effort far beyond the five-year SIF funding cycle. UWCI's intent is to use the learnings from GPGF to inform the

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organization's future funding decisions and to replicate these learnings to other city neighborhoods and to the five other counties that are within the UWCI service area.

Strategy for Ensuring Subrecipients Continue Evaluation and Sustain Program Growth -

UWCI is committed to investing in robust evaluation efforts through the implementation of a data integration system directly tied to Community Impact goals. The system will be a key component to our agency evaluation process that determines whether agencies continue to receive annual unrestricted funding. UWCI has been preparing for the launch of a data integration system through pilot efforts with agencies and continuous conversations with Indiana University's Institutional Review Board (IRB). UWCI has targeted late 2016 to submit an application to the IRB for approval that will allow access to client level data for research purposes.

UWCI's SI Team is committed to supporting the current agency network through technical support on data collection and data analysis. UWCI agencies will be required to provide certain elements of data to support data integration efforts. As the enterprise owner of ETO, UWCI can add other agencies as ETO sites for an additional fee. With this fee, UWCI will also provide unlimited technical support to assist agencies with data analysis, reporting and user training. For subrecipients that are not UWCI agencies, this same opportunity will be offered to them.

Furthermore, UWCI, in partnership with the Mayor of Indianapolis's office, convenes a monthly funders' group, the Coalition for Human Service Providers (CHSP), that has been meeting for nearly 30 years. CHSP members discuss city-wide issues and determine linkages among funding priorities. CHSP will be leveraged as a forum to ensure that key funding partners remain updated and engaged in this community effort and are apprised of subrecipient needs and efforts to create sustainable programs long into the future.

The LI SC's Great Places 2020 Steering Committee, comprised of key representatives from the public, private, nonprofit and philanthropic sectors, is another critical city-wide group that UWCI will engage to support development of GPGF. Through its place on this Steering Committee, UWCI will use its leadership position to open doors and provide access to city-wide partners that neighborhood groups would not have the ability to access. Helping the neighborhoods build these relationships over time is a key strategy to help them sustain and grow their programs.

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Budget/Cost Effectiveness

i. BUDGET JUSTIFICATION

UWCI will match CNCS funding at or above the required dollar-for-dollar ratio. UWCI has emailed documentation of cash-on-hand of \$988,082 that will help support the SIF initiative and letters of commitment from other local funders totaling \$1,988,082.

The total budget for year one of the proposed initiative is \$6,663,313 of which \$3,331,656 is requested from CNCS and the remainder is provided in matching funds. An estimated \$3,875,364 in subrecipient matching funds will be a part of the overall year one budget.

The largest expenditure of CNCS funds will be for subrecipient grants totaling \$2,409,810 or 72.33% of the CNCS request. UWCI will invest the remaining \$921,846 to staffing to administer the initiative, assure adherence to all requirements, support rigorous external evaluation and indirect costs.

Subrecipient grants (CNCS, UWCI and subrecipient funds) for services in neighborhood clusters are based on the following:

- * \$2,339,364 for ECE program costs. At an average annual-per-child cost of \$6,000, an estimated 1,000 children will receive services across all neighborhood clusters. Approximately 110 of these children will be covered by scholarship funds described below and are not included in the costs here.
- * \$600,000 for FES program costs. At an average annual-per-participant cost of \$1,200, an estimated 1,000 adults will receive FES services across all neighborhood clusters.
- * \$120,000 for salary and benefits for a case manager in each neighborhood cluster (4 FTEs).
- * \$500,000 in flex funds (an average of \$1,000 per person) to help families remove barriers to implementing care plans and achieving goals.
- * \$8,000 for training and technical assistance to sub-recipients to help participants build social capital. Semi-annual half-day sessions at \$1,000 will be offered at each neighborhood cluster.
- * \$8,000 for training and technical assistance to sub-recipients to increase capacity to identify toxic stress and other behavioral health problems and connect participants to therapeutic and educational services. Semi-annual half-day sessions at \$1,000 per neighborhood cluster.
- * \$300,000 for the purchase of therapeutic and educational services to an estimated 30 participant families (25%) for 24 sessions at \$100 each.

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* Salaries and benefits of \$272,049 (based on UWCI compensation schedules) for four new FTEs fully dedicated to the project: 1) GPGF Director (1 FTE) -- Provides overall leadership for implementation of the GPGF, including development of policies and standards, project and budget management, oversight of compliance to contractual requirements, fundraising, direction for scaling and replication; 2) GPGF Subrecipient Liaisons (2 FTEs) -- Primary link with each neighborhood clusters. Provides training and technical assistance as well as monitoring of compliance to contractual requirements. Collectively develops expertise in two-generation approaches to inform well integrated service delivery structures and practices; 3) Administrative Assistant (1 FTE) -- Provides administrative support to GPGF professional team.

* Portions of salaries and benefits of two incumbent UWCI staff, totaling \$18,468: 1) Vice President, Community Impact (.10 FTE) -- Provides overall strategic guidance for GPGF and assures alignment with United Way strategic priorities; 2) Director of Education (.10 FTE, in-kind) -- Expert resource to GPGF team and subrecipients for early childhood aspects of GPGF; 3) Director of Income (.10 FTE, in-kind) -- Expert resource to GPGF team and subrecipients for family economic security aspects of GPGF; 4) Director of Strategic Information (.10 FTE) -- Primary liaison with third partner evaluator and partner in building evaluation capacity internally and with subrecipients; 5) Strategic Information Associate (.15 FTE, in-kind) -- Will train front-line staff and managers of subrecipients in data-entry and data integrity and will be responsible for creating customized performance reports from GPGF data systems.

* \$13,310 for operational costs including professional development (\$3,000), travel (\$6,070), printing and publications (\$2,000), meetings (\$2,000) and criminal background checks (\$240).

* \$660,637 in ECE IPSP scholarships administered by UWCI. These are City of Indianapolis funds to be expended on an estimated 110 of the total children served by ECE programs.

* \$1,000,522 for the third-party evaluator. \$775,536 for salary and fringe benefits of faculty and professional research staff based on estimates of the percentage of efforts, current and projected salaries, and current benefit rates (average hourly rate: \$41.86); \$8,000 for data technology; \$13,266 for facilities and administration costs; \$203,720 in indirect costs based on the negotiated rate of 26%.

* \$430,085 for data integration infrastructure and data collection costs. \$56,750 for infrastructure costs including data updates, analysis, website maintenance and capacity-building. \$373,335 or developmental costs for the data integration system.

* \$50,000 for professional development for sub-recipient staff and community stakeholders on

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developing knowledge and practice skills in a two-generation approach.

* \$40,000 for capital improvement costs for renovation and improvement of existing ECE classrooms and for start-up funds for new classrooms.

UWCI's projections for CNCS funds requested to support the initiative in years two-five are as follows: Year two - \$3,326,000; Year three - \$ 3,157,000; Year four - \$ 3,000,000; and Year five - \$2,878,000. Five year total = \$15,692,656.

ii. CAPACITY TO RAISE MATCH

UWCI has a long history of leveraging broad community support to meet and exceed fundraising goals. UWCI annually raises approximately \$70 million in support of community programs. Under the leadership of Jay Geshay, Senior Vice President of Community Impact and Fundraising, the organization has integrated its fundraising and community impact functions to focus on fund development for targeted community goals and outcomes. UWCI is committed to more defined messaging about the impact of individual and corporate donations, in addition to stronger individual engagement strategies. Newly employed marketing tactics in this arena have fostered connections with new donors and UWCI's expanding donor base, focusing on millennials and baby boomers, as well as more localized and strategic gifting opportunities around the proposed program.

Because UWCI has played a leadership role in implementing quality ECE and FES strategies, the organization is successful in securing grants from local and national foundations to support this work. These philanthropic organizations have witnessed the impact of UWCI's efforts and have expressed enthusiasm for the vision that is guiding these innovative efforts. UWCI is also committed to leveraging unrestricted dollars from community fundraising efforts to support specific components of these strategies. Community interest in this effort is further evidenced by UWCI's ability to exceed the SIF requirement of securing 50% of the year one matching funds in as cash-in-hand and commitments at the time of application submission. UWCI has built key relationships with funders that recognize the organization as good stewards of public and private dollars. Key partners include: Lilly Endowment Inc., Eli Lilly and Company, Ruth Lilly Philanthropic Foundation, Central Indiana Community Foundation and The Glick Fund.

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To facilitate securing the required matching funds, UWCI has convened a fundraising cabinet consisting of local philanthropists, fund managers and community leaders to develop a fundraising plan. The team's first meeting in April 2016 is evidence of UWCI's commitment to the SIF fundraising effort and confidence in its success.

Other examples of fundraising efforts that UWCI may employ to secure the match include: 1) Obtain a lead investor in each focus area and priority area to leverage connections and generate funding; 2) Develop and implement a focused major gifts strategy; 3) Conduct a board and committee fundraising campaign; 4) Develop and implement cause marketing based strategies; and 5) Leverage affinity groups around a specific dollar goal or support for one of the targeted neighborhoods.

UWCI also has experience in leveraging funds to meet matching requirements for other government programs. For example, funds received through the City of Indianapolis for the Indianapolis Preschool Scholarship Program requires a match of \$10 million over five years. Due to broad public support and enthusiasm for this program, UWCI has raised over \$6 million toward this goal in just under two years. UWCI will provide the same amount of focus and commitment to this effort to ensure that matching funds can be raised, without compromising the important work of existing programs.

Clarification Summary

Not applicable

Continuation Changes

Not applicable

Required Documents

Document Name

Status

Match Verification

Sent

May 10, 2016 11:05 AM

Great Place Great Families United Way of Central Indiana

Application ID: 16SI185320

Budget Dates:

	Total Amt	CNCS Share	Grantee Share
Section I. Program Costs			
A. Project Personnel Expenses	229,100	15,100	214,000
B. Personnel Fringe Benefits	485	299	186
FICA	17,526	10,888	6,638
Health Insurance	37,170	22,148	15,022
Retirement	4,009	2,487	1,522
Life Insurance	1,567	910	657
Total	\$60,757	\$36,732	\$24,025
C. Travel	6,070	0	6,070
D. Equipment			
E. Supplies			
F. Contractual and Consultant Services	1,520,607	600,500	920,107
H. Other Costs	667,637	0	667,637
Subgrants	3,875,364	2,409,810	1,465,554
Criminal History Checks	240	0	240
Total	\$4,543,001	\$2,409,810	\$2,133,191
Section I. Subtotal	\$6,359,775	\$3,062,142	\$3,297,633
Section II. Indirect Costs			
J. Federally Approved Indirect Cost Rate	235,450	235,450	0
Indirect Costs	0	0	0
Total	\$235,450	\$235,450	\$0
Section II. Subtotal	\$235,450	\$235,450	\$0
Budget Totals	\$6,595,225	\$3,297,592	\$3,297,633
Funding Percentages		50%	50%
Required Match		n/a	
# of years Receiving CNCS Funds		n/a	

Budget Narrative: Great Place Great Families for United Way of Central Indiana

Section I. Program Costs

A. Project Personnel Expenses

Position/Title -Qty -Annual Salary -% Time	CNCS Share	Grantee Share	Total Amount
Great Families, Great Places Director: - 1 person(s) at 75000 each x 100 % usage	0	75,000	75,000
Great Families, Great Places Subrecipient Liaison: - 2 person(s) at 50000 each x 100 % usage	0	100,000	100,000
Great Families, Great Places Administrative Assistant: - 1 person(s) at 39000 each x 100 % usage	0	39,000	39,000
Vice President, Community Impact: - 1 person(s) at 100000 each x 10 % usage	10,000	0	10,000
Director, Strategic Information: - 1 person(s) at 51000 each x 10 % usage	5,100	0	5,100
CATEGORY Totals	15,100	214,000	229,100

B. Personnel Fringe Benefits

Purpose -Calculation	CNCS Share	Grantee Share	Total Amount
FICA: $0.0765 \times \$299,100 = \$17,526$	10,888	6,638	17,526
Health Insurance: Four new 100% devoted SIF staff @ \$8,850 each = \$35,400 and two 10% incumbent staff @ \$885 = \$1,770. Total = \$37,100	22,148	15,022	37,170
Retirement: 403(b) average of 1.75% * \$229,100 = \$4009.25	2,487	1,522	4,009
Llfe Insurance: \$6.84 per 100 x \$229,100 = \$1,567	910	657	1,567
Long-term disability: \$0.32 per \$1000 of salary x \$229,100 = \$733	43	30	73
Workers' compensation: \$0.18 per \$100 of salary x \$229,100 = \$412	256	156	412
CATEGORY Totals	36,732	24,025	60,757

C. Travel

Purpose -Calculation	CNCS Share	Grantee Share	Total Amount
Local travel: 25 miles per week x 48 weeks x \$0.575 = \$2,070 for three Great Places Great Families staff to provide ongoing technical assistance to and monitoring of subrecipients.	0	2,070	2,070
Out-of-State Travel: \$1000 each for four senior staff members to attend SIF orientation and annual conference = \$4,000	0	4,000	4,000
CATEGORY Totals	0	6,070	6,070

D. Equipment

Item/Purpose -Qty -Unit Cost	CNCS Share	Grantee Share	Total Amount
CATEGORY Totals	0	0	0

E. Supplies

Item -Calculation	CNCS Share	Grantee Share	Total Amount
CATEGORY Totals	0	0	0

F. Contractual and Consultant Services

Purpose -Calculation	CNCS Share	Grantee Share	Total Amount
Third party evaluator: \$775,536 - professional time @ \$41.86 per hour; \$8,000 for data technology; \$13,266 for facilities and administrative costs; \$203,720 in indirect costs at a negotiated rate of 26%.	600,500	400,022	1,000,522
Data intergration system: System will be the platform for collecting and integrating program and client-level data of subrecipients. \$430,085 for data integration infrastructure and data collection costs including developmental and data analysis costs.	0	430,085	430,085
Two-generation professional development & capacity building: \$50,000 contract wit expert resource to build two generation expertise in United Way staff and subrecipients.	0	50,000	50,000
Classroom Improvement Projects: Up to four improvement projects for ECE classrooms @ \$10,000 = \$40,000	0	40,000	40,000
CATEGORY Totals	600,500	920,107	1,520,607

H. Other Costs

Purpose	CNCS Share	Grantee Share	Total Amount
Subgrants:	2,409,810	1,465,554	3,875,364
Criminal History Checks:	0	240	240
Professional development for United Way SIF staff:	0	3,000	3,000
Printing & publications:	0	2,000	2,000
Meetings with subrecipients, community partners, etc.:	0	2,000	2,000
ECE scholarships:	0	660,637	660,637
CATEGORY Totals	2,409,810	2,133,431	4,543,241
SECTION Totals	3,062,142	3,297,633	6,359,775
PERCENTAGE	48%	52%	

Section II. Indirect Costs

J. Federally Approved Indirect Cost Rate

Calculation -Cost Type -Rate -Rate Claimed -Cost Basis	CNCS Share	Grantee Share	Total Amount
with a rate of and a rate claimed of	0	0	0
CATEGORY Totals	0	0	0
SECTION Totals	0	0	0
PERCENTAGE	0%	0%	
BUDGET Totals	3,062,142	3,297,633	6,359,775
PERCENTAGE	48%	52%	

Source of Funds

Section	Match Description	Amount	Type	Source
Source of Funds	\$988,082 in United Way cash-on-hand	988,082	Cash	Private
	The Glick Fund - \$250,000	250,000	Cash	Private
	Joe Lilly - \$150,000	150,000	Cash	Private
	Eli Lilly II - \$100,000	100,000	Cash	Private
	Ginny Lilly Nicholas - \$125,000	125,000	Cash	Private
	Renie McCutcheon	150,000	Cash	Private
	George Lilly - \$100,000	100,000	Cash	Private
	Indianapolis Neighborhood Housing Partnership - \$125,000	125,000	Cash	Private
Total Source of Funds		1,988,082		