

## Supplemental Internal Process for Quarterly Competitive Grants

*(To be added to program manual) – add 1023EZ check to current due diligence*

### **Applicants**

When an applicant applies for a Quarterly Competitive Grant at The Community Foundation that is either a new applicant, a returning applicant after a significant time lapse (typically 10 years or more at the discretion of staff), or the applicant is in a period of transition or a distressed situation (at the discretion of staff), the Foundation must complete additional due diligence before committee review of the application. Examples of transition periods may include organizations that are in the early stages of organization development or re-development, have not yet filed a 990, have yet to develop programming, recovering from a crisis situation, or transitioning leadership.

Staff will first utilize current due diligence procedures to ensure the organization is a qualified 501c3. If the organization passes due diligence, staff will request the following additional information from the applicant to be required in their application. If the documents below cannot be provided prior to grant committee review, the application can be rejected on the grounds that the organization is unable to provide required application information. If the application is acceptable, all documents provided by the organization will be made available to the grants committee.

1. *A copy of a clearly defined official organizational document such as bylaws, constitution, trust instrument, or articles of incorporation.*
2. *A copy of written authorization by the board of directors of the organization that the organization's governing body supports the grant application such as a signed board resolution or signed minutes of a board meeting showing grant application support.*

Additionally, upon the discretion of staff, the organization may also be asked to provide the following:

1. *The most recent form 990 if not available already.*
2. *The most recent Indiana Business Entity report.*
3. *The organization's strategic or programming plan.*
4. *The organization's fundraising or development plan.*

### **Grantees**

When an applicant is awarded a Quarterly Competitive Grant at The Community Foundation that is either a new applicant, a returning applicant after a significant time lapse (typically 10 years or more at the discretion of staff), or the applicant is in a period of transition or a distressed situation (at the discretion of staff), staff will require additional monitoring of the organization throughout the grant period as a way to onboard the organization to the requirements of the grant and to oversee the use of funding. **While each applicant's monitoring plan will need to be personalized to the specifics of the grant as determined by staff, a timeline of suggested activities is below. The organization does not need to adhere to or sign an agreement for expenditure responsibility unless they are not a qualified 501(c)(3).** Examples of transition periods may include organizations that are in the early stages of organization development or re-development, have not yet filed a 990, have yet to develop programming, recovering from a crisis situation or transitioning leadership.

1. **Within a week of grant notification letter:** Personal phone call from staff offering to answer any questions about the grant and explain that as a new or transitioning grantee, that the Foundation will be checking in periodically throughout the grant period. Explain to the applicant requirements stated on the grant agreement form, as well as suggested best practices (found on the expenditure responsibility agreement). Staff will follow up with an email summarizing the phone call. Staff adds contact record in FIMS.
2. **Within 3 months of notification:** Email from staff giving opportunity to ask questions and request progress from grantee in writing. Remind grantee of grant period. Staff adds contact record and notes to the grant record in FIMS.
3. **Within 6 months of notification:** Email from staff giving opportunity to ask questions and request progress from grantee in writing or depending on needs of organization, request a meeting or site visit to get an update on progress. Staff adds contact record and notes to the grant record in FIMS. If a meeting or site visit is required, the staff covers the following during the meeting to help the grantee understand the process.
  - a. Review general information about The Community Foundation, including our mission, vision, and grants process.
  - b. Summarize information about their grant and expectations including reviewing the grant agreement form and best practices again.
  - c. Find out additional information as warranted by the situation about progress or necessary revisions and schedule additional meetings to cover more detail if necessary.
4. **Within 9 months of notification:** Email from staff giving opportunity to ask questions and request progress from grantee in writing. Remind grantee of post grant report deadline. Staff adds contact record and notes to the grant record in FIMS.
5. **Within 2 weeks of post grant report deadline:** Personal phone call from staff offering to answer any questions about the post grant report requirements. Staff adds contact record in FIMS.
6. **After post grant report is submitted:** Email from staff with post grant report feedback or request for meeting or site visit if necessary to request supplemental information not provided in post grant report. Email/meeting/site visit should include offer to answer questions regarding submitting a new application if appropriate. Staff adds contact record in FIMS.