



## Competitive Grant Guidelines for 2016-2017

### VALUES AND MISSION

The Clowes Fund, a family foundation, seeks to enhance the common good by encouraging organizations and projects that help to build a just and equitable society, create opportunities for initiative, foster creativity and the growth of knowledge, and promote appreciation of the natural environment. We pursue these goals by awarding grants in three areas: arts, education and social services. We also recognize the special value of efforts that create links among these areas. The Fund has a special interest in supporting projects that strengthen the communities in which Clowes family members and the foundation's directors live and work.

### PRIORITIES

**Regions** – The Fund concentrates its support in three geographic regions, and priority interests vary among them. Please explore our website for additional information.

- **New England**
  - In **Massachusetts**, we give priority consideration to social services, education and arts education requests serving Suffolk, Middlesex, Essex and Worcester counties, as well as other areas with significant populations of immigrants, refugees and asylees.
  - In **Vermont**, we give priority consideration to arts education requests serving Windham County.
  - In **New Hampshire**, we give priority consideration to social services requests serving Grafton, Sullivan and Cheshire counties.
  - In **Maine**, we give priority consideration to social services and education requests in southern and mid-coast parts of the State, which include Cumberland, Androscoggin, Knox and Lincoln counties.
- **Indianapolis, Indiana** – We give preference to our stated social services priorities in Marion County and the seven contiguous surrounding counties.
- **Seattle, Washington** – We give priority to a limited cohort of instrumental music education programs that foster critical thinking skills and creativity for students in the Seattle Public Schools District of King County.

**Interests** – The Fund supports organizations and programs that focus primarily on socioeconomically disadvantaged individuals through the arts, education and certain social services, defined as follows:

- **Social Services**
  - **Immigrants, Refugees and Asylees** – We are interested in supporting efforts to address the economic, linguistic, legal and psychological hurdles that foreign-born individuals and their children face during integration into American society and its economy.
  - **Workforce Development** – We are interested in ensuring that all individuals have access to both jobs skills training and the support services necessary to enable them to participate fully in the economic life of their communities. In addition, we are interested in supporting efforts that prevent students (ages 15 to 25) from dropping out of school and assist in the re-entry of dropouts or their pursuit of an alternate course to economic self-sufficiency.
  
- **Arts and Education**
  - We support primary and secondary education, including initiatives that emphasize classroom instruction.
  - We support arts education programs that foster critical thinking skills and creativity.

## TYPES OF GRANTS

The Fund prefers to support innovative projects and programs, to provide “step up” money to expand programs, or to build organizational capacity. The following types of grants may be awarded:

<b>Capacity Building</b>	Funding that strengthens an organization so that it may better fulfill its mission.
<b>Capital</b>	The Fund <i>may invite</i> a proposal for endowment, facilities or equipment.
<b>Challenge</b>	Funding that is contingent upon the grantee achieving an agreed-on fundraising, program or operating goal.
<b>Matching</b>	Funding that is contingent upon the grantee raising qualified matching funds.
<b>Operating</b>	The Fund <i>may invite</i> an operating (also known as unrestricted) proposal from a grantee with which we have an established grant history. A mature organization may be eligible for operating support upon establishing a threshold of core competency. A developing organization may be eligible for operating support upon successful completion of a start-up or seed grant, through which it has demonstrated a threshold of competency. (The Fund also awards operating grants to a few select organizations that honor the legacy of our founding donors.)
<b>Project/Program</b>	Funding for a designated initiative or endeavor. (Program grants may include a proportionate share of overhead.)
<b>Seed Money</b>	Funding awarded to help launch a specified new project, program or initiative.

In addition to these types of grants awarded through the competitive process, the Fund awards a limited number of small unsolicited grants through its member, director and employee discretionary matching grants programs.

## SCOPE OF FUNDING

The Fund generally offers grant awards up to \$50,000. First-time grants are generally within the Fund’s small grant range (up to \$20,000) for a single year. Previous grantees should seek guidance from Fund staff regarding an appropriate range, term and type of request.

*The Fund only makes grants to 501(c)(3) tax-exempt organizations based in the United States that are also described in Internal Revenue Code section 509(a)(1), 509(a)(2) or (in certain cases) 509(a)(3).*

## INELIGIBLE REQUESTS

The Fund will not consider grants for the following types of activities or entities:

- Organizations that discriminate in either policy or practice against people because of their age, race, national origin, ethnicity, creed, gender, sexual orientation or disability;
- Programs that proselytize or promote specific religious doctrine;
- Sponsorships for fundraising events;
- Scholarships or direct financial awards to individuals;
- Unsolicited proposals from colleges and universities;
- Unsolicited proposals from any organization for operating or capital support;
- More than one request per organization per calendar year, including Clowes support that your organization may be receiving through a third party or funding collaborative;
- Lobbying or political elections;
- Certain Type III Supporting Organizations.

## PROPOSAL CONSIDERATION PROCESS AND SCHEDULE

The Fund approaches the grant proposal process in two phases: preliminary and final. If your organization has not received a competitive grant from the Fund within the past five years, you must submit a *Preliminary Proposal*. If your organization has received a competitive grant from the Fund within the past five years, you may skip the preliminary phase, but you should seek guidance from Fund staff before submitting a *Final Proposal*.

### Proposal Process Timeline

- **September** – Updated guidelines are posted; previously funded organizations may contact Fund staff for guidance about an appropriate new proposal.
- **November 1<sup>st</sup> – Preliminary Proposals are due** online via eGrant; receipt is auto-acknowledged; evaluation begins.
- **December** – *Preliminary* applicants receive either invitations to submit a *Final Proposal* or declinations.
- **January** – Staff may review draft narratives for those applicants who had been invited to submit a *Final Proposal* in response to either a *Preliminary Proposal* or a statement of intent submitted in the fall.
- **February 1<sup>st</sup> – Final Proposals are due** online via eGrant; receipt is auto-acknowledged; evaluation begins. Staff will review your proposal for completeness and compatibility with the Fund's guidelines. Staff may choose to schedule a meeting or site visit to discuss the proposal. Viable compelling proposals will be forwarded to the appropriate regional grants review committee. An assigned reviewer will read your final proposal in its entirety and make a funding recommendation to the regional committee.
- **March-April** – Regional grants review committees convene. The committees may decline proposals, award grants within the Fund's small grant range (up to \$20,000 per year for up to three years), or forward proposals to the full board for consideration.
- **May-June** – Board convenes and makes final grant decisions.
- **July 1<sup>st</sup> – Funding decisions are communicated; grant contracts are issued.**
- Grant Self-Evaluation Reports are due one year and 30 days after the close of the grant period. Though the most common report deadline is August 1<sup>st</sup>, refer to the grant contract.

## PRELIMINARY PROPOSAL: Online Application Form and Narrative Summary

If your organization has not received a competitive grant from the Fund within the past five years (2012-2016), you must submit a *Preliminary Proposal* to introduce your organization before you invest in the development of a full proposal. Few *Preliminary Proposals* advance to *Final Proposals*.

### Characteristics of a successful *Preliminary Proposal*:

- The proposal aligns closely with one or more of the Fund's stated priorities.
  - In **New England**, we are more likely to consider grant support in areas outside of Greater Boston that are largely populated by immigrants, refugees and asylees, and in rural areas that lack other resources and where we have some basis of local knowledge through previous grants or resident board members.
  - In **Indiana**, we are most likely to consider grant support aligned with our priorities for immigrants, refugees and asylees, though we will also consider workforce development.
  - In **Seattle**, we are no longer accepting *Preliminary Proposals*.
- The type of grant requested is seed or step-up money for an innovative project or program (the Fund typically does not provide operating support as a first-time grant).
- The proposal explains not only why the Fund is an appropriate funding partner, but also why *now*? In other words, if your organization has survived thus far without Fund support, what compelling circumstances merit a grant now?
- The requested amount is within the Fund's small grant range (up to \$20,000), and impact will be demonstrated in a single year.
- The organization has an operating budget less than \$2.5 million (larger budgets tend to indicate that the impact of an initial grant will be limited).

A complete *Preliminary Proposal* consists of the Online Application and a Narrative Summary attachment, both of which must be submitted via eGrant by **November 1<sup>st</sup>**.

Narrative content of the *Preliminary Proposal* should include a succinct description of your organization, the need your request is intended to address, the target population and how it will benefit, and the time frame to be covered (the Fund will not support activities that occur prior to approval of the grant; i.e. prior to July 1<sup>st</sup>.) Avoid using undefined acronyms.

Narrative format of the *Preliminary Proposal* should be a PDF document of no more than three pages, numbered and typed in at least 12-point font with margins of at least one inch.

## FINAL PROPOSAL: Online Application Form, Narrative and Other Required PDF Attachments

If you submitted a *Preliminary Proposal* you will receive notification via e-mail by the end of December regarding whether you may submit a *Final Proposal*.

If your organization has received a grant from the Fund in the past five years (2012-2016), before you submit a *Final Proposal* you should seek guidance from Fund staff about an appropriate grant size, type and term by e-mailing a brief statement of intent well in advance of the proposal deadline (i.e. by late fall). Staff guidance does not guarantee funding, but it may enhance the competitive quality of your proposal.

**Characteristics** of a successful *Final Proposal*:

- The proposal aligns closely with one or more of the Fund's stated regional priorities and with the applicant organization's strategic plan.
- It presents a compelling case by thoughtfully and succinctly addressing each of the narrative sections listed below.
- The type of grant, the timing and the amount requested are appropriate to meet the proposed needs and are within the Fund's scope of funding.
- The proposed grant will support compelling outcomes, and the application states clear, quantified, measurable goals.
- The organization has demonstrated good stewardship of any previous grants by providing thorough, timely reports (financial and narrative) and by candid communications with Fund staff.

A complete *Final Proposal* consists of the Online Application, the Narrative, and other Required Attachments, listed below, all of which must be submitted via eGrant by **February 1<sup>st</sup>**.

**Narrative content** of the *Final Proposal* should avoid use of undefined acronyms; it should thoroughly yet succinctly address the following five topics (the bulleted sub-topics or questions may be useful as a narrative outline):

- 1. Provide a brief summary statement including the project title, total amount, type and duration of the proposed grant.**
  - If you are requesting a multi-year grant, state the total amount requested as well as each annual amount; for example: ABC Agency is seeking a two-year capacity building grant of \$50,000 (\$30,000 in year one and \$20,000 in year two), for our XYZ initiative.
- 2. Fully describe the purpose of the grant and what needs the proposed program (or project) will address.**
  - Explain how you determined these needs.
  - Describe who will be served through the program.
  - Describe what will be different and how you will measure that difference after the grant is completed. (Explain or further define the three or more quantified, measurable results listed on the application.)
  - Describe how you engage program participants in planning and evaluating your activities.
- 3. Explain why your organization is the appropriate group to meet such needs.**
  - Describe your organization's history, mission, key strategies, goals and successes.
  - Describe how the proposed program aligns with your organization's board-approved strategic plan.
  - Describe how you assessed what other agencies may be addressing the same need or providing similar services, and how your organization differs.
- 4. Describe how the project will be executed.**
  - Describe the timeline and implementation plan; consider presenting it in chart form to illustrate who will do what by when.
  - Describe the human resources that will be invested in the program.
    - Who will manage the project, and what are their qualifications?
    - How does your organization promote inclusiveness and diversity among board and staff?
    - If applicable, describe the role of volunteers in this program.
  - Describe any collaborative relationships relevant to the proposed project or program.
- 5. Detail your funding plan.**
  - What will the Fund's grant purchase; i.e. how much staff time, consultants, supplies, etc.?
  - Describe the financial resources that will be invested in the program; what other funders are involved with the program; how much is committed; how much is pending?
  - If you receive partial funding or are declined funding, what alternative plan will you follow?
  - What are your plans for long-term sustainability and/or maintenance of the proposed program?

**Narrative format** of the final proposal should be a PDF document of no more than eight pages, numbered and typed in at least 12-point font, with margins of at least one inch.

**Required PDF Attachments** in addition to the narrative include the following:

1. A current organizational budget and an organizational budget for the fiscal year in which the grant term will begin if different from the current budget.
2. A detailed project or program budget for the grant term showing the proposed use of the Fund's grant; if necessary include notes to describe how the grant will be spent and what goods or services it will underwrite.
  - Organizational and program budgets should include both income and expenses.
  - Make sure the budget figures match what you entered on the application and that notes make sense in context of the proposal narrative, especially section #5.
  - If you are submitting a multi-year request, submit at least the first-year program budget and note projections for subsequent years.
  - A project budget is not required with an operating request.
  - Post grant, you will be required to report actual versus budget and expenditure of the grant.
  - As your proposal advances through the review process, Fund staff may request one to three years of audited financial statements.
3. Board roster with professional affiliations.

### **GENERAL TIPS REGARDING THE FUND'S PROPOSAL PROCESS**

- Incomplete or late applications, multiple requests, applications not received via eGrant, and proposals that do not follow the Fund's formatting requirements will not be considered.
- Previous support from the Fund neither precludes nor implies future funding.
- These guidelines and priorities may change in future years, but they are final for the 2016-2017 grant cycle.
- A comprehensive checklist is provided for your use on page 9.
- The Fund may donate materials used in the grant process to an archival institution. Materials submitted by your organization will be treated as non-confidential and non-proprietary. If your organization accepts a grant, it must release the Fund from liability and give the Fund license to use, display and distribute all materials submitted in connection with the grant process.

### **APPLYING TO THE CLOWES FUND ONLINE**

All proposals must be submitted online via eGrant. As a quick reference to the information you will need to apply on eGrant, you may first download a copy of the Application Form at <http://www.clowesfund.org/application-process/>. The Grant Self-Evaluation Form is available on our website as well. To apply online, please follow these steps:

1. Visit The Clowes Fund's website at <http://www.clowesfund.org>.
2. Click on the green "Apply" button.
3. Follow the applicable steps to the "eGrant" button.
4. Once on eGrant, register your organization (if new to system) and log in using a password and username of your own choosing. Registration is for an organization, not an individual.
5. When you have logged in, you are ready to begin the application process.
6. Click on "Opportunities" and select the current year application option to begin.
7. **Enter the requested data and upload required documents.**
8. You can save the application and return to the site to finish it at a later time (be sure to remember your username and password).

## THE FUND FAMILY

### DIRECTORS:

Ben W. Blanton, *Treasurer*, Indiana  
Margaret C. Bowles, New Hampshire  
Aidan A. Clowes, Vermont  
Alexander W. Clowes, *Assistant Treasurer*, California  
Douglas S. Clowes, Massachusetts  
Edith W. Clowes, *Secretary*, Virginia  
Jonathan J. Clowes, *President*, Maine  
Samuel C. Huneke, California  
Carolyn M. Osteen, Massachusetts  
Donna L. Wiley, *Vice President*, Massachusetts

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## HISTORY

Dr. George Henry Alexander Clowes, his wife Edith Whitehill Clowes and their two sons, Allen W. Clowes and Dr. George H.A. Clowes, Jr., incorporated The Clowes Fund in Indianapolis, Indiana in 1952, with a broad mandate to support education and the literary, fine, and performing arts. Social services soon became a focus for support.

During their lifetimes, Dr. and Mrs. Clowes amassed an extensive art collection, primarily of paintings by European Old Masters, which hung in their Indianapolis home, *Westerley*. After the death of Dr. Clowes, the collection became property of the foundation. In 1971, the Fund moved the collection to the Clowes Pavilion, a newly built wing of the Indianapolis Museum of Art (IMA), on indefinite loan. In 1999, the Fund board voted to donate the entire collection to the museum over a period of years.

A rare combination of scientist and entrepreneur, the senior Dr. Clowes was director of research at Eli Lilly and Company. When Dr. Frederick G. Banting of the University of Toronto and his associate Charles E. Best discovered insulin in 1921, Dr. Clowes mobilized Lilly resources to mass produce and market a treatment that was to save the lives of millions of diabetics. This breakthrough for medicine, manufacturing and humanity led to the emergence of Lilly as a pharmaceutical giant. This growth, in turn, contributed to an accumulation of wealth that gave rise to the Fund, the art collection and other philanthropic endeavors. Mrs. Clowes was actively involved in a variety of educational, cultural and social service interests in the community; she was a co-founder of the Orchard School and Planned Parenthood. Their story is told in **The Doc and the Duchess, The Life and Legacy of Dr. George H.A. Clowes**, written by Dr. Alexander Whitehill Clowes, and published by Indiana University Press.

Although none of the founding quartet is still alive, the Fund is governed by Clowes family representatives from the third and fourth generations. In addition to family members, the board includes the civic and professional knowledge of two Indiana and two Massachusetts residents.

The Clowes Fund began the new millennium with its first professional executive and a new office in Indianapolis. In 2001, the board and staff created a values and mission statement and provided comprehensive guidelines for grant seekers. In 2003, the Fund established its *Preliminary Proposal* process and added services for immigrants and refugees and workforce development to its fields of interest. Later, music education became a focus in Seattle.

The members, directors, and staff of the Fund are committed to open and informative interaction with grantees, grant seekers, and the communities they serve. In the fall of 2010, the Fund commissioned The Center for Effective Philanthropy in Cambridge, Massachusetts, to conduct an anonymous survey of grantees in order to evaluate perceptions of the foundation's performance. The resulting Grantee Perception Report (GPR) showed steady improvement over the generally positive feedback received from its first report in 2005. We will commission a new GPR soon.

The foundation developed its plan for the next decade and marked a new era by hiring its first New England-based program officer in 2013. The Fund will continue to review its governance and grant strategies throughout the coming years. We are looking forward to the celebration of two significant anniversaries in 2021 – 50 years of the Clowes Collection at the IMA and the centennial of insulin.

## CHECKLIST FOR SUBMITTING A PROPOSAL

### When submitting a proposal, check that:

- You read The Clowes Fund's entire guidelines thoroughly before applying. (Likewise, we promise to read your entire proposal thoroughly!)
- Your proposed program aligns closely with one or more of the Fund's priority interests.
- The proposed grant activities will be executed in one of the Fund's geographic regions.
  
- If you had not previously received a grant, you submitted a *Preliminary Proposal* via eGrant by November 1<sup>st</sup>.
- You completed the online application, and
- You attached a *Preliminary Proposal* narrative.
  - The narrative compellingly answers "why now?" and is not a request for operating support.
  - If you used any acronyms, you defined them.
  - The body is typed in at least 12-point font with one-inch margins.
  - It is no more than three pages.
  - The pages are numbered.
  
- If you are a previous grantee, you e-mailed Fund staff a brief statement of intent by late fall, and in return received guidance about an appropriate proposal.
  
- You submitted a *Final Proposal* via eGrant by February 1<sup>st</sup>.
- You completed the online application, and
- You attached a *Final Proposal* narrative and other required attachments in PDF format.
- Your *Final Proposal* narrative concisely and completely addresses each of the five outlined topics.
  - The narrative is written as though the reader has no prior knowledge of your organization regardless of previous grant history, discussions or correspondence with Fund representatives. (This is important because proposals are reviewed by volunteer directors and members from all over the country.)
  - If you used any acronyms, you defined them.
  - The body is at least 12-point font with one-inch margins.
  - It is no more than eight pages.
  - The pages are numbered.
- You attached a current organizational budget PDF that shows both income and expenses.
- You attached an organizational budget PDF for the year in which the grant term begins if different than current year.
- Unless you were invited to submit an operating request, you attached a project or program budget PDF with adequate notes to explain what other resources are committed and how the Fund's pending resources will be spent.
- You double checked to ensure that the totals on budget attachments match the amounts stated in the online application.
- You attached a PDF board roster with professional affiliations.
- You have fulfilled the reporting requirements for previous Fund grants.  
(You must submit a final report on a previous grant before a new grant will be issued. If the previous grant period is not complete by the proposal deadline, you must have submitted an interim or status report within eight months of the proposal deadline – i.e. since June 1, 2016 – all reports must be submitted to [reports@clowesfund.org](mailto:reports@clowesfund.org).)
  
- Do you have questions about the Fund's process? Explore the Fund's website including the FAQ page for additional information. Still have a question? Contact us. (Likewise, we promise to visit your organization's website if your proposal aligns well with the Fund's interests, and we will contact you if we need additional information.)

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