REQUIRED DOCUMENTATION FOR CAPACITY, INFRASTRUCTURE, TECHNICAL
ASSISTANCE, AND CATALYST GRANTS

Following is a list of the documentation required during the application and reporting process. This is a
generalized check-list and does not include the narrative statement that is required to be submitted
with the application and each report. Every grant is unique and the following will be tailored to match
the organization’s project. This is only meant to serve as a sample, and to provide applicants with an
understanding of the resources required to successfully complete a UMEZ grant. During this process
UMEZ staff may request additional documentation, based on your request (i.e. lease agreement,
planned scope of work, etc).

**LOI Requirements**

- Strategic or Business Plan that supports your request (Capacity and Infrastructure grants);
  - This may be an internal document or still in draft form at the time of submission.
- Proposed project budget (a template is available to download on the UMEZ website);
- Audited financial statements and Form 990s for the three most recently completed fiscal years
  (or for which statements are available);
- Board-approved operating budget for the current fiscal year, with year-to-date actual; and
- IRS Determination Letter – 501(c)(3).

**Application Requirements**

**Staff**

- Organizational chart, with names and titles.

**Financials**

- Proposed project budget (if revised during the LOI process);
- Actual income and expense statements for the two previous fiscal years;
- Projected operating budget for each year of the proposed project, with one additional year
  following the project’s completion (Capacity and Infrastructure grants; a template is available
to download on the UMEZ website);
- An itemized list of the organization’s top 5 to 10 funders for current fiscal year or most recently
  completed fiscal year—labeled confirmed, pledged or requested (a template will be available
to download on the UMEZ website); and
- An itemized list of any funds already committed to the project (if applicable and/or available).
Governance
Please submit as many of the governance documents listed below as currently exist for your organization.

- Letter of 501(c)(3) affirmation;
- Current governance documents, including such documents as the by-laws; a list of members (on organizational letterhead); board committees; and board expectations, which could include a give or get policy, required attendance at meetings, activities and events, service on committees, and/or other criteria;
- Minutes from the three most recent board meetings;
- Conflict of Interest Policy and form for Individual Statement of Disclosure; and
- Whistleblower Policy (if applicable to organization’s size and budget).

Grant Closing Requirements
If approved, the following documentation is required:

PASSPort
In addition, all applicants for Capacity, Infrastructure, and Catalyst grants must enroll as a vendor with New York City's Mayor's Office of Contract Services (MOCS) in order to obtain loan approval. Vendors must first create a NYC.ID and then enroll with PASSPort. The following guides can help explain the process and how to fill out the Vendor and Principal Questionnaires online. If you have issues or need additional help with PASSPort, contact the Help Desk at MOCS.

Vendor Account Creation
Beginner’s Guide to PASSPort
Vendor’s Guide to Enrollment

Governance
Examples of the documents listed below are made available during the grant closing process.

- Opinion of Counsel;
- Secretary’s Certificate, including: Certificate of Incorporation, Board Resolution Authorizing Grant;
- Current Certificate of Liability Insurance form, naming UMEZ as additional insured; and
- Certificate of Good Standing (within 30 day of grant closing).

Reporting Requirements
UMEZ reporting requirements and deadlines are tailored to the proposed project, and are mutually agreed upon prior to the signing of the final grant agreement. UMEZ funding is distributed throughout the course of the grant, and each report deadline is tied to a disbursement date. Disbursement amounts are also determined by the project budget and timeline.

Staff

- Organizational chart;
- For UMEZ supported positions, you’ll need to provide the following: job description, dates of postings, list of posting outlets, and a copy of the successful candidate’s resume and engagement letter;
- IRS 941;
- Forms NYS-45 and NYS-45-ATT;
• Invoices and proof of payment for Disability, Workers' Compensation and Healthcare (if applicable);
• If the UMEZ supported positions include development staff, then you’ll be required to submit a fundraising plan; communications staff, a communications plan, and so on; and
• UMEZ Employee Reporting form (will be provided).

Consultancies

• For UMEZ supported consultancies, you’re required to provide the following: a fully-executed contract or Letter of Agreement, including invoices and proof of payment.

Non-Personnel (i.e. software, hardware, equipment, capital improvements, materials, etc)

• Invoices for all UMEZ-funded non-personnel related items with proof of payment.

Financials

• UMEZ’ Grant Payment Requisition Form with expenses and matching funds for the specific report period (a template will be provided);
• IRS 990 forms and financial statements (audited or reviewed as required by budget size) for each year of the grant; and
• Board approved operating budget for the following fiscal year. During each report, this budget is required with year-to-date actual, including notes for all variances +/- 15% (a template will be provided).

Matching Funds

For matching grants, you’ll be required to submit a list of matching funds secured during the reporting period, with the corresponding grant letter, contract, or other transmittal form.

Governance

• Confirmation of 100% Board giving (i.e. detailed General Ledger). Please note that the success of a UMEZ grant is contingent upon this requirement;
• Copies of minutes from board meetings for each meeting held during the grant term; and
• An updated board list and, if applicable, copies of bios for any new board members.

UMEZ Project Monitoring

• Conduct periodic assessment meetings with UMEZ to review project status, including but not limited to accomplishments, obstacles, near-term plans, consultant activity and/or grant compliance;
• Participate in an annual compliance site visit conducted by UMEZ staff; and
• Current Certificate of Liability Insurance form, naming UMEZ as additional insured.

Please note: UMEZ requires two reports a year.

Reports are not considered complete until all deliverables are submitted and approved by UMEZ. Grant payments will be disbursed approximately 10 to 15 business days following the final approval of the complete report.