West Harlem Development Corporation

Solutions through collaborations™

GRANT-MAKING PROCEDURES

Updated January 2016

Contents

INTRODUCTION

West Harlem Development Corporation (WHDC) is the recipient of funds contributed, and to be contributed, by Columbia University under a 2009 Community Benefits Agreement (CBA). Consistent with a provision of the CBA, WHDC has engaged Tides Foundation (Tides) to provide additional expertise, transparency, and diligence in grant-making. WHDC's staff and its Grants Review Committee evaluate all grant applications, and submit recommendations to WHDC's Board. The WHDC Board decides on the recommendations. The Board of Tides Foundation makes the final decisions on grants. Since starting to make grants in 2013, there has been no disagreement between WHDC and Tides Foundation to date.

The CBA contains several categories of commitments from Columbia University. One of these is a Benefits Fund of $76 million payable in installments over 16 years that began in 2009. The grant-making procedures in this document refer to disbursements from the Benefits Fund only, unless specifically referred to otherwise.

WHDC'S GRANT-MAKING PROGRAMS

WHDC's priority is to support activities aimed at benefitting West Harlem by deploying funds pursuant to the CBA through WHDC's Grant-Making Program and other activities. WHDC's strategy is to address the needs of West Harlem through project specific collaborations and capacity enhancements of nonprofit organizations and institutions. WHDC requires its grantees to meet specified or negotiated measurable goals within WHDC's vision. Funded projects of organizations must be located in, or provide services to Manhattan Community District 9 (MCD9) in West Harlem, bounded as: South to North: from 110th Street to 155th Street; and East to West: from Manhattan, Morningside, St. Nicholas, Bradhurst and Edgecombe Avenues to the Hudson River.

The CBA contains a list of activities for which its original $76 million, payable over 16 years, may be spent. Included are activities to address eight need categories namely: Arts and Culture, Community Facilities, Education, Workforce and Economic Development, Environment, Historic Preservation and Housing. In 2014, WHDC's board decided to condense these into four categories: Education, Community Facilities, Housing, and Workforce & Economic Development. In 2015, WHDC's Board further prioritized these into Affordable Housing, Education (including youth development), and Workforce & Economic Development. The prioritization aims to ameliorate the endemic issues of public school failure, rising unemployment and limited skills, and rising housing costs and displacement. WHDC continues to examine the impact of its grant-making and thus reserves the right to set new priorities, and invite selected organizations to respond to specific requests for proposals (RFP) in addition other grant-making activities.

Types of WHDC Competitive Grants and Preliminary Eligibility Criteria

Currently, WHDC has two types of competitive grants dubbed Smaller Grants, and Larger RFP Grants.

Smaller Grants
    The Smaller Grants have the following characteristics and requirements:

        i.   The Smaller Grants aim to support organizational capacity building in order for them to provide more of their services to residents of MCD9.
        ii.   The minimum award is $5,000 and the maximum amount is $25,000. The amounts are subject to change by WHDC and will be announced in each grant cycle.
        iii.   Only nonprofit organizations that are substantially-based in MCD9 can apply. Substantial location means: (a) being headquartered and physically

located with organizational staff in MCD9 and providing services to residents of MCD9, or (b) not being headquartered but having an office with staff in MCD9 and providing services to residents of MCD9.

iv. At least 75% of the services funded by WHDC must be provided to residents of MCD9. Programs that are based in public schools that are located in MCD9 do not have to meet this qualification. All applicants will be required to submit participant information to WHDC.

v. If applicants must use a fiscal sponsor, applicants must still have to demonstrate at the time of the application that their organization is duly incorporated as a nonprofit and has authority to do business in New York State. Failure to comply with this requirement will result in the application not being reviewed and being dismissed as not qualified.

vi. Similarly if an organization is a nonprofit but their (501) c (3) tax exempt status has been revoked by the IRS at the time of application, they should not apply. They will be dismissed as not qualified.

vii. Only organizations with total organizational budgets of $1 million or less can apply.

viii. The categories for application are: Education (including youth development), Community Facilities, and Workforce & Economic Development. Community Facilities include any of the eight need categories listed above that are not specifically singled out.

ix. Even though the Smaller Grants are for capacity building, successful applicants would be required to demonstrate the level of measurable outcomes that their programs will achieve.

x. Grants are for one year and grantees can reapply on an annual basis. (See Grant Time Table in this document.).

xi. WHDC does not fund start-ups, and amounts applied for should not exceed WHDC's maximum, or 50% of the organization's current year's overall budget.

Larger RFP Grants
The Larger RFP Grants have the following characteristics and requirements:

i. The Larger RFP Grants aim to have applicants respond to specific Requests for Proposals issued by WHDC to address specific needs spelled out in the RFPs. Currently the three priority areas are Education (including youth development), Affordable Housing, and Workforce & Economic Development.

ii. The minimum award is $50,000 and the maximum amount is $80,000. The amounts are subject to change by WHDC and will be announced in each cycle of Larger RFP Grants.

iii. Only nonprofit organizations that can demonstrate at the time of the application that the organizations are duly incorporated as nonprofit and have authority to do business in New York State can apply. Failure to comply with this requirement will result in the application not being reviewed and being dismissed as not qualified.

iv.   Similarly if an organization is a nonprofit but their (501) c (3) tax exempt status has been revoked by the IRS at the time of application, they should not apply, or be dismissed as not qualified.

v.   Applicant organizations do not have to be based in MCD9, However a demonstration of prior engagement with services to MCD9 residents would be preferred.

vi.   At least 75% of the services funded by WHDC must be provided to residents of MCD9. Programs that are based in public schools that are located in MCD9 do not have to meet this qualification. All applicants will be required to submit participant information to WHDC.

vii. There is no limit on organizational budget. Demonstration of leveraged funds to achieve the program's objectives would be preferred.

viii. WHDC does not fund start-ups and amounts applied for should not exceed WHDC's maximum, or 50% of the organization's current year's overall budget.

ix.   WHDC does not encourage the use of fiscal sponsors for the Larger RFP Grants.

x.   Successful applicants will be required to demonstrate impact via measurements of project goals, milestones, outputs, and outcomes.

- **Project goals** are overarching achievements that you will pursue.
- **Milestones** are key markers of grant progress- these are typically expressed in the form of an action or event marking a significant change or stage in development.
- **Outputs** measure production resulting from grant activities such as curriculum developed, new initiatives created, and new leveraged and partnership opportunities, etc. Basic numbers of participants recruited (irrespective of whether they experienced outcomes or not), is another example of an output. Outputs should not be confused with outcomes.
- **Outcomes** focus on the desired result of your interventions and the changes you hope to see in participants, organizations, or systems. Examples of outcomes include measurable knowledge and skill gains, wage increases, and lengths of periods worked over a base period.

xi.   Grants are for one year and renewable by application for additional years upon successful performance.

Projects not funded by WHDC
Projects not funded from WHDC's Benefits Fund at this time include the following:

- Pilot or start-up projects that are not based on, or modeled after other existing projects with strong evidence of successful outcomes.

- Construction of buildings and major capital expenditures defined as outside the normal contribution towards office equipment.
- Projects that are sponsored by religious organizations and schools with bias to a particular religion and are not open to the entire community.
- Non-project specific proposals (except that WHDC funds capacity-building for nonprofits through its Smaller Grants program).
- Endowment funding requests.
- Private for-profit schools.
- Proposals to fund individuals, private foundations, and donor advised funds.
- Proposals to give grants to for-profit entities whether incorporated as C corporations, Sub Chapter S, or LLC.

GRANT APPLICATION PROCESS
Grant Cycles

At the beginning of each grant cycle, WHDC makes a general announcement that is posted on its website about the details of the upcoming grant cycle. WHDC regularly holds community meetings for the purpose of disseminating information to clarify the process, especially when new initiatives are being launched. The WHDC Grant Review Committee and WHDC's staff review all qualified grant applications to ensure that each reviewable application is seen by at least two persons. The Board's Grant Review Committee makes grant recommendations for WHDC's full board discussion and approval, and transmission to Tides Foundation for their further review and final approval. Each year, WHDC endeavors to run two cycles of grant-making- one for the Smaller Grants, and the other for the Larger RFP grants.

Grant Cycle	Grant Application Release	Grant Applications Due	WHDC's Review	Grant Decision Notification
1st Cycle Smaller Grants	March	April	May	June
2nd Cycle Larger RFP Grants	September	October	October – November including site visits	December

The actual dates and deadlines in the months are part of the announcement that WHDC makes. Note that WHDC no longer requires pre-grant applications. However for control purposes, intent to apply via a simple e-mail is part of the application process.

WHDC's Board reserves the right to fund one or more grant cycles or fund no grants at all in any one year, as appropriate and permissible under its ongoing strategic plans. The Board also reserves the right to change its grants review and approval processes that may include the involvement of outside experts paid, or on volunteer basis.

How to Apply for a WHDC Grant

Application and Evaluation Steps
STEP 1: Visit WHDC's Website or Check Your E-Mail for Announcements

WHDC posts announcements of its upcoming grants, availability of applications, and RFPs on its website - www.westharlemdc.org. In addition, an e-mail blast is sent to all organizations on WHDC's mailing list. This is done for each grant cycle.

STEP 2: Submit a Grant Application

WHDC uses a grant management software through which eligible organizations submit their applications. The burden of ensuring that the application has properly uploaded and sent to WHDC by the relevant deadline with all required documents is on the applicant. WHDC acknowledges the receipt of all applications but will not confirm its completeness.

STEP 3: Grant Evaluation by WHDC

   i. Eligibility Review

       WHDC's staff reviews all applications for basic eligibility. Particular emphasis is placed on the organizations furnishing WHDC with their proof of nonprofit status. Even though organizations may have applied to WHDC before, we require this proof with every application. We also check for preliminary evidence that the organization's or the fiscal sponsor's IRS tax exempt status has not been revoked. Additional documentation that are required such as budgets and latest Form 990 are also checked.

   ii. Application Content Review and Scoring

       WHDC has a policy that each application must be reviewed by at least two people independently. The combinations can be Staff/Grant Review Committee member, or Staff 1/Staff 2. The scores are averaged.

       The attachments to this document contains sample review criteria for the Smaller and Larger RFP grants. These are subject to change In a grant cycle by grant cycle basis.

   iii. Core Overall Evaluation Criteria

       WHDC's core evaluation questions are:

 * Does the proposal align with stated WHDC's mission, vision, and strategic plan?
 * If implemented, will the project have measurable impact on addressing the needs of MCD9? This is of special consequence to the larger RFP proposals. WHDC insists that at least 75% of the participants in a WHDC-sponsored program should be residents of MCD9. This will be demonstrated through the submission of the names and at least the zip codes of participants. In larger programs with multiple funding streams, applicants may negotiate the substantial numbers of MCD9 residents that will be served.

- Does the applicant demonstrate financial sustainability beyond WHDC's funding for the organization? WHDC generally requires that the amounts requested by applicants should be no more than 50% of their organizational budget.
- Does the applicant commit to quantitative measures of impact such as: the number of MCD9 residents to be served, numbers of jobs placements and skill training certificates, percentage increases in academic achievements, etc.?

STEP 4: Grant Approvals by WHDC and Tides Foundation Boards.

WHDC's Grant Review Committee makes recommendations to the WHDC Board. After its review, the WHDC Board's approved list is forwarded to Tides Foundation who conducts additional vetting processes before its Board makes the final approval. Additional information may be requested during the Tides vetting process. Funding decisions by the Tides Board, at the recommendation of the WHDC Board, for the grant cycle are final and there is no appeal process. Disapprovals by the Tides Board of funding recommendations made by the WHDC Board are anticipated to be exceptions. The Tides Board nevertheless has final decision-making authority. In any event, grantees should note that the funding for their awards come from WHDC via the Community Benefits Agreement with Columbia University.

Notification and Payment of Grant Awards

WHDC endeavors to notify successful applicants of their awards soon after WHDC is informed by Tides. Where this is not possible, WHDC sends an advance notification after its own Board's approval, with a "subject to Tides Foundation approval" disclaimer. Concurrently, all applicants that were not successful are notified with a note that they can request feedback on their application's evaluation from WHDC. All duly qualified applicants are eligible to apply to WHDC for funding in subsequent grant cycles.

The maximum size of grants considered by WHDC for approval by Tides shall be determined for each grant cycle and announced ahead of time. Applicants can ascertain the maximum, minimum, and average sizes and types of WHDC grant awards from the listing of awards for each past grant cycle posted on the WHDC website under *Grants*. WHDC makes one-year grants for the Smaller Grants. WHDC reserves the option to renew the Larger RFP grants on the basis of annual performance. WHDC reserves the right to put a limit on the maximum number of years that one organization can be funded.

All grants are paid in installments. For the Smaller Grants, payments are made in two installments - the first with the grant award letter from Tides; and the second after satisfactory attainment of milestones as agreed and noted in the interim report. For the larger RFP grants, payments are made in four quarterly installments after satisfactory reviews. WHDC strongly encourages organizations to seek funding from additional sources to supplement requested support from WHDC. WHDC reserves the right to add additional requirements for the payments of the first and second installments.

Avoidance of Conflicts of Interest

It is critical that all funding decisions be made objectively, based on the grant applications submitted and not for the benefit of any WHDC Board Member, Tides' s staff, WHDC's staff, or member of Tides Board of Directors. Funding is made exclusively to maximize benefits for MCD9. WHDC follows a conflict of interest policy for its staff, directors, and those principals who may appoint directors.

Desk Monitoring and Site Visits
WHDC conducts two types of monitoring (a) a desk monitoring for all grantees and (b) site visits for select grantees.

(a)   Desk Monitoring involves (a) all grantees submitting required semi-annual or quarterly reports to WHDC, (b) all grantees reporting their numerical commitments and expectations to WHDC, and via the WHDC online software available to them, (c) WHDC internal analyses of all grantee applications and subsequent achievements, (d) WHDC staff analyses of additional information about grantees subsequent to grant awards, and (e) Telephone exchanges between WHDC's staff and grantees to resolve questions and obtain updates. Grantees are required to send press clippings, pictures and videos of their programs to WHDC.

(b)   Site Visits – Giving priority to the larger RFP grants, WHDC attempts to pay site visits to all grantees within one year in a two-year cycle. The site visits aim to supplement the Desk Monitoring and to achieve the following purposes: (a) build relationships, (b) learn innovative approaches and successes being employed grantees to help solve the community's problems, and (c) learn the challenges being faced by grantees in their attempts to implement the programs for which they were funded in a proactive basis. In this instance, grantees are encouraged to take the initiative to inform WHDC of their incipient challenges.

Withholding of Grants
WHDC will choose to withhold a grant installment payment to a grantee whose interim report is unsatisfactory. Generally, this would occur when interim accomplishments fall short of expected and funded outcomes considering elapsed time. WHDC gives organizations opportunities to make up their demerits. When this fails, WHDC will terminate the payment of future grant installments.

Termination of Grants
If at any time the grantee is not in compliance with the terms and conditions of the grant award, WHDC notifies the grantee and provides a reasonable period for the grantee to cure the deficiency. If an acceptable corrective action is not taken by the grantee, WHDC reserves the right to terminate the grant before additional installments are paid. Grantees will be notified in writing if their grants have been terminated. In some cases, WHDC may require a return of the funds paid to the organization. Such cases would be caused by incidence of fraud, theft, and financial malfeasance that may subsequently come to the attention of WHDC and/or Tides.

Publication
WHDC publishes a list of all grant awardees, amounts, dates of grants, and organizational contact on its website. In addition, WHDC may choose to publicize grant-funded activities on its website, social media, printed materials, and videos which may include the names and other identifying information of grantee organizations and grant activity recipients. By application, grantees agree to such publications and waive privacy rights, or rights of publicity.

In its commitment to help grantees achieve their objectives to have positive and life-changing impact on MCD9, WHDC provides the following technical assistance activities to nonprofits that are substantially located in MCD9 and its grantees.

Grant Writing Workshops
In the spring of each year WHDC hosts a free grant writing workshop that has been hailed by attendees for the three years it has been offered. It is free to all nonprofit organizations that are substantially located in MCD9. Admission is on a first come- first served basis. The details are posted on WHDC's website and also sent through WHDC's e-mail blast.

Grantee Meetings to foster collaborations and eventual collective impact
Periodically WHDC convenes meetings of grantees around common themes with the aim of introducing grantees to each other and to foster collaborations. In coming months and with the introduction of the Larger RFP Grants WHDC plans to transition into a collective impact delivery platform, which is the commitment of a group of actors from different sectors to a common agenda to solve a complex social problem.

WHDC and Collective Impact
The three focus areas for WHDC's Larger RFPs, namely, Education, Workforce and Economic Development, and Affordable Housing lend themselves to the application of the collective impact platform. Each has several stakeholders all of whom desire significant improvements in current widely acknowledged problems. In education, in 2014 barely 20% of the MCD9 elementary public school students passed their standardized tests; Unemployment exceeds twice the national rates in MCD9; and nearly 50% of incomes go into housing costs in the community. There are resources from government and institutions to attempt to solve the challenges that have bedeviled the community for decades. The case for the allure of collective impact to WHDC cannot be overemphasized.

Space for Nonprofit Activities
The 2009 Community Benefits Agreement contains a commitment for Columbia University to provide in-kind benefits in the form of facilities, amenities, and services to benefit MCD9. Twice a year WHDC solicits space needs from the community's nonprofits. Success for the use of free space and amenities, (not including food) depends on availability from Columbia University.

Third Party Evaluation
Beginning with the Education priority Larger RFP grants in 2015, WHDC has engaged the services of a nationally known program evaluator to provide third party evaluation of WHDC's education grant programs. The program evaluation entails: (a) review of WHDC's theory of

change for education, (b) design of RFPs to solicit applications to address community needs in the theory of change, (c) review of measurable metrics, (d) review of data collection instruments, (e) monitoring for continuous improvement, and (f) positioning WHDC to increase its success when applying for leveraged funding.

ATTACHMENT A
Sample of WHDC Small Grant Review Template

Main

Date *   Review Assignment

MM/DD/YYYY

Link to Reviewer Profile

A. Organization Summary (See #1A on grant application)

Evaluation Question 1: Evaluate the history of the organization and the fit of its proposed project to its mission. *

Not Acceptable   o   o   o   Acceptable   o   Good   o   Very Good   o   Excellent

Organizational Summary - Reviewers Comments

Notes

B. Collaboration (See #1C on grant application)

Evaluation Question 2: Evaluate the applicant's plans for collaboration with other organizations. *

Not Acceptable   o   o   o   Acceptable   o   Good   o   Very Good   o   Excellent

Collaboration - Reviewers Comments

Notes

C. Project Description (See #2A on grant application)

Evaluation Question 3: Evaluate the applicant's description of the project to be funded and their strategies for implementation. *

Not Acceptable   o   o   o   Acceptable   o   Good   o   Very Good   o   Excellent

Project Description - Reviewers Comments

Notes

D. Project Objectives (See #2B on grant application)

Evaluation Question 4: Evaluate the applicant's project objectives in relation to the project description and implementation. *

Not Acceptable   o   o   o   Acceptable   o   Good   o   Very Good   o   Excellent

Project Objectives - Reviewers Comments

Notes

E. Project Impact (See #2C on grant application)

Evaluation Question 5: Evaluate applicant's description of intended successes and measurement of impact. *

Not Acceptable   o   o   o   Acceptable   o   Good   o   Very Good   o   Excellent

Project Impact - Reviewers Comments

Notes

F. Capacity Building (See #2D and 2E on grant application)

Evaluation Question 6: Evaluate applicant's justification for using part of WHDC funds for capacity building including planned benefits to be derived for organization. *

Not Acceptable   o   o   o   Acceptable   o   Good   o   Very Good   o   Excellent

Capacity Building - Reviewers Comments

Notes

G. Budget and Leverage (See #3 on grant application)

Evaluation Question 7: Evaluate applicant's project budget and narrative for reasonableness, and leverage of WHDC's funds in relationship with numbers of MCD9 residents to be served. *

Not Acceptable   o   o   o   Acceptable   o   Good   o   Very Good   o   Excellent

Budget and Leverage - Reviewers Comments

Notes

H. Overall Evaluation

Evaluation Question 8: Provide an overall evaluation of proposal for creativity, relevance, achievability, and fit with WHDC's visions. *

Not Acceptable   o   o   o   Acceptable   o   Good   o   Very Good   o   Excellent

Overall Evaluation - Reviewers Comments

Notes

Score

Complete? *

O Complete
O Not Complete

ATTACHMENT B
Sample of WHDC Large Grant (RFP) Review Template

Statement of Need *

| Not Acceptable | 2 | 3 | Acceptable | 5 | 6 | 7 | Good | 9 | 10 | 11 | Very Good | 13 | 14 | Excellent |

Expected Goals, Milestones, Outputs, and Outcomes with measurable metrics *

| Not Acceptable | 2 | 3 | 4 | 5 | Acceptable | 7 | 8 | 9 | 10 | Good | 12 | 13 | 14 | 15 | Very Good | 17 | 18 | 19 | Exceller |

Project Design *

| Not Acceptable | 2 | 3 | 4 | 5 | 6 | Acceptable | 9 | 10 | 11 | 12 | Good | 14 | 15 | 16 | 17 | 18 | Very Good | 20 | 21 | 22 | 23 | 24 | Excelle |

Project Evidence *

| Preliminary | 2 | 3 | 4 | Medium | 6 | 7 | Strong | 9 | 10 |

Organizational, Administrative, and Fiscal Capacity *

| Not Acceptable | 2 | 3 | Acceptable | 5 | Good | 7 | Very Good | 9 | Excellent |

Budget and Budget Justification *

| Not Acceptable | 2 | 3 | Acceptable | 5 | Good | 7 | Very Good | 9 | Excellent |

Overall Impression *

| Not Acceptable | 2 | 3 | 4 | Excellent |

MCD9-West Harlem Location of Applicant *

| Not located in West Harlem | Located in West Harlem |

Overall Comments (For feedback purposes, your comments are essential. This feedback is kept anonymous.)

Notes

Score

Review Complete? *

○ Yes
○ No

Record ID