

**Request for Proposals**



Lilly Endowment, in this community-based education initiative, is looking now for additional partners in its quest to fund programs that will improve the educational attainment of Indiana's residents.



Lilly Endowment seeks to assist – through a new, competitive initiative – selected community foundations that desire to find ways to enhance the educational attainment and the quality of life in their communities. They may wish to do this by supporting and/or facilitating the research, design and planning of strategic and innovative community-based education programs. In keeping with the Endowment’s belief that local communities are best able to determine their needs, the Endowment is pleased to offer to Indiana’s community foundations the opportunity to participate in Community Alliances to Promote Education (CAPE).

## Request for Proposals



During the past four years, the Endowment has provided more than \$200 million to the state's public and private colleges and universities to address Indiana's low educational attainment levels. Indiana ranks 48th out of the 50 states in the percentage of its adult population with a baccalaureate degree, 50th in the percentage of its workforce in professional positions or specialty occupations, and 45th in the SAT college entrance exam scores.

While the Endowment is pleased with the efforts to date of the colleges and universities, it is looking now for additional partners in its quest to offer funding for programs that will help improve the educational attainment of Indiana's residents. Such improvement is essential to Indiana's future prosperity in an increasingly knowledge-based, globally competitive economy.

The Endowment, through its Giving Indiana Funds for Tomorrow (GIFT) initiative, since 1990 has allocated \$345 million over four phases to community foundations. The initiative has helped them become effective institutions in building community, assessing and prioritizing local needs and problems, and mobilizing support to address them.

The Lilly Endowment Community Scholarship Program also has provided more than 350 Indiana high school students with full-tuition scholarships at Indiana colleges and universities. Now, the Endowment hopes that some Indiana community foundations will add to or enhance efforts currently under way by them or others to find solutions to Indiana's educational challenges. Although the Endowment does not expect

every Indiana community foundation to apply for participation in this initiative, it believes there may be several foundations, working alone or in collaboration, that will find this invitation attractive and timely.

Through the CAPE initiative, the Endowment hopes to identify and to fund up to seven proposals that present innovative and strategic communitywide collaborations. All Indiana community foundations and affiliate funds that have, in the exclusive judgment of Lilly Endowment, participated satisfactorily in the GIFT initiative will be eligible. There are two phases to the CAPE initiative:

## Phase I

## Phase II

## Proposal Guidelines



Each community foundation may request in writing by Jan. 15, 2000, a planning grant of up to \$50,000 to support the identification, research and planning of programs to improve its residents' educational attainment. Community foundations with county affiliated funds may submit separate applications for each county represented. In the case of joint planning proposals submitted by community foundations in two or more counties, a total award of more than \$50,000, but not more than \$50,000 per county involved, will be considered. No more than one proposal will be accepted for each Indiana county.

Up to 15 planning grants will be awarded through Phase I of this competition. It is expected that planning grants will be scheduled for payment by March 31, 2000.

Formal implementation proposals requesting up to \$5 million each will be developed during this phase and will be due to the Endowment by Sept. 15, 2000. In the case of joint implementation proposals submitted by community foundations in two or more counties, a total award of more than \$5 million, but not more than \$5 million per county involved, will be considered. There are no formal matching gift requirements in this initiative.

Up to seven implementation grants may be approved. Grant decisions will be made by Dec. 31, 2000. It is expected that grant funds will be disbursed by June 30, 2001, and may be used over a period of up to three years, beginning in January 2001.

In preparing both planning and implementation grant proposals, applicants are encouraged to do as follows:

- Assess the educational needs in your community.
- Seek out relevant recent studies that may already have been done in your community and look for ways to build on those studies.
- Consider how your community's educational achievement compares with state, national and international standards.
- Consider the educational needs of the entire age and population spectrum of your community. This may include preschool through postsecondary education, literacy programs, technical skills training, lifelong learning, and so forth.
- Prioritize the most compelling educational needs for your community through a process that includes wide community participation and encourages input from the relevant stakeholders.
- Consider first the existing education providers in your community and to what extent they are filling or can fill your needs.

## Planning Grant



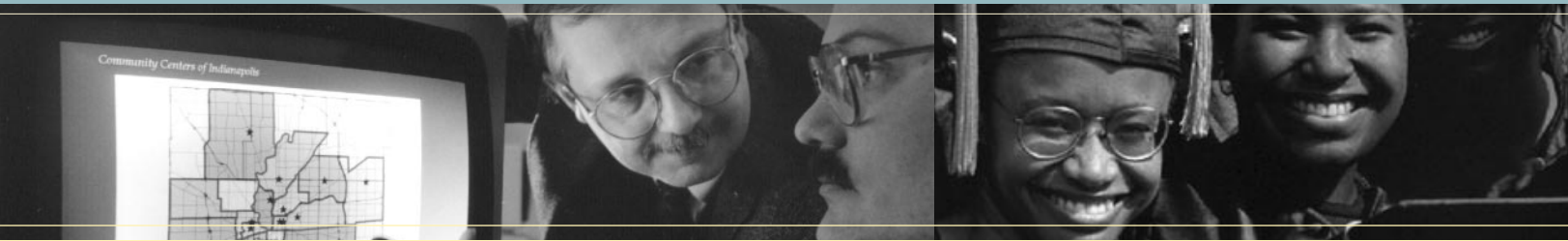
- Consider new education providers if, after careful evaluation, existing providers are unable to address your community's needs effectively.
- Analyze the capacity of existing facilities and possibilities offered through distance technology.
- Seek new ideas and concepts from a broad spectrum of local, regional, national and/or international individuals and organizations.
- Consider collaborations involving a variety of organizations in your community and nearby communities and counties including, but not limited to, colleges, universities, K-12 schools and school corporations, vocational/technical training institutions, libraries, literacy leagues, human service organizations, chambers of commerce, business and economic development organizations, religious entities, local government officials, labor unions, arts and cultural groups, and so forth. For collaborations involving governmental entities or officials from more than one community, the laws applicable to inter-local cooperation should be reviewed.

Community foundations wishing to participate in the CAPE initiative should first submit a proposal of no more than five pages for a planning grant. This proposal requires the following elements:

- Describe what you currently believe are your community's most critical education needs that present challenges to achieving future prosperity.
- Describe the essential knowledge and skill gaps in your community from the perspectives of employers and employees, parents and community residents, and educational institutions.
- Describe your preliminary program plans to address these needs, including whether your community foundation will directly conduct the program activities or support or endorse another organization to conduct them.
- Describe your community's ability to implement the planning phase of this initiative.
- Identify existing studies to be used during the planning phase.

- Identify and provide the credentials of any consultants you anticipate using to help with the planning activities.
- Provide a line item budget for the planning phase.
- Describe plans to seek partners who have demonstrated or may have an interest in providing financial or other support for your proposed learning program.
- Provide statements from representatives that show your community's willingness and disposition to plan and implement activities to address your community's educational needs.
- Evaluate and describe the potential impact of an implementation grant on your foundation's public charity status. Provide your foundation's Forms 990 (including Schedule A) for the last two completed tax years. In some cases, it may be necessary for the foundation to endorse another public charity as the grantee for purposes of this initiative in a manner similar to the GIFT Phase IV community projects option.

## Implementation Grant

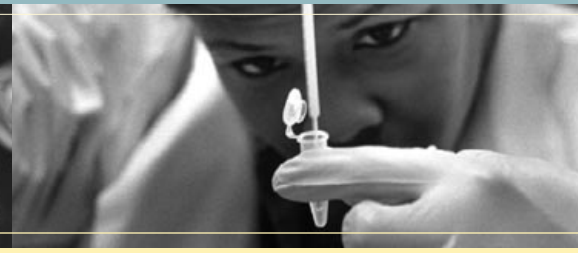
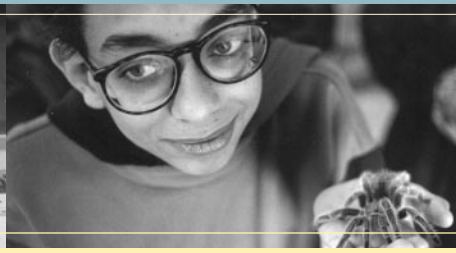
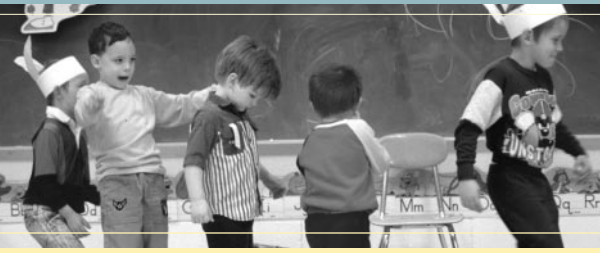


Please organize the required elements of your implementation grant proposal as listed below:

- A one-page executive summary (brief statement of needs and description of program, including names of key participating organizations; amount requested; duration of program; contact person; address; telephone number).
- A description of your community's highest priority education needs and the process you used to identify and prioritize those needs.
- A detailed description of the education program to be implemented, including an identification of the program's ultimate goals.
- An explanation of how the program will be conducted. If the community foundation is not planning to conduct the program activities itself but will support or endorse another organization to conduct them, a description of that organization's operations, tax status, capacity, and role should be included.
- The relevant credentials and experience of the key program directors, whether employees of the community foundation or another organization or independent contractors.
- A description of the performance indicators to be used to measure progress toward the program's goals.
- A description of the means by which you identified these goals and performance indicators.
- An explanation of how the goals will significantly enhance your community's efforts to address its critical learning needs.
- A description of your community's ability to implement the proposed program.
- A timetable from initiation through completion of the proposed program.
- An identification of any obstacles you anticipate in implementing the program.
- A detailed line item budget for the program.
- Financial statements (balance sheet and income statement) for the community foundation's most recently completed fiscal year and most recently completed month, and Forms 990 (including Schedule A) for the last two completed tax years. (The same applies to a separate organization supported or endorsed by the community foundation.)
- An evaluation plan that describes how the program will be evaluated. (How will you determine whether the program has been successful?)
- A description of how the proposed program will be sustained after the Endowment's grant has been expended.
- Statements from community representatives that demonstrate the willingness and disposition of your community to implement and sustain the proposed program.

## Grantmaking Criteria

## Proposal Deadlines



Description of other sources of support for the proposed program including, but not limited to, community organizations, educational institutions, school districts, business organizations, governmental institutions, and so forth. Proposals for programs that have substantial support from sources in addition to Lilly Endowment generally will be favored.

If your community foundation endorses another charitable organization to serve as the grantee under this initiative, the organization will need to comply with Lilly Endowment's standard grantmaking procedures. The organization's grant proposal should be transmitted to the Endowment with a letter of endorsement from the community foundation.

Note: Please submit two copies of your implementation grant proposal to the Endowment.

The following criteria, among others, will help guide the grantmaking decisions:

- The extent to which the prioritized educational needs are compelling.
- The degree to which the residents of a given community are underserved by existing education providers.
- The soundness of the strategies devised to address the needs. Although creativity is valued, cost effectiveness also is important. Proposals primarily for programmatic expenses are preferred; funding for capital projects is possible, but only if a persuasive case is made for it.
- The extent to which the magnitude of the proposed program is commensurate with the ability and resources of the community to implement the program and sustain it after the Endowment's grant expires.
- The extent to which there was broad community participation in the prioritization of the education needs and the development of the proposed strategies to address them.

Community foundations are asked to follow the application procedure and time line listed below:

- Jan. 15, 2000 – proposal for a planning grant due to the Endowment
- March 31, 2000 – tentative date for the Endowment to notify community foundations of planning grant awards
- Sept. 15, 2000 – two copies of the implementation proposal due to the Endowment
- Dec. 31, 2000 – tentative date for the Endowment to notify community foundations of implementation grant awards
- June 30, 2001 – tentative date for disbursement of implementation grant funds

*Grant proposals and inquiries should be sent to:*

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