

# The Clowes Fund, Inc.

## *A Family Foundation*

320 North Meridian Street, Suite 316  
Indianapolis, IN 46204-1722  
Email: [staff@clowesfund.org](mailto:staff@clowesfund.org)

Phone: 317-833-0144 or 800-943-7209  
Fax: 317-833-0145 or 800-943-7286  
Website: [www.clowesfund.org](http://www.clowesfund.org)

## Guidelines for 2011-2012 Competitive Grant Applications

### 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 Clowes 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

Funding is concentrated in three regions. Priorities vary among them:

- **Indianapolis, Indiana** -- We give priority to certain areas of interest, described below, in social services and primary and secondary education in Marion County and the seven contiguous counties.
- **New England** -- We give priority to certain areas of interest, described below, in social services, education and arts education in the greater Boston area and in parts of southern Vermont, New Hampshire and Maine. Our geographical reach in New England depends upon our capacity to monitor grants properly in a given area.
- **Seattle, Washington** -- We give priority to arts education, especially music education.

**Fields of Interest:** The Fund generally supports art education, primary and secondary education and social services that focus primarily on socio-economically disadvantaged individuals. Within social services (relevant in Indiana and New England) we have three areas of interest: services for immigrants, refugees and asylees, workforce development and youth development.

## Social Services

- **Immigrants, Refugees and Asylees** -- We are interested in supporting efforts to address the economic, legal, cultural 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 jobs skills training, support and services necessary to enable them to participate fully in the economic life of their communities.
- **Youth Development** -- We are interested in supporting efforts that prevent students from dropping out of school and assist in the re-entry of dropouts. We are also interested in alternative pathways for youth (ages 15 to 25) to become competent, self-sufficient adults.

## Arts and Education

- We support primary through secondary education, including creative initiatives that emphasize classroom instruction.
- We support arts education and, in Seattle especially, instrumental music education programs that foster critical thinking skills and creativity.

## TYPES OF GRANTS

The Fund prefers to provide seed money for innovative projects and programs or “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>	Funding for endowment purposes, facilities construction or equipment.
<b>Challenge</b>	Funding is contingent upon the grantee achieving an agreed-on program or operating goal.
<b>Matching</b>	Funding is contingent upon the grantee raising qualified matching funds.
<b>Operating</b>	The Fund <i>may invite</i> an operating proposal from a grantee with which we have an established grant history. Mature organizations may be eligible for operating support upon establishing a threshold of core competency. Developing organizations may be eligible for operating support upon successful completion of a start-up or seed grant, after demonstrating a threshold of competency. Funding is unrestricted for use as deemed appropriate by the grantee.
<b>Project/Program</b>	The Fund awards a grant for a specific initiative or endeavor, not for general operating purposes.
<b>Seed Money</b>	The Fund awards a grant to help launch a new project, program or initiative.

## SCOPE OF FUNDING

The Fund generally offers grant awards between \$10,000 and \$50,000; requests for smaller or larger amounts may be considered. Grants review committees are authorized to approve smaller grants up to \$20,000. Full board review is required for grants greater than \$20,000. The Fund may consider multi-year requests. We encourage previous grantees to seek guidance from Fund staff regarding an appropriate range and type of request. First-time applicants must file *Preliminary Proposals* as described below.

*The Fund only makes grants to 501(c)(3) tax-exempt organizations with a 509(a)(1) or 509(a)(2) designation. If your organization has a fiscal sponsor or supporting organization, refer to instructions posted on our website, <http://clowesfund.org>.*

## **INELIGIBLE REQUESTS**

- No grants are made for programs promoting specific religious doctrine.
- No grants are made to underwrite fundraising events.
- No grants are made to individuals.
- No grants are made to organizations in foreign countries.
- No grants are made to Type III Supporting Organizations.
- The Fund will not consider unsolicited proposals from any organization for operating support.
- The Fund will not consider unsolicited proposals from colleges and universities.
- Requests for funding are limited to one request per organization per calendar year.

## **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 (2007-2011), you must submit a *Preliminary Proposal* for consideration.** *Preliminary Proposals*, required for all new grant seekers, are accepted upon posting of these guidelines through November 1<sup>st</sup>.

**If your organization has received funding within the past five years, you may skip the *Preliminary Proposal* process; however, we encourage you to contact Fund staff for guidance prior to submitting a *Final Proposal*.** We recommend a brief summary of intent sent by e-mail well in advance of the proposal deadline. *Final Proposals* are due no later than February 1<sup>st</sup>.

Receipt of your proposal will be acknowledged by e-mail. It will be reviewed by staff for completeness and compatibility with the Fund's guidelines. Viable compelling proposals will be forwarded to the appropriate geographical grants review committee. Your proposal will be read in its entirety (not just a staff summary) by the assigned reviewer, who will make a funding recommendation to the committee. The review committees may decline a proposal, approve a grant of up to \$20,000 for payment, or forward a proposal to the full board for consideration. The board will convene and decisions will be rendered by the end of June.

The grant proposal process timeline:

- September – Updated guidelines posted; previously funded organizations may contact Fund staff for guidance about an appropriate new proposal.
- **November 1<sup>st</sup> – *Preliminary Proposals* due** online via eGrant.
- November – *Preliminary Proposals* acknowledged; review begins.
- December – *Prelim* applicants receive invitation to submit a *Final Proposal* or a *declination*.
- **February 1<sup>st</sup> – *Final Proposals* due** online via eGrant.
- February – *Final Proposals* acknowledged; review begins.
- March-April – Geographical grants review committees convene.
- May-June – Board convenes.
- July 1<sup>st</sup> – Funding decisions communicated; grant contracts are issued.
- One year later – Grantee Self-Evaluation Report due within 30 days of the close of the grant period.

## **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 (2007-2011), you must submit a *Preliminary Proposal* for consideration. The Fund invites organizations that meet its mission and eligibility guidelines to submit a *Preliminary Proposal*, also known as a letter of inquiry or intent, as a way to become better acquainted before investing in developing a full proposal. The prelim hurdle is challenging; a successful *Preliminary Proposal* is likely to have the following characteristics:

- The proposal aligns closely with one or more of the Fund's stated priorities.
  - In New England and Indianapolis we are more likely to support social services.
  - In Seattle we are most likely to support instrumental music education.
- The type of grant requested is seed or step-up money for project or program support.
- The proposal explains not only why The Clowes Fund is an appropriate funding partner but also the timing of the request. If an organization has survived thus far without Fund support, why is it requesting a grant now?
- The requested amount is within the Fund's small grant range (up to \$20,000).
- 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).

**The *Preliminary Proposal* consists of the application and a narrative summary, which must be submitted online via eGrant by November 1<sup>st</sup>.** Refer to page 6 for online application instructions.

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.

(Note: The Fund will not support activities that occur prior to approval of the grant; we generally issue notification of funding decisions by July 1<sup>st</sup>.)

Narrative format of the *Preliminary Proposal* should be no more than three pages in length. You should use 12-point font, have margins of a minimum of an inch, include page numbers, and avoid the use of acronyms.

If you are invited to submit a *Final Proposal*, you will receive notification via e-mail by the first week of January; final proposals are due by February 1<sup>st</sup>.

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

If you have received a grant from the Fund in the past five years (2007-2011), you are not required to submit a *Preliminary Proposal*; however, you should contact our staff for guidance before you invest in the development of a *Final Proposal*. We recommend a brief summary of intent sent by e-mail well in advance of the proposal deadline. A successful *Final Proposal* is likely to have the following characteristics:

- The proposal aligns closely with one or more of the Fund's stated priorities and with the organization's strategic plan.
- It presents a compelling case by thoughtfully and succinctly answering each of the narrative questions.
- The timing and frequency of the request, the type of grant and the amount requested are appropriate.
- The organization has demonstrated good stewardship of previous grants by providing timely final reports (financial and narrative), and through candid communications with Fund staff.

**A complete *Final Proposal* consists of the application, narrative and other required attachments, listed below, which must be submitted online by February 1<sup>st</sup>.** Refer to page 6 for online application instructions.

- An organizational budget for the fiscal year(s) relevant to the grant period.
- A detailed project or program budget; include proposed use of the Fund's grant.  
(Note: Post grant, you will be required to report actual versus budget figures including use of the Fund's grant.)
- Clowes Fund Financial Form (download from website, [www.clowesfund.org](http://www.clowesfund.org)).
- Board roster with professional affiliations.
- Grant Self-Evaluation Report (download from website, [www.clowesfund.org](http://www.clowesfund.org)).  
(Note: 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 submit an interim or status report. Organizations that have filed an interim report within six months of the proposal deadline -- i.e. after August 1, 2011 -- have fulfilled this requirement.)
- If applicable, Fiscal Sponsor Application Form and organizational budget.

Narrative content of the *Final Proposal* should answer the following questions (use these as an outline):

1. What is the purpose of the grant request?
  - What needs will you meet?
  - How did you determine these needs?
  - Who will be served through the project?
  - What will be different after the grant is completed?
  - List three measurable results.  
(Note: Post grant, you will be required to report on these.)
2. Why is your organization the appropriate group to meet such needs?
  - What is your organization's history?
  - How does your organization differ from other agencies that meet the same need or provide similar services?
  - Describe any collaborative relationships relevant to the proposed project or program.
  - How does the proposed project align with your organization's strategic plan?
3. Who will manage the project?
  - What are the qualifications for key staff who will manage the project?
  - Describe board governance and participation.
  - How do you promote inclusiveness and diversity within your board and staff?
  - How will you engage program participants in planning and evaluating your activities?
  - If applicable, describe the role of volunteers in this project.
4. How will the project be executed?
  - Describe the implementation plan.
  - What is the timeline; who will do what, and when?
  - How will the grant be spent; what goods or services will it underwrite?
5. What other funders are involved with the proposed project or program; what is committed or proposed?
  - Describe your funding plan.
  - 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 project?

Narrative format of the *Final Proposal* should be no more than eight pages in length, use 12-point font, have margins of a minimum of one-inch, include page numbers, and avoid the use of acronyms.

**General advice, considerations and checklist before submitting a proposal:**

- First timers, please read the guidelines thoroughly. If you believe you have a program that is compatible with The Clowes Fund’s priorities, introduce your organization by submitting a *Preliminary Proposal*.
- Previous grantees, you increase the likelihood that you will receive useful guidance during the grant application process if you contact Fund staff early in the grant cycle. E-mail a brief statement of intent to launch the conversation.
- Your proposal should be self-explanatory. It should explain the need for funding and why the Fund is the appropriate partner. Write it as though the Fund has no prior knowledge of your organization regardless of discussions or correspondence with Fund representatives. (Proposals are reviewed by directors and members from all over the country.)
- Be concise and complete; follow the recommended format. Use the five questions listed on page 5 as an outline for your proposal narrative, do not exceed eight-pages with one-inch margins, use 12-point font, include page numbers, and avoid using acronyms.
- Previous support from the Fund neither precludes nor implies future funding.
- Apply online via eGrant.
- The Fund will acknowledge by e-mail receipt of all proposals.
- Incomplete or late applications, multiple requests, applications received via U.S. Mail and proposals that do not follow the Fund’s formatting requirements will not be considered.
- These guidelines and priorities may change in future years, but they are final for the 2011-2012 grant review cycle.

**APPLYING TO THE CLOWES FUND ONLINE**

**All *Preliminary* and/or *Final Proposals* must be submitted using The Clowes Fund’s online application process.** To apply online, please follow these steps:

1. Visit The Clowes Fund’s website at [www.clowesfund.org](http://www.clowesfund.org).
2. Under the section titled “Applying Online” select “eGrant”.
3. On the eGrant page, click on “eGrant”.
4. Register your organization and log in using a password and username of your own choosing. Registration is for a specific organization, not for an individual.
5. When you have logged in you are ready to begin the application process (If you need a break, you can save the application and return to the site to finish it at a later time.)
6. Click on “Create New Application”.
7. Enter the requested data and upload required documents

To guide you through the requested data and required documents, you may first download a copy of the Application Form at [www.clowesfund.org](http://www.clowesfund.org).

**The application must be completed online.** However, if you are not able to upload the narrative and other required attachments, you may submit them electronically to [staff@clowesfund.org](mailto:staff@clowesfund.org). If absolutely necessary, you may mail required attachments; all materials must be received by the stated deadline regardless of mode of submission.

Contact a Fund staff member if you have any questions; call 317-833-0144 or 800-943-7209 or e-mail [staff@clowesfund.org](mailto:staff@clowesfund.org).

## **HISTORY**

Dr. George H.A. 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. The foundation was established 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 *Westerley*, their Indianapolis home. After the death of Dr. Clowes the collection became property of the foundation, which took over responsibility for its maintenance and public display. In 1971, the collection was moved to the Clowes Pavilion, a newly built wing of the Indianapolis Museum of Art, on indefinite loan. In 1999, the directors of the Fund voted to donate the entire collection to the museum over a period of years; it is an ongoing process.

A rare combination of scientist and entrepreneur, the senior Dr. Clowes was for much of his career 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.

Although none of the quartet of founders is still alive, the third and fourth generations of the Clowes family are represented among the directors and members of The Clowes Fund. In addition to family directors, two Indiana and two Massachusetts residents bring their civic and professional skills to service on the board.

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 comprehensive guidelines for grant seekers. In 2003, the Fund established its *Preliminary Proposal* process and a focus on supportive services for immigrants and refugees, and workforce development. Since then, youth development and arts education have become foci as well.

The members, directors and staff of The Clowes Fund are committed to open and informative interaction with grantees, grants 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 generally positive feedback received from its first GPR in 2005. During the interim, in 2008, the Fund completed an internal audit of its grantmaking procedures.

## **THE FUND FAMILY**

### *DIRECTORS*

Mr. Ben W. Blanton, Indiana  
Ms. Margaret C. Bowles, **Secretary**, New Hampshire  
Dr. Alexander W. Clowes, **President**, Washington  
Mr. Douglas S. Clowes, Massachusetts  
Mr. Jonathan J. Clowes, **Vice President**, Maine  
Ms. Lynn L. Clowes, New Hampshire  
Ms. Carolyn M. Osteen, Massachusetts  
Mr. William H. Marshall, **Treasurer**, Indiana  
Dr. Donna L. Wiley, Massachusetts

Mrs. George H. A. Clowes, Jr., Director Emerita, Massachusetts

### *STAFF*

Ms. Elizabeth A. Casselman, **Assistant Secretary/Treasurer**, Executive Director  
Mr. Drew Catt, Graduate Assistant  
Ms. Mary Ellen Moore, Program Manager  
Ms. Katherine Souchet-Moura, Program Officer

The Fund supplements its staff capacity through a contract with GMA Foundations in Boston, Massachusetts; Phil Hall, GMA Vice President, is our designated consultant.

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