

GRANT APPLICATION AND REVIEW PROCEDURES

Consistent with Article VI, §§ 2 and 4 of the Charter of the Endowment for Education, the Board of Directors of the Endowment adopts the following guideline for grant applications.

I. FORM OF GRANT APPLICATION

A. A grant application must contain at least the following:

1. A one page summary, using the summary form specified by the Endowment Board. This form requires the grant applicant to furnish the following information: (1) the names, addresses and telephone numbers of the applicant and of a contact person if different from the applicant; (2) the specific objectives of the proposal, stated such that it can be determined, upon completion of the project, whether the objective has been achieved upon completion of the project for which the grant is being sought; (3) the major activities planned; (4) a timetable for the project; (5) the amount requested; (6) the total project budget; and (7) any other sources of support (both in place and anticipated).

2. A narrative statement. A statement, not to exceed 15 pages, providing a detailed explanation of the proposal, how it will achieve the objectives stated in the summary form, and how the proposal will further the mission of the Endowment for Education for the National Conference of Bankruptcy Judges. The statement should include historical information about the applicant and a statement of the applicant's general goals, priorities and services, if applicable. The statement should describe the need for the proposed project and the issues to be addressed by the project. The narrative should describe in detail the activities to be carried out, the staff required, their qualifications and job descriptions, a specific timetable for implementation of the project and a process or criteria by which success or failure can be measured. If the applicant seeks funding for data collection, the narrative

statement should also address, consistent with best social science practices, when and how relevant data is to be made available to other bona fide investigators.¹

3. Tax information. A statement of the tax status of the applicant. If applicable, a copy of the most recent Internal Revenue Service letter granting tax exempt status.

4. Annual Report. If the applicant is an institution or organization, a copy of the applicant's most recent annual report, if one exists.

5. Budget. A detailed budget for the project, including total anticipated income (including funding from sources other than the Endowment and "in kind" contributions) and total anticipated expenses, as well as the timing for the receipt of all such income and the incurrence of all expenses.

6. Ownership and management. A list of applicant's ownership, officers, directors and/or other managers if applicable.

B. Grant applications should be submitted, in an electronic format, to the Chair of the Endowment Board and to the Executive Director of the Conference. , in an electronic format. If certain materials are not easily submitted in electronic format, the applicant should make arrangements with the Chair to submit all or part of the grant application in hard copy, to the Executive Director of the National Conference of Bankruptcy Judges.

II. GRANT REVIEW PROCEDURES

A. Immediately upon receipt of a grant application, the Chair shall forward one copy of each grant application to each member of the Board of Directors.

B. Immediately upon receipt of a new grant application, the Chair of the Board shall assign the new grant application to a member of the Board of Directors other than the Chair. The Director to whom a new grant application is assigned shall be responsible for the following:

1. Acknowledge by letter receipt of the grant application.

¹ Among other resources that might be considered to this end are the Inter-University Consortium for Political and Social Research at the University of Michigan and the Center for Informatics Research at the Graduate School of Library and Information Science and Scholarship at the University of Illinois at Urbana-Champaign.

2. If the grant application is incomplete, request the missing or additional information from the grant applicant.

3. Consistent with the notice requirements below, schedule with the Chair the presentation of the grant application to the Board of Directors.

4. Present the grant request at a meeting of the Board of Directors. At such meeting, the responsible Director shall identify the strengths and weaknesses of the proposal and make a recommendation in support of or in opposition to funding the proposal.

5. After action by the Board of Directors, the Responsible Director shall inform the grant applicant in writing of the action of the Board. If so directed by the Board, the responsible Director shall discuss revisions to the grant application or additional information needed by the Board with respect to the application.

6. If the Board votes to fund a grant application, the responsible Director shall secure from the applicant executed originals of the "Terms and Conditions" form. .

7. The responsible Director shall perform the grant monitoring described in item IV below.

III. VOTING ON GRANT APPLICATIONS

A. The Board of Directors shall not vote to accept or reject a grant application unless the following conditions are met:

1. All Directors had at least 10 days notice that the grant application would be voted upon at a meeting called for that purpose, subject to waiver if no Director objects

2. All Directors received copies of the completed grant application at least 10 days before any such meeting.

3. The provisions of the Charter with respect to meetings and voting have in all other respects been complied with.

B. In considering a grant application, the Board should take into account the following:

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1. The nature and amount of prior grants; the nature and amount of pending grants competing for the same funds; and any other potential grant applications which are known to be likely.

2. The possible actions that may be taken on any proposal including (a) Approval or denial of the grant in whole or in part, (b) Deferral of consideration of the grant pending further investigation or modification of the proposal.

IV. GRANT MONITORING

A. Every grant recipient shall complete and file with the Director responsible for the grant semi-annual progress reports using the form specified by the Endowment Board. Progress reports shall be due on each six-month and yearly anniversary of the award.

B. The responsible Director shall monitor each approved grant assigned to the Director until the project is completed. Monitoring includes insuring that semi-annual progress reports are filed by all grant recipients. The responsible Director shall report orally to the Board of Directors at least semi-annually with respect to the progress of each grant assigned to that Director.

C. At the completion of a project funded by the Endowment, the responsible Director shall present a final report to the Board assessing the success or failure of the grant and including any recommendations with respect to future funding of similar projects and with respect to the future funding of grant applications from the same applicant.

V. ENDOWMENT RETENTION OF RECORD OF ITS ACTIVITIES

A. Grant Application and Grant Records. The Endowment shall maintain a record of the following documents as to each grant application:

(1) the grant application (including any amendments thereto), but this may be limited in the case of a denied application to the portion sufficient to disclose the substance of the application;

(2) the Endowment's document evidencing the approval of the application (such as the executed Terms and Conditions form) or the denial of the application;

- (3) any requested amendment of the grant;
- (4) any correspondence acting on a requested amendment;
- (5) the pertinent document or documents signifying the completion of the grant;
- (6) any six-month reports of the grantee (but this may be limited to the portion sufficient to ascertain the substance of progress);
- (7) any document (e.g., law review article) constituting the final work product arising from the grant; and
- (8) the responsible Director's report submitted under § IV.C of these Grant Application and Review Procedures assessing the success or failure of the grant or other matters.

B. Responsibilities for Compiling and Retaining Electronic Record:

(1) Director's Responsibility. Within one month after the completion of the grant, the Director responsible for monitoring the grant shall transmit to the Chair of the Board in electronic format all of the documents required to be thus retained that the Director possesses.

- (2) Chair's Responsibility. The Chair shall maintain:
- the materials transmitted by the responsible Director (or the materials gathered by the Chair that the responsible Director was required to submit if the Director fails to act),
 - along with any other required documents, and
 - any other documents pertaining to the grant that the Chair deems advisable,

in electronic format as part of the Endowment's internal records.

C. Other Records to be Retained. The Endowment's internal records shall also include:

- (1) the Board's minutes;
- (2) the Endowment's Charter;
- (3) the Endowment's Grant Application and Review Procedures; and
- (4) any other documents deemed by the Chair or the Board as a whole as being worthy to be retained.