As of September 20, 2019

# GRANT PROPOSAL GUIDELINES

The Andrew W. Mellon Foundation Scholarly Communications

Applicants should consider the information below as a guide to submitting an invited proposal and related information to the Foundation. The Foundation reviews the proposal to make informed judgments about the merits of the project, its likelihood of achieving its stated goals, and the organization’s capacity to carry out the project activities effectively. Should a grant be approved, the grant agreement will incorporate the terms of the final proposal. The Foundation’s grantmaking policies and guidelines are located on the Foundation’s website.

# Proposal Submission Process

It is the Foundation’s practice to work iteratively with applicants on the development of their proposals, reviewing drafts and asking for revisions, generally through two or three cycles over a three to four week period. Proposals are submitted through Fluxx, the Foundation’s online grants management system. Guides for logging in and using the Fluxx grantee portal can be found here.

Although additional materials may be requested as needed, there are seven main sections that applicants need to complete when preparing their proposals: (1) Organization and Project Contacts;

(2) Proposal Information; (3) the Proposal Narrative; (4) Proposal Details; (5) the Grant Budget;

(6) the Budget Narrative; and (7) Other Documents. Some parts of the various sections may be relevant only for certain proposals.

In the initial draft of the proposal, the Foundation asks applicants to complete sections (1) and (5) directly in Fluxx. They should complete section (7) as described below or as requested by program staff. For the other sections, which are generally the most subject to revision, the Scholarly Communications program asks that applicants use a template that it will provide in Fluxx.

Completing the information in these sections in a single document allows applicants and program staff to track and control versions during the proposal review process.

Applicants should upload the completed template as a single document in the Documents section of Fluxx. Program staff will use Fluxx to notify applicants of revisions that may be necessary. When completed, the revised template should be uploaded to Fluxx.

When Scholarly Communications staff are able to accept the proposal as final, they will then ask applicants to copy the information from the template into the appropriate Fluxx fields and submit the various components of the Proposal Narrative as separate documents. They will also provide other instructions as necessary to complete the proposal application.

# Proposal Sections

1. **Organization and Project Contacts**

The proposal record will already include the legal name of the organization that would receive the grant. Please confirm the legal name and enter the key organizational contacts for the proposed grant, including the principal investigator, grant management contact (person responsible for serving as a proposal liaison and providing reports to the Foundation), and head of the organization. Applicants may also add two additional contacts in the roles for financial or other contact and additional contact. Please note there can be only one individual nominated for each role, and the Foundation will assign login credentials to those individuals.

Key organizational contacts will have access to the proposal materials and will receive automated email alerts.

# Proposal Information

Please enter summary information about the proposed activities including a project title, the amount requested in US dollars (USD), the length of time needed to complete the supported activities, and a one-paragraph description of the proposed work.

# Proposal Narrative

* 1. **Cover Letter**

When invited to submit the final proposal, please upload a cover letter on the organization’s letterhead, signed by the principal investigator(s). The cover letter should be addressed to the Foundation staff lead and include the title and a brief summary of the project, the amount of funding sought, and the names and contact information of any collaborating institutions and individuals. The cover letter should also include reference to the Foundation’s Grantmaking Policies and state that the organization will comply with these policies.

# Endorsement Letter

When invited to submit the final proposal please upload a signed endorsement letter from the chief executive officer, vice chancellor, rector, or president of the organization if the head of the institution is not the principal investigator for the proposed grant. The endorsement letter—on organizational letterhead and dated on or after the cover letter—should refer to the proposed grant and project title, the budget and timeframe, and the date and substance of the principal investigator’s cover letter.

# Proposed Activities and Rationale

Please upload a Word document that explains the proposed activities of, and rationale for, the project. There is no page limit, but note that the Foundation values concision and objectivity in proposal narratives. While the substance and form of narratives will vary based on the proposed project, all narratives should provide the following information:

* The rationale for the project, including:
  + the area(s) in which the institution sees a need to advance its mission or serve a particular constituency;
  + a review of previous and related work;
  + what work needs to be done;
  + what the institution needs to accomplish these tasks, and which of those needs require help specifically from the Foundation; and
  + the means by which the institution would make the results available to the broader community.
* A **description of the project organization** required to accomplish the proposed work including: The names, affiliations, job titles, qualifications, and proposed responsibilities of existing staff at the proposed grantee and other collaborating institutions; the titles and responsibilities of positions at those institutions that would be created or filled during the grant term; and the roles and responsibilities of any consultants that would be employed.
  + An appendix should include CVs for the principal investigators and draft job descriptions for positions that would be created or filled during the term of the proposed grant.
  + If the proposal involves collaborating institutions, another appendix should include letters from a representative of each institution affirming that they have:
    1. read the Foundation’s Grantmaking Policies and will comply with these

policies; b) been given an opportunity to participate in the project design process; and c) received a copy of all final application materials. See section 4(a) for additional required information about collaborating organizations.

* If the proposed project is to use or develop technology, then a section should be provided that describes the technology and the reasons it has been selected.
* A schedule of major activities, including: a clear, concise description of the activities that the institution would like to carry out to meet the needs identified; and a timeline that shows the steps by which the project would proceed and how staff and consultants would participate.
* The expected outcomes and benefits of the project. Please state how the outcomes of the project would benefit the intended community.

As appropriate, an account of how the organization would ensure the longer- term sustainability of project results and/or institutional changes supported by Foundation funding.

# Proposal Details

The following questions should be addressed as appropriate:

* 1. Collaborating Organizations – List all organizations collaborating with the applicant organization that would be significantly involved in the conception, development and/or execution of the proposed activities, if any. For each organization, briefly describe the nature of the collaboration. If a collaborating organization would be receiving grant funds, please list the amount in the Grant budget and Budget Narrative sections;
  2. Consultants – Briefly describe the proposed grant activities for which a significant portion of the grant budget would be paid to a third party in exchange for services. Amounts allocated to consultants and contractors should be provided in the Grant Budget and Budget Narrative sections. (See also the Foundation’s “Guidelines for Grants involving Consultants and/or Contractors);
  3. Diversity and Inclusion and Anti-Discrimination: The Foundation is committed to diversity and inclusion in its grantmaking programs and to ensuring that its funds are deployed in workplaces and educational environments that maintain and enforce policies committed to safety, dignity, ethical conduct, and freedom from discrimination:
* Diversity and Inclusion: Please describe how your organization defines and approaches diversity and inclusion in relation to its mission and operations. We ask that you include one or more examples of challenges and successes the organization has experienced with respect to diversity and inclusion. If the proposed grant is intended to address diversity and inclusion, please elaborate further in the Proposed Activities and Rationale document.
* Anti-Discrimination: Please briefly describe your organization’s equal opportunity, anti-discrimination, and/or anti-harassment policies.
  1. Financial Health – Describe any financial difficulties or deficits the organization has experienced in the last three fiscal years, if applicable;
  2. Leadership Changes – Describe any recent or anticipated leadership changes and significant staff turnover relevant to the organization and/or proposed grant activities;
  3. Intellectual Property – If the proposed grant activities include the digitization of works or the creation of digital technology and/or digital products, such as software, databases, audio or video recordings, podcasts, and websites, please provide a detailed account of the intellectual property to be created, any rights or permissions that your organization would need to secure, the means by which the technologies and/or content would be distributed, including the type of license that your organization would issue to users, and how your organization would ensure the long-term sustainability of any digital or software products;
  4. Investment Income – The Foundation expects that spendable grant funds will be managed in a prudent manner that will reflect the purpose and terms of the grant, with the understanding that any interest or investment income earned on the funds will also be applied towards the purpose and terms of the grant. Please describe how spendable grant funds would be managed, including how income earned on the funds would be calculated and allocated to the grant, if applicable. If the organization is unable to hold spendable grant funds in interest- or income-generating accounts, please explain why;
  5. Endowment Funds – For proposals requesting endowment funds, please provide a description of the organization’s endowment spending policies and the budget for anticipated appropriations from the endowment (see Other Documents section for additional requirements for endowment grants);
  6. Strategies for Successful Grant Execution – This section should include an assessment of any factors that could potentially impede the timely and successful execution of grant activities and goals. Please outline these factors and briefly explain possible strategies for mitigating their effects on grant activities;
  7. Payment to Third Party/Administering Agent – If the grant would involve payment to an administering agent or other third party who would administer grant funds on behalf of your organization (e.g., a university foundation), please provide details about the third-party payee (see Other Documents section for required documentation); and
  8. Matching Requirements – If the grant would be subject to a matching requirement, please provide a description of your organization’s strategies and timetable for meeting the match, details of the prospective donor base, and the projected uses for the match. Please note that only newly received gifts of cash or securities, in hand, valued at the time of transfer, and designated for the Foundation-supported project, can qualify as matching contributions. Pledges do not qualify.

# Grant Budget

A grant budget should be completed within the Fluxx portal. Please review the description of the Foundation’s expenditure categories (below) before completing the budget.

* 1. The grant budget should only include the funds requested from the Foundation and exclude projected interest or investment income.
  2. A budget should be added for each reporting period, with the name of the period (e.g., Year 1) and the start and end dates of the period clearly indicated. Reporting periods are typically one year long. Please discuss the appropriate reporting period with Foundation staff in advance. There should be no gaps between budget periods.
  3. The budget should encompass all grant expenses, including amounts designated for collaborators and consultants.
  4. Final budgets should be reviewed by an individual with institutional responsibility for financial reporting and the name and contact details of the person who conducted the review entered into the portal in the Grantee Authorizations section.
  5. All budget amounts should be in local currency. If the local currency for the proposed grant is not USD, the exchange rate used to calculate the amount requested in USD, the date the rate was published, and the source of the rate should be cited where indicated. The exchange rate should be from a public source and correlate with rates published within a week of the date of the final proposal. Applicants may refer to rates available at [www.oanda.com.](http://www.oanda.com/) Please note that the amount requested in the Proposal Information section should be in USD. The Foundation makes payment of all awards in USD; applicants with budgets that are not in USD will be instructed to provide Foundation staff with a confirmation of the amount received in local currency within 30 days of payment of the award.
  6. If the proposal is accepted, annual reporting must follow the same expense categories set forth in the proposal.

# Budget Narrative

The budget narrative should describe and justify the cost assumptions for each expenditure category. It should not introduce new features of the project beyond what is presented in the Proposal Narrative and Proposal Details sections. While budget categories may vary according to the particular project, the Foundation uses set expenditure categories common to Foundation- funded projects. It is also possible to add up to five custom categories. If it is necessary to provide more detailed cost assumptions and breakdowns, a supplementary spreadsheet may be uploaded.

If the proposal requests only partial funding for project activities, the budget narrative should include a list of all other funding sources by category, the corresponding amounts and percentage of the total budget, and whether the funding is committed or potential. Please also describe contingency plans if the full project funding does not become available.

# Expenditure Categories

Salaries and Wages – Fellowships and Residencies: Total salaries, excluding benefits, for all fellowships, residencies, and scholarships. The budget narrative should list the base salary or stipend amount for each fellow or resident, the number of people in each position, and, if applicable, the FTE percentage allocation.

Salaries and Wages – Program: Total salaries, excluding benefits, for all programmatic employees, which may include salaries, stipends, and/or course releases for the principal investigator, project director, artistic staff, and/or faculty. The budget narrative should list the base salary, the stipend and/or course release amount for each position, the number of people in each position, and, if applicable, the FTE percentage allocation.

Salaries and Wages – Administrative: Total salaries, excluding benefits, for all administrative employees involved in the grant-funded project or activities, which may include salaries for executive, finance, communications, and/or clerical staff. The budget narrative should list the base salary for each position, the number of people in each position, and, if applicable, the FTE percentage allocation.

Salaries and Wages – Other: Total salaries, excluding benefits, for any other staff not included in the above salary categories. The budget narrative should list the base salary for each position, the number of people in each position, and, if applicable, the FTE percentage allocation.

Benefits: Total benefit costs related to personnel involved with the proposed grant activities, including pension contributions, health insurance, and any other benefits. The budget narrative should describe how benefit costs were calculated.

Travel: Total travel costs, including expenses for all modes of transportation, meals, lodging, mileage reimbursements, and per diem payments. The budget narrative should provide a breakdown of the costs by activity and include the number of people and travel days. Please include the sources for the travel cost estimates.

Conferences and Meetings – Non-travel: Total non-travel costs associated with conferences, meetings, and workshops, including registration, catering, and facilities costs. The budget narrative should provide a breakdown of the costs by activity.

Equipment and Supplies: Total equipment and supplies costs, including any anticipated shipping, licensing, maintenance, and insurance costs. The budget narrative should include an itemized list of equipment and supplies to be purchased or leased along with the cost assumptions.

Consultants and Other Professional Services (including Artist Fees): Total consultant and other professional services costs not included in other budget categories. The budget narrative should describe any existing and/or anticipated agreements with third parties, including consultants, artists, and/or other vendors. The narrative should include a description of the work to be performed, whether the amount is based on a fixed price, or hourly or per diem rate, and whether it includes anticipated travel or other additional expenses. See also the Foundation’s “Guidelines for Grants involving Consultants and/or Contractors.”

Subgrants/Regrants: If applicable, the total funds allocated for subgrants/regrants. For subgrants, the budget narrative should include the names of subgrantees, a description of the work to be performed by each subgrantee, and the amount of allocated funds. For regrants, the budget narrative should include the total funds to be regranted and describe the amounts expected to be awarded to each organization and/or individual.

Promotion, Marketing, and Advertising: If applicable, the total funds allocated for all promotion, marketing, and advertising costs associated with the proposed grant activities.

Occupancy Costs: If applicable, the total funds allocated for utilities and space rental associated with the project or development of the artistic work. The budget narrative should also designate the Foundation’s percentage contribution to these occupancy costs. Please note: the Scholarly Communications program does not provide support for occupancy costs.

Additional Budget Categories: If applicable, the total funds allocated for use in any additional budget categories. Please describe the allocated amount and purpose for each category. Please add the custom category name to each budget period, even if there is no expenditure in that period.

# Other Documents

Please upload a copy of the following materials to the Proposal Documents section: Organization Documents:

* 1. a list of members of the organization’s board of trustees or directors;
  2. for applicants classified as supporting organizations under section 509(a)(3) of the Internal Revenue Code, an affidavit of supporting organization status, (a sample is available from the Foundation on request); and
  3. other supplementary materials as requested by program staff or as needed to explicate the proposed work.

Grant Payment to Third Party (e.g., a university foundation)

If requesting that funds be paid to a third-party payee, please submit the following documents with your proposal. Please note that these requirements do not apply to fiscal sponsorship arrangements.

A signed letter from an individual with signing authority on behalf of the applicant organization (e.g., leader of organization), requesting that the funds be paid to the third-party payee, describing the relationship between the applicant and payee organizations, and stating that the applicant organization would retain discretion and control over the use of grant funds. Rather than submit an additional letter, the applicant can alternatively include this language in the endorsement letter (see Proposal Narrative section).

A signed letter from an individual with signing authority on behalf of the payee organization (e.g., leader of organization), expressing willingness to receive funds on behalf of the applicant organization, describing the relationship between the applicant and payee organizations, and acknowledging that the applicant organization would retain discretion and control over use of the grant funds.

Endowment Grants

For organizations with endowments of less than $100 million, proposals for endowment funds should include the following items:

1. a copy of the Investment Policy Statement (“IPS”), which must include the: (a) Asset Allocation Policy; (b) Spending Policy; (c) Rebalancing Policy; (d) Conflict of Interest Policy; and (e) roles and responsibilities of the board, the investment committee, staff, and consultants/advisors;
2. a description of the decision-making process for making changes to the IPS;
3. the current roster of investment managers; and, if applicable, how and by whom managers are sourced and evaluated;
4. the current members of the investment committee and the name of any investment consultant or advisor;
5. a summary of the actions taken and a list of attendees at the last four meetings of the investment committee, or the minutes of those meetings;
6. the current asset allocation;
7. investment performance for the past one, three, five, and ten years;
8. copies of the two most recent audited financial statements; and
9. should a grant be awarded, a commitment to provide, at the conclusion of each of the subsequent three fiscal years, the following:
   * a summary of the actions taken by the investment committee during the fiscal year and a list of the members who attended each meeting; and
   * a report on investment performance for the past one, three, five, and ten years.