

## **U.S. PROGRAMS (USP) CROSS-PROGRAM GRANT-MAKING GUIDELINES**

This document was created based on input emerging from U.S. Programs' Senior Management Team discussions and the June 2009 USP all-staff retreat. It provides guidelines for fostering, developing and executing effective cross-program grantmaking.

### **WHY ENGAGE IN CROSS-PROGRAM GRANTMAKING?**

- To expand and coordinate support for organizations that are advancing multiple USP goals and the impact of USP's work.
- To design a grantmaking process that works better both for USP and our grantees (including reducing the "transaction costs" of grantmaking).
- To increase the resources, knowledge and talent applied towards achieving USP's mission.
- To learn together about integrated solutions to open society problems that are deeply linked.
- To access the expertise and experience of colleagues.
- To break down internal silos and encourage more innovation and creativity.
- To expand USP's understanding of the benefits of collaboration, providing opportunities for new and innovative collaborative efforts.

### **HOW TO IDENTIFY CROSS-PROGRAM GRANTMAKING OPPORTUNITIES?**

- Complete Grantee Information Sheet<sup>1</sup> and share with colleagues.
- Check Grant Tracker to see whether a particular organization is already in the system and who is funding it.
- Review potential cross-program grantees during regular meetings.
- Refer to and regularly update USP's master list of Cross-Program Grantees, located on USP's shared drive (K:\Grantmaking Operations\Cross Program Collaboration).
- Review docket "blurbs" in order to identify potential synergies with other programs.
- Set up regular meetings with colleagues to discuss and assess collaborative opportunities.
- Engage in joint research and development (e.g. through working groups).
- Invite colleagues to join grantee meetings or calls.

---

<sup>1</sup> The Grantee Information Sheet is currently in development.

## **ONCE A CROSS-PROGRAM GRANTMAKING OPPORTUNITY IS IDENTIFIED, WHAT HAPPENS NEXT?**

Once two or more programs learn that they are currently funding, or considering funding, the same organization, it should be brought to the attention of the relevant Directors. The Program Directors will:

- Determine, in consultation with the relevant Program Officers, whether to co-fund a general support or project grant or fund two or more separate projects through one grant.
- Determine who will act as grant Lead and Liaisons.
- Include name of grant Lead in Grant Tracker and in the Grant Agreement Letter.
- Notify and clarify with grantee the role of grant Lead and grant Liaison(s).
- Determine the level of funds from each program.
- Establish schedule for reporting, meeting, joint site visits, etc.

## **WHAT IS THE ROLE OF THE GRANT LEAD?**

The grant Lead is the USP staff that acts as primary point person (within OSI and *vis-a-vis* the grantee) for all issues related to a particular cross-program grant. Staff eligible to act as Leads are: Program Director, Campaign Manager and Program Officer.

## **HOW TO DETERMINE WHO SHOULD BE THE LEAD?**

Program Directors may want to consider the following questions to help them determine which program should act as Lead:

- Is one program giving higher level of funding support?
- Does one program have a longer history with the grantee?
- What is the size of the grant? (Note: If the grant is \$750,000/year or more, it is recommended that a Program Director act as Lead)
- Is the grantee connected to a USP Board member? (Note: If so, it is recommended that a Program Director act as Lead)
- Are there other issues that require oversight at a senior level?
- Is a higher percentage of the grantee's work located/aligned with one of the programs and/or with a particular portfolio within them?
- Is there a USP staff person with particular expertise or knowledge of the organization?
- What is the current workload of the USP eligible staff?
- Is leadership of cross-program grants distributed equally across the Funds?

## WHAT IS THE ROLE OF THE GRANT LIAISON?

The “Liaison” is a USP staff person that is either co-funding the grantee or that has a programmatic interest in the grantee. There can be more than one Liaison. The Liaisons will work closely with the grant Lead to conduct joint site visits and to share information about the grantee.

## CROSS-PROGRAM GRANTMAKING IN ACTION

### Scenario I

**(a) Two or more separate projects, or a combination of project and general support, from two or more separate programs, are funded through one grant**

- Lead acts as primary point person with grantee.
- Lead and Liaisons jointly negotiate the grant (internally and externally).
- Lead and Liaisons may set up separate meetings with grantee about specific projects.
- Lead and Liaisons inform each other of meetings or communications with grantees regarding their projects, and try to conduct some joint meetings.
- Lead creates one record in Grant Tracker and Liaisons add specific information about their projects.
- Lead acts as point person with OSI Grants Management, e.g., sign lobby letter, complete checklist.
- Lead coordinates drafting of the write-up, with assistance from Liaisons on their projects.
- Lead includes all grants in its docket sheet/financial summary and presents consolidated information for Mr. Neier’s approval.
- Lead determines whether other non-Liaison staff should be consulted or informed about the grant.
- Lead takes primary responsibility for considering renewals, extensions or any modifications to the terms and/or conditions of the grant, with input from Liaisons.
- Liaisons solicit proposal from the grantee for their respective project.
- Liaisons contribute information to one joint write up.
- Liaisons make themselves available to participate in docket meetings as requested by Lead.
- Liaisons assist Lead in reviewing reports and deciding on close-outs and renewals.
- Liaisons serve as issue experts on their projects.
- Liaisons review and provide feedback on the development and monitoring of grant.

Example:

**Constitution project** / \$150,000 / 2 years

The Criminal Justice Fund (CJF) and the National Security and Human Rights Campaign (NSHR) are funding two separate projects, and NSHR acts as Lead. CJF and NSHR consolidated their write-ups and all other grantmaking processes, such as the lobbying checklist, grant letter, grant reporting. There is only one Grant Tracker record for the project.

**(b) Two or more separate projects, or a combination of project and general support, from two or more separate programs, consolidate their write-ups but fund through different grants**

Under this scenario, roles and responsibilities of the Lead and Liaisons are the same as in scenario 1(a) above, with the following exceptions:

- Lead and Liaisons create separate records in Grant Tracker for each of their projects.
- Lead and Liaisons review reports and decide on close-outs and renewals for each of their projects.

Whenever possible, the preference should be for scenario 1(a). Scenario 1(b) would happen in those situations where the due diligence process is not in the same place for the different projects involved and may end up disrupting the creation and managing of just one grant. Scenario 1(b) may also happen when there is long-term general operating support and a more time-limited project grant.

Example:

**Center for American Progress (CAP)** / General and Project Support \$1,375,000/ 2 years

CAP receives a large general support grant from the Democracy & Power Fund (D&P) and project support from USP's Global Warming program, the Neighborhood Stabilization Initiative, and the National Security and Human Rights Campaign. D&P is the Lead for this grant. One consolidated write-up, presented by D&P, was submitted for Mr. Neier's approval. In this example, all other grantmaking processes (completion of lobbying checklists and legal review, grant letters, and grant reporting) were handled separately by each fund or campaign recommending funding. There are different Grant Tracker records for each of the grants and separate grant letters.

## Scenario II

### **Co-Funded General Support or Project Grant**

- Lead sets up meeting with grantee about the grant and invites Liaisons.
- Lead acts as primary point person with grantee.
- Lead invites proposal from grantee and shares it with Liaisons from co-funding programs.
- Lead creates a record in Grant Tracker.
- Lead takes primary responsibility for drafting the write-up and monitoring reports, with input from Liaisons.
- Lead includes the grant in its docket sheet/financial summary.
- Lead participates in docket meetings.
- Lead acts as point person with OSI Grants Management, e.g., lobbying checklist, legal review, grant letter.
- Lead takes primary responsibility for considering renewals, extensions or any modifications to the terms and/or conditions of the grant, with input from Liaisons.
- Lead determines whether other non-Liaison staff should be consulted or informed about the grant.
- Liaisons are invited to participate in meetings with grantee.
- Liaisons may communicate with subject experts at grantee's organization or attend convenings, but do not generally communicate with grantee about the grant or attend meetings related to the grant without consulting with Lead.
- Liaisons are invited to participate in docket meetings.
- Liaisons review and provide feedback on the development and monitoring of grant.

#### Examples:

(a) **Institute for Policy Studies / Hip Hop Caucus**, \$150,000 co-funded project support grant by the Democracy & Power Fund (Lead) and the Campaign for Black Male Achievement.

(b) **Faith in Public Life Resource Center**, \$450,000 co-funded general support grant by the Democracy & Power Fund (Lead) and the Immigration Innovation Fund.

(c) **Brennan Center**, \$1,250,000 general operating support grant. This grant is funded by the Transparency & Integrity Fund (TIF) (Lead), the Criminal Justice Fund (CJF) and the National Security and Human Rights Campaign (NSHR). This grant was presented by TIF in the July 2009 docket. There is one Grant Tracker record and one grant letter.

### **Scenario III**

#### **General Support or Project Grant that is funded by only one Fund but advances goals of multiple USP programs**

- Lead negotiates grant (internally and externally).
- Lead acts as point person with grantee.
- Lead creates record in Grant Tracker.
- Lead completes the write up and participates in docket meeting.
- Lead acts as point person with USP staff regarding the grant.
- Lead acts as point person with OSI Grants Management, e.g., lobbying checklist, legal review, grant letter.
- Lead takes primary responsibility for considering renewals, extensions or any modifications to the terms and/or conditions of the grant.
- Lead determines whether other non-Liaison staff should be consulted or informed about the grant.
- Liaisons may communicate with subject experts at grantee's organization or attend convenings, but do not communicate with the grantee about the grant or attend convenings related to the grant.
- Liaisons coordinate with Lead any important communications, meetings or intelligence related to the grantee.

#### **Examples:**

**Children of Lesbians and Gays Everywhere (COLAGE)** – this is a \$75,000 general operating support grant that is funded entirely by the Equality & Opportunity Fund's LGBTQ rights portfolio, but is co-sponsored by the Campaign for Black Male Achievement (CBMA), because it connects to CBMA's commitment to explore how the LGBTQ community can advocate for the positive development of black boys with attention paid to the needs of both LGBTQ parents and LGBTQ youth. LGBTQ is the Lead for this grant, and CBMA acts as Liaison.

## PHASES IN THE COLLABORATION PROCESS

**Identifying:** gathering /accessing information about grantee, consulting team members within Funds or Campaigns and with potential partner(s) in other programs.

**Planning:** exploring and outlining type of joint support, agreeing to roles and responsibilities of each partner, agreeing to principles that will underpin the collaboration, communicating with grantee, coordinating between programs.

**Implementing:** inviting proposal from grantee, participating in docket process, communicating with grantee, signing of grant contract, disbursing funds, monitoring and evaluating (the grant and the collaboration), coordinating between programs.

**Evaluating:** coordinating between programs, assessing results/impact of the grant, assessing effectiveness and success of collaboration, sharing lessons learned and best practices.

**Sustaining or terminating:** exploring continuation of support or an appropriate conclusion.

## COLLABORATION PRINCIPLES

All collaborations need some guiding principles to hold them together and provide the foundation upon which the collaboration is built, managed and assessed. Below you will find a number of principles that, we hope, can act as a guide for those programs exploring the possibility of, or already engaged in, cross-program collaborative grantmaking. These principles should be discussed during the planning of the collaboration and agreed by the different people involved in it.

**Transparency:** open and honest expression of aspirations, expectations, and a process to ensure ongoing review and evaluation.

**Belief in Collaboration:** those involved must believe that more can be achieved by working together than working alone, and bring this perspective to the dialogue/work.

**Communication:** regular, open communication and consultation, sharing of information and prompt discussion of problems or concerns.

**Acknowledgement of Contributions:** willingness to acknowledge contributions and share credit.

**Trust:** personal relationships are absolutely critical to enhancing effective collaborations. Provide opportunities to develop trust and cultivate relationships amongst those involved in the collaborative effort.

**Responsibility:** The workload required to support the collaborative effort is appropriately distributed among the various programs.

**Learning:** the health and progress of the collaboration is monitored through periodic reviews and that information is used to make any necessary adjustments.