

Developing a Structured Grant Program for the Hearts of Gold Foundation in Ecuador

An Interactive Qualifying Project Proposal
Submitted to the Faculty of
WORCESTER POLYTECHNIC INSTITUTE
In partial fulfillment of the requirements for the
Degree of Bachelor of Science

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Date:
March 18th, 2021

Project Submitted to:

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Hearts of Gold

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WPI

Abstract

In order to promote the projects of their partner organizations, Hearts of Gold (HoG) established a grant competition in October 2020. It has been regarded as an informal process and the HoG director explained that she would like our IQP team to create a more structured program. Our team conducted interviews with the HoG director, a judge from the first competition, and sent surveys to past competitors. Surveys were also sent to past applicants of other competitions and the directors of other competitions were interviewed as well. Using all the data collected, the team analyzed practices that would work best for HoG. We created structured grant guidelines that follow the entirety of the competition along with a detailed scoring sheet for judges to evaluate proposals.

Resumen

Con el fin de promover sus organizaciones asociadas, la fundación de Hearts of Gold (HoG) estableció un concurso de subvenciones en Octubre de 2020. Se ha considerado como un proceso informal y el director ejecutivo de HoG realizó entrevistas explicó que le gustaría que nuestro equipo IQP crear un programa más estructurado. Nuestro equipo realizó entrevistas con el director ejecutivo de HoG, un juez de la primera competencia, y enviaron encuestas a competidores anteriores. Más encuestas fueron enviadas a los antiguos solicitantes de otros concursos y directores de otras competiciones fueron entrevistados también. Utilizando todos los datos recopilados, nuestro equipo analizó prácticas que funcionarían mejor para el cerdo. Hemos creado directrices de subvención estructuradas que siguen la totalidad de la competencia junto con una hoja de puntuación detallada para que los jueces evalúen las propuestas.

Executive Summary

Non-Governmental Organizations in Ecuador

Non-governmental organizations (NGOs) are a greatly appreciated source of funding and aid for local communities. NGOs were developed specifically in Ecuador to assist their communities, but not all organizations do the jobs they are meant to do and stick to their word. This causes citizens to lose trust in those organizations, and subsequently other NGOs. An international survey to the public found the organizations to be too focused on money, losing touch with the public, using public funding poorly, and were corrupt or incompetent (Goldsmith, 2015). To help reform this public opinion, organizations must prove their legitimacy which can be broken down into three subcategories: transparency, accountability, and credibility. Some ways NGOs can be transparent include being open to the public and displaying information publicly about their finances, plans and resources. NGOs can be accountable by being a responsible and organized establishment. The credibility of NGOs can be built over time by building up a repour with nonprofits and donors in the area.

In addition to aiding citizens around the world, NGOs also assist and fund smaller nonprofit organizations. One example of how NGOs give back to their communities is by holding grant giving competitions. These competitions can be seen in a multitude of community sizes. For example, the organization United Way funds many smaller nonprofits internationally whereas organizations like the Greater Worcester Community Foundation works with a smaller, local applicant pool. Each organization has their own methods for grant disbursements depending on the severity of circumstances, the mission of each organization, and the competition size. Our sponsor, the Hearts of Gold (HoG) Foundation is a nonprofit organization in Cuenca, Ecuador that focuses on building up smaller nonprofits through capacity building workshops. This past October 2020, HoG hosted their first microenterprise grant competition for their partner organizations. It is important for these grant competitions to have a structured process for evaluating proposed projects using clearly stated guidelines and criteria that are given to the applicants during the application process.

Our team has been tasked to improve the competition for future years by creating a structured grant program including a proposal review system and scoring rubric. General grant guidelines included in the structured grant program can then be applied to HoG for years of grant competitions to come.

Developing Grant Program Guidelines

The team identified the following objectives to reach our goal of developing a structured, transparent grant program for HoG.

1. Examine the grant process used for the Hearts of Gold micro-entrepreneurship competition
2. Analyze grant competitions from other organizations for evaluation methods and grant processes
3. Develop grant guidelines and scoring rubric to be reviewed by other organizations with grant competitions
4. Finalize grant guidelines and scoring rubric with feedback provided and recommend HoG use them for their grant competition

Figure 1a below displays the flow of objectives in which the methodology was completed. The top boxes are simplified versions of the objectives, with methods on how each was accomplished below.

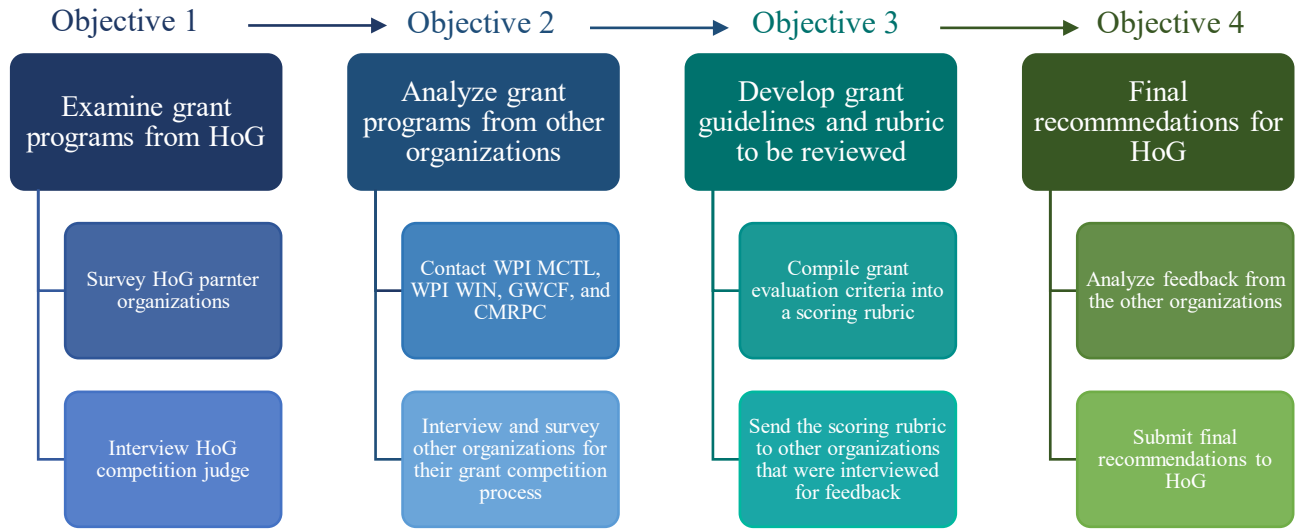


Figure 1a. Flow of Objectives

Key Findings & Recommendations

The data collected from research, interviews, and surveys granted our team insight into the different stages of a grant competition process. These key findings entailed the grant process beginning with **advertisement**, followed by **application and proposal requirements**, then **evaluation**, and finally a **post grant report** seen in Figure 2a below.

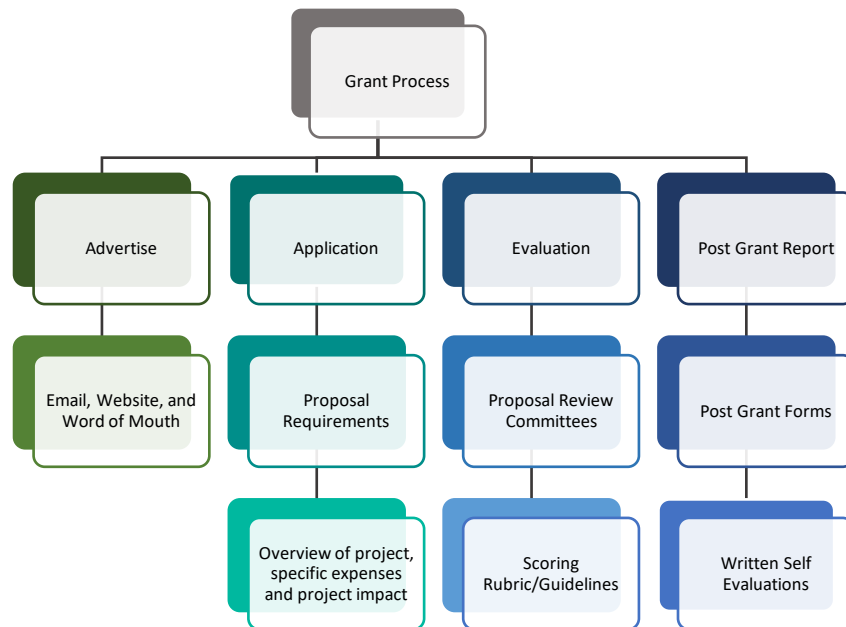


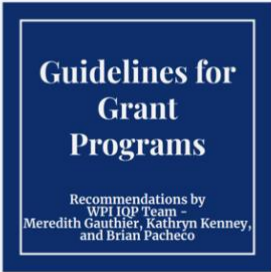
Figure 2a. Grant Competition Timeline

Different **advertising methods** for spreading the word of the grant competition include word of mouth, emailing, and posting online to the organization’s website. The most popular methods found in a survey provided by two organizations were email, followed by word of mouth, and then website. Next, an **application** would be provided to interested applicants entailing organization demographics, requirements for the project proposal, and the project’s

budget. The submitted proposals are then **evaluated** by a review committee using a scoring rubric and group discussion. For most of the time the judges used the scoring rubric on each proposal by themselves before discussing. Typically, the judging committee consisted of the grantor’s members and donors. The grant process is completed with the winner submitting a **post grant report** describing the project’s success/failure, changes in the proposed methodology, and a detailed budget of the grant’s use.

We have developed a set of grant guidelines explaining ways to address each stage of the grant competition process, as seen below in **Figure 3a**. The guidelines detail each stage and our recommended methods for HoG to implement. With the HoG partner organizations being the only potential applicants for the HoG grant, **advertising** by word of mouth works best for the smaller scale grant competition. The **application** supplied to the partner organizations should detail the project proposal requirements including the criteria that will be used in the proposal evaluation. It will also contain questions that will portray the entirety of the competition to the judges. For the **evaluation** stage, we recommend that HoG compile a review committee including the organization’s founder, executive director, and experts from other organizations in the area. Each judge should independently score the submitted proposals using a scoring rubric we have supplied. After the judges have individually ranked the proposals based on their scoring, the review committee should discuss their personal rankings to make the final decision on the grant recipient. Finally, we recommend that HoG require their grant recipient to submit a **post grant report** detailing how the \$2,500 grant was used and how they are paying back the \$1,000 loan. Originally tasked with creating a structured process to evaluate proposals, the team created grant competition guidelines to outline the entire process and a scoring rubric to send to HoG to provide a formal process that can be used if they decide to expand the competition in the future.

Deliverable

	<h3>Grant Process</h3> <ol style="list-style-type: none">1 ADVERTISE grant competition to potential applicants.2 Create an APPLICATION document stating information needed from the applicant and the proposal requirements. The grantor should provide feedback to the applicants during the application process for the submission of improved proposals.3 The EVALUATION process begins with compiling a judging committee. Judges should be provided with a scoring rubric alongside the submitted proposals to evaluate the proposals individually. The judging committee should then meet together to discuss their scorings of proposals. The proposal with the highest ranking, based on score, should be awarded the grant. Applicants should receive feedback on their proposals for areas of improvement.4 The grant recipient should produce a POST GRANT REPORT detailing the use of the grant and how they plan to repay the loan.
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1 Advertisement

Due to the grant competition only being applicable to partnered organizations, the advertising method of word of mouth and email would work best for Hearts of Gold.

If Hearts of Gold were to ever want to expand the applicant pool posting a call for proposals online would also be an advertisement method to utilize.

Advertisement Methods:



Word of Mouth



Post on Website



Email Potential Applicants

2 Application

Organization Name: _____
 Organization's Mission Statement: _____
 Summary of Proposal (100 word limit): _____

Are you receiving funding from other sources? If so, please indicate the funders and the amount. _____

Proposal Requirements:

- ◆ Project Plan
- ◆ Purpose
- ◆ Alignment with Mission
- ◆ Impact
 - Direct/Indirect
- ◆ Evaluation

Provide a detailed budget on the anticipated use of the grant. Include a plan for repaying the \$1000 loan. _____

If awarded the grant, the grantee is required to submit a post grant report detailing the use of the grant and how they have begun repaying the loan. _____

Use this section for any comments: _____

Signature : _____ Date: _____

3 Evaluation

Before the evaluation stage can begin, a judging committee should be formed with about 5 members.

Judging committee members should:

- ◆ Understand Spanish, unless submitted proposals are translated to English
- ◆ Knowledgeable of the Cuenca area and the communities' needs

Judges should independently score submitted proposals **THEN** discuss their findings as a committee

3 Evaluation - Scoring Rubric

Criteria	2- Exceptional	1- Moderate	0- N/A
Plan	Clear detailed plan with a supporting project description; provides a solution that can be accomplished as stated in the proposal; serves target community	Somewhat clear plan; solution provide could be achieved; serves target communities	No plan, with little information supporting proposal; no solution proposed; does not serve target communities
Purpose	Significant and innovative; original project ideas	Somewhat significant and somewhat innovative; somewhat original ideas	Not significant and not innovative; unoriginal ideas
Alignment with Mission	Exceeds the values and areas of interest for the granting organization	Moderately supports the values and areas of interest	Does not support the values and areas of interest of granting organization
Impact	Directly and significantly impacts most of community involved	Moderately impacts the community involved	Will not impact the community in a positive manner
Value/Risk	Project will be sustainable and long lasting for the betterment of community; value-risk	Project will be moderately sustainable and somewhat long lasting for the betterment of the community; value-risk	Project will not be sustainable or long lasting for the betterment of the community; value-risk
Feasibility	Project will be doable for the grant value with a high chance of success	Project may be doable for the grant value with a moderate chance of success	Project is not doable for the grant value with no chance of success

4 Post Grant Report

Organization Name: _____
 Organization's Mission Statement: _____

Provide a detailed budget on how the grant funding was used. _____

How do you plan on repaying the loan? _____

How did your project impact the community? Who benefited? _____

Did your project go according to plan? Did you face any unforeseen complications? Were your goals and objectives met? _____

Figure 3a. Grant Program Guidelines

Resumen Ejecutivo

Organizaciones No Gubernamentales en Ecuador

Las organizaciones no gubernamentales (ONG) son una fuente de financiación y ayuda muy apreciada para las comunidades locales. Las ONG se desarrollaron específicamente en Ecuador para ayudar a sus comunidades, pero no todas las organizaciones hacen el trabajo que deben hacer y cumplen con su palabra. Esto hace que los ciudadanos pierdan la confianza en esas organizaciones y, posteriormente, en las demás ONG. Una encuesta internacional al público encontró que las organizaciones estaban demasiado enfocadas en el dinero, perdían el contacto con el público, usaban mal los fondos públicos y eran corruptas o incompetentes (Goldsmith, 2015). Para ayudar a reprimir esta opinión pública, las organizaciones deben demostrar su legitimidad, que se puede dividir en tres subcategorías: transparencia, rendición de cuentas y credibilidad. Algunas de las formas en que las ONG pueden ser transparentes incluyen estar abiertas al público y mostrar información públicamente sobre sus finanzas, planes y recursos. Las ONG pueden rendir cuentas siendo un establecimiento responsable y organizado. La credibilidad de las ONG se puede construir con el tiempo generando un informe con organizaciones sin fines de lucro y donantes en el área.

Además de ayudar a los ciudadanos de todo el mundo, las ONG también ayudan y financian organizaciones sin fines de lucro más pequeñas. Un ejemplo de cómo las ONG retribuyen a sus comunidades es mediante la celebración de concursos de concesión de subvenciones. Estas competencias se pueden ver en una multitud de tamaños de comunidades. Por ejemplo, la organización United Way financia muchas organizaciones sin fines de lucro más pequeñas a nivel internacional, mientras que organizaciones como Greater Worcester Community Foundation trabaja con un grupo de solicitantes local más pequeño. Cada organización tiene sus propios métodos para el desembolso de las subvenciones según la gravedad de las circunstancias, la misión de cada organización y el tamaño de la competencia. Nuestro patrocinador, la Fundación Hearts of Gold (HoG) es una organización sin fines de lucro en Cuenca, Ecuador, que se enfoca en desarrollar organizaciones sin fines de lucro más pequeñas a través de talleres de desarrollo de capacidades. El pasado octubre de 2020, HoG organizó su primer concurso de subvenciones para microempresas para sus organizaciones asociadas. Es importante que estos concursos de subvenciones tengan un proceso estructurado para evaluar los proyectos propuestos utilizando pautas y criterios claramente establecidos que se dan a los solicitantes durante el proceso de solicitud.

Nuestro equipo tiene la tarea de mejorar la competencia para los años futuros mediante la creación de un programa de subvenciones estructurado que incluye un sistema de revisión de propuestas y una rúbrica de calificación. Las pautas generales de subvenciones incluidas en el programa de subvenciones estructuradas se pueden aplicar a HoG para los próximos años de concursos de subvenciones.

Desarrollo de las Pautas del Programa de Subvenciones

Se han identificado los siguientes objetivos para alcanzar nuestro objetivo de desarrollar un programa de subvenciones estructurado y transparente para HoG.

1. Examinar el proceso de subvención utilizado para el concurso de microempresas Hearts of Gold
2. Analizar los concursos de subvenciones de otras organizaciones para los métodos de evaluación y los procesos de subvenciones.
3. Desarrollar pautas de subvenciones y rúbrica de puntuación para que sean revisadas por otras organizaciones con concursos de subvenciones.

- Finalice las pautas de la subvención y la rúbrica de puntuación con los comentarios proporcionados y recomiende a HoG que los use para su concurso de subvenciones

La **Figura 1b** a continuación muestra el cronograma en el que se completarán los objetivos. Los cuadros superiores son versiones simplificadas de los objetivos, con métodos sobre cómo se logró cada uno a continuación.



Figure 1b. Flujo de Objetivos

Hallazgos y recomendaciones clave

Los datos recopilados a partir de investigaciones, entrevistas y encuestas le dieron a nuestro equipo una visión de las diferentes etapas del proceso de un concurso de subvenciones. Estos hallazgos clave implicaron que el proceso de **subvención** comenzaba con la publicidad, seguido de los requisitos de **solicitud y propuesta**, luego la **evaluación** y finalmente un **informe posterior a la subvención**.

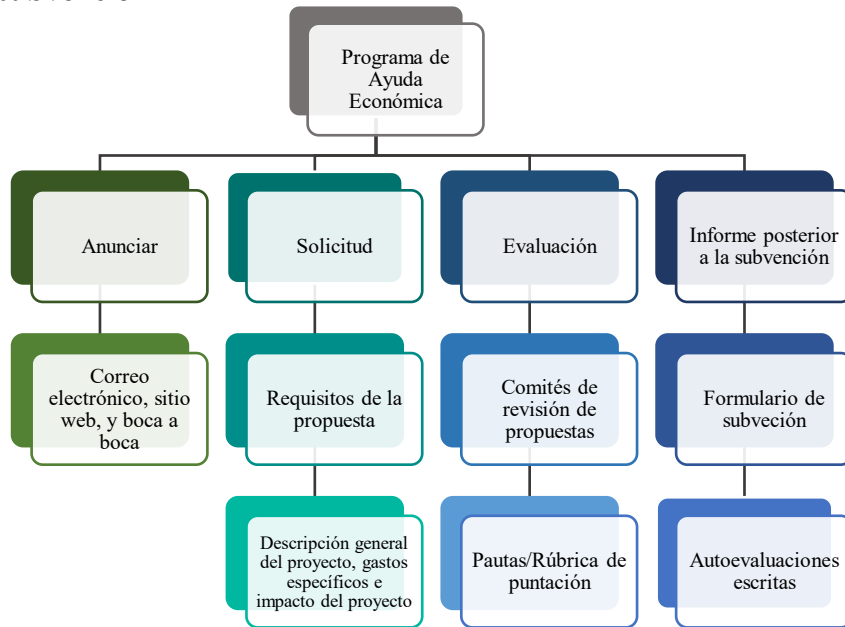



Figure 2b. Cronología del concurso de subvenciones

Los diferentes métodos publicitarios para difundir la competencia de la **subvención** incluyen el boca a boca, el correo electrónico y la publicación en línea en el sitio web de la organización. Los métodos más populares encontrados en una encuesta proporcionada por dos organizaciones fueron el correo electrónico, seguido del boca a boca y luego el sitio web. A continuación, se proporcionaría una solicitud a los solicitantes interesados que incluyan datos demográficos de la organización, requisitos para la propuesta de proyecto y presupuesto del proyecto. Las propuestas enviadas son luego evaluadas por un comité de revisión utilizando una rúbrica de calificación y una discusión en grupo. Durante la mayor parte del tiempo, los jueces utilizaron la rúbrica de puntuación en cada propuesta por sí mismos antes de discutir. Por lo general, el comité de jueces estaba formado por los miembros del otorgante y los donantes. Los jueces evalúan cada propuesta de forma independiente con la rúbrica de puntuación primero para luego ser utilizada durante la discusión del comité sobre el beneficiario de la subvención. El proceso de subvención se completa y el ganador presenta un informe posterior a la subvención que describe el éxito / fracaso del proyecto, los cambios en la metodología propuesta y un presupuesto detallado del uso de la subvención.

Hemos desarrollado un conjunto de pautas de subvenciones que explican las formas de abordar cada etapa del proceso de competencia de subvenciones, como se muestra a continuación en la **Figura 2a**. Las pautas detallan cada etapa y nuestros métodos recomendados para que HoG los implemente. Dado que las organizaciones asociadas de HoG son los únicos solicitantes potenciales para la subvención de HoG, la publicidad de boca en boca funciona mejor para la competencia de subvenciones a menor escala. La solicitud proporcionada a las organizaciones asociadas debe detallar los requisitos de la propuesta del proyecto, incluidos los criterios que se utilizarán en la evaluación de la propuesta. También contendrá preguntas que mostrarán la totalidad de la competencia a los jueces. Para la etapa de evaluación, recomendamos que HoG compile un comité de revisión que incluya al fundador de la organización, el director ejecutivo y expertos de otras organizaciones en el área. Cada juez debe calificar de forma independiente las propuestas enviadas utilizando una rúbrica de calificación que le hemos proporcionado. Después de que los jueces hayan clasificado individualmente las propuestas según su puntuación, el comité de revisión debe discutir sus clasificaciones personales para tomar la decisión final sobre el beneficiario de la subvención. Por último, recomendamos que HoG solicite al beneficiario de la subvención que presente un informe posterior a la subvención que detalle cómo se utilizó la subvención de \$ 2,500 y cómo están pagando el préstamo de \$ 1,000.

Originalmente, con la tarea de crear un proceso estructurado para evaluar propuestas, el equipo creó las pautas de la competencia de subvenciones para delinear todo el proceso y una rúbrica de calificación para enviar a HoG para proporcionar un proceso formal.

Entregable

 <p>Directrices para programas de subvenciones</p> <p>Recomendaciones por equipo WPI IQP Meredith Gauthier, Kathryn Kenney, and Brian Pacheco</p>	<h3>Proceso de Concesión</h3> <ol style="list-style-type: none"> 1 ANUNCIE la competencia de subvenciones a posibles solicitantes. 2 Crear un documento DE SOLICITUD que indique la información necesaria del solicitante y los requisitos de la propuesta. El otorgante debe proporcionar información a los solicitantes durante el proceso de solicitud para la presentación de propuestas mejoradas. 3 El proceso DE EVALUACIÓN comienza con la compilación de un Comité de jueces. Los jueces deben recibir una rúbrica de puntuación junto con las propuestas presentadas para evaluar las propuestas individualmente. El Comité de jueces debe reunirse para discutir sus resultados de propuestas. La propuesta con la clasificación más alta, basada en la puntuación, debe recibir la subvención. Los solicitantes deben recibir comentarios sobre sus propuestas de áreas de mejora. 4 El beneficiario de la subvención debe presentar un INFORME POSTERIOR A LA SUBVENCIÓN que detalle el uso de la subvención y cómo planea pagar el préstamo.
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1 Anuncio

Debido a que el concurso de becas solo es aplicable a organizaciones asociadas, el método de publicidad de boca en boca y correo electrónico funcionaría mejor para Hearts of Gold.

Si Hearts of Gold deseara alguna vez ampliar el grupo de solicitantes publicar una convocatoria de propuestas en línea también sería un método de publicidad a utilizar.

Métodos de publicidad:



Boca a Boca



Publicar en el Sitio Web



Enviar Correos Electrónicos a los Solicitantes Potenciales

3 Evaluación

Antes de que pueda comenzar la etapa de evaluación, se debe formar un comité de jueces con aproximadamente 5 miembros.

Los miembros del comité de jueces deben:

- ❖ Comprender español, a menos que las propuestas enviadas estén traducidas al inglés.
- ❖ Conocedor del área de Cuenca y las necesidades de las comunidades.

Los jueces deben calificar de forma independiente las propuestas presentadas **ENTONCES** discutir sus hallazgos como un comité

4 Informe Posterior a la Subvención

Nombre de la Organización:
Declaración de misión de la organización:

Proporcione un presupuesto detallado sobre cómo se utilizó la subvención.

¿Cómo piensa reembolsar el préstamo?

Cómo impactó su proyecto a la comunidad? ¿Quién se benefició?

¿Tu proyecto salió según lo planeado? ¿Tuviste alguna complicación imprevista?

2 Solicitud

Nombre de la organización:
Declaración de misión de Organization:

Resumen de la propuesta (límite de 100 palabras):

¿Está recibiendo financiación de otras fuentes? Si es así, indique a los financiadores y el monto.

Requisitos de la propuesta:

- ❖ Plan de proyecto
- ❖ Propósito
- ❖ Ajuste con misión
- ❖ Impacto
 - Directo/Indirecto
- ❖ Evaluación

Proporcionar un presupuesto detallado sobre el uso previsto de la subvención. Incluya un plan para pagar el préstamo de \$1000.

Si se concede la subvención, el concesionario está obligado a presentar un informe posterior a la subvención en el que se detalle el uso de la subvención y cómo han comenzado a devolver el préstamo.

Utilice esta sección para cualquier comentario:

Firma :

Fecha:

3 Evaluación - Rúbrica de Puntuación

Criterios	2- Excepcional	1- Moderado	0- N/A
Plan	Plan detallado claro con una descripción del proyecto de apoyo; proporciona una solución que se puede lograr como se indica en la propuesta; sirve a la comunidad objetivo	Plan algo claro; se podría lograr la solución proporcionada; sirve a las comunidades objetivo	Sin plan, con poca información de apoyo propuesta; ninguna solución propuesta; no sirve a las comunidades objetivo
Objetivo	Importante e innovador; ideas de proyectos originales	Algo significado y algo innovador; ideas algo originales	No significativo ni innovador; ideas no originales
Alineación con la misión	Supera los valores y áreas de interés de la organización otorgante	Apoya moderadamente los valores y áreas de interés	No apoya los valores y áreas de interés de la organización otorgante
Impacto	Impacta directa y significativamente a la mayoría de la comunidad involucrada	Impacta moderadamente a la comunidad involucrada	No impactará a la comunidad de manera positiva
Valor/Riesgo	El proyecto será sostenible y duradero para el mejoramiento de la comunidad; valor > riesgo	El proyecto será moderadamente sostenible y algo duradero para el mejoramiento de la comunidad; valor = riesgo	El proyecto no será sostenible ni duradero para el mejoramiento de la comunidad; valor < riesgo
Factibilidad	El proyecto será factible por el valor de la subvención con una alta probabilidad de éxito	El proyecto puede ser factible por el valor de la subvención con una probabilidad moderada de éxito	El proyecto no es factible por el valor de la subvención sin posibilidad de éxito

Figure 3b. Directrices del programa de subvenciones

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Glossary

Accountability – an obligation or willingness to accept responsibility or to account for one’s actions; capable of being explained.

CMRPC – Central Massachusetts Regional Planning Commission

Credibility – the quality of being trusted and believed in.

GWCF - Greater Worcester Community Foundation

Legitimacy - the quality of being accordant with law or established legal forms and requirements; conforming to recognized principles or accepted rules and standards.

MTLC – Morgan Teaching and Learning Center at WPI

NGO – Nongovernmental Organization; a nonprofit organization that operates independently of any government, typically one whose purpose is to address a social or political issue.

Nonprofit – a business that has been granted tax-exempt status by the IRS because it furthers a social cause and provides a public benefit.

Transparency - the quality of being free from deceit or pretense; readily understood; characterized by visibility or accessibility of information especially concerning business practices.

UNDEF – United Nations Democracy Fund

WIN – Women’s Impact Network at WPI

WPI – Worcester Polytechnic Institute

Acknowledgments

This project would not have come as far as it has without the help of many people. We would like to take this time to say thank you to everyone that assisted the Hearts of Gold IQP team on this journey of a project.

First, we would like to say a thank you to our sponsor, Hearts of Gold, and Maria Jose Orellana, their executive director. Maria worked with our team to set up the details of this project and worked as a translator when possible. She helped make sure our team had the contact information of past contestants. Without our sponsor, this project would not have been possible.

We would also like to thank our advisors, Lauren Elgert and Fabienne Miller, for always providing quick and constructive feedback on our drafts, and always being willing to answer our questions. Thank you also to Gary Pollice for being our site director and man on the ground.

Finally, we would like to thank all of the interviewees we spoke to during the full length of this project. They all provided great insights into the inner workings of grant competitions. Their willingness to help propelled our team's deliverable into shape with their comments and feedback even once the interview was over. We would like to extend a thank you to Chrys Demetry, Stephanie Pasha, Cynthia Woehrle, Beth Alletto, Andrew Loew, and Jonathan Cohen individually for their assistance in this project.

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5.4 Post Grant Reporting	Brian	ALL
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All three members of the team, Meredith Gauthier, Kathryn Kenney, and Brian Pacheco, worked together to edit each edit hence the “ALL” in the editor column.

1 Introduction

One hundred and ninety years after Ecuador's independence, the developing country has made major strides in strengthening its economy and the social development of its citizens. This growth is attributed to the introduction of non-governmental organizations (NGOs) to communities throughout Ecuador. NGOs have worked to help strengthen their communities through funding, skill building, and overall support. For example, NGOs across the world host grant competitions for other, smaller organizations to receive funding for proposing a project idea. The funded project, in turn, should positively impact the surrounding communities. Yet, in recent decades, many Ecuadorians have begun to lose trust in NGOs and fundraisers after fraudulent organizations collected donations from their communities, never to be heard from again (Orellana, 2020). Now more than ever, NGOs need to prove their legitimacy to their communities through acts such as grant competitions promoting transparency, accountability, and credibility of the NGO and their affiliates.

Our sponsor, the Hearts of Gold (HoG) Foundation, is a non-governmental organization in Cuenca, Ecuador that helps to improve the lives of Ecuadorian people through skill capacity building and funding/financial assistance provided to local nonprofits that decide to partner with HoG. In the three years of being a registered Ecuadorian foundation, HoG has touched 3565 lives in Ecuador, conducted 15 programs and projects every year, and experienced a 698% increase in annual funding (Hearts of Gold, 2017). In 2020, HoG partner organizations were offered to participate in the first HoG micro-entrepreneurship grant competition, one of the ways NGOs can fund their communities. This competition awards one partnered organization the grant based on the project and its impact on the communities in Cuenca, Ecuador. Acting as mentors, HoG's goals encompass teaching local organizations the skills necessary to improve communities.

The goal of this project was to implement a formal, structured approach to grant programs, at the request of the HoG executive director. Data was collected through interviews and surveys regarding HoG competition as well as other organizations with longstanding grant competitions. To achieve the project's goal, the team has developed grant program guidelines and a scoring rubric to be used during proposal evaluation. The team examined how the first year that the competition was run to further refine and formalize it to increase clarity for the applicants throughout the process. This, in turn, can create a more credible and transparent process for the evaluating projects and determining a grant recipient. After the research proposed was completed, our team analyzed the data to develop guidelines and a scoring rubric to be used in the next grant competition. The developed guidelines and scoring rubric were then reviewed by the organizations interviewed for further feedback and refinement. Our team proposed the finalized grant competition guidelines and scoring rubric to HoG for its use in the ensuing years that the grant program is run.

2 Background

Before diving into the specifics of the project that our team has been tasked with, we present some background knowledge of why this current problem of distrust in NGOs exists. Topics that will be covered include what is a nongovernmental organization and why Ecuador needs them, the legitimacy of these organizations, current grant programs, and who our sponsor, Hearts of Gold, is. It is impossible to develop a successful project without knowledge of these topics.

2.1 Non-Governmental Organizations in Ecuador

First, a nongovernmental organization (NGO) can be defined as a “wide variety of groups and institutions that are entirely or largely independent of government and are characterized primarily by humanitarian and cooperative, rather than commercial, objectives” (Anderson, 2011). Many of these organizations serve social or political goals specific to their mission and play a major role in international development, aid, and philanthropy (Folger, 2021). Some NGOs are affiliated with local, smaller businesses while others have broader, global ties. NGOs rely on outside funding such as private donations, membership dues, and sometimes even the government.

Since NGOs work to provide better standards of living, they can be found in places where the citizens need them, such as Ecuador, due to the political, economic, social, and cultural changes that have been endured throughout its history. NGOs began to take root in the 1960s due to the economic and political transitions of the time that left a hole in society that NGOs sought to fill (Walter Pineda, 2013). In 1981, Ecuador’s leaders shifted to a neoliberal approach, diminishing the role of the state in the economy (Hey, J. A. K., 1999). The state could no longer aid citizens who depended on it financially, so this is the point where NGOs came to assist poor communities and aid citizens where the government can’t. The first NGO to reach Ecuador was Fundación Natura, who aimed to promote education about nature and advocate for its protection in Ecuador. This organization showed that NGOs can provide more help than the government in some situations since it is smaller, more flexible, and does not have to elect new personnel every couple of years (Meyer, 1993).

In 2000, Ecuador adopted the US dollar after its former currency almost collapsed, which caused the cost of living to increase. Ecuador soon shifted back away from neoliberalism, which began to improve the economy (Gallegos, 2015). Another short, positive change was the election of President Correa in 2007 that attempted to further reconnect the relationship between government and state, causing an increase of welfare funding for communities (Rojas, 2018). This may have helped Ecuador, but NGOs are still needed to support many families and communities and fill the holes left by a struggling economy (Halberstadt, n.d.).

Ecuador, with 29% of the population under the poverty line and nearly half unemployed, still heavily relies on the aid of NGOs for survival and continuation of social development (Appe, 2017). Other insecurities that have caused stress amongst the Ecuadorian communities include cartel gang related trafficking and violence, money laundering and sex trafficking (OSAC, 2019; Robert et al., 2016). What makes NGOs especially useful is their ability to reach the rural and remote poor, and work with citizens, rather than for them (Eversole, 2003). Even

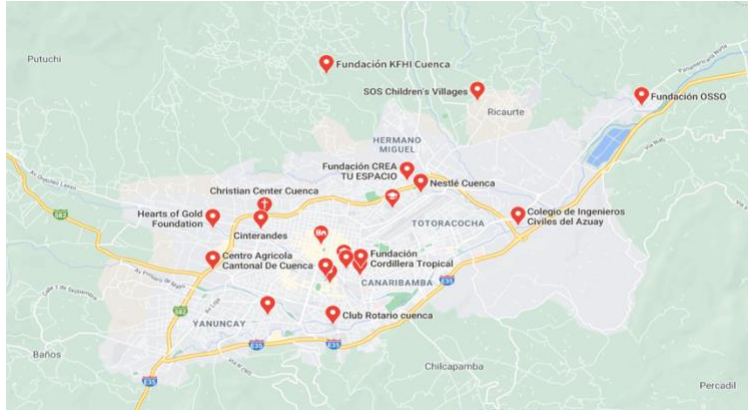


Figure 1 Map of NGOs in Cuenca, Ecuador (Google Maps, 2021)

though Ecuador is slowly mending after decades of conflict between leaders and citizens, its citizens still heavily rely on help from NGOs to diminish the effects of the neoliberal welfare gap (BBC, 2018).

As of 2021, the current NGO types prevalent in the Cuenca, Ecuador area include organizations supporting education, the health and protection of children, adult health, food security, economic growth, and climate action (Global Giving, 2020).

A google search shows NGOs organizations located in the Cuenca area (see **Figure 1**).

2.2 NGO Legitimacy

In a perfect world NGOs are a legitimate voice for individuals in society and work to serve the public (Lehr-Lehnardt, 2005). Although the mission of NGOs is to work to promote social or political change that improves the lives of others, there are some organizations that do not act as they should, such as stealing money and creating fraud. This can cause citizens to lose trust in NGOs. In order to strengthen the trust between the public and NGOs, the NGO must prove its legitimacy. To do that, however, there are steps that an organization has to take towards becoming transparent, accountable, and credible. Once it has achieved those, an organization can be considered legitimate (Lehr-Lehnardt, 2005).

Credibility will be examined, which can be defined as “the quality of being believable or trustworthy” (Srinivas, 2015a) and is currently lacking in the nonprofit sector. However, credibility can be increased based on the NGOs quality of work and interactions with its customers and citizens (Srinivas, 2015a). Proving credibility of NGOs has been a problem due to illegitimate organizations asking citizens for money and the donors lose track of their money. These fraudulent organizations attempt to steal money from kind-hearted people trying to promote change (Srinivas, 2015a). Common ways that an organization commits fraud includes inflating expenses, creating fake employees, and creating fictitious services or deliveries. It is estimated around 54% of nonprofits do not report fraudulent cases (Hlatswayo, 2016). For example, in a statistic revealed by the FBI there were over 2,000 fake Internet sites set up to provide relief for Hurricane Katrina victims (Greenlee, 2007). When money is lost through these instances, it impacts the service that it was meant for. Donors do not want to give money to organizations they are unsure if they can trust.

There has been an increase in the demand for **transparency** in NGOS organizations. This includes being open publicly and disclosing information about finances, values, plans, resources, etc. Transparency is being open and honest with the public and each organization has their own definition of what being truly transparent is. Some may believe being transparent is publishing an address while others may create a database of every grant ever awarded. Internationally, calls for transparency were originally for governments to disclose to citizens how their tax money was spent to build trust and prevent corruption (Alonzi, 2018). The same benefits will come of NGOs if they are open with all actions they take. Transparency can be shown through the ability and release of information at a citizen’s request (Ball, 2009). If NGOs can achieve transparency, it will help turn the public opinion and hold each organization more accountable.

The **accountability** of an organization stems from their responsibility and requires an NGO to provide a professional or financial account/justification of its activities to other groups and individuals (Srinivas, 2015b). NGOs can be held accountable for many things, ranging from their own members to donors and intended beneficiaries. Members must follow through on projects presented, secure resources for research, inform about changes to project plans and make sure the projects are accomplished as intended. The donor side of accountability concerns making sure the funds are being used as intended and setting up a reporting and monitoring system to be fiscally responsible and organized (Lehr-Lehnardt, 2005). Mechanisms that organizations use to achieve responsibility include providing documents such as legal instruments, policies, mandates, values, legislative provisions, rules, and regulations (Srinivas, 2015b). Groups are created, either within or external to the organization, that oversee and investigate its accountability.

It is extremely important for an NGO to gain the level of legitimacy amongst the communities it serves. Legitimate NGOs with the trust of their community lead to a successful source of funding to aid social insecurities.

2.3 Criteria for Existing Grant Giving Programs

Not all NGOs are able to provide grants; however, there are some that hold annual competitions, or even multiple a year that provide money to other organizations. To evaluate all proposals equally, since some competitions may receive applications in the teens, or in the hundreds, there must be some sort of structure. This structure is a rubric or guidelines that are given to both judges and applicants. On the rubric/guidelines is criteria that the application will be evaluated on. These criteria must be given to the applicants before they begin to write proposals so that the organizations may better adapt and write their request for proposal (RFP) to the liking of the host organization. A project proposal that wins one competition may not fulfill the needs of another. It is also important to have a list of guidelines to increase transparency so that nothing is unknown and can be questioned. Some criteria that were commonly found in grant applications can be found below in **Table 1**.

Table 1 Criteria used in grant proposal evaluation

Criteria
Impact on community
Originality/Innovation
Project value and risk
Financial feasibility

(Oral, M. et. al, 2001; NMDC, 2021)

The **impact of the project** needs to be evaluated in order to determine if the grant funding is worthwhile. The submitted proposal should be evaluated for the project's significance in improving a social issue facing the community that has a long-term impact (Zimmerman, 1992; Kandof, 1995). Many grant giving programs highlight impact as one of their criteria when evaluating proposals, but the impact that each organization is looking for differs. United Way places impact at the top of their priority list when scoring proposals as seen in their scoring rubric in Appendix A (United Way, 2020). WPI Morgan Teaching and Learning Center (MTLC) wants proposals that will impact undergraduate and graduate teaching by creating new learning experiences (WPI, 2021a). WPI Women's Impact Network (WIN) wishes to collect proposals that not only increase WPI's impact around the world, but more specifically aims to increase opportunities and improve the education of women at WPI (WPI, 2021b).

The **originality of a proposal** is what sets it apart from other proposals. Organizations are looking for new, innovative ideas that use a unique approach to an everyday problem. These projects should provide new opportunities and solutions to issues facing a community. WPI MTLC looks for proposals that innovate new ways to teach students, especially with the new world of virtual learning, and to teach current topics such as diversity and inclusion (WPI, 2021a). WPI WIN looks for new ways to increase the number of women in STEM and to provide pathways for women at WPI (WPI, 2021b).

The **project's value** must be weighed against the **risk** so that the grant distributing organization can ensure that the funding is being given to the right applicant. The value of a project should be reflective of the competence and expertise of the applicant (Kasvi, et al., 2003). The proposal should be of the highest quality work that the organization can offer so the project, if chosen, will be a success. The Greater Worcester Community Foundations grant application highlights the importance that their applicants explain all qualifications that will aid the project (GWCF, 2018). United Ways criteria in their rubric includes factors that determine a project's ability to be successful and be a worthwhile investment (United Way, 2020).

A **project's feasibility** can be impacted by a few factors such as the financial situation of the applicants as well as the resources available to the applicants. Other aspects of proposals should be evaluated for their legal, ethical, and technical feasibility (Tang, 2003). United Way lays out criteria such as whether the applicant has enough qualified personnel to assist with the project and whether the timeline of the project is sufficient to complete all the parts, seen in Appendix A (United Way, 2020). UNDEF has criteria on their rubric, found in Appendix B, that mentions the applicant's organization must have a good financial track record (UNDEF, 2020). The applicant organization should prove that they are prepared to handle the project and have enough resources to complete it. WPI MTLC and WIN also look into an applicant's track record and resources to determine whether the applicant has additional funding besides the grant and whether the grant was used effectively if won in a previous year (WPI, 2021a; WPI, 2021b).

The **post-competition report** gathers information on how the recipient uses the grant for the project as proposed. It means nothing if a grant is awarded and there is no successful implementation of the project. It is imperative that the competition's host organization stays with the grant recipient and ensures a smooth run of their project. UNDEF provides a good example of this where their grant program requires multiple documents throughout the project execution. First, multiple narrative reports are needed at intervals throughout the duration that describe completed and planned activities, update on funds, and any desirable or unseen changes (UNDEF, 2020). A financial report is required once the fund utilization rate of the disbursement has reached 70%. One month after the project ends the organization has to send in a final narrative report that details project implementation and observes the outcomes. Another good example of a post competition report is WPI WIN's "Grant Outcome Report" form which can be seen in Appendix C (WPI, 2021b). This form is filled out after the project has been completed to evaluate how impactful the project was and how much the grant money contributed to the overall project budget. A form such as that is a concrete way for the grant giving organization to keep track of who they are funding and to determine if their funds are being used to the best of their ability. The follow up report is a documented form that holds the grant recipient accountable for the use of the grant.

2.4 Hearts of Gold Foundation

The Hearts of Gold (HoG) Foundation is an NGO based in Cuenca, Ecuador. Their mission is to strengthen the capacities of other nonprofits in the region through education, mentorship, and mobilization (HoG, 2021). They accomplish this through their Community Assistance Program in which they partner with small nonprofit organizations and their community leaders. The workshops provided through this program help uplift organizations and make them self-sustainable so they may work for years to come and assist Ecuadorian

communities. HoG began hosting their first annual grant competition in October of 2020. The executive director of HoG, Maria Orellana, described the competition as an “informal” process and expressed her desire for a structured grant program for future competitions (Orellana, 2020). The structured approach for a grant evaluation and distribution process allows for an organization to remain transparent and gain their community’s sense of legitimacy (Ball 2009).

The HoG grant competition is set apart from many others due to the fact that it is only run for their partner organizations. The first competition captivated 5 out of the 10 partnered organizations to participate and submit their project proposals. These proposals were evaluated by non-partner affiliated judges to analyze each proposal submitted based on the project’s sustainability for the future (Orellana, 2020). An additional factor that is observed during the evaluation is the mastery of knowledge and skills the partner organizations learned through the capacity building workshops in the Community Assistance Program. The judges, alongside the HoG executive staff, discussed the proposal evaluations to determine the first recipient of the grant to be El Fundación el Arenal, which can be seen in **Figure 2** (Orellana, 2020). The recipients of the grant are gifted \$2,500 and an additional \$1,000 loan that would be paid back to the general Hearts of Gold donation fund so that it may be divided amongst partners for their needs in the future.

With the completion of the first HoG micro-entrepreneurship competition, our IQP team has been tasked to create a structured grant program and scoring rubric to increase the transparency of a grant program that is easily run and repeated year after year. The team will do this by researching and contacting organizations with grant competitions and evaluating the process and criteria they used to select the grant recipient(s). When developing the rubric, the group must keep the importance of transparency and accountability in mind which will help improve the public view on the grantor and grantee sides. All organizations involved should be aware of the selection process and guidelines detailing the criteria HoG is looking for in the submitted proposals. Our team will deliver a rubric for submitted proposals based on their impact, accountability, and feasibility to the Hearts of Gold Foundation with grant program guidelines. A more detailed account of the team’s methodology is explained in the next section.



Figure 2 Executive Director Maria Orellana presenting El Fundación El Arenal with the \$3,500 grant (Instagram @heartsofgolddec, 2020)

3 Methodology

The goal of this project was to improve the overall process and transparency of Hearts of Gold’s micro-entrepreneurship grant competition. This process starts before Hearts of Gold receives a request for proposal (RFP), all the way through to helping the winning project after the grant is handed out. Further developing the grant competition will ensure that the funding will go to a project that desires to aid and support local Ecuadorian communities. We followed the objectives listed below to meet the project goal.

1. Examine the grant process used for the Hearts of Gold micro-entrepreneurship competition
2. Analyze grant competitions from other organizations for evaluation methods and grant processes
3. Develop grant guidelines and scoring rubric to be reviewed by other organizations with grant competitions
4. Finalize grant guidelines and scoring rubric with feedback provided and recommend HoG use them for their grant competition

The following material details the project objectives, along with the methods used to achieve them.

3.1 Objective 1: Examine the grant process used for the Hearts of Gold micro-entrepreneurship competition

In order to improve the Hearts of Gold micro-entrepreneurship competition, our team needed to create a detailed account of the first competition held by HoG. We took the following actions to achieve this first objective:

- Our team interviewed HoG’s executive director for more information on the competition. See Appendices D-G for a full list of interview questions and interview minutes. Our team also gathered the contact information of HoG judges and past applicants, seen in **Table 2**. We also attempted to gather HoG documentation from the first competition (i.e. score sheets, planning documents, previously submitted proposals/RFPs) from HoG executive director for analysis.

Table 2 HoG contact information

HoG Contacts	
Interview	Survey
HoG Judge	El Fundación el Arenal
	El Fundación Azulado
	CETAP Lucy
	NOVA
	Nur

- We interviewed and surveyed a HoG judge and previous applicants to gather information on the first competition using open-ended questions. See Appendices H and I for questions and minutes from the HoG judge interview. The survey questions and a copy of the survey for HoG partner organizations can be found in Appendices J-L. Information was qualified and analyzed to find areas of improvement in the current micro-entrepreneurship competition (Paradis et. al., 2016).

3.2 Objective 2: Analyze grant competitions from other organizations for evaluation methods and grant processes

The goal of this objective was to declare the most consistent and transparent process for awarding a winner of the grant and will be accomplished by interviewing other organizations with grant competitions.

- The team interviewed the other organizations to obtain information on their grant programs and the transparency of criteria used to select a winner(s), seen in **Table 3**. Sample interview questions can be seen in Boxes 1-3, with the full list of baseline interview questions and minutes from interviews found in Appendices M-Q. Surveys were also sent out to WPI MTLC and WIN to gather more information on best advertising methods, see Appendices R and S.

Table 3 Organizations with Grant Programs Contacts

Organizations with Grant Programs
Andrew Loew , Central Massachusetts Regional Planning Commission
Jonathan Cohen , Greater Worcester Community Foundation
Chrys Demetry , WPI Morgan Teaching and Learning Center
Stephanie Pasha , WPI Women’s Impact Network

- Our team analyzed the criteria collected from the interviews, surveys, and scoring rubrics (see Appendices T and U) that were provided by other organizations for common themes and guidelines for the development of a list of general criteria required of grant proposals, see **Figure 5**. The criteria gathered was used to develop a rubric and guideline to score proposals (Paradis et. al., 2016).

3.3 Objective 3: Develop grant guidelines and scoring rubric to be reviewed by other organizations with grant competitions

With the grant competition information obtained and qualitatively analyzed, the team created a grant competition plan and scoring rubric for HoG. Our team achieved this objective by performing the following methods:

- Developed grant guidelines based off of data collected to during research, seen in **Table 1**, and interviews, seen in Appendices I and N-Q.
 - Scoring rubrics and other evaluation documentation collected through interviews, see Appendices T and U, were used to develop our own scoring rubric for HoG’s use. Created documents can be seen in the Results and Analysis chapter below as well as the deliverable seen in the Recommendations chapter and Appendices V and W.
- Emailed the completed guidelines and scoring rubric to interviewed organizations, seen in **Table 3**, for their feedback

How do you make sure you are transparent with the applicants on the various stages of this process?

Box 1 Sample interview question #1

How do you qualitatively evaluate a proposal: the accountability of an applicant and the project's impact?

Box 2 Sample interview question #2

Are there multiple stages of cutting applicants from the process, or is every applicant reviewed for the same amount of time?

Box 3 Sample interview question #3

3.4 Objective 4: Finalize grant guidelines and scoring rubric with feedback provided and recommend HoG use them for their grant competition

The purpose of this objective was to further refine our developed grant guidelines after receiving feedback from the interviewed organizations on our proposed deliverable. The process for this objective can be seen below.

- Our team received feedback from the interviewed organizations on our grant guidelines, proposed application form, scoring rubric, and post grant report. Feedback can be seen in Results and Analysis chapter below.
- We made final changes according to feedback with further refinement to the deliverable.
- The finalized grant guidelines were recommended to our sponsor, the HoG Foundation. The deliverable sent to HoG can be found in the Recommendations chapter and Appendices V and W.

3.5 Ethical Implications

The surveys and interviews conducted for this project are approved by the WPI Institutional Review Board (IRB). For more information see Appendix X.

3.6 Flow of Objectives

A flow of objectives described in the methodology above can be seen in **Figure 3** below.

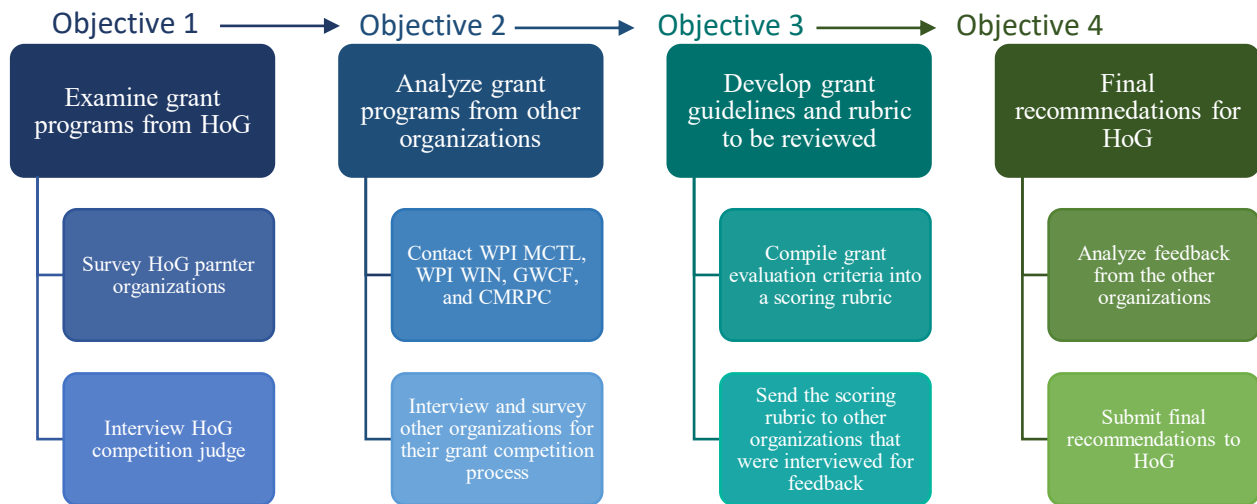


Figure 3. Flow of Objectives

4 Results and Analysis

This chapter presents the findings and analysis of interview, documentation, and survey data. The key findings were that most grant competitions consist of the stages: advertisement, application, proposal evaluation, and post grant report.

4.1 Examination of current HoG grant program

The Hearts of Gold Foundation has made outstanding efforts aiding their community's organizations, remarked one of the judges from their first grant competition. The first HoG grant competition started as an innovative thought to assist their partners with project funding and was created quickly. It began with the executive director presenting the competition to their partnered organizations. Simultaneously, HoG compiled a judging committee that included the HoG founder and his daughter, expats, and other nonprofit directors from the community. After the participating partner organizations submitted their proposal, a packet of all the proposals were sent to the judges for their evaluation. The judges were simply asked to help evaluate the proposals and were not given any important criteria or structure to follow. There was no guidance provided to the judges causing each judge to approach the evaluation in their own way. One judge from the first competition remarked that “[the evaluation process] ended up being more of a personality contest with the judges voting for their favorite organization.” Although this could suggest that the process is not objective, being a favorite organization may also mean that the organization has a credible history and is known to carry out projects successfully. The judges then gathered to discuss their decisions on the grant recipient. Each of the judges' opinions were created by different approaches since they were all looking at elements without any guidance. The same judge also mentioned that some of the judges' opinions were held into consideration more than others.

After surveying HoG partnered organizations, a few groups that responded wished they had received feedback on their submitted proposal. The organizations would like to know how they can improve their proposals for upcoming years and why they did not win the previous grant. HoG already maintains excellent communication with its partner organizations, so providing feedback could be a simple task that can strengthen both their relationship with their partners and the project proposals.

The team looked into grant competitions of other organizations to gain a better understanding of how to help HoG.

4.2 Examination of other organization's grant programs

The dashboard displayed below, in **Figure 4**, displays the common elements found when interviewing long standing organizations with grant programs. The organizations interviewed are listed across the top while the elements are shown in the column on the left. Those elements are compared to the first HoG competition in the first column. The team concluded that not all elements are necessary to produce a quality competition, however it is important to attain as many as elements in the table as possible to make the process transparent, credible, and accountable.

Elements of a Grant Program	HoG	WPI MTLC	CMRPC	WPI WIN	GWCF
Advertise grant program	X	✓	✓	✓	✓
Number of applicants	✓	✓	✓	-	X
Grant criteria provided on application	X	-	✓	✓	-
Provides feedback to applicants	X	X	✓	✓	✓
Has a numerical scoring system	X	✓	X	✓	✓
Scoring done independently before being discussed in a committee	-	✓	✓	✓	✓
Has a proposal review committee	-	✓	X	✓	✓
Has a required post grant report	X	✓	X	-	✓
Funding and finances are public knowledge	X	X	-	X	✓

Key
Identified in competition
Loosely identified in competition
Not identified in competition

Figure 4 Common elements found in grant programs

Most elements in the dashboard seen above help contribute to the legitimacy of a grant competition. They provide structure and improve the ease of the process that is followed. Each element was chosen for this reason and was analyzed for how it specifically furthers legitimacy.

Before an organization submits an application, grantors provide them with the **criteria that they will be evaluated upon**. These criteria are usually found on the application through explicitly stated requirements and questions that the applicants are asked. This increases the transparency of the competition since the grantor is revealing to the applicant all they need to know about the competition before it begins. Without providing the criteria beforehand, the applicant does not know what the grantor is looking for and may provide a proposal without the components needed to be considered. This increases the quality of the proposals being sent in and produces further trust between the grantor and grantee.

The team found several organizations such as CMRPC, WIN, and GWCF in the interviews that **provide feedback to applicants both before and after they submit their application**. Providing feedback prior to submission means that the grantor is working with the applicant to improve their proposal so that the submissions received are in their best possible form. This holds both the applicant and grantor accountable since they are working together to create an exemplary proposal, that will then have a large impact on its intended audience. Neither would like to have a submitted proposal that is weak and is hard to follow through on. Depending on the size of the competition and the number of applicants, the grantor might also provide feedback, once the competition is over, to the organizations that did not win. Doing this will help improve proposals for upcoming years and shows that the grantor cares about each candidate.

Organizations that were interviewed, as well as the ones found online, provided scoring rubrics which contained some sort of numerical scoring system. This system helps create credible and consistent results while reducing subjectivity for the competition since there are visible scores alongside a score description. These **scores can be compared with other proposals to help rank the projects**. The descriptions can help explain to an applicant why their proposal was scored the way it was. Each scoring description details how well a proposal fits

into each criterion that the judges are evaluating upon. Although the rubric is not the only way that the proposals are judged, it creates a credible start to the evaluation process and can be used later when deciding between potential grantees.

The second part of the evaluation involves the **review committee discussing the proposals after they have independently graded each** with the scoring rubric. Credibility is further improved with this process due to having all members of the review committee's opinions being considered. Each individual rubric can be seen by all members, keeping how other members scored each proposal transparent. A discussion is the best way to talk over which organization should win the grant, and the members are able to formulate their own opinions before hearing what others have to say. Typically, the proposals are then ranked based on their rubric scoring averages, with the highest ranked proposal(s) receiving the grant(s).

Once the grant(s) is given to the winning proposal(s), many organizations require some form of a post grant report that **provides the grantor with a detailed account of the project's implementation and how the grant money has been spent**. The accountability of both the grantor and grantee is important in this stage of the process. The grantee is held accountable since they are expected to run the project as it was detailed in the submitted project proposal. If the project was not run as anticipated, then there should be an explanation as to what changed. The grantee is also trusted to spend the grant money for its intended purpose and there should be evidence to back it up. The grantor is held accountable as well since they can use the report to publish online and have a record for how previous grants have been used. This shows that the grants are put to impactful uses and should continue to fund other projects in the future. A report can also be applied to the funding and finances of the organization as they should be public to increase transparency. Funders and citizens should be able to have public knowledge of how an organization spends its money. This leaves less to question concerning the legitimacy of an organization since most of their transactions regarding projects and activities can be seen by whoever wants to see it.

4.3 Grant Competition Timeline

The elements above were listed in chronological order of how they appear in a typical grant competition, which was used to help establish a timeline of the grant process. The timeline can be seen below in **Figure 5**, and each ensuing section will dive deeper into the specifics of how an organization addresses the four steps.

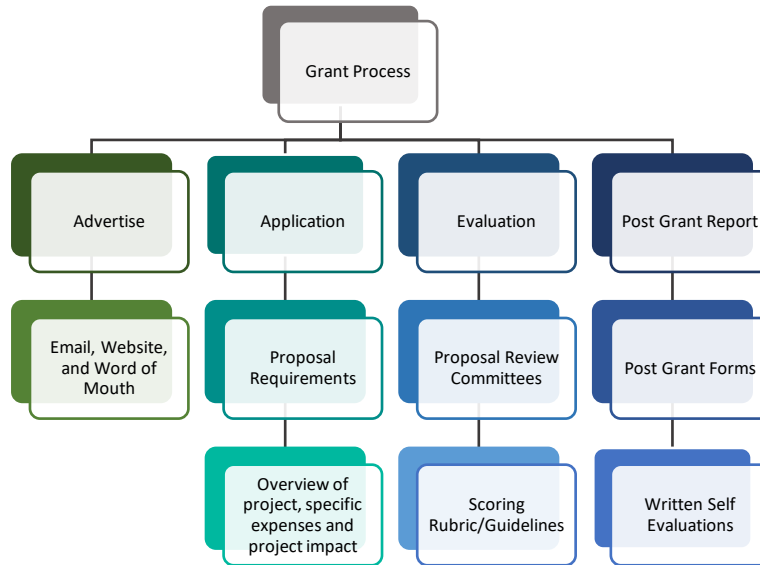


Figure 5 Grant competition timeline, detailing the progression of a grant competition.

4.3.1 Advertising

Interview and survey data determined that sending emails, posting to a website, or spreading information by word of mouth are the most effective advertising methods. Larger organizations such as GWCF advertise to a wide pool of applicants and have to use several methods of advertising. They use methods such as the ones aforementioned while also using other methods that

Best Advertising Methods

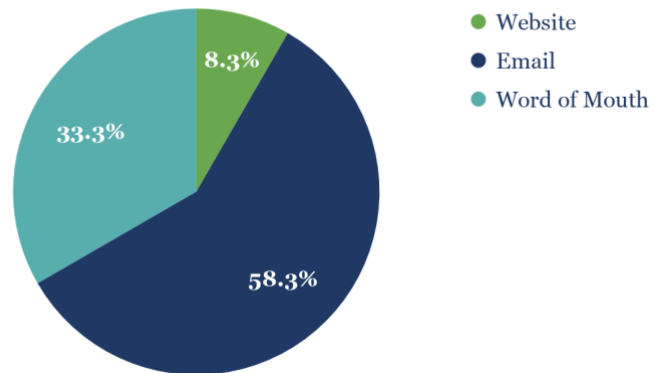


Figure 6 WPI's MTLC and WIN survey data

include creating a press release when a new grant application opens. CMRPC, another large organization, advertises to the municipalities of Central Massachusetts to then be dispersed among property owners and developers. Over time, more established competitions do not heavily rely on new sources of advertising and consistent advertising, for their applicants will become familiar with the application timeline and know when to expect the call for proposals. That is, if the applicants remain mostly the same each year, and they do not wish to expand to new applicants. The pie chart seen above in **Figure 6** displays results from a survey sent to past applicants of WPI's MTLC and WIN. The past applicants were asked to select which method of advertising brought them to apply to the competition. The results gathered from this anonymous survey suggest that for medium sized competitions, such as the ones seen at WPI, email is an effective form of advertising because it is easy to send a simple email to all applicants. The grants at WPI have been around for enough years where word of mouth is also effective, and it is beneficial for the competition if there are participants discussing it outside of the grant timeline.

4.3.2 Application and Proposal Requirements

Many application documents have been gathered through research and interviews. Grantors may assist an organization in writing their proposal during this period of time, which was seen in multiple organizations that were interviewed. Although each application is unique, there are common criteria that the grantor asks for from the applicant that allows the grantor to develop a complete comprehension of the applying organization and their project.

One of the most important parts of the application is the project summary. This is where the applicant will provide a brief summary of their project along with their goals and objectives. The project should address a current need facing their community, facilitating detailed solutions for that issue. The GWCF asks for how the organization has already laid the groundwork for their project, which differs from the other applications analyzed as they do not ask for any previously accomplished work. The applicant should list how they plan to approach the problem, and some ask for a timeline of the project. All of these questions allow for the grantor to fully understand the scope of the project.

Another major piece of the application looks at the impact of the project. A winning project should have a positive impact on a specific group of people. Many organizations ask applicants who will be impacted, both directly and indirectly. Again, GWCF asks for an estimated number of people impacted which may be a hard number to produce based on what the project is. There should also be some form of metrics to measure the success of the competition. There is no way to know how well it went without attempting to calculate the success. The WPI MTLC asks applicants what a successful project will look like, which is what the end goal should be.

The last vital section of an application concerns the specific expenses of the organization, both during the project implementation, and the previous fiscal year. The GWCF, for their other grant applications, asks for an IRS determination letter, most recent organizational budget, audited financial statements, and a financial statement from the most recent fiscal year. This allows the grantor to understand how the organization has been using their money and if they will be able to spend the grant money how they proposed they would. Specific expenses during the project implementation includes questions that ask for a detailed budget of the project. The WPI MTLC also asks for a justification of the costs, while other organizations may only ask for what specifically the funding will be used on. The GWCF inquires if any portion of the requested grant will be recoverable or eligible for reimbursement.

Long standing organizations find success when supplying the criteria used for evaluation on the application form. This accounts for the transparency between the grantor and the applicants for which the applicants are aware of the areas of evaluation before writing their

<p>Proposal Details:</p>
<p>PROJECT PLAN</p> <ul style="list-style-type: none"> • Provide a detailed description of your project including its objectives.
<p>WIN MISSION</p> <ul style="list-style-type: none"> • Does your project provide pathways to advance women at WPI? If so, how? • Would your project increase the number of women in Science, Technology, Engineering, and Mathematics (STEM) fields? If so, how? • Would your proposal create a positive difference in the extended WPI community? If so, how? • Would your proposal elevate WPI's impact and extend its reach <i>beyond the WPI community</i>? If so how? • How is your project uniquely important to the mission of supporting girls and/or women in STEM? • How will WIN be recognized as having played a role in the success/completion of your project?
<p>IMPACT</p> <ul style="list-style-type: none"> • DIRECT IMPACT <ol style="list-style-type: none"> Who do you anticipate will directly benefit from this project? What direct impacts do you anticipate occurring as a result of this project? How many people do you expect will be directly impacted by this project? • INDIRECT IMPACT <ol style="list-style-type: none"> Who do you anticipate will indirectly benefit from this project? What indirect impacts do you anticipate occurring as a result of this project? How many people do you expect will be indirectly impacted by this project?
<p>EVALUATION</p> <ul style="list-style-type: none"> • What are the expected outcomes of your project? • How will you measure success? • How will you measure the direct impacts of your project? • How will you measure the indirect impacts of your project?

Figure 7 WPI WIN Application - Proposal Details.

project proposal. For example, as seen in **Figure 4**, the WPI WIN outlines the project plan, WIN mission, impact of the project, and evaluation of success under the proposal detail section of their application. The same details outlined are the criteria used in their scoring rubric during the evaluation phase. Other applications like the one of GWCF include the requirements: addressing the applicant organizations' mission statements, the organization's need for the grant, plans and actions taken to prepare for the project process, the ideal outcome of the project, how they plan to use the grant, and how they plan to evaluate the project process. The common proposal requirements, mentioned in the background, include *plan, purpose, alignment with mission, impact, value/risk, and feasibility*. Applying organizations should be able to understand how they are going to be evaluated based on the questions in the application and how they are laid out. Placing questions in different sections like WPI WIN did is a good way to break up criteria and go in depth for each.

4.3.3 Evaluation

Before an organization begins to evaluate proposals, they must assemble a review team. Each organization interviewed had their own team of members within their own organization, with some exceptions being donors, and WPI MTLC has a medley of members. Their committee is made up of their director and two other members, the directors of two other WPI organizations, and a selected undergrad. All members of the committees are interested in the mission of the organization, have sufficient knowledge of the organization, and interest in the grant. Donors are good to have on the committee because it is their money that is being given away and they should be able to have a say where it goes. In the interview with GWCF, it was explained that they prefer to have staff on the committee due their expertise and it limits conflicts of interest. If there were members from other organizations on the committee, they may want a project that aligns with their mission, or they may have goals that differ from those of the grantor. They may also have relationships with specific applicants which introduces bias to the evaluation.

The evaluation typically begins with the review committees using a scoring rubric to grade each individual proposal. The rubric contains all criteria presented in the application with either a numerical scale or high/med/low range. The rubric explains what would make a proposal align with a certain score. Once this is done the committee will come together as a whole and discuss the applicants. Depending on how many applicants there are, there may be several cuts to narrow down the applicant pool. The applications that aren't filled entirely or correctly are not considered.

The most detailed evaluation process examined belongs to WPI WIN, who splits their applicants into 3 different groups based on applicant's asking price for grants. The groups are assigned to individual sub-committees who work together to eliminate the applications. Once applications are eliminated by the sub-committees, everyone joins back together and once again picks applicants they want, which are sent to the full WIN membership. They receive a brief summary of the project with the money requested and rank the proposals in the order that they would like to fund them.

If the grant money needs to be sent out quickly, which was the case for CMRPC COVID fund, they simply had a pass/fail process and gave money out on a first come first serve basis. This grant process was designed to be simple for quick dispersal, but not all are like that. For a normal grant process, it is commonly seen to evaluate individually and then as a group. All of the different methods described help to decrease bias in the evaluation process and allow members to formulate their own opinions and proposal scores before hearing what others have to say. These

methods create structure to the evaluation and, although it is still not an easy process, helps create a smoother process for judges and applicants.

4.3.4 Post Grant Report

Through our interview analysis, we discovered that post grant reports can be used to not only determine if the funding was used for its intended purpose, but also to build accountability between the applicant and the grantor that can be relied on for years to come. One example of a post grant report is a form that grantees fill out when the project is completed, like seen from the WPI Women's Impact Network in Appendix C. A brief summary of the project description including goals and objectives, and the method used to determine success are requested to when filling out the form. The impact of the project is examined next which is determined by whether the project has met its goals and objectives. Any unanticipated results or consequences are included in the impact section, in case difficulties arose during project implementation. The metrics of success cover who in the community was served, based on age and gender, as well as focusing on if WIN affected the success of the project. The WIN report is due a year after the grant is handed out, or whenever the project finishes, but some require them to be filled out at intervals to update the grantor on how the project is currently going and how the funds are being dispersed. This may be necessary for large grants to validate that the money is being used correctly but may not be as needed for smaller ones. Another example of a post grant report is a written self-evaluation. GWCF asks its recipients to write a self-reflection on how they used the grant and how it impacted their community. There is no form created for this reflection, the grantee has full authority to write what they would like to about how the project ran and the results that came out of it. It has been shown many times throughout different competitions analyzed that the size of the grantor and grant being handed out can play a role in the process of the competition. Using this information, the team discerned which elements were best for HoG.

4.4 Grant guidelines and scoring rubric

The team developed the following sections of a grant process with HoG in mind, but all these guidelines can be applied or adapted for grant competitions of other NGOs as well. There are specific questions on the documents the team created, like the application and post grant form, that are only applied to HoG, but the general guidelines may be used in any competition.

Guidelines

1. **Advertise** grant competition to potential applicants.
2. Create an **application** document stating information needed from the applicant and the proposal requirements. The grantor should provide feedback to the applicants during the application process, if they have additional time and resources, for the submission of improved proposals.
3. The **evaluation** process begins with compiling a review committee. Judges should be provided with a scoring rubric alongside the submitted proposals to evaluate the proposals individually. The review committee should then meet together to discuss their scorings of proposals. The proposal with the highest ranking, based on score, should be awarded the grant. Applicants should receive feedback on their proposals for areas of improvement.
4. The grant recipient should produce a **post grant report** detailing the use of the grant and how they plan to repay the loan (if applicable).

Application

Below is an example of an application form that HoG should use for their partner organization that can help them develop clear and concise thoughts while providing HoG with all necessary information about their project.

Organization Name:

Organization's Mission Statement:

Summary of Proposal (100 word limit):

Are you receiving funding from other sources? If so, please indicate the funders and the amount.

Proposal Requirements:

- Project Plan
 - Purpose
 - Alignment with Mission
 - Impact
 - Direct/Indirect
 - Evaluation
-

Provide a detailed budget on the anticipated use of the grant. Include a plan for repaying the \$1000 loan.

If awarded the grant, the grantee is required to submit a post grant report detailing the use of the grant and how they have begun repaying the loan.

Use this section for any comments

Signature

Date

Scoring rubric

In **Figure 8** below there is the criteria that the team suggests HoG uses to evaluate proposals. It defines what an exceptional proposal would contain concerning to each criterion. This rubric was created by using rubrics from other competitions as templates.

Criteria	3- Strong	2- Moderate	1- Weak
Plan	Clear plan with supporting project description; provides an achievable solution; serves target communities	Somewhat clear plan; solution provide could be achieved; serves target communities	No plan, with little information supporting proposal; no solution proposed; does not serve target communities
Purpose	Somewhat significant and somewhat innovative; original ideas	Somewhat significant and somewhat innovative; somewhat original ideas	Not significant or innovative; unoriginal ideas
Alignment with Mission	Strongly supports and values and areas of interest	Moderately supports the values and areas of interest	Does not support the values and areas of interest of granting organization
Impact	Strongly impacts the community involved directly	Moderately impacts the community involved	Will not impact the community in a positive manner
Value/Risk	Project will be sustainable and somewhat long lasting for the betterment of the community; value>risk	Project will be moderately sustainable and somewhat long lasting for the betterment of the community; value=risk	Project will not be sustainable or long lasting for the betterment of the community; value<risk
Feasibility	Project will be doable for the grant value with a strong chance of success	Project may be doable for the grant value with a moderate chance of success	Project is not doable for the grant value with no chance of success

Figure 8 Sample scoring rubric for a small NGO grant competition

4.4.1 Feedback and final adjustments

After sending the initial proposed grant guidelines and supplemental materials to interviewed organizations, our team collected feedback and used it to finalize the deliverable presented to HoG. Of the contacted organizations, Jonathan Cohen of GWCF and Stephanie Pasha of WPI WIN responded with their own remarks. Both organizations expressed their approval of our proposed deliverable and Cohen added some points of critique. Cohen suggested we add more guidance on selecting members of the review committee including particular skill sets judges should hold. If HoG decides to expand their applicant pool past their current partners, “you want reviewers to have a commitment to the organizational mission and enough competency to provide a fair a thoughtful review of the application(s)” Cohen added. Stephanie Pasha’s feedback can be seen in **Box 4**.

“This looks great!! You did a great job of creating a structure that has rigor with appropriate flexibility.”

Box 4 Feedback from Stephanie Pasha - WPI WIN

When finalizing the deliverable for HoG, guidance on how to pick review committee members was added to the evaluation stage. Otherwise, the deliverable remained the same as previously presented. The final deliverable submitted to HoG can be found throughout the next section and in Appendices V and W.

5 Recommendations

In this chapter, the team will present our recommendations for HoG’s grant competition. The team analyzed different methods found during research and refined them to best fit the needs of HoG’s grant competition. Taking into consideration the size of HoG and how the organization wishes to run the competition, the team assembled the following recommendations and a grant guideline deliverable to further improve the HoG grant competition, as seen in **Figure 9**.

Grant Process

- 1 **ADVERTISE** grant competition to potential applicants.
- 2 Create an **APPLICATION** document stating information needed from the applicant and the proposal requirements. The grantor should provide feedback to the applicants during the application process for the submission of improved proposals.
- 3 The **EVALUATION** process begins with compiling a judging committee. Judges should be provided with a scoring rubric alongside the submitted proposals to evaluate the proposals individually. The judging committee should then meet together to discuss their scorings of proposals. The proposal with the highest ranking, based on score, should be awarded the grant. Applicants should receive feedback on their proposals for areas of improvement.
- 4 The grant recipient should produce a **POST GRANT REPORT** detailing the use of the grant and how they plan to repay the loan.

Figure 9 Grant Guidelines for HoG

5.1 Advertising the Competition


The team found that the two most popular forms of advertisement, email and word of mouth, can be applied to HoG. It is a small applicant pool so it would be easy to reach out to each organization individually notifying them of the upcoming opportunity. In the era of COVID-19 restrictions, sending an email to each partner organization can also be an effective advertisement method, even if organizations cannot meet in person. A single email may not provoke partners to join the competition, so it is essential to continue to update potential applicants with the nearing date of the competition.

1 Advertisement


Due to the grant competition only being applicable to partnered organizations, the advertising method of word of mouth and email would work best for Hearts of Gold.

If Hearts of Gold were to ever want to expand the applicant pool posting a call for proposals online would also be an advertisement method to utilize.


Advertisement Methods:



Word of Mouth



Post on Website



Email Potential Applicants

Figure 10 Advertisement recommendations for HoG

Although this may not assist in advertising to partner organizations, posting a call for proposals on the HoG website may prove helpful. This can inform the public and other organizations of the work that HoG is doing. Website posts can also be used in the future if HoG plans to open up their competition to a larger applicant pool. The advertising recommendations for HoG can also be seen in **Figure 10**.

5.2 Grant Application

An organization looking to apply to the HoG grant competition must fill out a structured application such as the one provided and include all requirements listed. The application should contain questions that ask for a summary of the proposal. Along with that should be the impact of the project including who is impacted and what a successful project will look like. The budget for the project must be detailed with specific expenses. The applicants should know what they are going to spend money on and how much they are going to use. Our team also recommends that a plan on how to repay the \$1000 loan to HoG for the next year be implemented on the application. A good application will provide the grantor with sufficient knowledge of each project to understand it completely. The post grant report is important to mention on the application so the partners are aware that they must send a report with a detailed account of the project back to HoG if awarded the grant. An example of an application can be seen in **Figure 11**.

2 Application

Organization Name: _____
 Organization's Mission Statement: _____
 Summary of Proposal (100 word limit): _____

Are you receiving funding from other sources? If so, please indicate the funders and the amount. _____

Proposal Requirements:

- ◆ Project Plan
- ◆ Purpose
- ◆ Alignment with Mission
- ◆ Impact
 - Direct/Indirect
- ◆ Evaluation

Provide a detailed budget on the anticipated use of the grant. Include a plan for repaying the \$1000 loan. _____

If awarded the grant, the grantee is required to submit a post grant report detailing the use of the grant and how they have begun repaying the loan. _____

Use this section for any comments: _____

Signature : _____ Date: _____

Figure 11 Application recommendation for HoG

The proposal requirements, also known as the criteria, that applicants will be evaluated upon should be present in the application. The criteria that our team has come up with include project plan, purpose, alignment with mission, impact (direct/indirect), value/risk, and feasibility. An exemplary application should have a clear, significant, and innovative plan, align with HoG's mission, portray a large and significant impact on the community with a value that outweighs the risk, and the project having a high chance of success.

If an organization needs help during this time of the process, it is wise to assist them in filling out the application. It will both benefit the proposal being submitted to HoG and could increase the success of the project's implementation. Continued guidance from HoG during the application process will only aid in the partner's proposed project.

5.3 Evaluation Process and Committee

The team recommends that HoG should create an evaluation team, but since HoG has few core workers, members of the evaluation team must be people in Ecuador that are knowledgeable of the area and HoG, like seen in **Figure 12**. These members should not have any ties to partner organizations or any bias towards an organization that will influence their decision. They must also be proficient in Spanish so they can understand the proposals being sent in. Another

3 Evaluation

Before the evaluation stage can begin, a judging committee should be formed with about 5 members.

Judging committee members should:

- ❖ Understand Spanish, unless submitted proposals are translated to English
- ❖ Knowledgeable of the Cuenca area and the communities' needs

Judges should independently score submitted proposals **THEN** discuss their findings as a committee

Figure 12 Evaluation committee recommendations for HoG

suggestion to this problem may be providing English versions of the proposals to the judges who are not fluent in Spanish. The main priority for the judges should be evaluating the essentials of the proposals and attempting to understand how the project will impact the Cuenca community.

3 Evaluation - Scoring Rubric			
Criteria	2- Exceptional	1- Moderate	0- N/A
Plan	Clear detailed plan with a supporting project description; provides a solution that can be accomplished as stated in the proposal; serves target community	Somewhat clear plan; solution provide could be achieved; serves target communities	No plan, with little information supporting proposal; no solution proposed; does not serve target communities
Purpose	Significant and innovative; original project ideas	Somewhat significant and somewhat innovative; somewhat original ideas	Not significant and not innovative; unoriginal ideas
Alignment with Mission	Exceeds the values and areas of interest for the granting organization	Moderately supports the values and areas of interest	Does not support the values and areas of interest of granting organization
Impact	Directly and significantly impacts most of community involved	Moderately impacts the community involved	Will not impact the community in a positive manner
Value/Risk	Project will be sustainable and long lasting for the betterment of community; value-risk	Project will be moderately sustainable and somewhat long lasting for the betterment of the community; value-risk	Project will not be sustainable or long lasting for the betterment of the community; value-risk
Feasibility	Project will be doable for the grant value with a high chance of success	Project may be doable for the grant value with a moderate chance of success	Project is not doable for the grant value with no chance of success

Figure 13 Scoring rubric recommended to HoG

The team recommends beginning the evaluation process with the judges filling out a scoring rubric individually. The rubric that they use will be a sheet that contains all of the criteria previously listed, and there is a numbered scoring system from 0-2 for each criterion. This scoring rubric can be seen in **Figure 13**. Each proposal submitted should be evaluated based on all of the criteria with the scores recorded being tallied at the end to generate a total sum. There should be a set date at which all judges should

have scored each proposal, so all are on the same page and continue with the process at the same time.

The next step in the evaluation process is to have the judges reconvene with their individual evaluation and discuss their rubric results amongst each other. The total score is a good indicator of which proposals are better, but it is not perfect and further discussion is crucial. All judges should be in one place to hold these conversations, so all opinions are heard, and everyone has a say. In times of COVID-19, these committee meetings could be held over Zoom, Google Hangout, or other video communication services when meeting in person is not available. The judges vote on who they would like to hand the grant to, and all votes should weigh the same, so no one has a larger influence than others. Deciding a winner can take multiple meetings between judges and they should be allowed time to make a decision. Proposed projects scoring the lowest average rubric scores should be eliminated from the potential grant recipient pool. As the recipient pool is narrowed down to the best scoring proposals, discussion between the judges weighing the values and risks of each proposal should resume until a grant recipient is determined. Once the judges do pick a winner, they should work together to provide the rest of the organizations with feedback and improvements for next year.

5.4 Post Grant Reporting

The final recommendation that the team suggests for the HoG grant competition process is requiring the grant recipient to submit a post grant report after the project is implemented. The post grant report should be an easy-to-follow paper like the application and asks similar questions regarding the proposed project methods and budget like seen in **Figure 14**. A detailed budget on how the \$2,500 grant was used is necessary to know whether the grant was used for its intended purpose. A follow up on how the recipient plans to repay the \$1,000 loan should be included as well. The success of the project is also included in the report, detailing how communities were impacted and who specifically was benefited. A brief summary of the account of the project should be described along with any unforeseen complications. If the project didn't go exactly according to plan, this is where the grant recipient can explain how the methodology changed. Finally, the proposed project is evaluated based on the goals and objectives, as listed in the application, to determine which have been met. This report and questions can be used for reporting data concerning the competition and to ensure that the winner is held accountable for the execution of their proposed project.

4 Post Grant Report

Organization Name:
Organization's Mission Statement:

Provide a detailed budget on how the grant funding was used.

How do you plan on repaying the loan?

How did your project impact the community? Who benefited?

Did your project go according to plan? Did you face any unforeseen complications? Were your goals and objectives met?

Figure 14 Post grant report recommendations for HoG

6 Conclusion

Our team recommended a structured grant process for HoG to incorporate into their next grant competition. Our team was asked to develop this process for HoG after their first competition was considered to be rather informal. Tasked with this project, our team gathered information from HoG and other organizations about their grant program practices. This information helped our team create a deliverable that was sent to multiple organizations with grant programs to be reviewed. With the feedback, our team finalized the grant guidelines and scoring rubric before sending HoG our final product.

Through the research and data collection process, our team gained a better understanding of how a typical community grant program is run. The interviews and surveys provided our team with knowledge required to gather a list of best grant practices. These practices influenced the recommendations for HoG. The elements could not be conducted in the exact same manner as other organizations, due to the differences in size and mission of each organization. However, our team believes the methods recommended for HoG can be easily implemented into their competition next year. The proposed grant guideline and scoring rubric will improve the grant process structure and increase the overall knowledge of grant competitions for those involved.

By providing a structured approach for HoG, our team is helping to ensure that the grant goes to a project that will make a positive impact on its intended audience. Hopefully, the influence that is made on the public from executing successful projects in the future will show Ecuadorians that nonprofits and NGOs can be trustworthy and are a good cause to put money or their faith into. Implementing a transparent and formal process for grants will help turn public opinion of these organizations into a positive light. More people will be likely to donate if they know that their grant is being used in a beneficial way.

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8 Appendices

Appendix A: United Way Scoring Rubric

Institution Criteria	Does the APPLICANT INSTITUTION have the appropriate and properly trained staff and internal capacity to execute the program as presented in the application?	10%
General Proposal Criteria	Evaluation of overall quality and completeness of the concept proposal.	5%
	Are the project goals stated clearly? Are they concrete and specific enough to be measurable?	10%
	Evaluation of the potential social impact of the proposed project.	20%
Plan of Work Criteria	General rating of the project's likelihood of success as defined by success criteria described in the application.	15%
	Are the goals, objectives, and primary tasks set forth feasible?	5%
	Does the proposal provide sufficient time, according to the timetable, for the accomplishment of project goals? Is too much time provided?	5%
	Are generally accepted standards being followed and/or does the proposal indicate awareness of the factors contributing to success or failure?	5%
	Does the work plan and proposed methodology make sense? Is there a more logical or efficient manner of proceeding toward the accomplishment of stated project goals?	5%
Personnel Criteria	Does the proposal indicate the names, qualifications, and duties of all known personnel involved in a substantive way?	5%
	Does the plan use personnel whose background and qualifications are appropriate for the project?	5%

Budget Criteria	Do the budget line items seem typical and appropriate?	5%
	Does the proposed budget seem adequate to execute successfully? Is it over budget?	5%

Appendix B: UNDEF Scoring Rubric

The project...	Promotes the objectives of the competition host organization
	Draws on the host organizations comparative advantage
	Will have a significant impact
	Will encourage inclusion of marginalized and vulnerable groups
	Will enhance gender equality
	Has strong prospects for successful implementation
	Is technically sound in conception and presentation
	Represents good value for money
	Has strong prospects of sustainability beyond the project duration
The applicant organization...	Has a strong track record

Appendix C: WPI WIN's Grant Outcome Report
2020 WPI WIN Grant Outcome Report

Project Title:			
Grant Amount Received:		Full or Partial Funding:	
Date Grant was Awarded:			
Date of This Report:			
Application Type (Select primary and secondary if applicable): <input type="checkbox"/> Conference Expenses <input type="checkbox"/> Curriculum Enhancement <input type="checkbox"/> Diversity & Inclusion <input type="checkbox"/> Faculty Support <input type="checkbox"/> Innovation & Entrepreneurship <input type="checkbox"/> K-12 Pipeline Activities <input type="checkbox"/> Leadership <input type="checkbox"/> Research <input type="checkbox"/> Student Support <input type="checkbox"/> Or create a ranked list		Application Type (Select primary and secondary if applicable): <input type="checkbox"/> Conference Expenses <input type="checkbox"/> Curriculum Enhancement <input type="checkbox"/> Diversity & Inclusion <input type="checkbox"/> Faculty Support <input type="checkbox"/> Innovation & Entrepreneurship <input type="checkbox"/> K-12 Pipeline Activities <input type="checkbox"/> Leadership <input type="checkbox"/> Research <input type="checkbox"/> Student Support <input type="checkbox"/> • Or create a ranked list	
Primary Applicant:			
Name	Email	Phone	Address
WPI Affiliation:		Department/Program:	Position/Title:
<input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Graduate Student <input type="checkbox"/> Undergraduate Student <input type="checkbox"/> Alumna			

Co-Applicant(s):

Name	Email	Phone	Address

WPI Affiliation:

ø Faculty

ø Staff

ø Graduate Student

ø Undergraduate Student

Department/Program:

Position/Title:

Project Request Information:

Project Summary (limit to one paragraph or 75 words):
Project Goals and Objectives:
Project Evaluation (Method used to determine project success):

Impact Information:

Describe the project activities/events:
Project Impact and Key Learnings:

Did the project achieve its goals and objectives? If the goals and objectives were not met, explain why:

Any unanticipated results or consequences?

Metrics:

Number of Participants:

Estimated Gender served by this project:

- Female
- Male
- Non-binary

Estimated age(s) served by this project:

- K-12
- Undergrad
- Graduate Students
- Post Doc
- Faculty
- Alumnae
- Other

Did you promote the project? If so, provide type (print, social media, etc). Provide links if applicable.

Was WIN recognized as playing a role in the success/completion of your project. How?

If you received partial funding, did it impact your project results? How?

Was this project a renewal of a previously funded project? If so, what was repeated? What was new?

Do you expect to continue work on this project? Why or why not? Are you seeking funding from other sources?

Project Budget Report

Expenditure Description	Anticipated Expenses (USD)	Actual Expenses (USD)
Materials & Supplies		
Stipends		
Professional Development		
Conference Costs		
Honorariums		
Transportation/Travel Costs		
Research Related Costs		
Food/Facility Costs		
Other Expenses (please list)		
Total Expenses		

Appendix D: Interview Questions for Maria Orellana [ENGLISH]

1. Why did you decide to take over the Hearts of Gold foundation?
 2. What is your favorite part about working with other non-profit organizations?
 3. In regard to previous competitions, what do you look for in a candidate for a grant?
 4. What are the criteria you assess the non-profit organizations with when deciding who receives grants?
 5. Can we get in contact with previous grant winners?
- Is there a difference between organizations you are partnered with versus grant winners?

Appendix E: Interview Questions for Maria Orellana [SPANISH]

1. ¿Por qué decidió tomar el control de la fundación Hearts of Gold?
2. ¿Cuál es su parte favorita de trabajar con otras organizaciones sin fines de lucro?
3. ¿Respecto a concursos anteriores, ¿qué busca en un candidato a beca?
4. ¿Cuáles son los criterios con los que evalúa a las organizaciones sin fines de lucro al decidir quién recibe las subvenciones?
5. ¿Podemos ponernos en contacto con los ganadores de becas anteriores?
6. ¿Hay alguna diferencia entre las organizaciones con las que está asociado y las que reciben subvenciones?

Appendix F: Research Script – Interview with Maria Orellana

CONSENT STATEMENT

These interviews and studies have been approved by **SCHOOL's IRB INFO** for the Rights of Human Participants in Research and Training Programs (IRB). Any questions or concerns on human rights issues should be directed to the IRB Chair, **NAME, PHONE NUMBER**

Recruitment Introduction

Dear Mrs. Orellana,

We are a student team from Worcester Polytechnic Institute working with the Hearts of Gold Foundation. We would like you to conduct so we can get a better idea of the application and grant process currently being used by the Hearts of Gold foundation. This interview will take no more than 35 minutes to complete.

Thank you for your help!

Why are we conducting this interview?

The WPI Hearts of Gold project team would like to gain more knowledge on the grant process currently being used at the Hearts of Gold Foundation. More specifically, we would like to learn more about the application process for non-profit organizations wanting to enter and by what criteria the grants are currently being analyzed by to decide who receives the grant. If you allow us to use the information distributed during this interview, you will give us the knowledge to assess the current grant process. Our goal is to improve the grant process for optimal support by non-profit organizations in Ecuadorian communities.

Who are we interviewing?

- Maria Orellana, Executive Director

How will this interview be conducted?

- Interview will be conducted over WhatsApp on 11/25/2020
 - Interview will be in Spanish

What information will be collected?

- Information concerning non-profit organizations application process for grants
- The criteria used to decide organizations who receive the grant
- The interview will take no longer than 35 minutes

What will we do with this information?

- The information collected will be used for the group for analysis on how to improve the current Hearts of Gold grant process

Contact Information:

For any questions regarding this survey or your rights as a participant, please contact **NAME**.

The supervisors for this project are **Lauren Elgert and Fabienne Miller**. They can be reached by email at lelgert@wpi.edu and fabienne@wpi.edu respectively.

Appendix G: Interview Minutes – Interview with Maria Orellana 11/25/20

Interviewee Info

Director of community development

Director of Hearts of Gold

Both started as volunteers

Maria- Started as volunteer coordinator of group of volunteers

Started getting involved in event planning and organization and fundraiser

But needed more money

Not enough time for everything, and joined when a position opened up at Ho

Started as volunteer, specialized in education and joined when a position was available

What they like about HoG

She loves that she can get involved with the community and is part of a positive change

We have same vision towards change they would like to bring

Foundations don't have best transparency they cheat people

They would like to build trust within community, if they donate their money will actually

HoG Info

Called themselves “Umbrella Foundation”

Worked with over 50 organizations

10 direct partners

Focus on educating staff of each organization

fundraise, talk to donors, manage funds, reach out to volunteers

Educate and help them fundraise to cover the needs that they have to serve the community

Covid project

People lost jobs vendors, cleaning houses, doing laundry

Every week on Friday offers a food kit for a family of 5 that lasts a week

serves 120 families

Favorite Partner

Vulnerable sector of Cuenca

Serves teenager and children with foods and after school programs

They cannot eat at home, their parents dont have enough money and they deal with drugs and violence

Grant Competition

Microemprendimiento- word they use for grant competition

Contest between all partners

They chose if they wanted to participate, did not have to (5 did)

Judges were not staff

Wrote a project to help them create stable income

\$3500 to winner

Fund between partners in competition who do not win

\$2000 is gift

\$1500 is loan to common fund so other organizations will have a chance to apply and present their project

It was an informal competition but wants formal for future years

Been running training for 4 years (CAP), each was educated on how to plan finances, start projects, plan their own organizations

Then they were told to apply what they learned and present a project

Presented project

Chose winner based on finance and what they believed could sustain for the future

Running workshops, evaluating partner organizations

Every 3 months partner groups get evaluated so they can share what they learn and what they need to improve on and they are assigned more mentoring hours based on their needs

Requires evaluation before partnership

Partnering organizations need staff members, and can disclose finance

Appendix H: Baseline Interview Questions for HoG Competition Judge

1. How did you get involved in the Hearts of Gold competition as a judge?
Who were the other judges and how were they chosen as well?
What was expected of the judges?
2. Can you elaborate more on the “personality contest”?
3. How were the projects evaluated to select the winner?
4. What difficulties did you experience during the proposal evaluation?
5. Is there anything you wish to see changed in the competition for next year?

Appendix I: Interview Minutes - HoG Judge 03/05/21

DATE: March 5th, 2021

TEAM H.O.G. - HoG Judge

LOCATION: Zoom 974 1779 1596

Participants: Meredith Gauthier (Chair), Kathryn Kenney (Secretary), Brian Pacheco, HoG Judge

Initial Questions (followup questions may follow the initial questions):

How did you get involved in the Hearts of Gold competition as a judge?

- MJ asked him

Who were the other judges and how were they chosen as well?

- Sponsor for School Garden, expat Dez
- MJ
- Other expats involved in hearts of gold
- Richard Burkey, Founder of HoG
 - And daughter
- Canadian gold mining industry
 - Giving back since “mining raping the environment”

What was expected of the judges?

- No clear expectation
- Want you to be judges to provide a grant for a start up project that an organization can use \$2500 plus the loan to pay back
- Review materials submitted
- Come together and vote (3 day voting)
- Short timetable, short notice
- No general format or procedure
- MJ overwhelmed but cares about community
- Expectation: review materials and make a judgement as to which one that could most effectively complete their project
- Proposals were missing major elements -> need more info and more days to review
- All proposals were in spanish but all judges are not fluent in spanish
- Each judge evaluated differently
 - HoG Judge: What is the project? Does it make sense? Can they do it? It is feasible? Is there a plan? No actual project proposed but wanted money?
 - Need to make money back \$1000 loan
- Fundación el Arenal
 - Best business plan
 - Wasn't exactly clear that the project would help the poor
 - Second round they further expanded toys would go to poorer communities
 - Repackage and sell things
- No standard format for the business plan

Can you elaborate more on the “personality contest”?

- Some based on business plan
- Most likely to repay loan
- “I want them in my heart to get the money”
- Founder liked Fundación el Arenal

- So why did it win?
 - No process, no guidelines
 - Needs to be looked at empirically
 - How are the projects weighed
- Make some scheme for the contestants and judges, conolicaly explanation to the competition
- MJ wants to do the right thing -> judges need to have a better understanding of an evaluation process

Other comments

- MJ sent out second packets with her opinions
 - Caused bias amongst judges
- Some organizations very well organized, but many are well in over their head
 - Go fund me for sick neighbor
 - HoG great organization, grant program
 - How does the grant help the community
- Judges have sufficient spanish or provide english translation
- Competition between organizations
- Dez insight good
- Ask MJ for judge information
- We can send our deliverable to him
- Let HoG Judge know if we have trouble getting in touch with people

Context

- Great work with small staffing
- Most work is in training other organizations to be transparent through courses
- But, new ideas do not have the staff or background to do it
- We are framing the process as a way to help
- Ecuadorian in charge -> MJ pulled in many directions
- Dez Dizney of School Garden
- Desmion.dizney@gmail.com try to schedule an interview

Appendix J: Survey Questions for HoG Partner Organizations [ENGLISH]

1. How did you hear about Hearts of Gold's competition?
2. The application process (proposal process) was easy to understand
 - a. Agree to disagree
3. The proposal requirements were clear and presented alongside the application.
 - b. Agree to disagree
4. Hearts of Gold provided feedback on your proposal during or after the application process.
 - c. Agree to disagree
5. Do you have any additional comments on the 2020 competition?
 - d. Short answer
6. Do you have anything you would like to see changed or improved for future competitions?
 - e. Short answer

Appendix K: Survey Questions for HoG Partner Organizations [SPANISH]

1. ¿Cómo se enteró de la competencia de Hearts of Gold?
2. El proceso de solicitud (proceso de propuesta) fue fácil de entender
 - f. Estar de acuerdo en no estar de acuerdo
3. Los requisitos de la propuesta fueron claros y se presentaron junto con la solicitud.
 - g. Estar de acuerdo en no estar de acuerdo
4. Hearts of Gold proporcionó comentarios sobre su propuesta durante o después del proceso de solicitud.
 - h. Estar de acuerdo en no estar de acuerdo
5. ¿Tiene algún comentario adicional sobre la competencia 2020?
 - i. Respuesta corta
6. ¿Tiene algo que le gustaría ver cambiado o mejorado para futuras competencias?
 - j. Respuesta corta

Appendix M: Baseline Interview Questions for Local Grant Giving Organizations

1. How many years have you awarded grants?
2. On average, how many applicants do you get each year?
3. How do you advertise the grant competition to gain interest from potential applicants?
4. In regards to picking the grant winner(s), what criteria is used on the scoring rubric?
5. How do you qualitatively evaluate the quality of a proposal: the accountability of an applicant and the project's impact?
6. Are there multiple stages of cutting applicants from the process, or is every applicant reviewed for the same amount of time?
7. How do you make sure you are transparent with the applicants on the various stages of this process?
8. Can you supply us with additional documentation (i.e. application forms, submitted proposals, judging criteria/score sheets) not publicized?

Appendix N: Interview Minutes - Chrys Demetry (WPI MTLC) 02/09/21

DATE: February 9th, 2021

TEAM H.O.G. - Prof. Demetry Interview

LOCATION: Zoom 974 1779 1596

Participants: Meredith Gauthier, Kathryn Kenney (Chair), Brian Pacheco (Secretary), Prof. Chrys Demetry

Team Goal: To increase transparency by creating proposal guidelines and a structured selection process for Hearts of Gold's grant competition.

Initial Questions (followup questions may follow the initial questions):

5. Can you tell us a little bit more about yourself and how you got involved in the Morgan Teaching and Learning Center?
 - k. Started faculty in 1993, within a few years there was center for educational development technology and assessment
 - l. Helped in early years working there
 - m. When position became vacant around 2004, expressed interest in taking leadership would like to see it sustained
 - n. Directed center since 2006
 - o. Renamed in 2010/11
 - p. Half time role, became full time in 2017
6. After reading about the three types of grants the MTLC offers, we would like to know more on the grant program specifics such as...?
 - q. How many years has your program awarded grants?
 - i. Committee on campus called edc, faculty that are appointed and undergrad
 - ii. Stated in faculty handbook
 - iii. Early 2000s a budget was created and they were asked to administer a grants program
 - iv. Faculty could apply for new/innovative things and classrooms
 - v. Some program like this has been around for 20 years or so
 1. It has grown/shrunk based on funds and proposals and what is emphasized in grants
 2. It was renamed because the morgan family gave a major gift of 2 mil in endowments toward the center
 - a. Used the money to expand the grant program
 - b. ATC has own grants that support faculty
 3. All three councils joined forces for one big program
 4. \$25,000-\$30,000
 - r. On average, how many applicants do you get each year?
 - vi. Varies from year to year, but are able to fund maybe half of the applicants at most
 - vii. Sometimes funds requested is more than distributed
 - viii. 6-8 grants per year, 12-15 proposals in
 - ix.
 - s. How do you advertise the grant competition to gain interest from potential applicants?
 - x. Emails, website, calendar, reminders, announcements, faculty social when the call for proposals is issued
 - xi. Social is good for bringing ideas and people together
 5. Prior grant recipients there
 6. Reach out to department heads/people directly
7. We looked at the website and application documents which were very helpful, but could you elaborate on the criteria used to select who receives grants a little more?
 - t. 4 faculty including chrys (7 people total) undergrad, academic technology staff

- u. Spreadsheet with each proposal on a row
 - v. Each criterion in a column with space for comments at end
 - w. Fill out independently
 - x. Rate each proposal high/med/low on each criterion
 - y. Compare notes and try to eliminate some number of proposals
 - xii. Try and create feedback for applicants
 - z. Several meetings to keep discussing, not often a lot of agreement
 - aa. Open ended grants because they would like a large range of proposals
 - bb. WIN @ WPI is more structured because they are driven by a single mission
 - cc. Not quantitative at all
8. ~~How do you qualitatively evaluate the quality of a proposal: the accountability of an applicant and the project's impact?~~
 9. Who is on the review committee mentioned in the Call for Proposal and how were they chosen?
 - dd. Chrys is always on committee
 - ee. Director of atc
 - ff. And director of something else
 - gg. EDC people are selected every 3 years
 - hh. Student is selected by SGA
 10. ~~Are there multiple stages of cutting applicants from the process, or is every applicant reviewed for the same amount of time?~~
 11. Can you supply us with additional documentation (ie application forms, submitted proposals, judging criteria/score sheets) not publicized?

Additional Notes:

- Invite potential applicants to discuss ideas and have professional staff member, research and learning associate, while thinking through proposals to give feedback and make it better
- Kimberly is good to figure out metrics for success
- Getting reports once grant is complete can be difficult and require followup
- Hands off approach once grant is issued

Appendix O: Interview Minutes - Andrew Loew (CMRPC) 02/11/21

DATE: February 11th, 2021

TEAM H.O.G. -Andrew Loew

LOCATION: Zoom 917 2380 0633

Participants: Meredith Gauthier (Chair), Kathryn Kenney (Secretary), Brian Pacheco, Andrew Loew (CMRPC)

Team Goal: To increase transparency by creating proposal guidelines and a structured selection process for Hearts of Gold's grant competition.

Initial Questions

1. Can you tell us a little bit more about yourself and how you got involved in the microenterprise grants?
 - Master's in city planning
 - Role: supervises eteam environmental and community development
 - Design
 - Construction
 - Social services
 - Green communities
 - Master plans for municipalities
 - Community development block grant
 - Community instead
 - 6 communities
2. After reading about the Brownfields Site Assessment Program currently run by the Central Mass Planning Commision [CMPC], can you expand on other grant programs previously sponsored..?
 - From EPA
 - Due diligence in industrial and commercial sites
 - Contamination
 - On call engineer
 - Assessment program for contaminated regions
 - 15
3. On average, how many applicants do you get each year?
 - 8/9
4. How do you advertise the grant competition to gain interest from potential applicants?
 - Municipalities
 - Property owners/developers
5. How many grants do you plan on presenting for this grant program?
6. How do the grant programs differ year to year and which ones do you like best and why?
 - Can reapply
 - Old grant
 - Numeric based
 - Did not work as well, not discussion based
7. How do you ensure you are transparent and accountable with the grant funding?
 - Advisory committee, public meetings

- Status update on projects
 - Upcoming projects
 - One on one meetings with applicants on project
 - Can redirect to other grant programs if its a fit
- 8. In regards to picking the grant winner(s), what criteria is used on the scoring rubric?
 - Eligibility criteria
 - Simple a possible with federal and state criteria
 - Equity factors
 - Prioritize areas that need the most help
 - Normal community block
 - Score based on residence income
 - adds to overall score
 - Look for sectors hit hard
 - Money can go to where is needed
- 9. How do you qualitatively evaluate the quality of a proposal: the accountability of an applicant and the project's impact?
 - Project impact
 - Do they need the money? What resources do they already have?
 - What resources do they need?
 - Financials
 - Accountability
 - Actually a business, doing what is needed
 - Documentation of use of money
 - Receipts
 - Applicants have 45 days to spend
 - Written Grant agreement
 - Terms and conditions
 - Helps with complie
- 10. Are there multiple stages of cutting applicants from the process, or is every applicant reviewed for the same amount of time?
 - Microenterprise - pass/fail
 - First come first serve
 - Decision might be made when funding
 - Brownfields
 - Site priority
 - How the site will be after cleaned up
- 11. Is there a committee of people reviewing the proposals? How are people chosen to be on the committee?
 - Brownfields
 - Advisory committee
 - Applicants have presentation
 - Criteria made to start a discussion
 - Transparency by discussing publicly
 - Not a rigid model
 - Open-ended for smaller groups
 - More numeric, qualitative for larger groups

12. How do you make sure you are transparent with the applicants throughout the various stages of this process?
13. Can you supply us with additional documentation (i.e. submitted proposals, judging criteria/score sheets) not publicized?

Appendix P: Interview Minutes - WPI WIN 02/11/21

DATE: February 11th, 2021

TEAM H.O.G. - WPI WIN

LOCATION: Zoom 992 4878 6400

Participants: Meredith Gauthier, Kathryn Kenney (Chair), Brian Pacheco (Secretary), Stephanie Pasha (WPI), Cynthia Woehrle (WPI), Beth Alletto (WPI)

Team Goal: To increase transparency by creating proposal guidelines and a structured selection process for Hearts of Gold's grant competition.

General questions that may be covered (Questions are subject to change based on research and interview flow):

1. Can you tell us a little bit more about yourselves and how you got involved with the Women's Impact Network?
 - b. Beth Alletto been with wpi for 3 years lifetime engagement division student call center team
 - c. Cindy works 3 years with them in WIN
 - i. Artist, art management
 - d. Steph, been here 16 years work in engagement and outreach
 - ii. Advise pep band
2. After reading about the WIN Impact Grants on the website, we would like to know more on the grant program specifics such as...?
 - e. How many years have you awarded grants?
 - i. Founded in 2016, first grants handed in 2017
 - ii. Fairly young enterprise, every year the process refines, possibly over refined
 - iii. Member drive, community of members that work on grant process and attempt to continuously improve
 - f. On average, how many applicants do you get each year?
 - iv. Around 30 each year, got 25 this year with pandemic
 - g. How do you advertise the grant competition to gain interest from potential applicants?
 - v. Email to potpourri, work with wpi today and a personal outreach to dean and department heads of non academic
 - vi. Been around long enough so people are on the lookout and word of mouth
 - vii. Tough because people wait until deadline to submit
3. How do you make sure you are transparent with the applicants throughout the various stages of this process?
4. We saw the criteria found on the website, but could you elaborate a little more on the specifics you are looking for?
 - h. Criteria has evolved the most
 - i. First year there was no rubric, people thought it would be clear
 - i. Got 45 applications and can be daunting
 - j. This years rubric is the most detailed
 - k. Each piece of rubric has application question with 5 point scale

- l. Plugs each application into a web form and share with reviewers
- m. If you look at application you could figure out rubric
- 5. How do you qualitatively evaluate the quality of a proposal: the accountability of an applicant and the project's impact?
 - n. The rubric helps a lot with quality of proposal, its very specific
 - o. Asks if the applicant has applied for grants before and how they have done
 - p. An applicant's past history will come into play
 - q. If they know the people have been held accountable in the past they will be likely to win again
- 6. How is your organization held accountable?
- 7. Are there multiple stages of cutting applicants from the process, or is every applicant reviewed for the same amount of time?
 - r. Make sure that the applications are completed appropriately, weed out those not
 - s. WIN membership sorts them into three groups based on price, high, mid, low
 - t. Sub committees get chunk and is led by a co chair of the overall impact committee
 - u. Use results from their committees and join all three and pick applicants they want
 - v. Take the ones left and send it out to the full membership with the money requested and a brief summary of the project
 - i. Fill out a web form where they rank order
 - ii. The results are brought back
- 8. Who is part of the WIN Impact Committee, and how are they selected?
 - w. The first pass of membership is those on impact committee
 - x. Then the rest of win donors (\$2,500 and up each year)
 - y. Already have people grouped for years, does not change much
 - z. Want people who are laser focused on giving money out carefully
- 9. Can you supply us with additional documentation (**score sheets**) not publicized?

General Notes:

Tell recipients the happy news, and others not happy news

They are given bullets with how to improve their application for the next year if they do not win

Pretty evenly split between high mid low, average is \$25,000 handed out

\$550k in asks this year, around 8 applicants in each group

Sometimes people do not disclose information to those grading projects, not the case here

Evaluate nature of proposal not applicant

There is bias to give awards to certain people, those with great track records

Appendix Q: Interview Minutes - Jonathan Cohen (GWCF) 02/17/21

DATE: February 17th, 2021

TEAM H.O.G. - GWCF

LOCATION: Zoom 964 8958 6763

Participants: Meredith Gauthier (Chair), Kathryn Kenney (Secretary), Brian Pacheco, Jonathan Cohen (GWCF)

Team Goal: To increase transparency by creating proposal guidelines and a structured selection process for Hearts of Gold's grant competition.

Questions:

1. After reading about your community grant programs, we would like to know more on the program specifics such as...?
 - a. On average how many grant programs does GWCF host per year?
 - i. Running about 10 programs right now
 - ii. Some are more competitive than others
 - iii. A variety of sizes of competitions
 - iv. Some grants are given on a rolling basis
 - b. For each program, on average, how many applicants do you get each year?
 - v. The large grant they give out they have about 200 applicants
 - vi. About 500 applicants for ALL grants total each year
 - c. How do you advertise the different grant competitions to gain interest from potential applicants?
 - vii. Website
 - viii. Email
 - ix. Press releases
 - x. They are well established so people know to look for them
 - d. Specifically about the Worcester Together fund, can you elaborate on your partnership with United Way
 - xi. Started second week in March 2020
 - xii. They talked about ways they could help the community with funding and decided to pool money together
 - xiii. Raised around 11 million dollars
 - xiv. All went to COVID relief
 - xv. Simple application and simple guideline so that quick decisions could be made
 1. Took about 2 weeks to respond to grants
 - xvi. Started heavy on food and ppe then moved towards behavioral health and rent relief
 2. followed
2. With the several grant programs GWCF has hosted, are there any specific criteria that overlap between most or all of the programs?
 - e. Baseline standards
 - i. Must be certain financial status
 - ii. Need to be an organization (not individual)
 - iii. Needs to be in Worcester county

- f. Non profit side
 - iv. They like to know the organizations
 - 3. People they have already given grants to and know their connection to the community
 - v. Like them to put some of their own money on the table
 - g. Newer criteria
 - vi. Racial equity
 - vii. Organizations listen and respond to their clients
 - viii. Organizations that are engaged with other people in the community (collaboration)
3. Are there multiple stages of cutting applicants from the process, or is every applicant reviewed for the same amount of time?
- h. Who is on the GWCF review team and how were they chosen?
 - i. Depends on the grant being awarded
 - ii. They like to have their staff on the committee because they have expertise and doesn't create a conflict of interest if a volunteer has ties to an applicant
 - iii. Committee looks for equity and other criteria and determine if it applies to that specific grant
 - 4. Filter it down to lower numbers in order to choose who get funding
 - 5. Suggest having people who didnt write the application to read it so that the best possible proposals can be submitted
 - i. Is the process more verbal/discussion based or written score sheets? Or both?
 - iv. Use an online platform and online scoring system which varies depending on the grant
 - 6. Use the scoring system more to filter the applicants but still like to talk about all the applicants in person
 - 7. Scores don't make or break the application
 - 8. It's about the relationship with the organization
4. How do you make sure you are transparent with the applicants on the various stages of this process?
- j. No real stages just one smooth process
 - k. Try to be clear up front about what they are willing to fund and not willing to fund
 - l. Available to talk to people about their applications
 - i. Help them make better applications not just for GWCF but also for other organizations they may be applying to grants from
 - ii. Provide feedback on why they weren't chosen so they can do better next time
5. How do you qualitatively evaluate the proposal: the accountability of an applicant and the project's impact?
- m. They don't see a lot of applications for brand new projects so it is easier to know if it will go well
 - n. If they see a new project they look if it is comparable to what they have already done
 - i. Similar track record to what they have ever done

- ii. Adapting what they have seen somewhere else to broaden what they already do.
 - o. They do a progress report after the grant has been funded to determine if they want to award another grant in the future
- 6. Can you supply us with additional documentation (i.e. judging criteria/score sheets) not publicized?
 - p. Can send us some score sheets!

General Notes:

1. Some structure of other grant competitions may be too large for HoG
 - a. Want the process to be comparable in size to the grant given
 - i. A \$2500-\$3500 grant isn't worth a huge application process
2. <https://www.geofunders.org/>
3. Does HoG plan on allowing winners to apply again the following year?
4. Make sure the groups applying have the capacity to do what they want to do
 - b. Does a healthcare organization have the capacity to do a child education project ->no
5. We are allowed to send our deliverable for review

Appendix R: Advertisement Survey Questions for WPI WIN and MTLC

1. Which WPI grant program(s) have you applied to?
 - a. MTLC Teaching Innovation Grants
 - b. WIN Impact Grants
2. How did you hear about the grant program(s)?
 - a. Website
 - b. Email
 - c. Word of Mouth
 - d. Other
3. If you answered “other” please specify

Appendix S: Qualtrics Survey for Advertising Methods of WPI WIN and MTLC



Our IQP team would like to survey previous applicants of the Morgan Teaching & Learning Center Teaching Innovation Grants and the Women's Impact Network Impact Grants to learn about effective advertising methods. Our goal is to determine which advertising methods are the most effective at drawing in applicants for an organization's grant competition. This survey is completely anonymous and you can stop taking it whenever you would like.

Which WPI grant program(s) have you applied to?

- Morgan Teaching & Learning Center Teaching Innovation Grants
 - Women's Impact Network Impact Grants
-

How did you hear about the grant program(s)?

- Website
 - Email
 - Word of mouth
 - Other
-

If you answered "other" in the previous question, please specify.

Appendix T: GWCF 2018 Community Grant Scoring Matrix

2018 Community Grant Program

Greater Worcester Community Foundation

Program Name

Character Limit: 100

SCORING INSTRUCTIONS

In advance of each meeting, committee members are asked to read and score a designated pool of applications. This initial assessment will help frame discussion on whether or not to award funds.

Please respond to each question using the following scale:

1. Weak.
2. Okay, but has some significant shortcomings.
 4. Strong. Meets my expectations.
 12. Exceptional. Meets my expectations and exceeds them in at least one area.
 - 13.
 - 14.

Note: If you feel you have a conflict of interest with an application, mark N/A for all questions, and indicate the reason in the comments section.

1. The proposal aligns with the Foundation's values.* Scoring Options: 1 - 4 or N/A
2. The proposal aligns with the particular Area of Interest for Community Grants.* Scoring Options: 1 - 4 or N/A
3. The proposal is clear - I understand what they say they will do.* Scoring Options: 1 - 4 or N/A
4. The proposal seeks to address a compelling community need.* Scoring Options: 1 - 4 or N/A
5. The proposal is doable/feasible.* Scoring Options: 1 - 4 or N/A

6. The organization has the capacity (operational, financial, communal) to deliver the program.*

Scoring Options: 1 - 4 or N/A

7. If given the opportunity, I would be proud and excited to tell others about this program.*

Scoring Options: 1 - 4 or N/A

COMMENTS / QUESTIONS / CONCERNS / NOTES

Character Limit: 500

Appendix U: WPI WIN 2021 Grant Scoring Rubric
 Women's Impact Network (WIN) Grants Scoring Rubric 2021

WIN's MISSION and grant criteria:

- Provide pathways to advance women at WPI
- Increase the number of women in Science, Technology, Engineering, Mathematics (STEM) fields -
- Create a positive difference in the extended WPI community
- Elevate WPI's impact and extend its reach around the globe.

For review of the guidelines click on the link

GRANT

TITLE _____ REVIEWER _____

	Criteria (refer to rubric ttached)	Score 1,2,3,4,5
1	Plan	
2	Purpose	
3	WIN's Mission	
4	Impacted Number- Direct and Indirect	
5	Impact Quality- Direct and Indirect	
6	Evaluation	
7	Budget within guidelines	
8	Budget supported and justified	
9	Budget reasonable for impact quantity	
10	Overall	
	total	

Optional Calculation of \$ per woman impacted (direct and indirect) = _____ Any

Budgetary items that are in the gray area? _____ Funding

Recommendation (circle one): YES MAYBE NO

if YES or MAYBE (circle one): FULL or PARTIAL Explain Funding recommendation (Why full, partial, or no funding?, Any feedback for applicant?, etc):

Grant Review Rubric

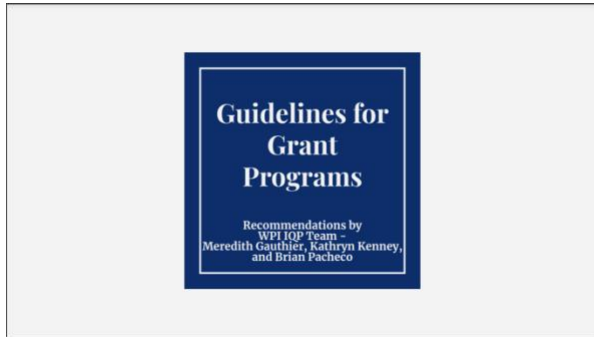
Criteria Great (5) Good (3) Ok (1)			
1. Project Plan	The plan has a clear, detailed, and supported project description AND provides a solution that could be implemented in the	The plan does NOT have a clear, detailed, and supported project description OR does NOT provide a	Very LITTLE background information is included in the proposal. The plan is NOT well documented, thought

	scope laid out in the proposal AND serves the target audience	solution that could be implemented in the scope laid out in the proposal OR does NOT serve the target audience	out or does NOT provide a solution that could be implemented in the scope laid out in the proposal. and/or Project plan does NOT serve the target audience
2. Purpose	Significant AND Innovative	Somewhat Significant AND/OR Somewhat Innovative	NOT significant and NOT innovative
3. WIN's mission (see above) supported with recognition	Project meets 3 or more of the grant criteria. AND WIN is appropriately recognized	Project meets 2 of the grant criteria AND WIN is appropriately recognized	The project only meets 1 of the grant criteria OR WIN is NOT appropriately recognized (if NO criteria is met then this grant cannot be funded)
4. IMPACTED number: direct and indirect	Directly impacts MANY AND impacts some indirectly	Directly impacts SOME. May also impacts others indirectly	Directly impacts 1 or 2. May also impacts others indirectly
5. IMPACT quality: direct and indirect	SIGNIFICANTLY impacts those directly	MODERATELY impacts those directly	MINIMALLY impacts those directly

	involved. AND positively impacts others indirectly	involved. May also positively impact others indirectly.	involved. May positively impact others indirectly.
6. EVALUATION: Measures/techniques	Techniques are clearly thought out and will provide measured feedback for direct and indirect impact	Techniques are NOT clearly thought out OR may NOT provide measured feedback for direct and indirect impact	Techniques are NOT clearly described AND will NOT provide measured feedback for direct and indirect impact
7. BUDGET: Expenses within guidelines (see above)	YES fully	Gray areas	NO (then this grant cannot be funded)
8. BUDGET: Proposed expenses	Justified and reasonable	Either justified OR reasonable but not both well	NOT justified AND NOT reasonable
9. BUDGET: reasonable for NUMBER impacted (direct and indirect)	\$ per person	\$\$ per person	\$\$\$ per person

10. OVERALL FEELING: likeliness of success and quality of impact	HIGH chance of success AND HIGH quality of impact		LOW chance of success AND LOW quality of impact

Appendix V: Final Deliverable [ENGLISH]




Grant Process

- 1 **ADVERTISE** grant competition to potential applicants.
- 2 Create an **APPLICATION** document stating information needed from the applicant and the proposal requirements. The grantor should provide feedback to the applicants during the application process for the submission of improved proposals.
- 3 The **EVALUATION** process begins with compiling a judging committee. Judges should be provided with a scoring rubric alongside the submitted proposals to evaluate the proposals individually. The judging committee should then meet together to discuss their scorings of proposals. The proposal with the highest ranking, based on score, should be awarded the grant. Applicants should receive feedback on their proposals for areas of improvement.
- 4 The grant recipient should produce a **POST GRANT REPORT** detailing the use of the grant and how they plan to repay the loan.

1 Advertisement

Due to the grant competition only being applicable to partnered organizations, the advertising method of word of mouth and email would work best for Hearts of Gold. If Hearts of Gold were to ever want to expand the applicant pool posting a call for proposals online would also be an advertisement method to utilize.

Advertisement Methods:



Word of Mouth



Post on Website



Email Potential Applicants

2 Application

Organization Name: _____
 Organization's Mission Statement: _____
 Summary of Proposal (100 word limit): _____

Are you receiving funding from other sources? If so, please indicate the funders and the amount. _____

Proposal Requirements:

- ◆ Project Plan
- ◆ Purpose
- ◆ Alignment with Mission
- ◆ Impact
 - Direct/Indirect
- ◆ Evaluation

Provide a detailed budget on the anticipated use of the grant. Include a plan for repaying the \$1000 loan. _____

If awarded the grant, the grantee is required to submit a post grant report detailing the use of the grant and how they have begun repaying the loan. _____

Use this section for any comments: _____

Signature : _____ Date: _____

3 Evaluation

Before the evaluation stage can begin, a judging committee should be formed with about 5 members.

Judging committee members should:

- ◆ Understand Spanish, unless submitted proposals are translated to English
- ◆ Knowledgeable of the Cuenca area and the communities' needs

Judges should independently score submitted proposals **THEN** discuss their findings as a committee

3 Evaluation - Scoring Rubric

Criteria	2- Exceptional	1- Moderate	0- N/A
Plan	Clear detailed plan with a supporting project description; provides a solution that can be accomplished as stated in the proposal; serves target community	Somewhat clear plan; solution provide could be achieved, serves target communities	No plan, with little information supporting proposal; no solution proposed; does not serve target communities
Purpose	Significant and innovative; original project ideas	Somewhat significant and somewhat innovative; somewhat original ideas	Not significant and not innovative; unoriginal ideas
Alignment with Mission	Exceeds the values and areas of interest for the granting organization	Moderately supports the values and areas of interest	Does not support the values and areas of interest of granting organization
Impact	Directly and significantly impacts most of community involved	Moderately impacts the community involved	Will not impact the community in a positive manner
Value/Risk	Project will be sustainable and long lasting for the betterment of community; value-risk	Project will be moderately sustainable and somewhat long lasting for the betterment of the community; value-risk	Project will not be sustainable or long lasting for the betterment of the community; value-risk
Feasibility	Project will be doable for the grant value with a high chance of success	Project may be doable for the grant value with a moderate chance of success	Project is not doable for the grant value with no chance of success

4 Post Grant Report

Organization Name: _____
 Organization's Mission Statement: _____

Provide a detailed budget on how the grant funding was used. _____

How do you plan on repaying the loan? _____

How did your project impact the community? Who benefited? _____

Did your project go according to plan? Did you face any unforeseen complications? Were your goals and objectives met? _____

Appendix W: Final Deliverable [SPANISH]



1 Anuncio

Debido a que el concurso de becas solo es aplicable a organizaciones asociadas, el método de publicidad de boca en boca y correo electrónico funcionaría mejor para Hearts of Gold.

Si Hearts of Gold deseara alguna vez ampliar el grupo de solicitantes publicar una convocatoria de propuestas en línea también sería un método de publicidad a utilizar.

Métodos de publicidad:



Boca a Boca



Publicar en el Sitio Web



Enviar Correos Electrónicos a los Solicitantes Potenciales

3 Evaluación

Antes de que pueda comenzar la etapa de evaluación, se debe formar un comité de jueces con aproximadamente 5 miembros.

Los miembros del comité de jueces deben:

- Comprender español, a menos que las propuestas enviadas estén traducidas al inglés.
- Conocedor del área de Cuenca y las necesidades de las comunidades.

Los jueces deben calificar de forma independiente las propuestas presentadas **ENTONCES** discutir sus hallazgos como un comité

4 Informe Posterior a la Subvención

Nombre de la Organización:
Declaración de misión de la organización:

Proporcione un presupuesto detallado sobre cómo se utilizó la subvención.

¿Cómo piensa reembolsar el préstamo?

Cómo impactó su proyecto a la comunidad? ¿Quién se benefició?

¿Tu proyecto salió según lo planeado? ¿Tuviste alguna complicación imprevista?

Proceso de Concesión

- ANUNCIE** la competencia de subvenciones a posibles solicitantes.
- Crear un documento **DE SOLICITUD** que indique la información necesaria del solicitante y los requisitos de la propuesta. El otorgante debe proporcionar información a los solicitantes durante el proceso de solicitud para la presentación de propuestas mejoradas.
- El proceso **DE EVALUACIÓN** comienza con la compilación de un Comité de jueces. Los jueces deben recibir una rúbrica de puntuación junto con las propuestas presentadas para evaluar las propuestas individualmente. El Comité de jueces debe reunirse para discutir sus resultados de propuestas. La propuesta con la clasificación más alta, basada en la puntuación, debe recibir la subvención. Los solicitantes deben recibir comentarios sobre sus propuestas de áreas de mejora.
- El beneficiario de la subvención debe presentar un **INFORME POSTERIOR A LA SUBVENCIÓN** que detalle el uso de la subvención y cómo planea pagar el préstamo.

2 Solicitud

Nombre de la organización:

Declaración de misión de Organization:

Resumen de la propuesta (límite de 100 palabras):

¿Está recibiendo financiación de otras fuentes? Si es así, indique a los financiadores y el monto.

Requisitos de la propuesta:

- Plan de proyecto
- Propósito
- Ajuste con misión
- Impacto
 - Directo/Indirecto
- Evaluación

Proporcionar un presupuesto detallado sobre el uso previsto de la subvención. Incluya un plan para pagar el préstamo de \$1000.

Si se concede la subvención, el concesionario está obligado a presentar un informe posterior a la subvención en el que se detalle el uso de la subvención y cómo han comenzado a devolver el préstamo.


Utilice esta sección para cualquier comentario:

Firma: _____ Fecha: _____

3 Evaluación - Rúbrica de Puntuación

Criterios	2- Excepcional	1- Moderado	0- N/A
Plan	Plan detallado claro con una descripción del proyecto de apoyo; proporciona una solución que se puede lograr como se indica en la propuesta; sirve a la comunidad objetivo	Plan algo claro; se podría lograr la solución proporcionada; sirve a las comunidades objetivo	Sin plan, con poca información de apoyo propuesta; ninguna solución propuesta; no sirve a las comunidades objetivo
Objetivo	Importante e innovador; ideas de proyectos originales	Algo significado y algo innovador; ideas algo originales	No significativo ni innovador; ideas no originales
Alineación con la misión	Supera los valores y áreas de interés de la organización otorgante	Apoya moderadamente los valores y áreas de interés	No apoya los valores y áreas de interés de la organización otorgante
Impacto	Impacta directa y significativamente a la mayoría de la comunidad involucrada	Impacta moderadamente a la comunidad involucrada	No impactará a la comunidad de manera positiva
Valor/Riesgo	El proyecto será sostenible y duradero para el mejoramiento de la comunidad; valor > riesgo	El proyecto será moderadamente sostenible y algo duradero para el mejoramiento de la comunidad; valor = riesgo	El proyecto no será sostenible ni duradero para el mejoramiento de la comunidad; valor < riesgo
Factibilidad	El proyecto será factible por el valor de la subvención con una alta probabilidad de éxito	El proyecto puede ser factible por el valor de la subvención con una probabilidad moderada de éxito	El proyecto no es factible por el valor de la subvención sin posibilidad de éxito

Appendix X: IRB Submission



Updated By: Kathryn Kenney 01-Feb-2021

GENERAL INFORMATION

APPLICATION TYPE
Record #: IRB-21-0278

* What type of application are you submitting?
Exemption Application for student project involving minimal or no risk

* There are 3 application types available

Use this application for student projects involving interviews, surveys, focus groups, observation of public behavior or benign behavioral interventions, where there is minimal risk to research subjects. "Minimal risk" means that the risks to research subjects are no greater than those ordinarily encountered in daily life. Benign behavioral interventions include testing on-line games, websites and other behavioral studies that are brief, harmless, and could not be embarrassing or offensive. (This exemption is not appropriate for studies that involve surveys/interviews of children. Please select the standard application.)

* Is this a student project?
 Yes No

* Student project type:
Undergraduate project (MQP, IQP, Suff., other)

* (Specify):
IQP

* Title of Study
Development of Grant Application and Selection Process for the Hearts of Gold Micro-Entrepreneurship Contest Ecuadorian Non-Profits

* Locations of Research: *(If at WPI, please indicate where on campus. If off campus, please give details of locations.)*
Cuenca, Ecuador (Remote)

Anticipated Dates of Research:

* Start Date: * Completion Date:

STUDY INFORMATION

* Expected Research Subjects:
(e.g. museum visitors under the age of 12)
Hearts of Gold executive director, Maria Orellana; Hearts of Gold volunteers; Hearts of Gold partnered organizations

* Project Mission Statement and Objectives:
The goal of this project is to improve the assessment and grant distribution process of the Hearts of Gold Foundation to fund Ecuadorian non-profit organizations. Funding aid the communities of Ecuador. The following objectives were identified in order the goal: Assess the premier Hearts of Gold micro-entrepreneurship contest; Evaluate Non-Governmental Organizations criteria when determining grant contest recipients; Pilot test micro-entrepreneurship contest ideas and methods; Recommend changes Hearts of Gold's micro-entrepreneurship contest.

* Brief Methods Listing:
(e.g. "Survey of public to ascertain knowledge and opinions about climate change" or "Interview of professionals working on climate change regarding effective city climate change program")
Interview with Hearts of Gold executive director to obtain knowledge on the previous micro-entrepreneurship contest; interview H Gold employees and volunteers; Survey of Hearts of Gold partnered organizations to obtain opinions on the first contest; interview NGOs for grant competition assessment documentation.

* Does the proposed research involve vulnerable research subjects?
(e.g. children, prisoners, students, persons with mental or physical disabilities)
 Yes No

* Does the research involve human subjects in ways other than as participants in interviews, focus groups, or surveys?
(e.g. observation of public behavior, use of archived data or experimental procedures)
 Yes No

* Will the researchers collect information that can be used to identify the subjects?
 Yes No

* Could the disclosure of a human subject's identity and responses place the subject at risk of criminal or civil liability or be damage the subject's financial standing, employability or reputation?
 Yes No

* Will the researchers disclose the identity or the individual responses of any human subjects?
(e.g. by quoting an individual, whether or not identified by name or title)
 Yes No

Appendix 1
Attach the statement of research methods or draft methodology chapter: *60*
Attach a draft of surveys and/or a list of questions to be used for interviews or focus groups:
If sample questions are included in Appendix 1, Methodology chapter, indicate the page numbers here:
pg 3,4

* Which of the following categories best describes your study?
Social Sciences, management and other non-biomedical disciplines

* Purpose of Study:
(Please provide a concise statement of the background, nature and reasons for the proposed study. Insert below using non-technical language that can be understood by non-scientist members of the IRB.)
The goal of this project is to improve the assessment and grant distribution process of the Hearts of Gold Foundation to fund Ecuadorian non-profit organizations. Funding aids the communities of Ecuador. After the first grant contest, Hearts of Gold has requested some improvements to their contest by adding a structured assessment to select the grant winner.

* Has an IRB ever suspended or terminated a study of any investigator that will be listed on this protocol?
 Yes No

Please indicate if your study involves:

* Investigational drugs or investigational medical devices
 Yes No

* Hazardous Materials
 Yes No

* Special diets
 Yes No

* Collaborating Institutions: *(Please list all collaborating institutions.)*
N/A

STUDY PERSONNEL

All study personnel having direct contact with subjects must take and pass a training course on human subjects research. There are links to web-based training courses that can be accessed under the Training link on the IRB website <https://www.wpi.edu/research/support/compliance/institutional-review-board>.

Name	Elgert, Lauren	Role	Principal Investigator
Involve Start Date	<input type="text" value="04-Dec-2020"/>	End Date	<input type="text"/>
Please upload a copy of your relevant HS training certificate(s):			
Name	Gauthier, Meredith	Role	Student Investigator
Involve Start Date	<input type="text" value="04-Dec-2020"/>	End Date	<input type="text"/>
Please upload a copy of your relevant HS training certificate(s):			
Name	Kamara, Jermch	Role	
Involve Start Date	<input type="text" value="04-Dec-2020"/>	End Date	<input type="text"/>
Please upload a copy of your relevant HS training certificate(s):			
Name	Kenney, Kathryn	Role	Student Investigator
Involve Start Date	<input type="text" value="04-Dec-2020"/>	End Date	<input type="text"/>
Please upload a copy of your relevant HS training certificate(s):			
Name	Miller, Fabienne	Role	Principal Investigator
Involve Start Date	<input type="text" value="04-Dec-2020"/>	End Date	<input type="text"/>
Please upload a copy of your relevant HS training certificate(s):			

Name	Pacheco, Brian	Role	Student Investigator
Involve Start Date	<input type="text" value="04-Dec-2020"/>	End Date	<input type="text"/>
Please upload a copy of your relevant HS training certificate(s):			

FUNDING INFORMATION

FUNDING INFORMATION

How will the study be funded?

- Grant/Contract/Subaward (Federal)
- Grant/Contract/Subaward (Non-Federal)
- Departmental funds
- Faculty start-up or incentive funds
- Investigator out-of-pocket
- No funding anticipated

INVESTIGATOR'S ASSURANCE

All participants in this research project are agreeing to abide by the following instructions:

- * You agree to inform subjects orally or in writing that:
 - Participation in the research is voluntary.
 - Participants may end their participation at any time.
 - Participants need not answer every questions in an interview or survey.
- * If your research is **anonymous**, you also inform subjects that you are not collecting names or any identifying information from
- * If your research is **confidential**, you inform subjects that no identifying information will be disclosed with individual response
- * If your research is **NOT** completely anonymous and confidential, you must obtain each subject's permission to publicly disclose her identity and/or responses. All requests for anonymity and confidentiality must be honored. The subject must be offered the opportunity to pre-approve the publication of any quoted material.
- * I certify that I have added all Study Personnel, including students, to the study personnel page.