



Application Guidelines
Neighborhood Small Grants Program
2017 Grant Cycle

The Neighborhood Small Grants Program (NSGP) is designed to strengthen neighborhoods in the City of Knoxville by supporting a wide range of community-based initiatives through grants and technical assistance.

The NSGP's goals are to:

- A. Encourage neighborhood organizations to connect neighborhood residents with one another — and to engage the skills and knowledge of the residents.
- B. Build neighborhood capacity to plan and implement neighborhood improvement strategies.
- C. Increase the number of residents and resident leaders (including youth) involved in responding constructively to neighborhood issues, problems and opportunities.
- D. Strengthen each neighborhood's connection to other neighborhoods, existing community assets, and partnership opportunities.
- E. Support efforts to form neighborhood groups in unorganized areas.

Please read this entire document before you start filling out your Application. Call Debbie Sharp in the Office of Neighborhoods at 215-4382 if you have a question or need help understanding these guidelines or the application. We are here to help you.

Terms & Conditions of the 2016 Neighborhood Small Grants Program

1) Available Funding and Competitive Grants

The City of Knoxville has approximately \$40,000 available under the NSGP in the round of grants to be awarded in late 2016 for projects carried out in calendar year 2017. Awards to support one-year projects can range from \$500 to \$3,000. This is a competitive process. Some applications may not be funded, and some may be only partially funded.

Funds received from NSGP must be matched on a dollar-for-dollar basis with the value of donated goods and services, the value of volunteer labor, and money pledged from non-City-of-Knoxville sources. At least one third of the match must be in the form of volunteer labor provided by residents of the neighborhood. See Page 5 for details.

2) **Pre-Application Workshop**

Neighborhood groups wishing to apply **must** send a representative to a pre-application workshop on Saturday, July 16, 2016, **or** Thursday, July 21, 2016. Attendance is required at only one of the workshops. If a neighborhood is required to attend, but their representative absolutely cannot attend either workshop, please call Debbie Sharp at 215-4382.

Even if your group is doubtful you will apply, send someone to one of the workshops anyway. This will ensure that you have met this requirement and preserve your right to apply in this 2017 round.

3) **Deadline for Applications**

Applications submitted via mail, email, or in person must be received no later than 4:30 p.m. Monday, August 29, 2016. No applications will be accepted beyond this deadline. No applications by fax, please. See Page 2 of the Application for details.

4) **Who can apply?**

1. Neighborhood groups that received funding under the 2015 and 2016 rounds are eligible to apply in this 2017 round if their projects will be substantially completed by January of 2017 — but the new funds must be for new projects.
2. Applicants must be resident-led, resident-controlled neighborhood groups serving neighborhoods in the City of Knoxville.
 - *Neighborhood groups can include neighborhood associations, homeowners associations, tenant associations and neighborhood watch groups.*
 - *In the case of neighborhoods that are only partly in the city, more than 50% of the housing units must be located inside city limits.*
 - *Umbrella organizations that are made up of and controlled by member City neighborhood groups are also eligible to apply.*
3. Groups must be democratically run and managed by residents within the neighborhood to reflect the concerns of residents.
4. A group must conduct a regular election process to select leaders, and this process must be included in the group's bylaws or otherwise available in written form. (Groups without written rules can submit a statement explaining how they are working toward this goal.)
5. A group must have a defined geographic boundary, hold regular meetings, maintain records and meeting minutes, and be registered with the Office of Neighborhoods.
6. A group cannot discriminate on the basis of race, creed, color, religion, sex, age, national origin, or disability when carrying out any aspect of the funded project.

7. To receive funding, a neighborhood group must be a nonprofit organization with tax-exempt 501(c)(3) status **OR** have made arrangements for a Fiscal Sponsor. (See Fiscal Sponsor section on Page 3.)
8. **Checking Account:** To receive funding directly from the City or through the city-provided Fiscal Sponsor (the East Tennessee Community Design Center), a neighborhood group must have a checking account prior to receiving the first check. If you use your own Fiscal Sponsor, you may not need a checking account depending on how your Fiscal Sponsor handles your receipts and invoices. In any case, it is not necessary to possess a checking account at the time you submit a NSGP application.
9. **Start-up Groups:** Consideration will be given to applications from start-up groups. A start-up group is defined as a group of individuals from three or more unrelated households who wish to launch a resident-led, resident-controlled neighborhood organization within a neighborhood that currently has no active organization.
 - *The names and contact information for at least three individuals (three separate households) must accompany the application.*
 - *Such application must detail how the group plans to address governance issues and other requirements stated in 1-7 above.*
 - *Funding will be limited to \$500 or less, and such funding must be applied to steps involved in creating a new neighborhood organization.*

5) Ineligible Organizations

Groups that are *not* eligible to apply include schools, city-wide organizations, healthcare facilities, religious institutions and organizations, political groups, governmental agencies and nonprofit organizations that are not resident-based.

However, neighborhood groups may partner with other organizations that would otherwise be ineligible, such as youth service organizations.

6) Timeline

Pre-Application Workshop A	10 a.m. Saturday, July 16, 2016 United Way, 1301 Hannah Avenue
Pre-Application Workshop B	5:30 p.m. Thursday, July 21, 2016 Cansler YMCA, 616 Jessamine St.
Application Deadline	4:30 p.m. Monday, August 29, 2016
Awards Announced by	Early October 2016
Funds Distributed	December 2016
First Project Report Due	Mid-way through grant cycle
End Date for Projects	December 31, 2017
Final Project Report due no later than	January 31, 2018

7) Fiscal Sponsorship

NSGP grants can be made only to tax-exempt organizations with 501(c)(3) status.

- If a neighborhood group has a 501(c)(3) determination letter from and is in good standing with the Internal Revenue Service (IRS), that group can receive funding directly from the City.
- Neighborhood organizations without such tax-exempt status — and that includes most neighborhood groups — can receive NSGP support by partnering with a tax-exempt organization willing to serve as the organization's fiscal sponsor. Funds are dispersed to that sponsor, which then provides the funds to the neighborhood group.

Please Note: By law, churches and other religious organizations may not serve as fiscal sponsors for taxpayer-funded grants.

You may partner with a fiscal sponsor of your choosing. If you have no fiscal sponsor, the East Tennessee Community Design Center, partnering with the City of Knoxville, will provide that service to you. If you choose East Tennessee Community Design Center, we will set this up for you. If you wish to choose a different fiscal sponsor, you will be responsible for setting this up on your own.

8) Project Examples

Here are some project ideas. These are only examples. We encourage creativity in developing a project that addresses a need or opportunity in your neighborhood.

Neighborhood Improvement & Placemaking — Physical improvements to public areas, such as landscaping, design and development of neighborhood parks; neighborhood clean-up and beautification projects; establishment of community gardens; design and installation of neighborhood signs; and development of projects which address issues of neighborhood blight.

Crime and Public Safety — Projects which reduce crime and increase public safety, such as establishment of a neighborhood watch program; creative alley lighting; National Night Out activities; and crime prevention, fire safety and emergency preparedness programs (including First Aid, CPR and Ham Radio training).

Organizational Development — Projects which increase the effectiveness and improve operations of existing neighborhood organizations, such as establishment or continuation of a neighborhood newsletter or fliers; publication of neighborhood directories or brochures; leadership or board training; membership recruitment campaigns; meeting notice signs; attendance at neighborhood conferences; and inventory of neighborhood skills and talents.

Recreational, Educational, and Cultural Activities — Projects which bring neighborhood residents together for enjoyment and self-improvement, such as neighborhood festivals or other neighborhood-wide events; after-school or summer enrichment programs for youth; programs for senior citizens; and projects for gathering/recording neighborhood histories.

9) Matching Contributions

Funds awarded under the Neighborhood Small Grants Program must be matched on a dollar-for-dollar basis by the total value of volunteer labor, donated goods and services, and any non-NSGP cash income dedicated to the funded project. The total of your matching contributions must equal or exceed the amount requested from NSGP.

Volunteer labor can be calculated at \$15 per hour. Neighborhood groups are strongly encouraged to maintain a log of volunteer hours in order to keep track of your time investment, and this log can be submitted along with Mid-Project and Close-Out reports.

The NSGP encourages a high level of neighbor participation, and therefore at least one third of the match must be in the form of volunteer labor provided by at least three residents (the more, the better) in support of the proposed project at the \$15/hour rate. All of the match can be in the form of volunteer labor.

Funds from other City of Knoxville sources, such as City Council 202 funds, can be used in an NSGP-funded project, but they cannot be used for the match. This is to encourage groups to gain independence by developing their own fund-raising projects and non-city sources of funding.

10) How Funds Can Be Used

Here are examples of items that funds can be used for:

- Supplies, materials
- Equipment that will be used again or that can be shared with other groups
- Printing and copying
- Postage (can include postage for first issue of a start-up or revived newsletter)
- Disaster preparedness items deployed for the benefit of the entire neighborhood
- Consultant fees
- Permit fees
- Equipment rental
- Food and non-alcoholic drinks (in cases where potlucks and neighbor donations are not feasible)
- Project expenses incurred after City Council approves the grant contracts and before the first grant check is issued.

When you create a project budget, determine the actual cost of items you need to purchase and then think resourcefully how to obtain those items through borrowing or donations. This will free up funds for other needs or allow you to reduce your grant request.

11) How Funds Cannot Be Used

Here are examples of items that cannot be paid for by the NSGP grant:

- Costs incurred in preparing the Application
- Direct grants, scholarships or loans for the sole benefit of specific individuals

- Loans, debt repayment, emergency funding
- Direct social services provided by social service agencies
- Cost of hiring a contractor for more than ½ half of the grant
- HOA and condo expenses including but not limited to roofs, storm water control, landscaping, private streets, and amenities not available to the general public.

In addition, groups should not view the NSGP as a means for funding the same project or activity year after year. Funding can be granted for the same project no more than three years in a row, and only if the City’s share of the income is reduced in the second and third years, replaced by other sources.

12) Fund Distribution, Receipts and Project Reports

Funds generally will be distributed in one payment for grants of \$1,000 or less, and in two payments for grants exceeding \$1,000. Funds will be authorized for distribution only when a project is ready to proceed.

The Office of Neighborhoods will monitor funded projects carefully and will require an exact accounting of how all funds are spent. The neighborhood organization will have to file two reports. The first, a Mid-Project Report, will be required before the second half of funds can be received or spent. An End-Project Report will be due within 30 days of the project completion but no later than January 31, 2018.

Both reports must be accompanied by receipts for all expenditures. Failure to provide these reports and receipts in a timely manner will result in the organization’s suspension from future consideration for funding.

Neither applicant organizations nor associated individuals may profit financially from a project funded by the NSGP. Unused NSGP funds must be returned to the City unless project modifications or additions have been approved in writing by the Office of Neighborhoods.

13) Share the Knowledge

- Funded groups will be encouraged to document your project with photos, videos, and narrative so that it can be posted on the City’s website for the benefit of other neighborhoods.
- Project leaders may be invited to participate in the 2018 Neighborhood Awards & Networking Luncheon or the 2019 Neighborhood Conference to share your project story with others.
- Neighborhood groups should notify the City whenever a funded activity or event is taking place, so that this event can be covered in the weekly newsletter published by the Office of Neighborhoods. This is also so that we may attend to support your neighborhood and document your event with photos as well.

14) Other Notes for Applicants

- a) The maximum NSGP grant for any one organization, application or project is \$3,000, except as specified in Item F below.
- b) Only one application per neighborhood organization will be accepted, unless the group partners with another neighborhood or community organization on a separate project.
- c) No more than two projects may be included in a single application, and they must be clearly distinguished with regard to purpose, budget, timeline, etc.
- d) Two or more neighborhood organizations may partner in a project led by residents of those neighborhoods.
- e) If a neighborhood organization partners with a community-based nonprofit, a support letter from that nonprofit should be included with the application.
- f) The City will consider providing up to \$4,500 for a single project if the participating neighborhood organization has a proven track record (previous funding, completed successful project, completed paperwork) and if the organization partners with another neighborhood or nonprofit.
- g) The Applicant is responsible for any needed permit fees and approvals that may be required, and these costs should be included in the budget. Applicants who intend to use the East Tennessee Community Design Center as their fiscal sponsor should budget \$100 for ETCDC's fiscal sponsorship fee.
- h) The Awards Committee (composed of neighborhood leaders and others familiar with the grant-making process) may recommend and the City may require that a grantee agree to certain conditions in order to receive the grant. Examples include revising the budget or timeline, following up on a suggestion to meet with a city department on some aspect of the funded project, and agreeing to take sealed bids for a major purchase.

15) Judging Criteria

When evaluating proposals, the Awards Committee and the City will be looking to fund proposals that possess these characteristics:

- The proposed project emerges from and addresses the unique needs and opportunities of the neighborhood and/or the neighborhood organization.
- The project benefits the neighborhood as a whole.
- The project meets one or more of the goals of the NSGP program. See Page 1.

In addition, a strong application will propose a project that:

- Is realistic and doable within the organization's capacity (ability).
- Has a well-defined scope and measurable goals.
- Is highly creative.
- Presents a well-thought-out and realistic budget.

- Includes a detailed Project Work Plan and Timeline (who is going to do what when).
- Draws heavily on the skills, knowledge and labor of neighborhood residents.

All neighborhoods are encouraged to apply for NSGP funding. However, if the total amount of funds requested exceeds available funds, the awards committee may consider giving preference to an otherwise qualified proposal from a low- or moderate-income neighborhood over an otherwise qualified proposal from a high-income neighborhood.

The City will rely heavily on the insight and advice of an independent citizens committee to evaluate proposals, but the City retains sole discretion to determine the eligibility of applications and whether proposed projects meet the program's guidelines and criteria.

16) Contact Us

Questions may be directed to:

Debbie Sharp
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dsharp@knoxvilletn.org