

## GUIDELINES FOR PROJECTS' PRESENTATION 2013

*Fondazione Cariplo is a fully independent private entity that pursues the public good and promotes economic development pursuant to Act 461 of December 23, 1998 and Legislative Decree 153 of May 17, 1999.*

*Fondazione Cariplo fulfils its mission primarily by making grants to third-party projects and initiatives that are selected by the Foundation in its sole discretion.*

In addition to these guidelines, organizations applying for grants under a Fondazione Cariplo's call for proposals are invited to read the publication **'Risorse economiche e finanziarie per i progetti delle Associazioni'** as well as the 'Grant Management and Reporting Guide' (Chapter 5 'Financial Aspects'; subsections 10.4.1, 10.4.2 and 10.4.10 in Chapter 10 'Audit'; Chapter 11 'Grant Terms and Conditions') that contains useful information that can help applicants in the presentation of projects. Both documents are available as pdf files on the Foundation's website ([www.fondazionecariplo.it](http://www.fondazionecariplo.it)).

### 1) How to apply for a Foundation's grant under a call for proposals

Here are the steps for submitting your grant application under a Foundation's call for proposals:

- a) go to the Foundation's website [www.fondazionecariplo.it](http://www.fondazionecariplo.it) and click on 'Log in' (on the top of the page)
- b) register or, if you have already registered, enter your username and password
- c) fill out all required fields in the **Organization** form and attach all required documents (see section 5 'Required Documents' herein).

User accounts were set up in 2007. If you applied for a Fondazione Cariplo's grant after that date you should already have your username and password. Check your Organization form (including attachments) and update it, if necessary.

If you have lost your username and password, please contact the Foundation's Help Desk by sending an email to [helpdesk@fondazionecariplo.it](mailto:helpdesk@fondazionecariplo.it) or calling toll free 800.416.300 Monday to Friday 10:00 am to 1:00 pm and 2:30 pm to 5:30 pm.

#### 1.a) Fixed-deadline calls for proposals

After filling out/updating your **Organization** form:

- d) select the call for proposal under which you are going to apply for a Foundation's grant, fill out all required fields in the

Project form (organized into three sections: **Project**, Budget and Complementary Data, the last one being present only for specific calls), attach all required documents (see section 5 'Required Documents' herein);

- e) submit the Project online.

#### 1.b) Open-deadline calls for proposals

For open-deadline calls for proposals, prior to submitting your grant application, you are required to submit a preliminary proposal which will be examined by the Foundation's staff to understand precisely the project features, assess the credentials of your organization, the viability of the project as well as its consistency with the Foundation's mission.

To submit your preliminary proposal, you need to go to the website's restricted area, fill out/ update your **Organization** form and:

- f) select the call for proposal and fill out entirely the **Pre-Proposal** form;
- g) submit the Pre-Proposal online.

You are reminded this is not yet an application for grant. After the Pre-proposal online submission, the organizations will be invited by the Foundation's staff for an informal interview with the aim of collecting more information on the project's content and decide if the submission of a grant application is appropriate. In such a case you will be asked to submit a grant application and:

- h) fill out all required fields in the **Project** form (Project, Budget and Complementary Data, the last one being present only for specific calls), attach all required documents (see section 5 'Required Documents' herein);
- i) submit the Project online.

### 2) Ex ante evaluation and selection

The selection procedure is carried out in two steps. First, the grant application is examined for its compliance with all formal requirements and consistency with the scope and goals expressly set out in the call for proposals. If this step is successfully passed, then the grant application moves on to the second step which entails the thorough, in-depth analysis of the proposed project.

Grant applications shall be automatically excluded and cannot move on to the second step, if they are:

- a) **submitted by an entity that is ineligible for Fondazione Cari-**

**pllo's grants** (see section 3 'Organizations Eligible for Fondazione Cariplo's Grants').

- b) **incomplete**, i.e. not all required fields have been filled out or one or more required documents are missing (see section 5 'Required Documents' herein);
- c) **inconsistent** with the goals, guidelines or do not meet the requirements set out in the call for proposals and these guidelines;
- d) **submitted after the deadline** (for fixed-deadline calls for proposals). Applications are to be online submitted by 11:59 pm on the date indicated as deadline in the call for proposal. Please note that the Foundation's Help Desk staff are available for assistance until 5:30 pm.

The second step entails the merit assessment focusing on both the projects' content (structure and clarity of the project description, meaningfulness of goals and consistency with requirements, adequacy of strategies, significance of anticipated outcome and adequacy of the organization or partnership to the type of project proposed) and their financial viability.

Grants are signed off by the Foundation's Board of Directors on the basis of the merit assessment by the Foundation's staff that reviewed and assessed the proposals (assisted by panels of independent experts, when necessary).

The full list of the grants awarded by the Foundation is published on the website [www.fondazione cariplo.it](http://www.fondazione cariplo.it).

Applicants are informed of the Foundation's approval or rejection of their grant application via a **Letter sent by Fondazione Cariplo's President** to their legal representative.

Grantees receive another official communication, the **Letter from the Secretary General** of the Foundation. This second letter will be only uploaded online in the Foundation's website restricted area. The Letter from the Secretary General sets out the requirements to be met by the Grantee to receive the grant payment.

The Grantee is invited to attend a training session on grant management and reporting.

For information on grant management and reporting rules, please see the 'Grant Management and Reporting Guide' available on Fondazione Cariplo's website.

### 3) Organizations Eligible for Fondazione Cariplo's Grants

#### 3.a) General criteria (apply to all organizations asking for

grants, hence, for partnerships, to both the lead organization and all other partners)

Pursuant to the legislation in force, the Foundation cannot award, either directly or indirectly, any grants or any other funds to any businesses or other for-profit organizations except for leisure, entertainment and news media co-operatives, social enterprises and social co-operatives (article 3, paragraph 2, Legislative Decree 153 of May 17, 1999).

The Foundation verifies the activities carried out and the purposes pursued by the Applicant. To this end the Foundations examines its Bylaws and financial statements (see section 5 'Required documents' herein). The Foundation also reserves the right to request any additional information or document it may need for its assessment.

The nonprofit purpose of the organization shall be evidenced in the its Bylaws by provisions that:

- a) prohibit the distribution, in any form, either directly or indirectly, of any profits, surpluses, reserves or funds to the benefit of its directors, members, partners, employees or independent contractors;
- b) require that any profits or surpluses from its activities be used to pursue the organization's purposes or to increase its net assets;
- c) require that, upon the dissolution of the organization, any remaining assets be used for the public good or be transferred to other nonprofit organizations.

The following organizations are considered nonprofit

- organizations registered as volunteer organizations in the relevant regional registers;
- organizations registered in the register of nonprofit associations serving the common good;
- organizations registered in the national register of NGOs;
- organizations registered in the register of nonprofit entities.

The following organizations are eligible for a Foundation's grant

- leisure, entertainment and news media cooperatives
- social cooperatives
- social enterprises registered in the relevant section of the Register of Businesses

Regardless of their status, the following organizations are not eligible for a Foundation's grant

- organizations that are not officially constituted and registered;
- political parties;
- trade union organizations;
- trade organizations;
- entities that are either directly or indirectly involved in lobbying or electoral campaigns to influence voting;
- entities working to limit the freedom and dignity of citizens or promoting any form of discrimination
- natural persons.

The Foundation does not award grants, and if the grant is approved it will not be paid, for projects that are submitted by organizations that are eligible yet connected to ineligible entities.

**3.b) Specific criteria** (apply to the entity that submits the application, hence, for partnerships, only to the lead organization)

For grants applications under a Foundation's call for proposals, the following shall also constitute a cause for ineligibility:

- 1) **grant applications submitted by the same Applicant** under the same call for proposals:
  - a. for fixed-deadline calls for proposals: Applicants are allowed to submit only one grant application for the same edition of the given call for proposals;
  - b. for open-deadline calls for proposals: Applicants are not allowed to submit an application for another grant before the expiration of 12 months from the date of submission of the previous application for a Foundation's grant;
- 2) the Applicant **has still to fulfill all final grant reporting requirements for more than one previous Grant** in the given program area (Environment, Arts & Culture or Social & Human Services) after the expiration of 6 months from the official project end date as established in accordance with the Foundation's procedures;
- 3) the Applicant was **awarded a Foundation's Grant in the two previous editions** of the call for proposals.

In relation to the causes for ineligibility under 1, 2 and 3 above, Applicant shall mean:

- a. for universities, the Principal Investigator;
- b. for local public entities, the public administration department;
- c. for all other entities, the entire organization.

The causes for ineligibility under 1, 2 and 3 above do not apply to Calls for Proposals in the Scientific Research Area.

The cause for ineligibility under 3 above does not apply to Calls for Proposals in the Environment Area.

#### 4) Fondazione Cariplo's Constituency

Unless specified otherwise in the given call for proposals, for its grant making program, the Foundation has adopted the geographical area of Lombardy and the provinces of Novara and Verbano-Cusio-Ossola, i.e. its traditional constituency.

#### 5) Required Documents

In addition to filling out all required fields in the online grant application, Applicants are required to submit the documents set out in the table on next page, as electronic attachments:

Organization	Public entity	Religious organizations	Private Entities
<b>(LAED) ORGANIZATION documents (to be attached to the online Organization form)</b>			
Registered Memorandum of Association	No	No	Yes
Registered Bylaws (current)	No	No	Yes
Approved annual financial statements for the last 2 years including the explanatory notes and the management report	No	Yes (1)	Yes (2)
Approved budget for the current year	No	Yes (3)	Yes (3)
<b>PROJECT documents (to be attached to the online Project form)</b>			
Accompanying letter signed by the legal representative	Yes	Yes	Yes
Detailed Project Description	Yes	Yes	Yes
Detailed Budget	Yes	Yes	Yes
Any additional documents required under the specific call for proposals	Yes, if required	Yes, if required	Yes, if required
Partnership agreements made between the Lead Organization & Partner(s)	Yes, for partnership projects	Yes, for partnership projects	Yes, for partnership projects
<b>PARTNERS documents (to be attached to the online Project form for partnership projects)</b>			
Accompanying letter signed by the legal representative	Yes	Yes	Yes
Registered Memorandum of Association	No	No	Yes
Registered Bylaws (current)	No	No	Yes
Approved annual financial statements for the last two years including the explanatory notes and the management report	No	Yes (1)	Yes (2)
Approved budget for the current year	No	Yes (3)	Yes (3)

(1) Those organizations for which the law does not require the preparation of financial statements are required to submit accounts relating to the activities of the specific unit or division (e.g. parish, hospital, school, museum) that will carry out the project.

(2) Those organizations for which the law and the Bylaws do not require the preparation of financial statements are required to submit statements of revenues and expenses earned/incurred in the past two years. These accounting documents should be prepared in compliance with 'Nonprofit organizations' guidelines and accounts' issued by 'Agenzia per il Terzo Settore' (Italy's Third Sector Organizations Agency) in March 2009.

(3) Those organizations for which the law and the Bylaws do not require the preparation of budgets are required to submit statements of revenues and expenses budgeted for the current year.

(4) The accompanying letter whereby the organization represents the information it has provided is truthful is automatically generated by clicking on 'Create accompanying letter' in the 'Attachments' section of the online Project form. The accompanying letter (one for each partnership member) is to be printed on the organization's letterhead, duly signed by the legal representative and attached to the Project form.

For all Applicants (public, private and religious organizations), for proper review of their projects, it is recommended, yet not mandatory, that they also submit the following material:

- copy of any agreements made for the execution of the project for which they are seeking funds;
- copy of any letters of support;
- if the project includes the construction, renovation or restoration of properties, evidence of legal rights to use the property (e.g. tenancy agreement, loan-for-use agreement);
- if the project entails the purchase or rental/lease of assets/equipment, copy of the seller/lessor quotes;
- other information about the Applicants e.g. Social Report, Annual Report, Newsletters, articles and publications that present its projects, activities and/or events (if published on the the Organization's website, indication of the relevant links is sufficient).

## 6) Partnership Projects

A partnership project is a project carried out by a 'lead organization' with one or more 'partners'.

The requirements to be met by the Lead Organization and partners for the purposes of applying for a Foundation's grant under a call for proposals are set out below together with a description of the Foundation's requirements for the 'partnership agreement' governing the relationship between the Lead Organization and its partners in the project.

### 6.a) Lead organization

An entity that applies for a Foundation's grant as lead organization in a project partnership shall:

- be eligible for a Fondazione Cariplo's grant (see section 3 'Organizations Eligible for Fondazione Cariplo's Grants');
- generate project revenues and bear project costs;
- receive a share of the total grant requested for the project, if the grant is awarded;
- carry out activities that are necessary for the project and contribute to its success;
- coordinate the various actions and activities and is authorized to represent the partners;
- report project results, submit requests for project changes and report on the independent audit to the Foundation on behalf of the partnership;
- be responsible for project accounts received from partners;
- be responsible for transferring their respective share of the grant to the partners and for accurately reporting said

transfers to the Foundation;

- ensure that the grant sums transferred to the partners according to their respective share maintain their nature of donation.

### 6.b) Partner

A 'partner' is an entity that:

- is eligible for a Foundation's grant (see section 3 'Organizations Eligible for Fondazione Cariplo's Grants');
- generates project revenues and bears project costs;
- will receive a share of the total grant requested for the project, if the grant is awarded.

Any other parties involved in the execution of the project shall be either 'suppliers of goods/providers of services' or 'funders'. Suppliers are a source of project expenditures and issue invoices - or other documents that are valid for accounting and financial reporting purposes. Funders are organizations or individuals that provide funds to the project and therefore are a source of funding.

### 6.c) Partnership Agreements

The relationship between the various nonprofit organizations making up the partnership that is going to carry out the project shall be regulated by a specific 'partnership agreement' duly signed by the legal representative (or individual authorized to act on behalf of the legal representative) of each and all partnership members and setting out all items of information listed below:

- the scope, purpose and term of the agreement;
- the commitments, including financial commitments, made by the Lead Organization and each and all partners (e.g. costs that will be borne by each partnership member, share of the Foundation's grant);
- the role of each partnership member.

For partnership projects, the Lead Organization shall be responsible for the official submission of the grant application and all required documentation to the Foundation.

Therefore, in addition to its own documents, the Lead Organization shall make sure that the following documents be submitted:

- the accompanying letter signed by the legal representative of each and all partners (the letter is automatically generated by clicking on 'Create accompanying letter' in the 'Attachments' section of the online Project form);
- the partnership agreement made between the partnership members;
- the documents set out under section 5 herein of each and all

partnership members (these documents are not required if the partnership member is a public entity).

If the partner is a foreign entity, the Lead Organization shall also submit documents that certify the foreign partner's official registration as public-benefit nonprofit organization in the relevant Register/List/Roll under the law of the respective foreign country. If no such Register/List/Roll exists in the foreign country, the Lead Organization shall issue an official statement on the nonprofit nature of the foreign partner using the template available on Fondazione Cariplo's website.

## 7) Detailed project description

This section provides guidance on how to prepare the detailed project description to be submitted to Fondazione Cariplo.

Please note that these instructions do not apply to grant applications under calls for proposals in the Scientific Research Area for which a specific template can be downloaded from the 'Complementary Data' online section.

The outline below is general and is to be adapted to your specific proposal. The purpose is to provide a more detailed description of the project for which you are seeking a Foundation's grant than the succinct information set out in the Project form. The Detailed Project Description should be no more than 50,000 characters (spaces included).

Structure of the Detailed Project Description:



### I – Project Context (Scope)

In this section you should specify how your project addresses the need indicated in the Foundation call for proposals. You should describe in detail the project context, key aspects, the specific root causes of the issue you intend to address, weaknesses and strengths as well as, more generally, the resources that can be mobilized within the local community and that can contribute to the success of the project. The information you provide can be the result of your own research or compiled from external sources or reflect your organization's experience in the field. Information given under this heading should be concise yet properly documented. Narrative must be logical and clear, while length is usually a function of the scale of the project.

### II – Project goals (the change you pursue)

In this section you should present the goals pursued by your project with details about:

- the ultimate goals of your project (usually in relation to the specific context and developments of the goals set out in the call for proposal);
- the specific goals of your project (usually the goals of the specific action/s that contribute to the attainment of the ultimate goals in the project environment).

The project goals can be also described in terms of the change the project aims to attain in the specific context. This approach facilitates evaluation of the project results by both the Foundation and the Grantee. If you choose this approach, in this section you should provide details about:

- the change the project aims to attain;
- the specific targets of such change;
- who will benefit from the change;
- the time horizon of that change.

### III – Project Strategy (How you intend to achieve the project goals; Actions)

In this section you should provide information about the operational aspects of the project. As a general rule, you can organize information in two parts:

- A) how you intend to execute you project;  
B) actions.

In the first part you should present how you intend to execute the project, outlining:

- the reasons for choosing the specific strategy (is it the result of your own experience in the field or the analysis of international literature or the recognition of best practices?);
- the advantages of your chosen strategy versus possible alternatives;
- the external factors that might affect the project (describing their possible adverse impact on the project and how it could be avoided).

In the second part you should present the project actions (or the project, if it entails a single action) and provide the following details about each action:

- the players involved (e.g. lead organization, partners, funders, suppliers);
- the resources (people, funds and materials) needed for the project;
- the time needed to implement the project;
- who benefits from the project;
- the expected results;
- how results will be evaluated.

#### **IV - Applicant Organization (Information about your organization and partners, if any)**

In this section you should provide information on your history, activities and, in particular, your experience in the specific program area.

Please provide enough details to prove that:

- your organization has adequate size, experience, capability and skills to execute and manage the project;
- the project is consistent with the culture and mission of your organization and its activities.

For project partnerships, the information above is to be provided both for the lead organization and each partnership member.

#### **8) Detailed Budget**

The Project Budget information entered into the '**Project**' form is extremely succinct and thus needs to be further detailed, also in 'narrative' form. This is to be done in the 'Detailed Budget' that is a mandatory document to be attached to the '**Project**' form. In the Detailed Budget the Applicant shall provide details on expenditures and related funding sources.

Information set out herein is useful also for organizations seeking a grant under Fondazione Cariplo's calls for proposals in the Scientific Research Area. However, these organizations are reminded that for the preparation of their Detailed Budget they can use the specific template downloadable from 'Complementary Data' in the online forms section.

The Detailed Budget cannot be a mere copy of (or be made up of mere data 'exported' from) the Budget information entered in the online Project form.

In the Detailed Budget Applicants should indicate:

- total project costs, detailing as much as possible all expenditures relating to the project and specifying the method used to calculate each item of costs. Please note that for projects that entail different actions, this exercise is to be done for each action;
- how expenses will be covered, with separate indication of funds on hand or for which a firm commitment exists and financial resources that are not yet available or certain.

Applicants are required to indicate, together with other details, **also the code that identifies the individual category of expenditure as set out in the Budget in the 'Project' form, in accordance with the reference table set out below.** The complete table is available on Fondazione Cariplo's website under 'Grant Management and Reporting'

**Codes for the detailed project plan**

COSTS / CHARGES	
Code	Category
A1	Purchase of property
A2	Property repairs, renovation, restoration
A3	Purchase of equipment and furnishings
A4	Other expenses for depreciable investments
A5	Employees
A6	Consultants/contractors
A7	Third-parties professional services
A8	Consumables
A9	Current expenses
A10	Other operating expenses

REVENUES / INCOME	
Code	Category (source of funding)
B1	Own financial resources
B2	Loans from banks and other lenders
B3	Income from project activities
B4	Financial aid (no repayment required) from public and private entities
B5	Fondazione Cariplo

As to details to be entered for costs/charges, assume, by way of example, that in the Project Plan in the 'Project' form the Applicants indicated an expense of €100,000 under 'Employees'. In the 'Detailed Budget' the Applicant will complete the information above specifying the number of resources, the costs (including the criteria applied), the time devoted to the project (hours or days/resource) and the HR 'category' (technical or finance people; junior or senior resources).

As to details relating to Revenues/Income, the Applicant should adhere to the following guidelines:

- **Own financial resources (B1)**

Occorre precisare se le risorse finanziarie in questione soSpecify whether own financial resources are already on hand

(cash and/or bank account) or will be obtained in the future (e.g. income from sale of receivables, property or securities).

Please indicate also any own financial resources still not accrued (accruing in future financial years).

Local public entities that have earmarked funds for the project are required to attach a copy of the related resolution/ordinance.

- **Loans from banks and other lenders (B2)**

State the amount and the type of bank loan you have applied for. For lending from other sources (including from partners), provide a brief description.

- **Income from project activities (B3)**

Provide details about the nature and type of revenues/income derived from project activities. For other revenues/income, provide a brief description.

- **Financial aid (no repayment required) (B4)**

Information under this heading may relate to financial aid from other public and private entities. If approval is still pending, please indicate the following: the title of the project for which you applied for financial aid, the amount of funds you requested, the name of the funder and the date on which a decision is due/expected.

If the funds have already been approved, please attach a copy of the terms and conditions of the financial aid (agreement or equivalent document). You are reminded that co-funding by a third party can be included among project revenues/income provided that the activities for which a grant is sought from the Foundation and those co-funded by the third party have the same subject, entail the use of the same methods, human, technical and organizational resources, have the same timeframe and are executed in the same manner. All this shall always be in compliance with the requirements set forth in the given Call for Proposals.

## 9) Project communication

Most projects supported by Fondazione Cariplo entail information and communication of actions taken and results attained. The Foundation recommends Applicants to prepare a project communication plan in accordance with the project features and resources available under the project budget.

For projects that are awarded a Foundation's grant all information and communication materials prepared by grantees



in relation to their project (e.g. invitations, posters, brochures, presentations, websites, videos) and events organized to promote it (e.g. inaugurations, meetings, conferences, press conferences) can be communicated also through the various communication channels of Fondazione Cariplo: its website, press office, presence on social networks.

You are reminded that under the Grant Terms & Conditions set out in the Grant Management and Reporting Guide, Grantees are required to display Fondazione Cariplo's logo on all information and communication materials relating to their project. To use the Foundation's logo Grantees need to send a request to the Foundation's External Relations and Communications Office.

For further information on communication in relation to a project funded by Fondazione Cariplo Grantees are referred to the Communications Manual that can be downloaded from the Foundation's website.