Social Development Directorate

Call for Applications:

Results-Based Grant Funding
to support "Children and their Families"

Guide for Applicants

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Required Forms:

The Social Development Directorate (SDD) is committed to addressing the objectives and priorities of the Government of Canada (GoC) with respect to social development and, in particular, the needs of children and their families. The SDD does this in part by supporting the activities of the social non-profit sector. The sector is a vital partner through which the SDD is able to pursue its priorities and program objectives.

The SDD supports the national social non-profit sector through funding delivered under the Social Development Partnerships Program (SDPP). The SDPP was renewed in 2003 as a multi-year grants and contributions program that supports activities that contribute to the GoC's social development goals. These activities are intended to promote the generation and dissemination of knowledge, foster partnerships to achieve shared goals, and strengthen the capacity of the social non-profit sector to address the needs of vulnerable populations in Canada.

Apart from grant funding and this *Call for Applications*, the SDD also provides contribution funding to address project-specific social development priorities. The process for obtaining contribution funding is through a separate *Call for Proposals*.

An organization must meet the eligibility requirements of the SDPP in order to be considered for grant funding through this *Call for Applications*. For this *Call for Applications*, organizations must also meet the SDD's priority on the social development needs of children and their families.

SECTION A - *FACTS AT A GLANCE*

1. WHAT IS THE PURPOSE OF THIS *CALL FOR APPLICATIONS*?

The purpose of this *Call for Applications* is to solicit applications for funding to sustain and strengthen the capacity of the national, social non-profit sector through organizations that address the social development needs of the priority population of the Social Development Directorate (SDD), which is children and their families. The social development needs of children and their families include social inclusion and/or early learning and child care.

2. WHAT TYPES OF ORGANIZATIONS ARE ELIGIBLE FOR FUNDING?

An organization must meet the eligibility requirements of the Social Development Partnerships Program (SDPP) to be considered for grant funding. The ten Eligibility Criteria are described below in Section B-5 and Part 3 of the Application Form.

3. WHAT TYPES OF GRANTS WILL BE DELIVERED TO ORGANIZATIONS?

The SDD will provide Results-Based Grant funding through the SDPP to organizations that work to address the social development needs of children and their families under two streams: social service excellence grants, and social policy excellence grants. The two streams are described below in Section B-3 and Part 2 of the Application Form.

Organizations can apply for Results-Based Grant funding under one stream only.

4. WHAT TYPES OF ORGANIZATIONAL ACTIVITIES ARE ELIGIBLE UNDER GRANT FUNDING?

Grants can be used to support organizational capacity in the areas of governance, policy and program development, community outreach, and/or administration and management.

5. WHAT IS A RESULTS-BASED GRANT?

Results-Based Grants assist organizations in meeting their strategic outcomes where those outcomes are consistent with SDPP objectives and the SDD priority on the social development needs of children and their families. Organizations are required to identify intended outcomes, and provide semi-annual reporting on progress toward these outcomes. Organizations have flexibility throughout the funding period to engage in activities that best support the attainment of the stated outcomes. Results-based reporting enhances accountability and management based on results and is consistent with the reporting requirements of social non-profit sector organizations.

6. WHAT ARE THE TIMEFRAMES FOR THIS *CALL FOR APPLICATIONS*?

This *Call for Applications* openson January 5, 2004, and closes on February 27, 2004 at 4:00 p.m. (Eastern Time).

Applications received after the closing date will not be considered.

7. WHAT INFORMATION AND DOCUMENTATION DO I HAVE TO PROVIDE?

Applications must be completed, signed, and submitted before the closing date and time in order to be considered under this *Call for Applications.* **will not be considered.**

To be given full consideration in the assessment process, your organization **must** complete all parts of the application, complete the documentation checklist, attach all required documentation, and sign the application.

The intent of this *Call for Applications* is to initiate Results-Based Grant funding to

successful organizations beginning in fiscal year 2004-2005 for both social service excellence and social policy excellence grants.

8. HOW DO I SUBMIT MY APPLICATION?

Organizations **must send two printed copies and one electronic version** of the completed application to:

> Flor Chavarria
> Social Development Directorate
> 5th Floor, Phase IV, Place du Portage
> 140 Promenade du Portage
> Gatineau, Quebec
> K1A 0J9
> flor.chavarria@hrdc-drhc.gc.ca

9. WHAT IF I HAVE QUESTIONS ABOUT THE *CALL FOR APPLICATIONS* OR ABOUT COMPLETING MY APPLICATION?

If organizations have questions concerning the application process or about completing their applications, you may contact either Penny Hammell (Manager, Projects Unit) by e-mail at penny.hammell@hrdc-drhc.gc.ca or by telephone at (819) 997-1170, or Leslie Langford (Project Officer) at leslie.langford@hrdc-drhc.gc.ca or (819) 997-0159. The SDD will make every effort to respond to all questions within a reasonable time, until the closing date and time for this *Call for Applications*.

SECTION B – OBJECTIVES AND OVERVIEW OF THIS CALL FOR APPLICATIONS

1. PRIORITY

The SDD's priority for this *Call for Applications* is addressing the social development needs of children and their families, including social inclusion and/or early learning and child care.

Organizations must have an established record of accomplishment in addressing this priority in order to be considered for funding under this *Call for Applications.*

The SDD's priority for future *Calls for Applications* may change to reflect changing GoC social development priorities.

2. OBJECTIVES

The SDD's objective for this *Call for Applications* is to sustain and strengthen the capacity of national organizations in the social non-profit sector that address the social development needs of children and their families.

Organizations that are successful in this *Call for Applications* will be those that engage in activities that have intended results that contribute to the SDPP objectives.

Under the Terms and Conditions of SDPP, the more immediate objectives of Results-Based Grants are to strengthen organizational capacity with respect to governance, policy and program development, community outreach, and organizational administration and management. The longer-term objectives are to increase the effectiveness of the social non-profit sector in meeting the social development needs and aspirations of children and their families, and to improve the quality and responsiveness of governments' social policies and programs.

Successful organizations are expected to measure performance and report on progress in attaining their intended results semi-annually over the course of the funding period.

3. TYPES OF GRANTS BEING OFFERED

Results-Based Grants will be delivered to recognize excellence under **two streams**: social service excellence, and social policy excellence.

- **Social service excellence grants** are to sustain and strengthen the capacity of organizations that have a record of accomplishment for their continued and effective contribution to best practices and innovative services for children and their families. Organizational grants under this stream can have a duration of up to three years.

- **Social policy excellence grants** are to sustain and strengthen the capacity of organizations that have a record of accomplishment for their continued and effective contribution to policy development relating to children and their families. Organizational grants under this stream can have a duration of up to five years.

Organizations can apply for Results-Based Grants under **one** stream only.

4. WHAT TYPES OF ORGANIZATIONAL ACTIVITIES ARE ELIGIBLE UNDER GRANT FUNDING?

Grants can be used to enhance organizational capacity in the areas of governance, policy and program development, community outreach, and/or administration and management for national social non-profit sector organizations working in SDD's priority area of the social development needs of children and their families.

5. ELIGIBLE ORGANIZATIONS

In order to be eligible to receive Results-Based Grant funding under the SDPP Terms and Conditions, organizations must meet the following ten Eligibility Criteria. Organizations must:

- be **non-profit**
- be **legally incorporated**
- have a **mandate** that encompasses goals related to social development and inclusion for children and their families
- actively pursue **activities** that are consistent with SDPP objectives
- have a **purpose** focusing on "public good" as opposed to organizations whose primary function is to benefit or provide services to their own members (e.g., professional associations, labour unions, self-help groups)
- be **national**
- be **membership-based**
- be **financially and administratively sound**
- publish **annual reports**, including financial statement and activities
- be **democratic** in their constitution and accountable to members

Organizations will also be assessed on the degree to which they meet seven Additional SDD Requirements. Organizations must:

- have sound **governance**
- provide recognized **leadership** in the social non-profit sector
- demonstrate an on-going **demand for your organization's products and services**
- undertake **strategic planning** processes on a regular basis
- have and develop **sector partnerships** within the social non-profit sector
- have working **government/private sector relationships**
- support **bilingualism** and operate in both official languages

6. INELIGIBLE ORGANIZATIONS

 Non-profit organizations that are *not eligible to receive Results-Based Grant funding include:*

- government-funded/publicly-supported educational and research institutions (e.g., universities, colleges)
- organizations whose primary purpose is to provide services to their own members (e.g., labour unions, professional associations, band councils)
- governmental or quasi-governmental agencies (e.g., children's aid societies)

SECTION C – STEP-BY-STEP GUIDE TO THE APPLICATION FORM

1. GENERAL REQUIREMENTS

Applicants are required to furnish all requested documentation and signatures.

This guide provides background information, instructions, and "Additional Notes" for applicants. Evidence and documentation will be important in assessing and grading applications and making recommendations for funding. Organizations are therefore urged to carefully read, understand, and follow this guide.

2. PART 1 - IDENTIFICATION AND BACKGROUND INFORMATION

All elements of "Part 1 - Identification and Background Information" of the Application Form must be completed.

3. PART 2 - DECLARATION: TYPE AND DURATION OF GRANT FUNDING

In "Part 2 – Type and Duration of Grant Funding" of the Application Form, organizations must declare which type of grant funding they are seeking, and they must indicate the duration of the grant as well as preferred start and end dates for grant funding.

4. PART 3 - ELIGIBILITY CRITERIA

Applications will be assessed to determine whether they meet the ten Eligibility Criteria set out under the SDPP's Terms and Conditions. **Applications that do not meet all of the Eligibility Criteria will not be considered further**. Please make sure that you check off all the required documentation that you are submitting in the spaces provided in the application form.

You must make a general declaration, in "Part 1: Identification and Background Information" of the application form, indicating whether your organization meets all of the Eligibility Criteria.

The application form requires that organizations provide documentation and substantiation on a number of the Eligibility Criteria and the Additional SDD Requirements. **Organizations are encouraged to provide hyperlinks to internet-based documents, bibliographic entries to readily available public documents, and other forms of access to documents where possible.**

For all required written statements of elements, organizations should use clearly marked separate pages. For example, in Part 3 – Eligibility Criteria, applicants should use a separate page (s) per element.

When attaching documents to meet the requirements for substantiation, **all attached documents should be clearly marked indicating what they support, and where the material can be found**. For example, in substantiating your organization's main activities, you may attach a recent Annual Report. When you do so, the written statement you provide should indicate that you are providing the Annual Report as substantiation and the Annual Report should be marked to show what it supports (e.g., Eligibility Criteria – Activities).

Organizations must complete the Documentation Checklist and are strongly encouraged to submit documents in the order that they appear on the checklist, which is the same order as they are asked for on the application form.

Category 1: Basic Eligibility

- Non-Profit

Under the Terms and Conditions of the SDPP, funding can only be provided to non-profit organizations. You must provide proof that you are non-profit.

You must also declare, in "Part 1: Identification and Background Information" of the application form, that your organization is non-profit, and indicate your registration numbers.

- Incorporation

Under the Terms and Conditions of the SDPP, funding can only be provided to legally incorporated organizations. You must provide proof that your organization is incorporated.

You must also declare, in "Part 1: Identification and Background Information" of the application form, that your organization is incorporated.

Category 2: Mandate and Objectives of the Organization

- Mandate

The SDD priority for Results-Based Grant funding is social development for children and their families, including social inclusion and/or early learning and child care.

You must provide your organization's mandate in the space provided in "Part 1: Identification and Background Information" of the application form. Your organization's mandate must be closely aligned with the SDD priority on the social development needs of children and their families and the SDPP objectives.

You must also provide a written statement of how your mandate relates to the SDD priority on the social development needs of children and their families.

- Activities

Your organization's typical or normal activities must reflect shared interests with the objectives of the SDPP, especially the more immediate and longer-term objectives.

You must provide a written statement, with substantiation, describing your organization's typical or normal activities. You must show how your typical activities are aligned with the more immediate and longer-term SDPP objectives. For example, you could use your annual reports as long as they include a summary of your activities and accomplishments.

- Purpose

In order to advance the objectives of the SDPP, organizations must work to advance the "public good." For the purposes of this *Call for Applications*, the "public good" that your organization addresses must be aligned with the SDD priority focus on the social development needs of children and their families.

You must provide a written statement that your organization works to advance the "public good," especially in relation to children and their families. You must also substantiate that this is your organization's orientation. For example, you could use your formal mandate, your organization's activities, and/or examples of your recent work.

Category 3: Organizational Reach

▪ National Reach

As a nationally delivered program, grant funding will only be provided to social non-profit sector organizations that are pan-Canadian in reach.

You must provide a written statement describing your organization's reach. You must provide substantiation that your reach is national in scope. For example, you could use the structure of your organization that shows that your Board of Directors is representative of all regions of Canada, locations of your members or affiliates, and/or locations of the organizations that you serve or that use your products.

In demonstrating that your organization has pan-Canadian reach, please see the Terms and Conditions of the SDPP, which describe the five regions and indicates that an organization must have reach into at least three of the five regions.

▪ Membership-Based

It is important that your organization serve or provide useful products to clients with similar interests or a need for your organization's input. Members may be individuals or organizations, and should be formally enlisted and active members or affiliates of your organization.

You must provide a written statement providing a description of your members. The description must, at minimum, give the total number of members, by location (e.g., region), by type (e.g., individual or organizational), and by status (e.g., active or inactive). Your statement must also indicate the pan-Canadian reach of your organization across the country through its membership, as well as a description of the range of types of members that you have (such as other large voluntary sector organizations, smaller voluntary sector organizations, government organizations, service delivery agencies, individuals). You must also describe and attach a list of publications, products, and/or services normally provided to members.

Category 4: Financial and Administrative Stability

▪ Financial and Administrative Management

It is essential that your organization be financially and administratively sound, with accepted methods of record keeping and reporting.

You must provide a written statement, with substantiation, demonstrating how your organization manages its finances (including internal and external processes and procedures and day-to-day financial operations), and how your organization manages its administrative affairs (including internal and day-to-day administrative functions). Your statement must show that your organization follows accepted methods of record keeping and reporting, and has sound administrative practices to ensure smooth day-to-day operations.

You must also provide the names, addresses, and credentials of your chief financial officer, your chief administrative officer, and any third-party organizations that you use such as consultants and/or external auditors. You must also provide copies of your audited statements of accounts for the last three years.

Information provided in "Part 1: Identification and Background Information" in the application form concerning funding history with HRDC and amounts owing to the Government of Canada, and in "Part 4: Grant Funding Request" concerning your financial status, will also be used to assess the degree to which your organization is financially and administratively well managed.

▪ Annual Reports

The SDD will only invest in organizations that regularly produce public reports on their financial status and activities.

You must attach copies of your annual reports for the past three years. Your annual reports should include information on your activities and accomplishments; otherwise, you will have to provide written statements concerning your activities and accomplishments over these three years.

▪ Democratic

Your organization must be democratically constituted and accountable to its members.

You must provide a written statement describing how your organization is democratic, and you must substantiate that there are democratic processes and procedures guiding the operation, management, and decision-making processes within your organization. You must attach your by-laws to show the rules governing Board memberships and election, for determining membership, or concerning the rights and responsibilities of members. You must provide minutes from annual general meetings for the past three years.

5. PART 4 - ADDITIONAL SDD REQUIREMENTS

Applications will be assessed to determine whether, and to what degree, they meet the Additional SDD Requirements for grant funding. Organizations must provide evidence and documentation to support how they meet all of these requirements. Please check off all the required documentation that you are providing.

▪ Governance

It is crucial that your organization demonstrate that it is well governed, with sound governance practices and a sound structure for direction, supervision, and execution. Governance refers to the manner in which your organization is governed, ruled, and controlled. Governance involves both policy direction as well as executive functions.

You must provide a written statement, and substantiation, concerning the governance structure and governance processes of your organization. You must provide the names, addresses and credentials of all current Board and executive members of the organization – "credentials' refers to expertise relevant to the management of the organization and/or expertise in running a non-profit Board or organization. You must also provide documentation regarding the formal procedures, processes, and policies in place for meetings and major decision-making, and a history of Board membership for the last three years.

▪ Leadership

Your organization must be a recognized leader within the social, non-profit sector in Canada.

You must provide a written statement, with substantiation, concerning recognition of your organization's leadership and important contributions to policy and/or service excellence. For example, you could use awards or recognition received, media coverage, invitations to make submissions to committees, testimonials, or relating to significant participation in conferences. You must indicate who sees your organization as a "leader" in the sector, and among other organizations outside of the sector.

▪ Demand for Your Organization's Products and Services

Your organization should have standard or typical products and services, including publications and expertise, that are demonstrably in demand by other organizations.

You must provide a written statement, with substantiation, that there is an on-going demand for your organization's publications, products, services, and/or expertise. Your substantiation and statement must also indicate where the demand comes from (e.g., public, members, affiliates, academics, government officials), and the degree to which your "products" are used (i.e., as opposed to merely accessed or delivered). Your statement must also describe your usual products; the uniqueness or distinctiveness of your organization's products (i.e., what sets you apart from other organizations); and, the typical or usual methods for delivering and disseminating your "products." For example, evidence of demand may take the form of mailing or distribution lists, requests for documents, media coverage of important contributions, sales records, service contracts, or invitations to present at conferences or act as a witness at governmental committees. Evidence of "use" may take the form of testimonials, media coverage to this effect, or citations in various forms. You must attach a list of your "products" for the last three years and highlight exemplary "products" from this same period. In developing your written statement, you may focus on a few strong examples of your "products."

▪ Strategic Planning

Given the length of the SDD grant funding, it is important that your organization create strategic plans so that activities and outcomes are forecast and assessed on a regular basis.

You must show that your organization regularly undertakes planning exercises. You must attach copies of strategic plans for the past three years, as well as your current plan. You must also attach a written statement describing the typical processes used within your organization for developing and assessing such plans. If reports exist concerning assessments of plans (e.g., evaluations) over the past three years, these should also be attached. If there are no assessment reports, your statement must explain the absence of these kinds of assessments over the past three years.

▪ Sector Partnerships

It is important that you demonstrate that your organization works in partnership with other non-profit organizations.

You must provide a statement, with substantiation, describing how your organization, formally and/or informally, works in partnership and collaboration with other large social non-profit sector organizations, smaller social non-profit sector organizations, quasi-governmental agencies such as universities, "think tanks," service delivery agencies, and/or foundations over the last three years. Your statement must also describe the projects that your organization has collaborated on in the past three years, the results of these collaborations, and your organization's role in these collaborations. You must provide evidence of your organization's collaborations over the past three years with other social non-profit sector organizations. For example, you could attach joint publications, project descriptions, or pamphlets and other similar products announcing partnerships.

▪ Government/Private Sector Relationships

It is important to demonstrate that your organization has working relationships with governments and/or private sector organizations concerning policy development, service delivery, and/or program design.

You must provide a statement, with substantiation, describing your organization's working relationships with governments and/or the private sector over the last three years. For example, substantiation could include things like appearances at government committees, briefs written for government consideration, reports that have been considered by government officials, or proof of partnerships with the private sector. Your statement must also include descriptions of the "products" (e.g., research

reports, policy papers, conference reports, teaching tools, "best practices") from these kinds of working relationships and/or with which you influenced these kinds of partners, and your organization's role in these working relationships.

▪ Bilingualism

It is important that your organization support Canada's two official languages.

You must provide a written statement, with substantiation, describing how your organization is committed to bilingualism. You must provide a list of exemplary documents that your organization produces in both official languages. For example, you could provide examples of work produced in both official languages, policies that show that your national headquarters responds to requests and inquiries in both official languages, or your capacity to respond to service and information demands in both official languages.

6. PART 5 - DETAILED GRANT FUNDING REQUEST

You should read this section in its entirety to understand fully what is expected before completing the form.

Your organization must complete a Grant Funding Request. You are asked for detailed written descriptions of the main elements of the Grant Funding Request – needs; objectives; activities; intended results; and, budget. The actual financial details of the budget are to be provided in separate tables.

In "Part 2 – Type and Duration of Grant Funding Request" of the application form, you must declare whether you are seeking funding under the "policy" or "service" excellence streams, and should base your decision on your strengths and historical orientation. Based on your declaration, applicants must indicate whether they are seeking funding for three or five years, and the optimal or desired start and end dates for the grant funding period.

For the Grant Funding Request, you should in-put your written statements in the spaces provided in the application form. For each of the five written elements (to a maximum of 500 words per element) – Needs, Objectives, Activities, Intended Results, and Budget.

▪ Needs

You will need to identify and substantiate the needs that your organization will address through the SDD grant funding under this *Call for Applications*. The SDD grant funding will not be provided to organizations that do not identify and substantiate needs that are related to the SDD priority on the social development needs of children and their families, and the SDPP objectives.

According to the Terms and Conditions of SDPP, grants may be provided to national social non-profit organizations to increase their capacity in the areas of governance, policy and program development, community outreach, organizational administration and management. Therefore, some needs can be thought of as "internal" to the organization, relating to things such as governance, organizational administration, and management. Other needs can be thought of as "external" to the organization's requirements, which are really social needs. Some of these social needs may relate to the social non-profit sector as a whole, such as community outreach. Some of these social needs may relate to substantive issues or gaps in policy and program development for children and their families.

For the timeframe of your Grant Funding Request, you are required to identify all the needs that you intend to address through the SDD grant funding. In general, organizations are encouraged to address internal needs to strengthen the organization

and its capacity as needed, and organizations are expected to address social needs relevant to SDD's priority on the social development needs of children and their families, and the SDPP more immediate and longer-term objectives.

Your detailed statement of needs must:

- include more than one need, and at least one social need;
- clearly indicate all internal needs and social needs that your organization will address with the SDD grant funding;
- provide substantiation for each identified need with evidence (e.g., internal documents, literature review, views of colleagues in the social non-profit sector);
- describe how children and their families will benefit by addressing the identified needs;

- indicate other sources of funding that your organization has (committed and/or anticipated) in relation to the identified needs and any in-kind support that you will provide to address the identified needs; and,
- explain why and how your organization has the necessary experience to address the identified needs, including any uniqueness/expertise that makes your organization a good choice for addressing the external/social needs.

▪ Objectives

The objectives or purpose of your Grant Funding Request can be varied. What you set out to accomplish, however, should be logically linked to the identified needs behind the grant request. Objectives are not the same as needs in that, for example, there may be a particularly difficult or seemingly insurmountable need while the objective is to address parts of the need or create the necessary conditions for addressing identified needs in other ways or at a later time.

Objectives should therefore be related and linked to the internal needs of the organization, and to the external social needs of the social non-profit sector and/or social policy and social program development in relation to children and their families. Objectives should also be related to the SDD priority on the social development needs of children and their families and/or the objectives of the SDPP.

Your detailed statement of objectives must:

- identify at least one objective for each of the identified needs in your Grant Funding Request;
- show how each of the stated objectives are logically linked to one or more of the identified needs;
- explain how the objectives are related to the SDD priority on the social development needs of children and their families and/or SDPP objectives;
- show that your organization has a record of accomplishment in achieving the kinds of objectives identified and explain that the objectives are attainable within the grant funding period; and,
- provide substantiation that the objectives are "shared" by other social non-profit sector organizations.

▪ Activities

Every organization has a set of activities that it undertakes regularly and/or periodically, such as research, conferences, symposiums, consultations, or publishing. A general description of what your organization typically does is required.

In addressing the identified needs and objectives, organizations should have a set of planned activities to address the specifics of the Gant Funding Request. These planned activities should be logically linked to the stated objectives and identified needs.

While it is not essential that every activity you intend to undertake is a typical activity for your organization, you should show that the planned activities are within your organization's experience and expertise and that there is reason to believe that your organization can successfully accomplish the planned activities in the grant funding period.

Your detailed statement of activities must:

- identify and explain what your organization typically does;
- clearly identify the specific planned activities that your organization will undertake to meet the stated objectives and identified needs behind the Grant Funding Request;
- show that these activities are logically linked to the objectives and needs;
- specify what resources (e.g., financial, human) will be required to undertake the planned activities, and which of these will be funded with grant funding, or with other sources of funding; and,
- explain and demonstrate why your organization is one of the best or uniquely suited to carrying out the grant-specific activities.

▪ Intended Results

Organizations that receive grant funding will be required to report semi-annually to the SDD. Beyond the normal demands of financial reporting for grant funding, grant recipients will be required to undertake and provide reports on the progress of obtaining their intended results.

The Grant Funding Request must identify the intended results and the likely beneficiaries. The intended results should be logically linked to the activities that will be used to reach the stated objectives, and will address the identified and substantiated needs.

Your detailed statement of intended or expected results must:

- clearly identify all intended results;
- link the intended results to the identified needs, stated objectives and planned activities, in order to show shared interest and mutual benefit in the likely results among social non-profit sector organizations and other partners;
- link the intended results to the activities to be undertaken in order to show that the results are achievable based on the planned work and within the timeframe of the grant funding;
- identify the intended beneficiaries for all intended results;
- explain why and how you think the intended results can be achieved within the timeframe of grant funding;
- outline what kind of measures you would use to show whether or not you achieve these results over the course of the grant funding period; and,
- include a risk assessment concerning problems and issues that may arise that could limit the ability of your organization to achieve the intended results within the timeframe of the grant funding period, including a contingency plan for dealing with risks.

▪ Budget

Your budget information will be provided in two parts: a written explanation of the budget and detailed tables.

The SDD will provide grant funding annually over the course of the grant funding period. Organizational grant amounts will be determined based on a number of factors such as the Results-Based Grant funding budget submission, the organization's historical budget capacity, funding availability, and the number of successful applications.

Your written budget explanation must:

- provide a general explanation of the budget requirements;
explain the overall budget requirements for the Grant Funding Request;
- provide detailed explanations for the budget by linking all budget requirements to how you intend to reach the intended results through the planned activities;
- provide a written explanation of your other sources of funding over the period of the grant, including committed and expected funding, with some detail in order to show the diversification of your funding sources;
- describe how the total grant funding budget falls within your organization's historical budgetary capacity; and,
- explain why you believe that the budget requirements are a cost-effective means of achieving the intended results.

▪ Executive Summary

You must provide, in a maximum of 300 typewritten words, an overview or Executive Summary of your Grant Funding Request.

The Executive Summary should focus on providing a brief synopsis of the needs, objectives, activities, and intended results of the Grant Funding Request.

▪ Financial Tables

You must complete three financial tables: Sources of Revenue; Budget Forecast; and, Grant Funding Budget Forecast.

The Sources of Revenue table seeks information on your organization's sources of funding from all sources, under four categories: Government Funding; Other Funding Sources; Revenues; and, Other Sources of Revenue. For each of these categories, organization's are encouraged to provide as much detail as possible by expanding the columns in the table. Organizations must provide actual amounts for the current fiscal year (2003-2004), and forecast their sources of revenue for each year of the grant funding period (2004-2005, 2005-2006, etc.).

When reporting government funding, you must include all government funding from all levels, including funding from any programs at HRDC (including other funding through the SDPP), and you must indicate the source of funding in all instances.

The Budget Forecast table is similar to the Sources of Revenue table in design and in the timeframe covered. It seeks actual amounts for the current year and forecasted amounts for each year of grant funding under four categories: Wages and Benefits; Activity Costs; General Costs; and, Other Costs. For each of these categories, organizations are encouraged to provide as much detail as possible.

Successful applicants will be required to up-date and provide forecasts for each subsequent year of grant funding on an annual basis for both the Source of Revenue and Budget Forecast tables.

The Grant Funding Request Budget Forecast table seeks information in three categories for each year of the Grant Funding Request, either three or five years. You must provide detailed, forecasted requirements to undertake and complete your

organization's Grant Funding Request, as outlined in your written budget statement. You must ensure that the detailed budget tables and the written budget statement are clear, accurate, and complementary. You are encouraged to provide as much detail as possible by expanding the columns in the table and providing itemized lists indicating the amount and expense item.

Additional Notes: Graphic Presentations for the Grant Funding Request

It is incumbent upon applicant organizations to show that there is a real need for the proposed grant funding work; they have logically developed the request across the needs, objectives, activities and intended results; the intended results are attainable and measurable for the purposes of results-based reporting; and, they are one of the best organizations for undertaking and completing the Grant Funding Request based on uniqueness, distinctiveness and expertise.

It may be helpful if organizations do more than simply write detailed statements as described above by, for example, using graphic presentations. For instance, organizations could develop a flowchart to show the logic behind the various elements of the Grant Funding Request, perhaps as follows:

Need →	Objective →	Activity →	Intended Result

As well, organizations could provide a chart to show when the various elements of the Grant Funding Request will be addressed, perhaps as follows:

Item:	Year 1	Year 2	Year 3	Year 4	Year 5
Needs	*	*	*		
Objectives	*	*	*	*	
Activities	*	*	*	*	
Results			*	*	*

Creating these kinds of graphic presentations to illustrate logic will facilitate understanding and the assessment process. It should also assist organizations in developing their request, and in ensuring that the budget is linked to the specifics of the request.

Additional Notes: Results-Based Reporting

Under the Terms and Conditions of the SDD Grant Funding, all successful organizations will be required to undertake "results-based reporting" over the course of the grant funding period. Successful organizations will be required to develop capacity and expertise in results-based reporting (if it doesn't already exist), and the SDD will assist organizations in this regard but it will remain the organization's responsibility to do so, and to undertake and provide results-based reports semi-annually to the SDD. Organizations stand to benefit from this experience through improved reporting to their Boards and their membership, and through the ability to show results more generally.

By way of clarification, the language used in results-based reporting often involves four concepts: activities, outputs, outcomes, and results.

Activities and outputs are directly within the control of your organization. They are therefore readily measurable, and the measurement of activities and outputs is within your control. Activities and what you do within the organization (e.g., research) and outputs are the products of your work (e.g., research reports).

Outcomes and results are not under the direct control of your organization. Outcomes are just outside of your control, and results or impact are even farther outside of your control. The ultimate result or long-term impact is even less certain and even farther outside your organization's control. Outcomes, results, and ultimate impacts are

therefore not easily measurable, and measurement is much less within your organization's control.

Organizations would benefit if they can show what aspects of their Grant Funding Request are in their control and measurable, and what is less in their control and more difficult to measure.

SECTION D – ASSESSMENT AND RECOMMENDATION PROCESS

1. OVERVIEW OF PROCESS

The assessment and recommendation process, administered by the SDD, is a multi-phase process designed to ensure that the *best overall applications* are recommended for funding to the Minister.

Assessment will involve review by officials within the SDD, external expert reviewers, and other departmental officials. Expert reviewers will be individuals who will be selected for their expertise in social development issues relating to children and their families, their knowledge of the social non-profit sector, and their capacity to provide independent, objective assessments. The expert review phase may also include an assessment of financial information and documentation by an external financial professional. Final approval of grant applications will be made by the Minister. Table 1 provides an overview of the assessment and recommendation process.

TABLE 1: THE SDD GRANT APPLICATION ASSESSMENT AND RECOMMENDATION PROCESS

Activity	Responsibility	Objective
Review of Eligibility	SDD Officials	▪ screen in applications that meet SDPP Eligibility Criteria ▪ ensure that all required documentation is included with applications
Review of the Additional SDD Requirements	SDD Officials	▪ assess the degree to which applications meet the Additional SDD Requirements for grant funding ▪ ensure that all required documentation is included with applications
Assessment of the Grant Funding Request The Grant Funding Request includes written statements, detailed financial and budget forecast tables, and signatures.	SDD Officials	▪ assess the completeness, clarity and reasonableness of the Grant Funding Request ▪ assess the degree to which the Grant Funding Request is aligned with the SDD priority on social development for children and their families, and SDPP objectives ▪ assess the organization's ability to deliver on the intended results in the timeframe provided under the type of grant funding requested

Expert Review	Expert Reviewers Part of this phase may also include a review of the application's financial information by an independent financial professional.	▪ provide advice on the record of accomplishments of the organization, knowledge of the needs, concerns and trends in the priority area ▪ assess the financial stability of the organizations
Analysis of Assessments and Recommendation for Funding	SDD Officials Departmental Senior Officials	▪ review and analyze the assessment results of the Additional SDD Requirements, the Grant Funding Request, and expert reviews, and finalize assessments
Approval	Minister	▪ obtain approval for grant funding based on the outcomes of the assessment process
Notification	SDD Officials	▪ notify applicants, in writing, of decisions concerning grant applications

2. BASIS OF ASSESSMENT

The assessment of applications will be based on **three key elements** of each organization's application and supporting documentation:

- ▪ determination of eligibility based on the Eligibility Criteria
- ▪ assessment of the Additional SDD Requirements
- ▪ assessment of the Grant Funding Request

Determination of Eligibility

The ten SDPP Eligibility Criteria are organized into four categories. Each category is made up of one or more Eligibility Criteria. The broad categories are:

- ▪ basic eligibility
- ▪ mandate and activities of the organization
- ▪ organizational reach
- ▪ financial and administrative stability

Table 2 provides an overview of the assessment questions and factors organized according to the four eligibility categories and the specific criteria within each category.

Assessment of the SDD's Additional Requirements

In addition to the ten SDPP Eligibility Criteria, there are seven Additional SDD Requirements:

- ▪ strong **governance**
- ▪ recognized **sector leadership**
- ▪ on-going **demand for products and services**
- ▪ on-going **strategic planning**
- ▪ active **sector partnerships**

- working **government/private sector relationships**
- commitment to **bilingualism**

Table 3 provides an overview of the assessment questions and factors regarding the Additional SDD Requirements.

Assessment of the Grant Funding Request

Applicants will be asked to provide detailed information on five elements of their Grant Funding Request:

- **needs** for the grant
- **objectives** to be met through grant funding
- **activities** to meet the objectives of grant funding
- **intended results** of grant funding
- the grant funding **budget**

Applications will be assessed on each of the elements of the Grant Funding Request, and the overall quality of the Grant Funding Request application.

Table 4 provides an overview of the assessment questions and factors for the detailed Grant Funding Request.

TABLE 2 – DETERMINATION OF ELIGIBILITY: ASSESSMENT QUESTIONS AND FACTORS

Category 1: Basic Eligibility		
Eligibility Criteria	**Assessment Questions**	**Factors that will be Considered – Non-Graded Factors**
Non-Profit	Is the organization non-profit?	Documentation of non-profit status
Incorporation	Is the organization legally incorporated?	Documentation of incorporation
Category 2: Mandate and Activities of the Organization		
Eligibility Criteria	**Assessment Questions**	**Factors that will be Considered – Graded Factors**
Mandate	Is the organization's mandate/mission closely aligned with the SDD's priority on the social development needs of children and their families?	Extent to which the organization's mandate supports the SDD's priority on children and their families Supporting Documentation Required
Activities	Are the organization's activities consistent with the SDPP's more immediate and longer-term objectives?	Extent to which the organization's activities support the SDPP's more immediate and longer-term objectives Supporting Documentation Required
Purpose	Is the organization's purpose to promote the "public good" for the general benefit of children and their families?	Extent to which the organization supports a "public good" approach with respect to children and their families Supporting Documentation Required
Category 3: Organizational Reach		
Eligibility Criteria	**Assessment Questions**	**Factors that will be Considered – Graded Factors**
National Reach	Does the organization have pan-Canadian reach?	Extent to which the organization's reach extends across the country Supporting Documentation Required

Membership-Based	Is the organization membership-based? Does the organization have pan-Canadian reach through membership/affiliates?	Evidence that the organization is membership-based Extent to which the organization has members/affiliates from across the country Supporting Documentation Required
Category 4: *Financial and Administrative Stability*		
Eligibility Criteria	**Assessment Questions**	**Factors that will be Considered – Graded Factors**
Financial and Administrative Management	Is the organization financially well managed, and does the organization undertake independent external audits and prepare public annual financial statements? Does the organization have sound administrative practices and procedures?	Evidence that the organization uses accepted accounting principles and methods Evidence of public annual financial statements and external audits Evidence of sound internal and overall financial management and operations Evidence of successful administration of government funding Evidence of sound internal and overall administrative management and operations Supporting Documentation Required
Annual Reports	Does the organization publish annual reports? Do these annual reports cover both financial matters and activities?	Evidence of annual reports Extent to which the typical activities are related to the SDD priority and the SDPP objectives Supporting Documentation Required

Democratic	Is this organization structured in a manner to support democratic processes, and be accountable to its members?	Extent to which the organization is democratic
		Extent to which there are clearly established roles and responsibilities for Board and Executive functions
		Evidence of bylaws/rules for governing Board membership and election.
		Evidence of Annual General Meetings and minutes.
		Supporting Documentation Required

TABLE **3 –** *A*SSESSMENT OF THE *A*DDITIONAL *SDD* R*EQUIREMENTS*: *A*SSESSMENT *Q*UESTIONS AND *F*ACTORS

Additional SDD Requirements: Leadership and Record of Accomplishments		
Criteria	**Assessment Questions**	**Factors that will be Considered** – **Graded Factors**
Governance	Is the organization soundly managed and governed?	Extent to which the Board and Executive are experienced with the mandate and operations of the organization Extent to which the Board is experienced as directors of social non-profit organizations Evidence of procedures and processes for meetings and major-decision-making Supporting Documentation Required
Leadership	Is the organization a recognized leader among social non-profit sector organizations? Is the organization a recognized leader by other organizations, including the media, governments, and/or the private sector? For what (e.g., policy and/or service excellence) is the organization seen as a "leader"?	Evidence of leadership among social non-profit sector Evidence of recognition of leadership by other organizations Extent to which leadership qualities (i.e., what they're known for) is related to the SDD priority and the SDPP objectives Evidence of uniqueness/distinctiveness and organization's contribution to policy/service excellence Supporting Documentation Required

Demand for Organization's Products and Services	Is there an on-going interest in, and demand for, the organization's publications, products, services, and/or expertise among social non-profit sector organizations, and/or other interested parties such as governments?	Evidence and extent of demand for the organization's products and services Evidence of use (i.e., not merely delivery or access) of the organization's publications, products, services, and/or expertise Evidence of a structured and organized method of distribution and delivery of its publications, products, services, and/or expertise Distinctiveness of the organization's publications, products, services, and/or expertise Supporting Documentation Required
Strategic Planning	Does the organization plan strategically and assess progress against these plans?	Extent to which the organization undertakes planning and the setting of goals and objectives Extent to which the organization reviews, assesses and reports on progress against planning exercises Supporting Documentation Required

Sector Partnerships	Does the organization regularly work in partnership with other organizations in the social non-profit sector?	Extent to which the organization works with and supports other organizations in the social non-profit sector Relevance of the history and outcomes of these partnerships to the SDD priority and the SDPP objectives Supporting Documentation Required
Government/Private Sector Relationships	Does the organization regularly work with government bodies and/or private sector organizations to address social policy and/or social service issues?	Extent to which the organization develops and maintains working relationships with governments and/or private sector agencies in the development of policies, programs, and/or services for children and their families Relevance of the history and outcomes of these working relationships to the SDD priority and the SDPP objectives Supporting Documentation Required
Bilingualism	Does the organization produce its key public documents in both official languages? Does the organization have the capacity to respond to service or information requests in both official languages?	Extent to which the organization creates products and documents in both official languages Extent to which the organization has the capacity to respond to service and information requests in both official languages Supporting Documentation Required

Table 4 – *Assessment of Grant Funding Request: Assessment Questions and Factors*

Element	Assessment Questions	Factors that will be Considered – Graded Factors
Needs	Does the organization identify social needs related to SDD's priority on children and their families? Are the identified needs logically related to the SDPP objectives? Are all of the identified needs substantiated by reasonable evidence and argumentation? Are the identified needs reasonable considering the overall purpose of the SDD grant funding?	Clarity and reasonableness of the statement of needs Extent to which detailed statement of needs meets all required elements outlined in the Guide for Applicants. Existence of at least one social need relevant to SDD's priority on children and their families, and the SDPP objectives Evidence to support and substantiate the validity of all identified needs Supporting Documentation Required
Objectives	Are the stated objectives logically related to the identified needs? Do the stated objectives include at least one objective with children and their families as the principle beneficiaries? Are the stated objectives logically related to the SDPP objectives? Are the stated objectives reasonable considering the overall purpose of SDD grant funding?	Clarity and reasonableness of the statement of objectives Extent to which detailed statement of objectives meets all required elements outlined in the Guide for Applicants Extent to which the stated objectives are logically linked to the identified needs Extent to which stated objectives are related to the SDD priority on children and their families, and the SDPP objectives Supporting Documentation Required

| Activities | Are the planned activities logically related to the stated objectives and identified needs?

Are the planned activities related to SDD's priority on children and their families?

Are the planned activities related to the SDPP objectives?

Are the planned activities reasonable considering the overall purpose of SDD grant funding?

Are the planned activities within the organization's normal range of activities and expertise, and if not is there a reasonable plan to acquire needed expertise? | Clarity and reasonableness of the statement of activities

Extent to which detailed statement of activities meets all required elements outlined in the Guide for Applicants

Extent to which the planned activities are logically linked to the identified needs and stated objectives

Extent to which the planned activities are related to SDD's priority on children and their families, and the SDPP objectives

Extent to which the organization demonstrates that they have the necessary expertise to successfully undertake and complete the planned activities within the grant funding timeframe

Supporting Documentation Required |

Intended Results	Are the intended results logically related to the identified needs, stated objectives and planned activities?	Clarity and reasonableness of the statement of intended results
	Are the intended results related to SDD's priority on children and their families, and will children and their families be the principle beneficiaries?	Extent to which detailed statement of intended results meets all required elements outlined in the Guide for Applicants
		Extent to which the intended results are logically linked to the identified needs, stated objectives, and planned activities
	Are the intended results related to the SDPP objectives?	
		Extent to which the intended results are related to SDD's priority on children and their families, and the SDPP objectives
	Are the intended results reasonable considering the overall purpose of SDD grant funding?	
		Extent to which other organizations agree that the intended results are important
	Would other social non-profit sector organizations and/or other organizations such as governments and "think tanks" agree that the intended results are important?	
		Extent to which the organization demonstrates that the intended results are attainable within the grant funding period
	Are the intended results achievable within the grant funding period?	Extent to which the organization identifies reasonable and attainable performance measures for each intended result
		Reasonableness of the organization's risk assessment concerning intended results
		Supporting Documentation Required

Budget	Is the grant funding budget reasonable from the perspective of cost-effectiveness?	Clarity and reasonableness of the written budget statement
The budget assessment will involve an analysis of: - the required written budget statement; - the required financial and budget tables; and, - financial information obtained through the eligibility criteria documentation.	Is the grant funding budget reasonable from the perspective of logic and in relation to the planned activities. Is the grant funding budget reasonable from the perspective of the organization's historical budgetary capacity? Is the grant funding budget solely reliant on SDD funding, or are there other sources of funding available to the organization? Is the organization providing in-kind support for the grant funding budget? Is the organization currently on sound financial footing? Does this organization have a good track record of funding with HRDC?	Extent to which the written budget meets all required elements outlined in the Guide for Applicants Extent to which the budget is cost-effective Extent to which the budget is logically linked to the planned activities Extent to which the budget is within the organization's historical capacity Extent to which the organization has other sources of funding Evidence that the organization is on strong financial footing Supporting Documentation Required

Overall Quality of Grant Funding Request	Is the Grant Funding Request logical, reasonable and well prepared?	Completeness of request Quality of supporting documentation Logical coherence of request Attention to budget relevance and cost effectiveness Overall presentation (e.g., clear, concise, well written)