GRANTEE WITH 509(a)(3) TAX STATUS

May 18, 2011

If the grantee's IRS determination letter indicates the organization is a 509(a)(3), additional information will be required.

This classification indicates it is a supporting organization, organized exclusively to support a public charity. The organization would be a private foundation, except for the IRS provision that allows it to be treated as a public charity because it is organized exclusively to support a public charity. The Pension Protection Act of 2006 requires the Bradley Foundation to determine if the grantee is Type I, Type II or Type III. It is important that the Type be entered into the organization's tax record in the Gifts database. Type 1 and Type II supporting organizations require no further attention.

If the grantee is a Type III organization, the Foundation cannot count the grant as a qualifying distribution and must do expenditure accounting. Update the tax record in Gifts, and the code field in both the organization and request records so the grant pulls into the Expenditure Accounting Log. In addition, a certification letter from the organization's attorney, and the articles of incorporation and by-laws, must be retained as documentation in support of the Type III functionally integrated status. These items should be placed with the organization's determination letter in the file cabinet.

After every Board meeting, the Grants Administrator provides the VP-Finance with an update of the *509(a)(3) Type III* document. This document should indicate whether or not the organization has been certified as "functionally integrated" according to the grantee's attorney. The document is located at: H:\Records\Grants\Compliance\509(a)(3)\2011Type3.doc.

AFFILIATIONS SCREEN

May 29, 2012

1. Affiliations tab is where the database indicates the relationship or role a contact has with a request or organization. Many contacts are involved or connected to more than one organization, and certainly more than one request record. The affiliations screen is where you will select the particular address to be used for correspondence relating to the request, which might be different than you want to use for another request by the same person. [Bradley Fellow Professors are a good example of this, as is Board Members of an organization preferring to receive mail at their place of business instead.]

2. Searches are not initiated in Affiliations. Let's begin by opening a pending request and moving to the Affiliations tab within the request record [Exhibit A].

3. The system automatically lists the primary contact in affiliations. However, during the course of review, the primary contact could change, but you would still want to know who originally submitted the request. The system will indicate the new primary contact, but, when that change is made, the name of the previous primary contact should be added here in affiliations using the "role" of "original contact." In many cases, more than one person signs the grant request, so each name needs to be added as an affiliation with a "role" of "additional contact." Other contacts having a relationship with the request could be the Bradley Fellowship professor, the principle investigator of a project, someone from the Office of Sponsored Research at a University, or a variety of other roles.

4. To add an affiliation to the request [Exhibit B], click on "new affiliation." Select the binoculars in the contact square and search for the contact you want to connect to the record. Select the name from the list that resulted from the search. Tab down to "role" and select accordingly from the pull-down menu. Tab to the "address" section just to the right on that bottom section of the screen. From the "address" pull-down menu, you are given the choice to select one of the contact's three addresses. Choose the address you want the system to use when merging correspondence for this request. Other information on the screen can be completed if needed.

5. Back at the Affiliations tab in the request record, you will see two other buttons: Edit Affiliation and Edit Contact. If you click on Edit Affiliation [Exhibit C], the affiliation record will open and you can select a different one of the contact's address or change their role in connection with the request.

6. Edit Contact [Exhibit D] is the button to choose if you need to make changes to the fields contained in the contact's record (such as change of address, phone, email, or adding a new address for this particular request). It takes you directly to the contact's contact record, so be aware that the changes you make here will remain in the contact's record going forward. [See Contacts for detailed information on the contents of the Contact record.]

7. If an existing contact has moved to a different organization, you can change the primary organization of the contact here or by searching for the name in the contact's tab (it's actually the same place, you just arrived at it differently). Select "Action" at the top of the screen and choose "clear primary contact." Then search for the organization and select it from the search results. Answer questions accordingly, i.e. "Should address be same as new organization?" (Most of the time it is.)

8. When you have a list of requests displayed on the Request tab screen, you can select them all, focus and move to the Affiliations tab [Exhibit E]. Here the names are sorted by role, so it will be easy to select all of a certain role and generate correspondence for those individuals. An example would be selecting the Role of "Professor" in order to merge envelopes to send the Professor's a copy of the award letter.

AGENDA PREPARATION
CURRENTLY DONE BY PROGRAM ASSISTANT AND/OR
DIRECTOR OF RESEARCH AND EVALUATION
October 26, 2011

1. The Word agenda document for each Board meeting is created by "saving as" and renaming the previous meeting's agenda.

2. When a request is recommendation, it is typed on the draft agenda along with the amount being recommended.

3. The GPR forms for recommended items are created using the Write-Up merge feature of the Gifts database. [See Tab 5, Grant Proposal Records.]

4. Grant histories for each recommendation are prepared by the Program Assistant, who gives them to the Program Officer who wrote corresponding GPR and attaches it as the last page of the write-up. This must be done prior to sending the write-ups for copying by the Office Assistant. [See Tab 6, Grant Histories.]

5. Discussion items are typed single spaced, using full justification, the title in caps and bolded. The text starts four lines down from the title. A merge document is available in Gifts for grant related items. Seldom used.

6. Budget information for each Sector is provided by the Director of Research and Evaluation.

7. A declination list is prepared for each Sector by the Director of Research and Evaluation. The previous format was prepared by the Program Assistant, and approved by the corresponding Program Officer. [See Tab 2, Declination Lists for Board Agendas].

Alphabetical Index Currently Not Used

8. To prepare the alphabetical index:
    a. Save as "INDEX"
    b. Working from that, make a hard flush right entry at each request and list the tab number which appears at the left.
    c. Do not delete any entries during this process, as the tab numbering is automatic and any deletions will change the tab numbers, causing them to be inaccurate.
    d. When each entry is numbered on the right, delete all extraneous information (titles, lists, sections, tab numbers that appear at left of line).
    e. When all that's left is the list of organizations, alphabetize, using the sort feature in WordPerfect.

WHAT TO DO WHEN AN
ITEM IS PLACED ON THE AGENDA

August 12, 2011

After the program staff has meet to determination recommendations for award or declination for the upcoming Committee agenda, they will provide the pending requests log with the disposition of each request indicated to the Program Assistant. They will also keep the Assistant updated after their Committee has met and made decisions so she is able to make the changes accordingly in the Gifts database and on the Budget Worksheet. The Program Assistant will keep the Grants Administrator informed when any changes are made. Each Committee will provide the Grants Administrator with the original committee minutes.

Recommended for Declination

Working from the information provided by the Program Officers, the Program Assistant searches Gifts to find each request (one at a time) and double clicks to open it.
Change status from Pending Staff Review to Staff Dec.
Change staff to whichever program officer will sign the declination letter (by Sector).
Add meeting date in meeting date field.

Recommended for Award

Working from the information provided by the Program Officers, the Program Assistant searches Gifts to find each request (one at a time) and double clicks to open it.
Change status from Pending Staff Review to Staff Recommends.
Change staff to whichever program officer will be preparing the GPR form.
Add meeting date in meeting date field.
Enter the amount recommended in the recommended amount field.
In the Codes tab, enter the Program Area down to the sub-category level.

After updating the Gifts database, the Program Assistant will add the recommendations to the Budget Worksheet, which is located in the current year directory (for 2011 it is at H:\WPDATA\2011\BUDWKS11.xls), and will have been set up by the Grants Administrator.

Each recommendation is listed by sector, and also uses a subsector code. The organization's name is placed in the first column. The recommended amount is entered in the "Proposed" column – not the awarded column. The next column is the subsector code, and the last column represents which quarter the grant will be awarded in. Complete all of this information for each recommendation and be sure to update as soon as any changes are made to the recommendations. The total of each of the sector tabs will automatically pull into the summary tab.

WHAT TO DO WHEN A REQUEST IS RECOMMENDED FOR AWARD ON THE BOARD AGENDA

September 7, 2011

After the program staff has meet to determination recommendations for award or declination for the upcoming Committee agenda, they will provide the pending requests log with the disposition of each request indicated to the Program Assistant. They will also keep the Assistant updated after their Committee has met and made decisions so she is able to make the changes accordingly in the Gifts database and on the Budget Worksheet.

Find each request (one at a time) in the Gifts database.
Double-click to open it.
Change status from Pending Staff Review to Staff Recommends.
Change staff to whichever program officer will be preparing the GPR form.
Add meeting date in meeting date field.
Enter the amount recommended in the recommended amount field.
In the Codes tab, enter the Program Area down to the sub-category level.

After updating the Gifts database, the Program Assistant will add each recommendation to the appropriate Sector tab of the Budget Worksheet, which is located in the current year directory (for 2011 it is at H:\WPDATA\2011\BUDWKS11.xls).

Each recommendation is listed by sector, and also uses a subsector code. The organization's name is placed in the first column. The recommended amount is entered in the "Proposed" column. The next column is the subsector code, and the last column represents which quarter the grant will be reviewed in. The total of each of the sector tabs will automatically pull into the summary tab. As any changes are made, be sure to update the worksheet so it always agrees with the database.

The **Program Assistant** will try to keep the Grants Administrator apprised of any changes to the recommendations.

WHAT TO DO WHEN A REQUEST IS RECOMMENDED FOR DECLINATION ON THE BOARD AGENDA

September 7, 2011

After the program staff has meet to determination recommendations for award or declination for the upcoming Committee agenda, they will provide the pending requests log with the disposition of each request indicated to the Program Assistant. They will also keep the Assistant updated after their Committee has met and made decisions so she is able to make the changes accordingly in the Gifts database and on the Budget Worksheet.

Recommended for Declination

Find each request (one at a time) in the Gifts database.
Double-click to open it.
Change status from Pending Staff Review to Staff Dec.
Change staff to whichever program officer will sign the declination letter (by Sector).
Add meeting date in meeting date field.

AGENDA RECOMMENDATIONS PROCESS

September 7, 2011

When most recommendations have been entered in the database, the Grants Administrator runs an alphabetical report of all items recommended for award on the upcoming agenda. To do this, search in the Request Tab of Gifts using criteria of Status = Staff Recommends and Meeting Date = mo/dt/year search. Then adjust the "view" by selecting and applying "Alpha Staff Recs" from the "view" menu. Select all and print the report. With this information, create the Quarterly Agenda spreadsheet. Enter the information for the first five columns of the appropriate quarter's tab on the Excel Quarterly Agenda spreadsheet (Organization Name, ID #, Program Area, Staff, and Amount Recommended). Now the quarterly spreadsheet is set up. Requests will continue to be added and amounts adjusted. This is the document used to track the various items that need to be done for every recommendation.

Using the Quarterly spreadsheet, open each request and:
Complete the Code tab for each recommendation as follows:

> Fund = Regular
> Population Served = AR if the grant should be pulled only into the Annual Report.
> Population Served = WI if the grant should be pulled into the Report to Wisconsin. and the Annual Report.
> Population Served = NO if the grant will not be awarded out of the Program Budget.
> Internal Program = Regular
> If the Type of Support or Geographical Area fields have not been completed, complete those as well.

Close the Request screen; focus.
Move to the Organization tab; focus and move back to the Requests tab.
Look for a similar grant recently paid to this organization. Knowing how soon after being awarded, and in how many payments the previous grant was paid, will help to determine the payment schedule for this potential grant. To schedule the payment, focus on the recommended grant and move to the payment tab. Add payments equal to the recommended amount, placing each on hold status. (See How to Schedule Grant Payments.)

As the recommendations are coded and payments scheduled, place an X in the appropriate column next to the corresponding request to indicate it has been done.

This is also the time to run Charity Check (see Charity Check Process). For each item recommended, create a new Requirement of "CC" and mark it complete. Enter the date the Charity Check report was printed in the column so named on the Quarterly Spreadsheet. This will be helpful when preparing the Yellow Checklist. All Checklists are not prepared on the same day; recommendations will continue to be added and you will need to know which items still need attention.

While doing the Charity Check, look to see if we have an IRS tax exempt status determination letter on file. In the Det Let on File column, enter Yes or No accordingly. If no, enter note in payments field to request it, and change the Yes to No on the Yellow Checklist, making a notation that one will be requested.

While the organization's record is open for updating the tax information, move to the Coding tab to see if any Director names are noted in the "Conflict" field. If there is, enter the last name of the Director affiliated with the organization in the appropriate column of the spreadsheet. This information will also be needed when the Yellow Checklist is prepared.

Place an X in the Committee Minute column after you have compared the Committee minutes of the Implementation & Impact, Ideas & Institutions, and Legacy sectors to the recommendations in the Gifts database, on the spreadsheet, and in the Board agenda book.

Prepare the Yellow Checklists the week before the Board meeting. Using the view "Alpha Staff Recs," run a search using criteria Meeting Date and Staff Recommends. Select all and from the correspondence icon at the top of the screen, choose Yellow Checklist. Move through the merge screen, being sure to select "record activity" and "save document to file." This will create one document containing all of the recommendations in alphabetical order. Refer to the information on the Agenda Spreadsheet as you edit each request's checklist. You will also use the database. In the case of non-publicly supported organizations, remember to change the default tax status of "publicly supported" to the correct status, noting any expenditure accounting requirements on the second page. Keep in mind foreign organizations also require Expenditure Accounting.

When payments have been scheduled, periodically verify that the recommended amounts equal the scheduled payment amounts

1. Using the quarterly spreadsheet, which needs to be prepared to include all grants recommended for the upcoming board meeting, search for the request ID # in the requests tab of Gifts. Do this, one at a time, for each of the items for the recommended.

    A. Focus; move to the organizations tab.

    B. Open the record; move to Tax Status tab.

    C. Copy the organization's tax ID number and paste into Guidestar's search field. If the tax ID number is not recorded, search by name.

    D. Guidestar is located at http://www2.guidestar.org/Home.

    E. When the results appear for the correct organization, click on the "Check Today's Report" on the right side of the screen

    F. Choose PDF, then print from the software's print icon at top left of the screen.

    G. Close out (x) of the report just printed, leaving Guidestar open for the next item.

    H. Set the printed copies aside until the Yellow Checklists have been prepared.

    I. After the board meeting you will attach the Charity Check report to the back of the Yellow Checklist for the corresponding grant.

2. Go back to the organization's tax record screen.

    A. Select your name from the pull down menu in the "verified by" field.

    B. Update the "last verified on" date with the current date. (F3 will insert current date into any date field in Gifts.) This date will pull into the Yellow Checklist.

    C. Tab to next field, F3 to insert current date, but change year to the next year.

3. If the organization's determination letter has not been received, check the determination letters that have been set aside in the alpha file as the proposals were being logged.

    A. If found, enter the information in the organization's tax record.

    B. If not found, see if it is available from Charity Check.

    C. If it is, print it for our files.

    D. If not, request it when the grant is paid (place a note in the payment notes field: "req IRS det let" to remind you to request it in the check transmittal letter when the grant is paid.

4. Verify Charity Check's exempt status with the organization's tax record in Gifts, which comes from the most recent determination letter we have on file.

5. If you enter information from a new determination letter, stamp the letter "entered" and place it aside to scan so it can be added to the organization's existing letter in our network and physical files.

6. Any non-compliance situations discovered during this process should be directed to the Vice President for Finance and the Program Officer for resolution.

7. The organization tax record in Gifts should contain the employee identification number (EIN)-referred to as the tax ID in Gifts, the Registration date is the most recent determination letter we have on file, and each tax status code found on the determination letter.

8. Close the organization record; focus on the organization and move to the requests tab.

9. Locate a recent grant similar to the recommended grant. Focus on it and move to the payments tab to see when it was paid; this will give you an idea of when to schedule the new grant's payment. (Keep in mind the usual payment scheduling criteria.)

10. Return to the list of requests for the organization.

11. Double click to open the current recommendation.

12. Verify correct meeting date; move to page 2 to check for payment notations.

13. Move to the code tab and update accordingly; almost always the “Population Served” field will need to be added. (If not a local grant, the AR code is used; if local, use WI code.)

14. If a director’s name has been entered in the “Conflict” field, include that name in the conflict column of the meeting spreadsheet and place on the Director Affiliations page that goes in the board agenda book.

15. Proceed to the payment tab. Create a new payment according to guidelines, placing it on “hold” status.

16. Move to the requirements tab; create the requirement “Charity Check” and mark it done.

17. Save and close the record.

PREPARING COMMITTEE AND BOARD AGENDAS
IN PDF FORMAT TO EMAIL
February 14, 2013

After the physical agenda book has been assembled, the pages used for copying are scanned using the "color," "compact" and "OCR" features of the PDF scanner associated with the network printers.

They should be scanned in sections so each file you name will be labeled according to the Section or Subsector title. The name you give each of the scanned files will be the Bookmark name used for the tab in the Adobe software.

When all the pages for the book have been scanned, open the Adobe Acrobat Pro v.11 software. Choose "combine files into PDF." Click on "add files" and select from their file location. When all are merged, select "file, save as" and give an appropriate name.

The name of each file is pulled in automatically as a bookmark. To add additional bookmarks, click on the "Bookmarks" icon. Move to and click on the page you want to bookmark. Select the "new bookmark" icon and type in the name. To create the next bookmark, repeat this process. To re-designate the page to display for a bookmark, right-click on the bookmark's name and select "redefine destination."

To nest this bookmark within an existing bookmark, click on the bookmark icon at the left of the bookmark's name and drag it slightly up and to the right and drop in place. Nesting bookmarks can be renamed and moved as often as you need to. To align left with one out of current view, drag up to the level you need and it will stay in the same horizontal order but vertically align where you've placed it.

If changes are made to any page, you will need to rescan the page. To delete a page(s), click on the "page" icon; then right click in that section and indicate the page range in the pop-up menu. To insert a page(s) position your curser at the point of insertion while in the "pages" view. Right click to bring up the menu and choose insert. The next menu will ask you to choose before or after the page your curser is currently on; select accordingly.

AREA	ANNUAL ITEMS	DUE	DONE
FI	Year end breakdown of payments, weekly from time of request (mid Oct?)	10/20/12	
FI	Type state corporation form, if requested	4/20/12	
FI	Type 1099-MISC Federal form, if requested	1/31/12	
INS	Verify ins invoices; enter on budget ss; file	12/1/12	
INS	Prepare upcoming year's budget	9/15/12	
INS	Email Jeff re: upcoming year's budget info	9/1/12	
INS	Send Unemploy surety bond req to LW @ RR	7/10/12	
INS	Send previous year audited financial statements to Linda @ RR	6/30/12	
INS	Review new policy binder	6/15/12	
INS	Final application for Crime policy	6/12/12	
INS	Draft application for Crime policy	6/6/12	
INS	Request T&A IN quote for Dir/Staff (3 or 1 yr)	1/15/12	
GA	Set up new year cash flow	12/31/12	
GA	Enter Director conflicts/affiliations/disclosures into Gifts	6/30/12	
GA	Fdn Ctr 2010 list of grants	3/31/12	
GA	Box up prior year grant reconciliations	3/1/12	
GA	Request denominator for Grant Summary ss from Mandy	1/31/12	
GA	Set up new year grant financial reports	1/20/12	
GA	Delete prelims from Gifts	1/13/12	
GA	Pull & discard prelims from file cabinet	1/12/12	
GA	Add next year Individual Dec org. in Gifts	1/6/12	
GA	Change to new ID # in admin	1/6/12	
GA	Create next year's budget worksheet (get budget info from MH)	1/6/12	
GA	Create after meeting progress form	1/6/12	
GA	Create next year's Excel agenda ss	1/6/12	
GA	Create next year Bradley Fellowship code in Gifts	1/6/12	
GA	Run list of prelims to pull from open agency files	1/6/12	
GA	Pull and box up: Bradley Fellowship grants	4/16/12	
GA	Pull and box up: Keiser grants	4/15/12	
GA	Give copy to SR to pull the grants for Bill; keep original for file	4/5/12	
GA	Ask Bill for archiving boxes	4/5/12	
GA	Run grants to be archived report; make one copy	4/2/12	
RR	Discard old records according to policy	2/20/12	
RR	Ask CF to review remaining boxes	2/20/12	
RR	Dispense items as CF requests	2/20/12	
RR	Ask Dennis to pull boxes from storage area; take to HH kitchen	2/10/12	

NOTES

OVERVIEW OF GRANT PROCESS
June 17, 2011

When a proposal is received, the Vice President (or President) briefly reviews it and assigns the request to a specific program sector of the grant budget and therefore to the corresponding Program Officer. Current sectors are: Legacy, Ideas & Institutions, Implementation & Impact, and IRA. The annual **grant award and payment budgets** are prepared jointly by both the Program and Finance staff and approved by the Board of Directors. The grant budget is based on a 12-month rolling average of investments.

The proposals are given to the Program Assistant to log. **Logging a proposal** requires entering the request into the Gifts for Windows database, creating a file folder, and sending an acknowledgment letter to the requestor. If an **IRS determination letter** has been sent in at this time, it is removed to a holding file and given to the Grants Administrator. Payment requests or event dates are noted on Page Two of the database record to aid with payment scheduling, in the event a grant is awarded.

Each Program Officer reviews, recommends, and researches the requests in their program area. Two to three weeks after the proposal deadline, the Program Staff meets with the Vice President and President to discuss the disposition of the pending requests. Those decisions are provided to the Program Assistant, who **codes them accordingly** in the request record of the Gifts database. Requests recommended for declination will appear on the **list of declinations** presented to the Board in the agenda book. The Program Staff will prepare a **Grant Proposal Record (GPR) form** (write-up) for each request recommended for award on the agenda.

If a request is recommended to be awarded, **additional database fields are updated** to reflect the amount recommended, the meeting date, the program officer preparing the write-up, and finally the programmatic codes are completed to allow sorting for various reports. Each recommendation is placed on the **Board agenda document** in Word, which is created by the Program Assistant. She also will list the recommendations in the appropriate section of the **Budget Worksheet** in Excel. The Grants Administrator runs a list of recommendations from Gifts and places them on the **quarterly agenda spreadsheet**. Working from this checklist, she is able to track the various steps and requirements for each of the recommendations as they are added to the agenda.

During this time, the Program Officers are preparing the Grant Proposal Record **(GPR) forms** (or write-ups) for each of the recommendations. These forms will comprise the bulk of the agenda book the Directors will receive a week prior to the Board meeting. Occasionally, requests are presented to the Board in the form of a Discussion Item and a GPR form is not used. A copy of either is placed in the grant file by the Program Assistant after the Board meeting.

The Program Assistant provides a **grant history** of each organization being recommended, which the Program Officers will attach to their write-ups (GPR forms).

Committees have been established for each of the four program sectors, which are chaired by one of the Foundation's Directors. Each committee, composed of Directors and Staff, meet several weeks before the scheduled Board of Directors meeting. The staff presents their research and recommendations for the Committee. The Committee determines what will be presented to the full Board of Directors at the Board meeting. The meeting minutes are prepared and the original provided to the Grants Administrator, who is responsible for keeping all of the **original minutes** of the Foundation in a binder in a fire-proof fine cabinet (except Personnel Committee and Executive Session, which are kept by the VP-Administration).

During the award process, each grant must have its **tax exempt** status verified. This is done through Guidestar. Using the **Charity Check** feature, the report for the grantee is printed and filed in their grant file. An IRS tax status determination letter is kept on file for every organization. This is located in the bottom drawer of the Grants Administrator's lateral file. The exempt status is recorded in the organization's tax record in Gifts, along with the date verified.

The Grants Administrator will also **schedule a "hold" payment**, equal to the amount of the recommendation, for each request recommended on the meeting agenda. If the request is not awarded, the payment is deleted. Remaining payments, those that were awarded, will be changed to "scheduled" after receipt of the signed grant agreement, assuming the tax status has previously been verified. Payment will not be released until these two items are marked as done in the grant requirements tab of the grant record.

Payments for a grant for a specific project would be determined by the length of the grant period and the date of the event and are split if practicable. Payments for conferences generally cannot be split, for example, because most of the cost culminates shortly before the event. Academic programs are split according to academic/semester periods, with August and January installments typical. Because academic institutions have a short year and various departments to work with, small and frequent installments are cumbersome for the grantee; payments are adjusted accordingly. Grants $10,000 and under are generally paid immediately in a single installment, unless otherwise requested.

At the beginning of the year, both staff and directors are required to complete two forms. One is a conflict of interest statement asking them to list organizations they are affiliated with. The other asks for any possible conflict of interest and political lobbying activity to be disclosed. This request is sent from the President by the VP-Administration. When the completed forms are received, the VP-Administration gives them to the Grants Administrator to note any directors affiliated with grantees. This information is entered on the code sheet of the organization's record in Gifts. The organization's conflict code containing the name of any affiliated directors will default to all requests logged after that point. However, it is necessary to verify that any pending requests for that organization already include the conflict code, and if not, to enter it on the code tab of the pending request. If a GPR form has already been prepared and the director name is not included, notify the program officer so the write-up can be updated. If a grant is recommended to be awarded to an organization containing this code, it is disclosed on the **Directors Affiliations** page in each Board meeting's agenda book. The Director affiliated abstains from voting on the request and same is noted in the minutes of the meeting.

When the signed contract, required in order to release payment, is returned by the grantee, the

Grants Administrator marks the **requirement complete** in the database, changes the payment status from “hold” to “scheduled,” stamps the contract “entered” and places it to be filed in the open agency files by the Program Assistant.

Grant payments are scheduled for the first and third Wednesdays of each month. The Grants Administrator prepares the **payment approval form** for signature by the VP-Program (the President, in his absence). The signed form is provided to the Accountant as authorization to release payment. When the checks are cut, they are given to the Grants Administrator to apply a dual electronic signature. After the checks are signed, the Accountant must be informed that the signature process was successful in order to proceed with the Positive Pay program. The Grants Administrator prepares the **check transmittal letters** under the signature of the VP-Program. After the letters are signed, copied, and checked off a spreadsheet, they are mailed.

Any time the **electronic signature is used to sign checks**, the Grants Administrator records on a form the check numbers that have been signed.

The Intern prepares the checks by exporting payment information from the Gifts for Windows database into the Great Plains Dynamics accounting software. Blank checks are stored in a locked cabinet in the office shared by the Finance Intern and Assistant Controller. A log is kept to show which checks are removed for processing. The checks are signed via computer scanned image by the Grants Administrator. The dual signature image is kept secure on the hard drive of her computer (not on the network) and therefore accessible only from her workstation, which is password protected. A register is kept showing the check number of the checks that have been signed. Checks over $200,000 require two manual signatures of approved signatories, which is coordinated by the Finance Intern. A **check transmittal letter** is prepared by the Grants Administrator under the signature of the Vice President. Information from the check-cutting process (check number, date, amount) is imported back into Gifts from Dynamics by the Intern. He then sends specific check related information electronically to the Foundation’s bank, Northern Trust, as part of the Positive Pay program that verifies each check presented for payment is legitimate. The Finance Intern reconciles the checking account with the Northern Trust Statement. The Assistant Controller oversees the monthly reconciliation.

When the first payment is made on a grant, a copy of the check transmittal letter is filed in the grant file and the file is pulled from the open agency files and **purged** of extraneous material by the Grants Administrator. At this point, the following items are clipped to the file folder from bottom up: the proposal and any additional information sent by the grantee; the GPR form or discussion item sheet; the signed checklist with the GTES or withholding form attached; the award letter; the grant agreement signed by both the Foundation and the grantee; and the check transmittal letter. The file is then filed in the closed agency files (lower level of the Lion House) by the Office Assistant. She will clip into the file folder additional payment letters, correspondence authorizing grant end-date extension or changes in budget or project, or other grant details, as they are received. If a grant is cancelled or amended, a note of explanation for the file is also attached. If Grant Expenditure Accounting is required, these forms would also be clipped to the folder. The periodic and final reports are loosely filed within, along with any updates or press articles received afterwards. The Foundation requests a final report when the grant funds are expended, but does not require it on all grants due to their small size or nature of the award. When the Foundation receives a report from a grantee, the Program Assistant prepares and sends a thanks-for-your-report letter under the signature of the Vice President for

Program or Director of Academic, International, and Cultural Programs. The closed agency files are maintained by the Office Assistant.

A **grant reconciliation** is prepared monthly by the Grants Administrator for the VP-Finance that details grant award and payment information for the month and year-to-date, including cash-flow estimates.

Grants paid by a private foundation to another private foundation, private operating foundation, foreign entity, or sponsored grant require **Expenditure Accounting Responsibility** (EAR). Using information from the **yellow checklist**, grants requiring EAR are coded as such in the Gifts database. Following the end of the year in which the grant was paid, the Grants Administrator prepares a Log with this information in an Excel spreadsheet. In January of each year, she prepares a letter under the signature of the Foundation's Vice President for Finance requesting the grantee complete the EAR form and return it signed to the Foundation. The form assures that all of the funds were expended for the project intended. It also requests details relating to the expenditure of the grant. The grantee's response becomes a permanent part of the grant file and is noted on the EAR Log and the requirement's tab of the grantee's request record in the Gifts database. Unexpended funds are followed up on again in July. The EAR log will be attached to the Foundation's **tax return** for the corresponding year.

Program Officers continually monitor grantees in their sector. The Director of Research and Evaluation provides analysis of the materials presented in the Board's agenda book in relation to the current program budget and coordinates the materials for and assembly of the Board agenda books. The Office Assistant copies the GPR forms and other material for the agenda book, which she then assembles. The Receptionist sends them to each Director one week prior to the Board meeting.

Immediately **after the Board meeting**, the decisions of the Board are provided to the Grants Administrator by each Program Officer. Each request from the agenda is awarded or declined in the database accordingly. A letter informing those who were **declined** is prepared by the Program Assistant for signature by the appropriate Program Officer. For each grant **approved**, a four-page **Grant Agreemen**t (contract), along with a cover letter, is prepared by the Grants Administrator. The appropriate Program Officer reviews the letter and contract for accuracy in description and dollar amount. Changes are made as needed, and the correspondence is printed in final form for the signature of either the Vice President for Program or Director of Academic, International and Cultural Programs. The grantee is informed of the payment schedule in the award letter.

If the Board sets any conditions on a grant that need to be met before payment can be released, this is noted as a **challenge grant** and a requirement is set in the database and included in the contract. When the Foundation receives documentation that the challenge has been met, the code is changed to allow payment to be made.

Occasionally the Board authorizes a ***grant commitment***. It is usually a large dollar amount spread over several years, and sometimes has a condition to be met. The date of authorization is entered into the database as the grant date. The GTES form and signed contract on the full amount is processed as usual. Each year the specific portion of the commitment that the Board designated is activated, and the activation date becomes the grant date for that year's portion of the commitment. As the database can have only one grant date per entry, this process is tracked on a Lotus spreadsheet. The amount of the commitment entered in Gifts is removed from the database grant totals until the year of award, at which time it is changed on the spreadsheet from a commitment to a grant and added thereafter to the database totals as a new grant in that year. Payments for the activated portion of the award are moved from Hold to Scheduled at this time. The payments for the portion that remains un-awarded are kept separate by scheduling them for 12/31 of each year in which payment is anticipated.

The Secretary or Assistant Secretary of the Foundation is responsible for providing the **minutes of the Board meeting**, assisted by staff contributors. Generally, the process is started by the Vice President of Finance, and passed on to the Grants Administrator, who will include the grants that were awarded.

After **purging**, a grant file is kept for five years in the closed agency files located on the Lower Level of the Lion House. Annually, a list is run by the Grants Administrator from the Gifts database selecting the grants from the appropriate year to be **archived**. They are removed from the filing cabinet by the Office Assistant who places them into boxes for the Foundation's Librarian to prepare before sending them to DataStore to be scanned onto a CD-ROM. The CDs are placed on the network file server. Any staff with permission to access the PaperVision 32 software can view and print any of the pages contained in the files. The original paper files are boxed and stored in a humidity controlled vault on the Lower Level of the Hawley House for an additional five years. Requests declined at a Board meeting are kept in the closed agency files for two years from the Board date and are discarded into the shredding bin by the Office Assistant working from a list prepared monthly by the Grants Administrator. **Out-of-Mandate declinations** (proposals immediately turned down by the Vice President without being presented to the Board because they do not fall within the Foundation's mandate or current areas of interest) are kept only one year before being discarded.

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The Foundation has four other grant programs in addition to the regular grant program described above. Each have different requirements and processes as follows:

Formerly known as the General Contributions Committee **(GCC)** program, the current **Directed Giving Program** was authorized at the 11/13/2001 Board meeting. This program allows a Director of the Foundation to authorize, with the President's approval, a grant(s) up to $5,000 per year to a charitable organization. The program was expanded in February of 2003 to allow each staff member to designate a grant(s) up to $2,000 annually, with the President's approval. Each GCC file should contain the request from the Director or Staff, a GCC form signed by the initiator and the President, and the check transmittal letter. A signed contract and GTES form are not required, but the tax exempt status is verified, noted in Gifts, and a copy of the IRS determination letter is placed with the others in the determination letter binders. A Lotus spreadsheet with amounts used and balances available is maintained by the Grants Administrator. These grants are processed as requested throughout the year. An additional copy of the signed GCC form is kept by year in the open agency cabinet.

The Bradley Graduate and Post Graduate **Fellowship program** is an invitation only grant program. The current program was authorized at the 11/4/2003 meeting of the Directors in the amount of $3,000,000 representing $1,500,000 for each of the two academic years 2004-05 and 2005-06. Whenever the board re-authorizes the program, the Director of Academic, International and Cultural Programs (Director) invites the professors continuing in the program, and possibly any new professors added, to participate. They are invited to send their letter of request according to the Foundation's Bradley Fellows format. Usually during the month of May prior to the start of the academic year, the upcoming term's $1,500,000 grant allotment is awarded in the grants database. As each of 60 professors request Fellowship funds (currently, up to $25,000 per term per professor), a grant is awarded in the database and a letter of award is sent to the organization. This two-page letter (which replaces the standard contract) must be signed and returned to the Foundation in order for payment to be released. The GTES form is not required, although the tax status is confirmed via the Cumulative Index and noted in Gifts. Each professor is required to submit a final report before his department can receive funds for the following term. As each of the $25,000 Fellowship grants are requested and awarded in Gifts, the same amount is amended down from the $1,500,000 Fellowship grant awarded in May. This process is tracked on a Lotus spreadsheet with balance available noted and participating professors indicated. It is also confirmed in a WordPerfect file so the Director can easily identify those professors who have and have not participated thus far. Since the Grants Administrator prepares the award letters for the Director's signature, follows up on the reporting requirements and invitations, and makes the database adjustments, these records are kept according to professor by university in the filing cabinet in her office.

In 2002 the Foundation established a **Donor Intent Program** whereby unrestricted contributions are received from independent donors. Donors are permitted to recommend that grants be made to organizations that are qualified as a public charity under Section 501(c)(3) of the Internal Revenue Code in an amount up to the donor's contribution. Contributions to the Donor Intent Program are irrevocable and all donor recommended grants must be reviewed and approved by the Board of Directors. Awards recommended by the Donor are entered by the Grants Administrator as pending requests in the Gifts database and coded accordingly. Their IRS tax exempt status is verified by looking each organization up in the IRS Cumulative Index. If an IRS determination letter is not already in the Foundation's file, exempt status is verified by locating the organization at www.guidestar.gov and printing their informational page for the record. A copy of the determination letter is requested when the check is sent. When the grants have been authorized by the Board and the Donor's check has been deposited, the Grants Administrator awards the grants and schedules them for payment on the next check cutting date. She prepares the award letters (signed by the Foundation's President) specific to the program, along with any additional material the donor wants sent with the check. No contract or GTES form is required. A final report is requested, but not required.

2003 was the inaugural year for the **Bradley Prizes** program authorized at the 11/12/2002 meeting of the Directors. This program recognizes individuals of extraordinary intellectual talent and dedication who have made contributions of excellence in areas consistent with the Foundation's philanthropic priorities. Up to four prizes of $250,000 each are awarded annually to individuals who have a demonstrable record of relatively recent achievements and potential for future engagement in work supportive of "limited, competent government; a dynamic marketplace for economic, intellectual, and cultural activity; and a vigorous defense at home and abroad of American ideas and institutions." This program intends to confer public stature on honorees who are presently engaged in work that "strengthens American democratic capitalism and the institutions, principles, and values that sustain and nurture it." The award is a gift to reward past achievement, but not lifetime achievement. The recipient is selected without any action on the recipient's part and the recipient is not required to render future services as a condition to receiving the prize, nor is the prize payment for any past services. Each year the President and Director of Academic, International and Cultural Programs (Director) put together a national panel of more than 100 prominent individuals who are asked to submit nominations of eligible recipients in a wide range of fields and areas of study. Nominations are evaluated by an independent selection committee, who will make recommendations to the Foundation's Board of Directors, who will then award the Prizes at a special ceremony arranged by the President, Director, and Chairman of the Prizes Committee. Typically, the $250,000 prize will be paid in four equal installments over four years to each individual winner. The Foundation will request the recipient complete the required IRS Form W-9. The President will discuss payment arrangements with each winner, and let them know they have the option to designate a tax exempt entity to receive the funds directly from the Foundation instead of accepting the funds. However, they would not be allowed a personal exemption for the charitable donation since it would come directly from the Foundation. Payment to the individual is reported to the IRS on Form 1099-MISC, and therefore included in the winner's gross income for the year in which it was paid. Members of the **selection committee** are paid a $10,000 meeting fee and are given the opportunity to designate a $20,000 grant to a 501(c)(3) tax exempt organization. The Grants Administrator prepares the database entries of the nominees, the nominee review materials for the selection committee meeting, the selector-designated grants, and assists the President's Assistant with invitation lists and other administrative aspects of the program, all under the direction of the Director and President. The Finance Intern prepares and mails the checks to the members of the selection committee after the W-9 forms are received, according to ususal administrative procedures.

When unexpended grant monies are returned to the Foundation, the Grants Administrator enters the **refund** amount in the payment record of the database, which also amends the amount of the grant awarded. A note of explanation is added to the grant file and the refund is reported to the Directors as a Miscellaneous Action in the Board agenda book. The Finance Intern prepares the check for deposit into the Foundation's checking account and posts it to the general ledger.

Other **Miscellaneous Actions** reported to the Board by the Grants Administrator include: conditions of a challenge grant being met; grants **transferred** to a different organization for the same project; grant commitments activated; Directed Giving and other non-board designated grants awarded; **refunds, cancellations** and other adjustments.

BRIEF OVERVIEW OF THE REGULAR GRANT PROCESS

January 17, 2013

The process begins when a request for funds (proposal) is received. The proposal is briefly reviewed by the VP-Program. He indicates what Sector (program area) the proposal falls in to, and passes it on to the Program Assistant. She will enter the request into the grants database, send an acknowledgement letter, prepare the file folder for the proposal and pass it on to the corresponding Program Officer. The Program Officer reviews, researches, and brings a recommendation to the Sector committee meeting to either award or decline the proposal.

The program staff prepares a written recommendation (GPR form) for each grant recommended. These write-ups will comprise the bulk of both the sector committee and board agenda books. Two to three weeks after the proposal deadline for the next board meeting, the Program Staff meets with the VP-Program and President to discuss their recommendations. Recommendations from this meeting are presented at the corresponding sector's committee meeting. After discussion and evaluation, the committee presents their recommendations to the full board of directors at the next board meeting.

As requests are recommended for award or declination, the Program Assistant has the responsibility of updating each proposal's codes in the database, adding the recommendations to the budget worksheet, and preparing grant histories for each write-up.

The Grants Administrator prepares the quarterly spreadsheet to track completion of various compliance items for each grant. She verifies and documents the tax-exempt status of the organization, schedules the potential payments, checks for and notes any director conflicts, and completes the database coding.

Immediately after the Board meeting, disposition of the requests are provided to the Grants Administrator. She runs the award process in the grants database and prepares for each grant a cover letter and three-page grant agreement to be signed by the VP-Program (or Director-A,I,C Programs). The Program Assistant runs the declination process in the grants database and prepares a letter of declination under signature of the corresponding Program Officer for each request turned down.

As the grant agreements are returned signed by the grantee, the Grants Administrator records the requirement in the grants database as complete, and, if there are no other conditions to be met, changes the payment from hold to scheduled in order for payment to be released.

Grant checks are processed twice a month. The Grants Administrator prepares a payment approval form for the VP-Program (or President) to sign. The signed form is given to the Accountant as authorization to cut the checks. An electronic signature is applied to checks under $200,000 by the Grants Administrator, who then prepares a check transmittal letter under signature of the VP-Program, encloses the check and mails it.

At the end of the grant period, the grantee sends in a report on the expenditure of the grant.

[i]DETAILED OVERVIEW OF GRANT PROCESS

January 17, 2013

When a proposal is received, the Vice President (or President) briefly reviews it and assigns the request to a specific program sector of the grant budget and therefore to the corresponding Program Officer. Current sectors are: Legacy, Ideas & Institutions, Implementation & Impact, and IRA. The annual grant award and payment budgets are prepared jointly by the Program and Finance staff and approved by the Board of Directors. The grant budget is based on a 12-month rolling average of investments.

The proposals are given to the Program Assistant to log. Logging a proposal requires entering the request into the Gifts for Windows database, creating a file folder, and sending an acknowledgment letter to the requestor. If an IRS determination letter was sent, it is set aside for the Grants Administrator. Payment requests or event dates are noted on "Page Two" of the Gifts database record to aid with payment scheduling, in the event a grant is awarded.

Each Program Officer reviews, recommends, and researches the requests in their program area. Two to three weeks after the proposal deadline, the Program Staff meets with the Vice President and President to discuss the disposition of the pending requests. Those decisions are provided to the Program Assistant, who codes them accordingly in the Gifts database. Requests recommended for declination will have a status code of "Staff Dec" and will therefore pull into the list of declinations presented to the Board in the agenda book. Requests recommended for award will have a status code of "Staff Rec." Program Officers prepare a write-up for each request recommended for award on the agenda.

Requests recommended for award require additional database fields be updated to reflect the amount recommended, the meeting date, the program officer preparing the write-up, and finally the programmatic codes are completed to allow sorting for various reports. Each recommendation is listed on the Board agenda document in Word, which is created by the Program Assistant. She also lists the recommendations in the appropriate sector of the Budget Worksheet in Excel. The Grants Administrator runs a report from Gifts in order to list them on the quarterly agenda checklist. Working from this checklist, she is able to track the various steps and requirements for each of the recommendations.

The Program Officers prepare the GPR forms (write-ups) for each of the recommendations. These forms will comprise the bulk of the agenda book the Directors will receive a week prior to the Board meeting. Occasionally, requests are presented to the Board in the form of a Discussion Item write-up and the GPR form is not used. The Office Assistant will give a copy of whatever was used in the agenda to the Program Assistant to file after the Board meeting.

The Program Assistant provides a grant history of each organization being recommended, which the Program Officers will attach to their GPR forms.

Committees have been established for each of the four program sectors, which are chaired by one of the Foundation's Directors. Each committee, composed of Directors and Staff, meet several weeks before the scheduled Board of Directors meeting. The staff presents their research and recommendations to the Committee. The Committee determines what will be presented to the full Board of Directors at the Board meeting.

The original Committee and Board meeting minutes are provided to the Grants Administrator, who is responsible for keeping all of the original minutes of the Foundation in a binder in a fire-proof file cabinet (except Personnel Committee and Executive Session, which are kept by the VP-Administration).

During the award process, each grant must have its tax exempt status verified. This is done by the Grants Administrator through Guidestar. Using the Charity Check feature, the report for the grantee is printed and attached to their Yellow Checklist to be filed in their grant file. An IRS tax status determination letter is kept on file for every grantee, along with a PDF file on the Foundation's computer network. The exempt status is recorded in the organization's tax record in Gifts, along with the date verified.

The Grants Administrator will also schedule a "hold" payment, equal to the amount of the recommendation, for each request recommended on the meeting agenda. If the request is not awarded, the payment is deleted. Remaining payments, those that were awarded, will be changed to "scheduled" after receipt of the signed grant agreement, assuming the tax status has previously been verified. Payment will not be released until these two items are marked as done in the grant requirements tab of the grant record.

Payments for a grant for a specific project would be determined by the length of the grant period and the date of the event and are split if practicable. Payments for conferences generally cannot be split, for example, because most of the cost culminates shortly before the event. Academic programs are split according to academic/semester periods, with August and January installments typical. Because academic institutions have a short year and various departments to work with, small and frequent installments are cumbersome for the grantee; payments are adjusted accordingly.

The Foundation requires a set of Conflict of Interest forms be completed by each director and staff. One form is a conflict of interest statement asking them to list organizations they are affiliated with; the other asks for disclosure of any possible conflict of interest (including financial and investment relationships, which would be relayed to the Finance Department) or political lobbying activities. These requests are prepared by the VP-Administration and sent under signature of the President. When the completed forms are returned, they are tracked by the VP-Administration who gives them to the Grants Administrator to note in the Gifts database any directors affiliated with grantees. This information is entered in the Conflict field of the organization's record. The organization's conflict code defaults to all requests logged after that point. However, it is necessary to verify that any pending requests for the organization already include the conflict code, and if not, to enter it on the code tab of the pending request. Any Directors affiliated with an organization being recommended for support is disclosed on the Directors Affiliations page prepared for each Board meeting's agenda book. The Director will abstain from voting on the request, and same will be noted in the minutes.

When the signed contract, required in order to release payment, is returned by the grantee, the Grants Administrator marks the requirement complete in the database, changes the payment status from “hold” to “scheduled,” stamps the contract “entered” and places it to be filed in the open agency files by the Program Assistant.

Grant payments are scheduled for the first and third Wednesdays of each month. The Grants Administrator prepares the payment approval form for signature by the VP-Program (the President, in his absence). The signed form is authorization for the Accountant to release payment. Blank checks are stored in a locked cabinet in her office. She keeps a log to show which checks have been removed for processing. The Accountant prepares the grant checks by exporting payment information from the Gifts for Windows database into the Great Plains Dynamics accounting software. After the checks are printed, information from Great Plains (check number, date and amount) is imported into Gifts in order to complete the payment record.

The checks are signed via computer scanned image by the Grants Administrator. Any time the electronic signature is used, the Grants Administrator records on a form the check numbers that have been signed. The dual signature image is kept secure on the hard drive of her computer (not on the network) and therefore accessible only from her workstation, which is password protected. A register is kept showing the check number of the checks that have been signed. Checks over $200,000 require two manual signatures of approved signatories, which is coordinated by Accountant.

When the checks have been signed, the Accountant needs to be informed that the signature process was successful so she can proceed with the Positive Pay program. Specific check related information is sent electronically to the Foundation’s bank as part of the process that verifies each check presented for payment is legitimate. The Accountant reconciles the checking account monthly with the bank statement; the Controller oversees the monthly reconciliation.

The Grants Administrator prepares the check transmittal letters under the signature of the VP-Program. After the letters are signed and copied, they are mailed ($200,000 and over are sent by Federal Express).

When the first payment is made on a grant, a copy of the check transmittal letter is filed in the grant file and the file is pulled from the open agency files and purged of extraneous material by the Grants Administrator. At this point, the following items are clipped to the file folder from bottom up: the proposal and any additional information sent by the grantee; the GPR form or discussion item page; the yellow checklist with the Charity Check report attached; the award letter; the grant agreement signed by both the Foundation and the grantee; and the check transmittal letter. The file is then filed in the closed agency files (lower level of the Lion House) by the Office Assistant. She will clip into the file folder additional payment letters, correspondence authorizing grant end-date extension or changes in budget or project, and any other pertinent grant details. If a grant is cancelled or amended, a note of explanation for the file is also attached. If Grant Expenditure Accounting is required, these forms would also be clipped to the folder. The periodic and final reports are loosely filed within, along with any updates or press articles received afterwards. The Foundation requests a final report when the grant funds are expended, but does not require it on all grants due to their small size or nature of the award. When the Foundation receives a report from a grantee, the Receptionist identifies the grant in the database and prepares and sends a thanks-for-your-report letter under the signature of the Vice President for Program or Director of Academic, International, and Cultural Programs. The report with the letter attached is placed in the filing area to be filed by the Office Assistant in the closed agency files.

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In 2002 the Foundation established a Donor Intent Program whereby unrestricted contributions are received from independent donors. Donors are permitted to recommend that grants be made to organizations that are qualified as a public charity under Section 501(c)(3) of the Internal Revenue Code in an amount up to the donor's contribution. Contributions to the Donor Intent Program are irrevocable and all donor recommended grants must be reviewed and approved by the Board of Directors. Awards recommended by the Donor are entered by the Grants Administrator as pending requests in the Gifts database and coded accordingly. Their IRS tax exempt status is verified by printing a report from Guidstar's Charity Check feature. If an IRS determination letter is not already on file, a copy is requested when the check is sent. When Donor's check has been deposited and cleared the bank, the Grants Administrator awards the grants and schedules them for payment as decided upon by the Vice President-Finance. She prepares the check transmittal letters (signed by the Foundation's President) and encloses the check for mailing.

2003 was the inaugural year for the Bradley Prizes program authorized at the 11/12/2002 meeting of the Directors. This program recognizes individuals of extraordinary intellectual talent and dedication who have made contributions of excellence in areas consistent with the Foundation's philanthropic priorities. Up to four prizes of $250,000 each are awarded annually to individuals who have a demonstrable record of relatively recent achievements and potential for future engagement in work supportive of "limited, competent government; a dynamic marketplace for economic, intellectual, and cultural activity; and a vigorous defense at home and abroad of American ideas and institutions." This program intends to confer public stature on honorees who are presently engaged in work that "strengthens American democratic capitalism and the institutions, principles, and values that sustain and nurture it." The award is a gift to reward past achievement, but not lifetime achievement. The recipient is selected without any action on the recipient's part and the recipient is not required to render future services as a condition to receiving the prize, nor is the prize payment for any past services. Each year the President and Director of Academic, International and Cultural Programs (Director) put together a national panel of more than 100 prominent individuals who are asked to submit nominations of eligible recipients in a wide range of fields and areas of study. Nominations are evaluated by an independent selection committee, who make recommendations to the Foundation's Board of

Directors, who will then award the Prizes at a special ceremony arranged by the President, Director, and Chairman of the Prizes Committee. The Foundation will request each recipient complete the required IRS Form W-9. The President will discuss payment arrangements with each winner, and let them know they have the option to designate a tax exempt entity to receive the funds directly from the Foundation instead of accepting the funds. However, they would not be allowed a personal exemption for the charitable donation since it would come directly from the Foundation. Payment to the individual is reported to the IRS on Form 1099-MISC, and therefore included in the winner's gross income for the year in which it was paid. Members of the selection committee are paid a $10,000 meeting fee and are given the opportunity to designate a $20,000 grant to a 501(c)(3) tax exempt organization. The Grants Administrator prepares the database entries of the nominees, the nominee review materials for the selection committee meeting, the selector-designated grants, and invitation lists and other administrative aspects of the program including the invitations and program, all under the direction of the President. The Accountant prepares and mails the checks to members of the selection committee after the W-9 forms are received, according to usual administrative procedures.

When unexpended grant monies are returned to the Foundation, the Grants Administrator enters the refund amount in the payment record of the database, which also amends the amount of the grant awarded. A note of explanation is added to the grant file and the refund is reported to the Directors as a Miscellaneous Action in the Board agenda book. The Accountant prepares the check for deposit into the Foundation's checking account and posts it to the general ledger.

Other Miscellaneous Actions reported to the Board by the Grants Administrator include: conditions of a challenge grant being met; grants transferred to a different organization for the same project; grant commitments activated; Directed Giving and other non-board designated grants awarded; refunds, cancellations and other adjustments.

ANNUAL REPORT TIMELINE

TIMELINE ANTICIPATED FOR 2012 ANNUAL & WI REPORTS	BY	DONE	NOTES	*NOTES for 2013 Reports*
JUNE of 2012				
Request BP write-up from DJS	YE			
Request Symposium write-up from MH	YE			
JULY of 2012				
Determine BP pictures to use & inform YE	MWG/TF			
Determine Symposium pictures to use & inform YE	MWG/TF			
Bradley Prizes write-up completed; to YE	DJS			
Symposium write-up completed; to YE	MEH			
BP write-up done in AR-draft	YE			
Place BP pictures	YE			
Symp write-up done in AR-draft	YE			
Place Symposium pictures	YE			
AUGUST of 2012				
Contact Lithoprint to request quote	YE			
Contact EXG to request quote	YE			
Ask MWG if any major style changes to AR	YE			
Ask MWG if any major style changes to R-WI	YE			
Confirm GCCs, BPS, BF handled same as prior year	YE			
MWG response received re AR changes	YE			
MWG response received re R-WI changes	YE			
Convey MWG request for style changes, if any, to program staff	YE			
Take count of reports left from two years ago	YE			
SEPTEMBER of 2012				
Directors photo provided to YE	TF			
Lithoprint quote received	YE			
EXG quote received	YE			
Prepare AR & R- WI budgets; to TF	YE			
Request cover samples from printer	YE			
Receive cover samples	YE			
OCTOBER of 2012				
Determine quantity of AR	TF/YE			
Determine quantity of R-WI	TF/YE			
Determine quantity of President enclosure cards	TF			
Determine cover stock & color	TF/YE			
Determine Inside stock & color	TF/YE			
Receive style changes from Program staff for AR, if any	YE			
Receive style changes from Program staff for R-WI, if any	YE			
NOVEMBER of 2012				
Ask TF to request updated mail lists (GMC, DF, MMAC)	YE			
Request sector descrip text changes from program staff	YE			
Provide staff photo to YE	TF			
Staff photo received and placed into AR	YE			
Staff photo received and placed into R-WI	YE			
Ask MWG: cover letter w/WI Rept (encl. Sample)	YE			
AR text and style changes completed	YE			

ANNUAL REPORT TIMELINE

TIMELINE ANTICIPATED FOR 2012 ANNUAL & WI REPORTS	BY	DONE	NOTES	*NOTES for 2013 Reports*
R-WI text and style changes completed	YE			
Grants list to program staff for editing of descriptions	YE			
OR Use descriptions already on website from MH	YE			
Sector description text changes to YE	PS			
Sector description text changes completed	YE			
DECEMBER of 2012				
Provide web-site list of grants to YE	MEH			
Updated mail lists to YE	TF			
Update GMC, DF, MMAC mail lists in E-Tapestry	YE			
Run report & export grants from Gifts	YE			
Format exported lists for AR	YE			
Format exported lists for R-WI	YE			
Run Gifts mailing list	YE			
Run E-Tapestry mailing list	YE			
Combine Gifts and e-Tapestry mail lists	YE			
Provice AR mail list for DK to route to program staff	YE			
Enter grants into AR document	YE			
Enter grants into R-WI document	YE			
Run grant tape totals; check all grants entered on AR	YE			
Run grant tape totals; check all grants entered on R-WI	YE			
Provide AR draft to Program Staff	YE			
Provide R-WI draft to Program Staff	YE			
Staff changes on AR returned to YE	PS			
Staff changes on R-WI returned to YE	PS			
Program Staff changes made to AR	YE			
Program Staff changes made to R-WI	YE			
Provide AR draft to MEH	YE			
AR draft returned to YE	MEH			
MEH changes to AR completed	YE			
Run grant tape total; check all grants entered on AR	YE			
Run grant tape total; check all grants entered on R-WI	YE			
Prepare reconciliation of grants to financial statement	YE			
Provide AR draft to CF w/reconciliation to financial stmt	YE			
AR draft returned to YE	CF			
Changes to AR completed	YE			
Provide AR draft to MWG	YE			
AR draft returned to YE	MWG			
MWG changes to AR completed	YE			
Provide R-WI draft to MEH	YE			
R-WI draft returned to YE	YE			
MEH changes to R-WI completed	YE			
Provide R-WI draft to CF w/tape totals attached	YE			
R-WI draft returned to YE	CF			
Changes to R-WI completed	YE			
Provide R-WI draft to MWG	YE			
R-WI draft returned to YE	MWG			
MWG changes to R-WI completed	YE			
JANUARY of 2013				
Select foil and ink colors	TF/YE			

ANNUAL REPORT TIMELINE

TIMELINE ANTICIPATED FOR 2012 ANNUAL & WI REPORTS	BY	DONE	NOTES	*NOTES for 2013 Reports*
Return mail list changes to YE	DK			
Recommended mail list changes to MWG	YE			
Mail list changes returned to YE	MWG			
AR mail list changes completed	YE			
R-WI mail list prepared (pulled from AR mail list)	YE			
R-WI mail list to MWG for review	YE			
R-WI mail list returned to YE	MWG			
R-WI mail list completed	YE			
Send AR mail list to printer	YE			
Send R-WI mail list to printer	YE			
President's letter for R-WI to YE (if needed)	MWG			
Draft of President's letter completed	YE			
Final of President's letter completed	YE			
Letters printed in-house for printer to enclose	YE			
Provide final AR draft to MWG/CF/DPS/TF for sign off (ex: FiHi)	YE			
Provide final R-WI draft to MWG/CF/DPS/TF for sign off	YE			
AR draft returned to YE	VPs			
R-WI draft returned to YE	VPs			
Changes to AR completed	YE			
Changes to R-WI completed	YE			
FEBRUARY of 2013				
AR mail list sent to printer	YE			
R-WI mail list sent to printer	YE			
Financial Highlights to YE (as soon after Feb. brd mtg as possible)	MLH			
Financial highlights page prepared	YE			
Draft of financial highlights to MLH for review	YE			
Changes to financial highlights to YE	YE			
Changes to financial highlights completed	YE			
Draft of financial highlights to CF for review & sign off	YE			
Any changes to financial highlights to YE	CF			
Changes to financial highlights completed	YE			
Draft of financial highlights to MWG for approval	YE			
Financial highlights returned to YE	MWG			
Financial highlights completed in AR	YE			
MARCH OF 2013				
AR packaged by software	YE			
R-WI packaged by software	YE			
AR CD prepared for printer	YE			
R-WI CD prepared for printer	YE			
Print color copy of AR for printer	YE			
Print color copy of R-WI for printer	YE			
CD of AR sent to printer w/color copy print-out	YE			
CD of R-WI sent to printer w/color copy print-out	YE			
President's letter sent to printer	YE			
AR proof received	YE			
AR proof reviewed	YE			
AR proof reviewed, signed off	CF			
AR proof reviewed, signed off	DPS			
R-WI proof received	YE			

ANNUAL REPORT TIMELINE

TIMELINE ANTICIPATED FOR 2012 ANNUAL & WI REPORTS	BY	DONE	NOTES	*NOTES for 2013 Reports*
R-WI proof reviewed	YE			
R-WI proof reviewed, signed off	CF			
R-WI proof reviewed, signed off	DPS			
Changes to AR returned to printer (if any)	YE			
Changes to R-WI returned to printer (if any)	YE			
New proofs received & reviewed	YE			
AR proof acceptance form signed and returned	YE			
R-WI proof acceptance form signed and returned	YE			
20 AR received	LP			
20 R-WI received	YE			
AR mailed by printer	YE			
R-WI mailed by printer	LP			
Remainder AR delivered to Fdn.	YE			
Remainder R-WI delivered to Fdn.	LP			

BOARD OF DIRECTORS MEETING AGENDA BOOKS
AND
OLD WISCONSIN GRANTMAKING COMMITTEE AGENDA BOOKS
August 23, 2011

- The permanent file copies of all Board agenda books are kept at least one year in the filing cabinet next to the closed agency files beginning with “Z”. Every even year, the past two years of books are archived to a CD-ROM and are then available using PaperVision software from everyone’s desktop. They are discarded into the shredding bin after being archived. The Librarian handles this process.

- Because space is available, two years of the "Library" copies are kept in the Garden Level of the Lion House shelving area. After that time they are dismantled and contents placed into the shredding bins.

HOW TO USE PAPERVISION 32
(ARCHIVING SOFTWARE)
July 27, 2011

Search Gifts to find the ID # of the grant you are looking for.

Double click on the PaperVision 32 icon to open the software.

Enter user name (guest).

Enter password (Bradley).

Double click on Bradley Grant Files.

Enter the request ID of the grant you are seeking (found in Gifts); enter.

That file will appear in list format.

Double click to open it.

You can navigate through it by using the white left and right arrows at the top of the page.

You may print the entire file or a selected range, as usual.

To return to the area where you can select another grant, hit escape twice.

To close, select “X” in the top right corner.

GUIDELINES FOR ARCHIVING PROJECT
Grant Files
July 27, 2011

Overview

Grant files are kept for approximately five years in the closed agency files located on the Lower Level of the Lion House. Annually, a list of the grants from the appropriate year to be archived is run by the Grants Administrator from the Gifts database. These files are removed from the filing cabinet by the Office Assistant who places them into boxes for the Foundation's Librarian, who at this time removes annual reports and other extraneous material by placing the discarded items in the shredding bin. The files are then sent to DataStore to be scanned onto a CD-ROM. Upon return, the CDs are quality inspected by the Librarian to verify the appropriate materials have been scanned clearly and properly. The CDs are placed on the network file server by the Network Administrator. Any staff with permission to access the PaperVision 32 software can view and print any of the pages contained in the files. Once archived, the original paper files are boxed, and the boxes numbered and stored in a humidity controlled vault on the Lower Level of the Hawley House for another five years, after which they are to be disassembled and the contents placed into a security bin for proper destruction. (File folders that are deemed useable will be kept for reuse.)

> Example: *In the year 2005, grants awarded in the year 2000 were pulled from the closed agency files and scanned to CD-ROM. In addition, the paper grant files from 1995 (stored in the vault) will be disassembled and placed into security bins for shredding.*

GRANTS ADMINISTRATOR PROCESS

Using the "Grants-Alpha List" report from the Reports section of Gifts, use the criteria of "Approval Date = (date range by year, i.e. 1/1/2005-12/31/2005) and Coding Sheet "Fund = Regular, GCC, Grant Commitment, Foundation Initiative." Edit the title of the report to (YEAR) GRANTS TO ARCHIVE. Run the report and make a copy for the file, giving the original to the Office Assistant. She will remove these files from the closed agency filing area for the Librarian. Explain a bold dot should be placed to the left of the name of each file removed and placed in the box, which will be provided by the Librarian. Later in the process, he will circle the dot as he removes the file from the box and organizes the folder for processing.

Next, run the same report using "Approval Date = date range of the year, i.e. (1/1/2005-12/31/2005) and Coding Sheet "Fund = (year) Bradley Fellows." Make a copy for the file, and use the original to remove these Bradley Fellow grants from the BF cabinet in Grants Administrator's office, using the same dot system.

Lastly, run the same report using "Approval Date = date range of the year, i.e. (1/1/2005-12/31/2005) and Coding Sheet "Fund = Donor Intent." Make a copy for the file, and use the original to remove these Donor Intent grants from the cabinet in the Grants Administrator's office, using the same dot system.

Each of these reports, along with the file folders, should be given to the Librarian to prepare for scanning.

<u>Guidelines for Scanning Grant Files</u>

Always write the Grant ID Number in large print on the file folder. It should be written onto the area nearest the label. This allows the scanner to easily see the ID number.

All of the papers clipped to the folder should be kept, and remain in the order that they were clipped into the folder. The papers that have been placed on top of the clipped papers should be arranged by date with the most recently dated document on top.

Remove all staples and paper clips and other binders from the file.

Recopy all letters that are too light or streaked to have scanned.

*Keep the following items in the **regular grant** file folder:*
All of the clipped papers that are in the folder should be kept in the order that they were clipped into the folder (inquiry letter; grant proposal; letters of extension; progress reports; Grant Agreements/contracts; grant award letters; grantee acknowledgment letters; grantee requests for continued support; Grant Proposal Record (or other evidence of Board review); grant award letter; check transmittal letters; receipts, and keep articles that are directly related to the grant (unrelated articles can be tossed out). The papers that have been placed on top of the clipped papers should be arranged by date with the most recently dated document on top.

Generally speaking the following items DO NOT need to be kept or scanned:
Resumes, curriculum vitas, long budgets, packets of article clippings, long financial reports, audited financial statements, seminar schedules, duplicate copies of proposals, invitations, 990 tax forms, the Foundation's acknowledgement and invitation to submit a proposal letters should not be kept. These items should be removed from the file folder and place into the security container to be shredded. If any questions arise, ask the Grants Administrator.

As compared to the **Regular Grant** files, each **GCC or WGC** file contains the following basic information, in this order – top to bottom, bound with clips:

Check cover letter
Signed GCC or BP Selector designation form
Proposal or note from director or staff requesting funds - if included in the file. When a proposal letter is missing it usually means that the grant was initiated by staff or director and does not need a proposal. Keep any slips of paper related to the grant.

Note any missing grant items and bring to the attention of the Grants Administrator, who will attempt to find or make replacements so that the file is made complete.

<u>Quality Control</u>

After the files have been scanned and returned to the Bradley Foundation, go through each and every one of the physical files and match the pages to what are scanned onto the CD-ROM. If there are mistakes (missing pages, etc.), contact DataStore and prepare to have the files re-scanned. It's best to make a list of every mistake in the project. Re-send the project back until all mistakes are corrected.

GUIDELINES FOR ARCHIVING
Agenda Books
October 6, 2010

Overview
This process is done by the Librarian. Agenda Books are scanned every two years in even years: 2000, 2002, 2004, etc.) For example, the Agenda Books for 2000 and 2001 are scanned in 2002. The Agenda Books for 2002 and 2003 are scanned in 2004. NOTE: "Agenda Books" includes both "Board of Directors Agenda Books" and "Wisconsin Grantmaking Committee Agenda Books."

The past three years worth of Agenda Books (including the GPR volume, back-up books Volumes A and B, and the Wisconsin Grantmaking Committee book) are stored in the Agenda Books section of the library (Library Copy) and the Garden Level File Cabinets (File Copy) – in effect matching copies. For instance, all of the Agenda Books for 2000, 2001, and 2002 are kept in both the Library and the Files. When the books for the February 2003 meetings are ready to be stored, the February 2000 books will be disassembled and its contents properly discarded in the security bin. The 2000 agenda books have been scanned onto the PaperVision.

The "Back-up Books" for Board of Directors Agendas are NOT scanned. Physically examine each agenda notebook and make sure that each tab IS NOT left empty. In other words, make sure that all tabs have the contents they are suppose to have. This is done by going through the book tab by tab and making sure the contents of each tab match what is on the Agenda.
On a sheet of paper indicate the date and type (BOD or WGC) of each agenda book that is to be scanned. Direct the Scanner to use the Agenda section of the book to create "Description/Tab Numbers".

EXAMPLE OF A NOTE TO A SCANNER
1. Board of Directors Agenda: 2 /22/2000. Note: Please use following instructions for making tabs for this date. Make sure to scan all of the tabs that are indicated by the dots going down the page – DO NOT SKIP SCANNING THESE TABS. USE THE EXACT HEADINGS THAT ARE IN THE AGENDA BOOK UNDER THE "AGENDA" SECTION.

<u>Quality Control:</u> After the Agenda Books have been scanned and returned to the Bradley Foundation, go through each and every one of the physical book and match the pages to what are scanned onto the CD-ROM. If there are mistakes (missing pages, etc.), contact DataStore and prepare to have the books re-scanned. It's best to make a list of every mistake in the project. Prepare to re-send the project back until all mistakes are corrected.

When completed, the agenda books are to be dis-assembled and the contents placed into the security bin.

ANNUAL REPORT TIMELINE

DONE	MONTH SCHEDULED		BY	NOTES
	JUNE			
	Request BP write-up from DJS		YE	
	Request Symposiuim write-up from MH		YE	
	JULY			
	Determine BP pictures to use		MWG/TF	
	Determine Symposium pictures to use		MWG/TF	
	Bradley Prizes write-up completed; to YE		DJS	
	Symposium write-up completed; to YE		MEH	
	BP write-up done in AR-draft		YE	
	Place BP pictures		YE	
	Symp write-up done in AR-draft		YE	
	Place Symposium pictures		YE	
	AUGUST			
	Prepare AR and R-WI budgets		YE	
	Contact Lithoprint to request quote		YE	
	Contact EXG to request quote		YE	
	Ask MWG if any major style changes to AR		YE	
	Ask MWG if any major style changes to WI-R		YE	
	Confirm GCCs, BPS, BF handled same as prior year		YE	
	SEPTEMBER			
	Directors photo provided to YE		TF	
	Lithoprint quote received		YE	
	EXG quote received by		YE	
	Request cover samples from printer		YE	
	Receive cover samples		YE	
	OCTOBER			
	Determine quantity of AR		TF/YE	
	Determine quantity of WI Report		TF/YE	
	Determine quantity of President enclosure cards		TF	
	Determine cover stock & color		TF/YE	
	Determine Inside stock & color		TF/YE	
	Receive style changes for AR, if any		YE	
	Receive style changes for R-WI, if any		YE	
	NOVEMBER			
	Request program area & text description changes (format), if any		YE	
	Request updated mailing lists (GMC, DF, MMAC)		TF	
	Request media list from Mueller Com		TF	
	Provide staff photo to YE		TF	
	Staff photo received and placed into AR		YE	
	Staff photo received and placed into WI-R		YE	
	Ask MWG if he wants a cover letter sent with WI Rept (enc. Sample)		YE	
	AR text and style changes (if any) to YE		YE	
	AR text and style changes (if any) to YE		YE	
	Grants list to program staff for editing of descriptions		YE	

ANNUAL REPORT TIMELINE

DONE	MONTH SCHEDULED		BY	NOTES
	DECEMBER			
	Update GMC, DF, MMAC mail lists in E-Tapestry		YE	
	Text and style changes completed for AR		YE	
	Text and style changes completed for R-WI		YE	
	Export grants from Gifts		YE	
	Format exported lists for AR		YE	
	Format exported lists for R-WI		YE	
	Enter grants into AR document		YE	
	Provide AR draft to Program Staff		YE	
	Provide AR draft to MWG/DPS/CF/TF/MH		YE	
	Select foil and ink colors		TF/YE	
	Changes on AR returned to YE		Staff	
	Changes on AR returned to YE		VP	
	Changes to AR completed		YE	
	Run grant tape total; check all grants entered on AR		YE	
	Receive media lists		TF	
	Media list to YE		TF	
	Format media list		YE	
	Run Gifts mailing list		YE	
	Run E-Tapestry mailing list		YE	
	Combine Gifts and e-Tapestry mail lists		YE	
	Prepare and circulate AR mail list		YE	
	Return mail list changes to YE		PS	
	Add media list to AR mail list		YE	
	AR mail list changes completed		YE	
	JANUARY			
	Enter grants into R-WI document		YE	
	Send AR mail list to printer		YE	
	President's letter for R-WI to YE		MWG	
	Draft of President's letter completed		YE	
	Final of President's letter completed		YE	
	Provide R-WI draft to Program Staff		YE	
	Provide R-WI draft to MWG/DPS/CF/TF/MH		VP	
	Changes to R-WI returned to YE		Staff	
	Changes to R-WI returned to YE		VP	
	Changes to R-WI completed		YE	
	Run grant tape total; check all grants entered on R-WI		YE	
	Continue with changes and review by staff of AR		YE	
	Continue with changes and review by staff of R-WI		YE	
	Prepare and circulate R-WI mail list		YE	
	Return R-WI mail list changes to YE		Staff	

ANNUAL REPORT TIMELINE

DONE	MONTH SCHEDULED		BY	NOTES
	FEBRUARY			
	R-WI mail list changes completed		YE	
	R-WI mail list sent to printer		YE	
	Financial Highlights to YE		MLH	
	Draft of financial highlights to MLH for review		YE	
	Reconcile grants listing with financial statement		YE	
	Provide final AR w/reports, tape totals to CF		YE	
	Final review of AR returned to YE		CF	
	Final AR changes made		YE	
	AR CD prepared for printer		YE	
	AR CD sent to printer w/color copy		YE	
	Provide final R-WI w/reports, tape totals to CF		YE	
	Final review of R-WI returned to YE		CF	
	Final R-WI changes made		YE	
	R-WI CD prepared for printer		YE	
	R-WI CD sent to printer w/color copy		YE	
	President's letter sent to printer		YE	
	AR proof received		YE	
	AR proof reviewed		YE	
	AR proof acceptance form signed and returned		YE	
	R-WI proof received		YE	
	R-WI proof reviewed		YE	
	R-WI proof acceptance form signed and returned		YE	
	20 AR received		YE	
	20 R-WI received		YE	
	AR mailed		LP	
	R-WI mailed		LP	
	Remainder AR delivered		LP	
	Remainder R-WI delivered		LP	
	Invoice received		YE	

HOW TO ADD SCANNED DOCUMENTS TO GIFTS FOR WINDOWS
Useful for adding Bradley Prizes Nomination Forms
AND Reports and Other Information to Archived Grants
May 23, 2011

- Scan document on the Canon scanner to your **email**, using TIF format in black.

- Open the **email** containing the scanned file; open the scanned file.

- For Bradley Prizes nomination forms, choose "Save As" and save in the appropriate year of the Prizes directory (H:\WPDATA\Bradley Prizes*year* Nominees using an identifiable name so you can easily locate it when preparing the Prizes write-ups. Some years the last name of the nominator was used, sometimes followed by a dash and the nominee's name, and sometimes not; some years it was the nominee's last name – more confusing when person is nominated more than once.

- For grant-related correspondence, choose "Save As" and save in the J:\Gifts\Document\Scanned\Archived (or Reports) directory, appropriately named in order to identify it when attaching it to the Gifts Record.

- To attach to a request in Gifts, search and find the applicable request. Focus on it and move to the documents tab. Select "new" icon (blank paper icon at top of screen).

- Select the browse button on the right side of the screen. Locate and select (one click to highlight the file name) the appropriately named file you saved to the Gifts directory, J:\Gifts\document\scanned\reports-archived. Save and close.

- Tab down to title and describe the scanned image (thank-you letter, extension granted, final report, financial report, etc.). Save and close when done.

- To view the item, double click on the "External Document" item of the documents tab. For ease of viewing, make the screen full size and click right mouse button in order to size to window width. From there, right click again and zoom in as needed. The pages are indicated at the bottom. Click cancel to exit.

GRANT ITEMS NEEDED FOR THE ANNUAL AUDIT
April 20, 2012

A Copy of all Committee and Board Minutes

The document *Minutes Record.xls* is used to record receipt of the various committee meetings and board meeting; be sure to keep it updated as minutes are received. Make copies as follows:

<u>Sector Committees: IRA, Legacy, Implementation & Impact, Ideas & Institutions, Encounter</u>
- 1 Quarterly copy for Mandy (verifies attendance for paying fees)
- 2 Copies for auditors (one for early November, the other for following March)
- 2 Copies to for agenda and board verification process

<u>Finance and Audit Committees</u>
- 1 Quarterly copy for Mandy (verifies attendance for paying fees)
- 2 Copies for auditors (one for early November, the other for following March)
- 1 Copy for VP-F, requesting which items should be included in the Synopsis booklets

<u>Board of Directors Meeting</u>
- 1 Quarterly copy for Mandy (verifies attendance for paying fees)
- 2 Copies for auditors (one for early November, the other for following March)
- 1 Copy for VP-F, requesting which items should be included in the Synopsis booklets

Reports to Run from Gifts and Save to File

<u>Schedule of Appropriations & Payments at 10/31, 12/31</u>
<u>Name of Report to Run:</u> Schedule of Appropriations and Payments, version 6
<u>Criteria</u>: Fiscal Year is at least 2011 (current year)
<u>Header</u>: As of (auto populates with the month end date)

<u>Payments Due Report at 10/31, 12/31</u>
<u>Name of Report to Run:</u> Payments Due Schedule, by Program Area 1
<u>Criteria</u>: None
<u>Header</u>: None

<u>Donor Intent Grants</u>
<u>Name of Report to Run:</u> Grants – Alpha List by Fund
<u>Criteria:</u> Approval date = (year needed) & Fund = Donor Intent
<u>Header:</u> Donor Intent Grants – YEAR

<u>Annual Gifted Education Grants</u>
<u>Name of Report to Run:</u> Schedule of Appropriations & Payments, version 6
<u>Criteria:</u> Fiscal year is at (current year) & Request Type of Support Code = Gifted Ed.
<u>Header:</u> Gifted Education Grants – YEAR

<u>All Gifted Education Grants from Beginning of Foundation</u>
<u>Name of Report to Run:</u> Schedule of Appropriations & Payments, version 6
<u>Criteria:</u> Use all of the various Gifted Ed Program Area codes; place an "or" (instead of "and") so you can include the current tracking code of Type = Gifted Ed.
<u>Header:</u> Complete List of Gifted Education Grants

<u>List of Foreign Grants at 10/31, 12/31</u>
<u>Name of Report to Run:</u> Schedule of Appropriations & Payments, version 6
<u>Criteria:</u> Fiscal Year = at least (current year) "and" Internal Code = Exp Resp – Foreign "or" Country is not USA
<u>Header:</u> Foreign Grant Activity (YEAR)

<u>Director Conflicts</u>
<u>Name of Report to Run:</u> From Requests Tab of Gifts, select and apply view "Year End Director Affiliations" which automatically includes the search criteria
<u>Criteria:</u> Included with view: Request Code "Conflict" = (select each current director)
<u>Header:</u> Director Affiliations for **YEAR** Grants Awarded
To Print: Select all, then printer icon. In this dialogue box, replace any title or subtitle text with the title "Director Affiliations for YEAR Grants Awarded" and move to the Page Setup tab to select "landscape" and "repeat title on each page."

<u>Grant Reconciliation at 10/31 and 12/31</u>
Save the reconciliation worksheet *(FILE NAME)* to the Audit-Grants directory at these dates

<u>Grant Commitments at 12/31</u>
Save the worksheet *(FILE NAME)* to the Audit-Grants directory at these dates

<u>Non-Gifts Reports to Copy to the Audit Grants Directory</u>

<u>Refunds, Cancels, Voids, Replacements</u>
Keep track of these changes as they occur throughout the year. They will appear on the monthly grant reconciliation and you must list them on this tracking page (see attached). At year end, place a copy of the report in the Audit Grants directory with the other reports.

<u>Grant Commitments Worksheet in Excel</u>

<u>Other Items to Expect</u>

Answer questions posed by Auditors
Provide Auditors with all original Director Conflict Forms
Pull grant files for review as requested by Auditors
Prepare Audit Verification Letters to grantees selected by Auditors:

> Prepare using the correspondence merge feature of Gifts.
> Search, find and highlight the requested grants.
> Select the *Audit Verification Letter*, be sure to select "record activity" and "save to file".
> Verify merged information is correct; remove or change anything that occurred since year-end that may have been inserted and affected the 12/31 position.

CHECK LIST OF GRANT ITEMS NEEDED FOR THE ANNUAL AUDIT

April 20, 2012

ITEM	**DONE**
A Copy of all Committee and Board minutes	
Schedule of Appropriations & Payments at 10/31	
Payments Due Report at 10/31	
Grant Reconciliation at 10/31	
List of Foreign Grants at 10/31	
Schedule of Appropriations & Payments at 12/31	
Payments Due Report at 12/31	
Grant Reconciliation at 12/31	
List of foreign grants at 12/31 (Sched. of App. & Pay: change criteria)	
List of Refunds, Cancels, Voids, Replacements	
Grant Commitments at 12/31	
Report of Donor Intent Grants	
All Gifted Education Grants from Beginning of Foundation	
Annual Gifted Education Grants	
Report of Directors Affiliated with Grantees	
Provide Auditors with All Director Conflict Forms	
Pull grant files for review as requested by auditors	
Return grant files to file room	
Prepare audit request letters to selected grantees	

AWARD LETTERS AND GRANT AGREEMENTS
June 27, 2011

Award Letters and Grant Agreements should be prepared in draft form as soon after the board meeting as possible. After the grants have been awarded in Gifts (see After Board Meeting):

1. Start in the Requests tab of Gifts. Search for all requests awarded at the meeting (Grant Date = mo/dt/year) and name of the staff person who prepared the GPR form (Staff = xx). [Do this for each of the Program Staff until all awards are covered.] When the list appears:

   A. Click the right mouse button and choose select all. The entire list will then be highlighted.

   B. Choose Award Letter w/Pay Schedule (according to signer: Dan, Dianne). As you move through the merge screen, be sure to select "record activity" and "save file to disk." Indicate an appropriate name so the file can be recalled for editing from the feature "recent documents" in Word, without opening it from Gifts. The system will merge all selected items with the award letter and you will proceed to edit them in Word.

   C. Return to Gifts before editing the letters. Select all, focus and move to the Affiliations tab, applying the view "primary contact export."

   D. Looking at the first column containing the "role" field, select all names indicated as "cc," if any. There are very few, but the process should be done to be sure no one is left out. Add these names as cc's at the bottom of the appropriate award letter.

   E. Before printing in draft form on plain paper, use Word's search and replace feature, making the following changes:

      - *Date of letter to Friday after board meeting*
      - ***..*** *to* ***.*** *(in org names followed by .)*
      - *To support = to support*
      - *Search one at a time for Hold, Status, Date, Notes and replace with nothing*
      - *Wording of project description*
      - *Watch for* ***T****he and* ***t****he in the organization name; remove* ***the*** *as needed*
      - *If "req det let" pops up in the payment area of the letter, include a paragraph after the payment schedule requesting a copy of the determination letter*. Sample: "In order to complete our files and satisfy IRS documentation requirements, please send a copy of the organization's most recent IRS tax status determination letter along with the signed agreement. These items are required in order for payment to be released."

2. Go back to Gifts and return to the Requests tab. For the same grants (as above), select the Correspondence icon again, and choose Grant Agreement.

   A. As previously described, select “record activity” and “save file to disk,” and indicate an appropriate file name. The system will merge all selected items with the grant agreement and you will proceed to edit these in Word.

   B. Before printing in draft, edit as necessary:

      - Search and replace: To support = to support

      - Multi-year grants need duration line changed

   C. Paper clip award letter with corresponding contract and give to appropriate program officer for review. (The grant agreement portion will become the original that is mailed to the grantee, therefore it’s better to paper clip than staple at this point.)

   D. When program staff returns these items with changes indicated, open both the award letter and grant agreement documents and:

      - Change the project description on the letter and grant agreement as indicated, and update Gifts to reflect the new description

      - Replacement pages of the letter are not necessary since they will next be printed on letterhead

      - If anything changed on the grant agreement, print a new page and replace the previous version with it

      - If payment schedule changes are made, make the change in the letter and be sure to also make the change in the Payment Scheduled field of Gifts

      - If the contact is changed, update Gifts by adding the grant’s current primary contact as the “original requestor” in the affiliations tab, and add the new name as primary contact, creating a new contact record if the name is not found

3. When changes are complete:

   A. Print Dan’s letters on his VP letterhead, and Dianne’s on Foundation letterhead
   B. Use the original draft copies of the contract, having printed a replacement front page if any changes were made
   C. Paperclip corresponding letter on top of the agreement
   D. Give to Dan or Dianne accordingly to sign

4. When signed, make two copies of the letters and agreements

   A. Place one set in the chron file

   B. The second set needs the corresponding grant letter and agreement stapled together before being placed in the open agency file area for Program Assistant to file

   C. If any letters have a cc, copy for that person as well, highlighting their name at bottom

5. Prepare envelopes from Gifts (using the same alpha sort)

6. Check each contract off on the agenda spreadsheet to be sure none are missing

7. Stamp envelope with Contract Enclosed, enclose letter and contract

8. Mail the contracts Friday following the board meeting

January 16, 2012

«Letter_Address_Block»

Dear «Letter_Salutation»:

The Lynde and Harry Bradley Foundation is a private foundation subject to Internal Revenue Code regulations. These regulations require that grant expenditure documentation be obtained from certain grantees. Grants paid by a private foundation to a private foundation require expenditure accounting responsibility.

Please note that the information available to the Foundation indicates that «Org_Legal_Name» is a private foundation. If the organization's status has changed and the organization qualifies as publicly supported under the classification of 509(a)(2) or 509(a)(1) and 170(b)(1)(a)(vi), please advise the Bradley Foundation as soon as practicable and send a copy of the updated IRS determination letter.

Enclosed is a grant expenditure report that details a grant received by your organization during 2011. Please indicate the amount of the grant expended through December 31, 2011 and include an expenditure statement and any other pertinent financial information as requested in the section entitled "use of grant." In addition, please include information regarding the progress made toward the goals of the grant, and be sure to sign the form.

Thank you for your cooperation. Please contact me or Yvonne Engel at 414-291-9915 if you have any questions.

Sincerely,

Cynthia K. Friauf

CKF/ye

Enclosure

Grant ID #«Request_ID»

GRANT EXPENDITURE REPORT

Grant ID #: «Request_ID»

Grantee: **«Org_Legal_Name»**

Grantor: The Lynde and Harry Bradley Foundation, Inc.
1241 North Franklin Place
Milwaukee, WI 53202-2901

Date of grant approval: «Request_Disposition_Date»

Total grant amount: «Request_Grant_Amount»

Purpose of grant: «Request_Project_Title»

«Pay_Views_Amount_Date_Check»

Amount of grant spent (U.S. $): ____________________ **Amount Remaining:** ____________________

Please indicate reporting period: ____

Use of grant: Please attach to this form an expenditure statement detailing all expenditures made from grant funds (including salaries, travel and supplies). Convert all amounts to U.S. dollars. Include any additional financial information relevant to the grant.

Program made toward the goals of the grant: (Please attach programmatic reports.)

Books and records: The Grantee certifies they have maintained records of receipts and expenditures and will make its books and records available to the Grantor or an authorized agent upon request.

Certification: The Grantee certifies that the grant was used by the Grantee solely for charitable purposes as specified in section 170(c)(2)(B) of the United States (U.S.) Internal Revenue Code of 1986 and that no portion of the grant or the income there from was used by the Grantee to carry on propaganda or otherwise attempt to influence legislation; to influence the outcome of any specific public election or to carry on, directly or indirectly, any voter registration drive; to make any grant which did not comply with the requirements of section 4945(d)(3) or 4945(d)(4) of the U.S. Internal Revenue Code of 1986, or to undertake any activity for any purpose other than one specified in section 170(c)(2)(B) of the U.S. Internal Revenue Code of 1986.

____ ____________________

Signature Date

____

Title

WHAT TO DO
WHEN A REQUEST IS PLACED ON THE COMMITTEE AND/OR BOARD AGENDA

October 26, 2011

After the program staff has meet to determination recommendations of award or declination for the Committee agenda, they will provide the pending requests log with the disposition of each request indicated to the Program Assistant. They will also keep the Assistant updated after their Committee has met and made decisions so she is able to make the changes accordingly in the Gifts database and on the Budget Worksheet.

Recommended for Declination ***[See Tab 3]***

Working from the information provided by the Program Officers, the Program Assistant searches Gifts to find each request (one at a time) and double clicks to open it.
Change status from Pending Staff Review to Staff Dec.
Change staff to whichever program officer will sign the declination letter (by Sector).
Add meeting date in meeting date field.

Recommended for Award ***[See Tab 5]***

Working from the information provided by the Program Officers, the Program Assistant searches Gifts to find each request (one at a time) and double clicks to open it.
Change status from Pending Staff Review to Staff Recommends.
Change staff to whichever program officer will be preparing the GPR form.
Add meeting date in meeting date field.
Enter the amount recommended in the recommended amount field.
In the Codes tab, enter the Program Area down to the sub-category level.

After updating the Gifts database, the Program Assistant will add the recommendations to the Budget Worksheet *[See Tab 8]*. The file is located at H:\WPDATA\2011\BUDWKS11.xls, and will have been set up at the beginning of the year by the Grants Administrator.

Each recommendation is listed by sector, and also uses a subsector code. The organization's name is placed in the first column. The recommended amount is entered in the "Proposed" column. The next column is the subsector code, and the last column represents which quarter the grant will be awarded in. Complete all of this information for each recommendation and be sure to update as soon as any changes are made to the recommendations. The total of each of the sector tabs will automatically pull into the summary tab.

The Grants Administrator will run an alphabetical report of all items recommended on the upcoming agenda. From the "view" menu, she will select "Quarterly SS Info" and search using criteria of Status = Staff Recommends and Meeting Date = mo/dt/year; select all and print. With this information, create the Quarterly Agenda spreadsheet *[See Tab 9]*. Enter the information for the first six columns of the appropriate quarter's tab on the Excel Quarterly Agenda spreadsheet (Organization Name, ID #, Program Area, Staff, Amount Recommended and Conflict).

Place an X in the Pay Scheduled and Gifts Coded columns as these tasks are completed for each recommendation.

Later, using the Quarterly spreadsheet, open each request and:
Complete the Code tab for each recommendation as follows:

Fund = Regular
Population Served = AR if the grant should be pulled only into the Annual Report.
Population Served = WI if the grant should be pulled into the Report to Wisconsin. and the Annual Report.
Population Served = NO if the grant will not be awarded out of the Program Budget.
Internal Program = Regular
If the Type of Support or Geographical Area fields have not been completed, complete those as well.

Close the Request screen; focus.
Move to the Organization tab; focus and move back to the Requests tab.
Look for a similar grant recently paid to this organization. Knowing how soon after being awarded, and in how many payments the previous grant was paid, will help to determine the payment schedule for this potential grant. To schedule the payment, focus on the recommended grant and move to the payment tab. Add payments equal to the recommended amount, placing each on hold status. *[See Section 5, Financial Tabs 2 and 3.]*

This is also the time to run Charity Check *[See Section 4, Compliance Tab 11]*. Enter the date the Charity Check report was printed in the column so named. This will be helpful when preparing the Yellow Checklist. All Checklists are not prepared on the same day; recommendations will continue to be added and you will need to know which items still need attention.

Simultaneously during the Charity Check process, look to see if we have an IRS tax exempt status determination letter on file *[See Section 4, Compliance Tab 9]*. In the Det Let on File column, enter Yes or No accordingly. If no, enter note in payments field of the Gifts' record to request it.

Working from this checklist, various steps and requirements for each of the recommendations can be tracked and additional recommendations can easily be added to the agenda, allowing the various steps to be completed as time permits.

While the organization's record is open for updating the tax information, move to the Coding tab to see if any Director names are noted in the "Conflict" field *[See Section 4, Compliance Tab12]*. If there is, enter the last name of the Director affiliated with the organization in the appropriate column of the spreadsheet. This information will also be needed when the Yellow Checklist is prepared.

Place an X in the Committee Minutes column after you have compared the Committee minutes of the Sectors to the recommendations in the Gifts database, the spreadsheet, and the Board agenda book *[See Tab 14]*.

A few weeks before the Board meeting, prepare the Yellow Checklists *[See Section 4, Compliance Tab 11]*. Using the view "Quarterly SS Info" run a search using criteria Meeting Date and Staff Recommends status. Select all; from the correspondence icon at the top of the screen, choose Yellow Checklist. Move through the merge screen, being sure to select "record activity" and "save document to file." This will create one document containing all of the recommendations in alphabetical order. Refer to the information on the Agenda Spreadsheet as you edit each request's checklist. You will also use the database. In the case of non-publicly supported organizations, remember to change the default tax status of "publicly supported" to the correct status, noting any expenditure accounting requirements and changes on the second page. Keep in mind foreign organizations also require Expenditure Accounting. (See samples.)

When payments have been scheduled *[See Section 5, Financial Tabs 2 and 3]*, periodically verify that the recommended amounts equal the scheduled payment amounts. The Program Assistant will try to keep the Grants Administrator apprised of any changes to the recommendations.

WHAT TO DO
WHEN A REQUEST IS PLACED ON THE COMMITTEE AND/OR BOARD AGENDA

February 18, 2011

After the program staff has meet to determination recommendations for award or declination for the upcoming Committee agenda, they will provide the pending requests log with the disposition of each request indicated to the **Program Assistant**. They will also keep the Assistant updated after their Committee has met and made decisions, and they will provide the Grants Administrator with the original committee minutes.

IN GIFTS

Working from the information provided, the **Program Assistant** will search Gifts to find the request and then double click to open it.

If Recommended for Declination

Change status from Pending Staff Review to Staff Dec.
Change staff to whichever program officer will sign the declination letter.
Add meeting date in meeting date field.

The week before the Committee book will be assembled (or as requested), run the dec versus pending lists (See "How to Prepare Dec Lists). Knowing what requests remain on the pending log will help the program officers know if any additional requests need to be declined at this time.

As Committee Agenda book assembly time approaches, run the list of declinations by Program Area to be included in each Committee book.

As Board Agenda book assembly time approaches, run the list of declinations, updated from the Committee meetings, to be included in the Board book. (See "How to Prepare Dec Lists.")

If Recommended for Award

Change status from Pending Staff Review to Staff Recommends.
Change staff to whichever program officer will be preparing the GPR form.
Add meeting date in meeting date field.
Enter the amount recommended in the recommended amount field.
In the Codes tab, enter the Program Area down to the sub-category level.

The Grants Administrator will:
Complete the Code tab:

Fund = Regular
Population Served = AR if the grant should be pulled into the Annual Report.
Population Served = WI if the grant should be pulled into the Report to Wisconsin (and therefore also the Annual Report).
Population Served = NO if the grant will not be awarded out of the Program Budget.
Internal Program = Regular
If the Type of Support or Geographical Area fields have not been completed, she will complete those as well.

Close the Request screen. Focus, move to the Organization tab, focus and move back to the Requests tab. Look for a similar grant recently paid to this organization. Knowing how soon after being awarded and how many payments the grant was divided into for previous grants will help to determine the payment schedule for this potential grant. To schedule the payment, focus on the recommended grant and move to the payment tab. Add payments equal to the recommended amount, placing each on hold status. (See How to Schedule Grant Payments.)

ON THE QUARTERLY SPREADSHEET

The **Grants Administrator** will run an alphabetical report of all items being recommended on an upcoming agenda. From the “view” menu, she will select “Staff Recs for Speadsheet.” The criteria will be Status = Staff Recommends and Meeting Date = mo/dt/year. Select all and print the report.

Using this report, enter the information for the first five columns of the appropriate quarter’s tab on the Excel quarterly agenda spreadsheet (Organization Name, ID #, Program Area, Staff, and Amount Recommended).

Place an X in the Pay Scheduled and Gifts Coded columns as these tasks are completed for each recommendation.

This is also the time to run Charity Check (see Charity Check Process). Enter the date the Charity Check report was printed in the column so named. This will be helpful when preparing the Yellow Checklist. All Checklists are not prepared on the same day; recommendations will continue to be added and you will need to know which items still need attention.

While doing the Charity Check, look to see if we have an IRS tax exempt status determination letter on file. In the Det Let on File column, enter Yes or No accordingly. If no, enter note in payments field to request it, and change the Yes to No on the Yellow Checklist, making a notation that one will be requested.

Working from this checklist, various steps and requirements for each of the recommendations can be tracked and additional recommendations can easily be added to the agenda, allowing the various steps to be completed as time permits.

While the organization's record is open for updating the tax information, move to the Coding tab to see if any Director names are noted in the "Conflict" field. If there is, enter the last name of the Director affiliated with the organization in the appropriate column of the spreadsheet. This information will also be needed when the Yellow Checklist is prepared.

Place an X in the Committee Minute column after you have compared the Committee minutes of the Implementation & Impact, Ideas & Institutions, and Legacy sectors to the recommendations in the Gifts database, on the spreadsheet, and in the Board agenda book.

Close to the Board meeting, prepare the Yellow Checklists. Using the view "Alpha Staff Recs," run a search using criteria Meeting Date and Staff Recommends. Select all and from the correspondence icon at the top of the screen, choose Yellow Checklist. Move through the merge screen, being sure to select "record activity" and "save document to file." This will create one document containing all of the recommendations in alphabetical order. Refer to the information on the Agenda Spreadsheet as you edit each request's checklist. You will also use the database. In the case of non-publicly supported organizations, remember to change the default tax status of "publicly supported" to the correct status, noting any expenditure accounting requirements on the second page. Keep in mind foreign organizations also require Expenditure Accounting.

When payments have been scheduled, periodically verify that the recommended amounts equal the scheduled payment amounts. The **Program Assistant** will try to keep the Grants Administrator apprised of any changes to the recommendations.

ON THE BUDGET WORKSHEET

After updating the Gifts database, the **Program Assistant** will add the recommendations to the Budget Worksheet, which is located in the current year directory (for 2011 it is at H:\WPDATA\2011\BUDWKS11.xls), and will have been set up by the **Grants Administrator**.

Each recommendation is listed by sector, and also uses a subsector code. The organization's name is placed in the first column. The recommended amount is entered in the "Proposed" column. The next column is the subsector code, and the last column represents which quarter the grant will be awarded in. Complete all of this information for each recommendation and be sure to update as soon as any changes are made to the recommendations. The total of each of the sector tabs will automatically pull into the summary tab.

When the recommendations are awarded at a Board meeting, the **Grants Administrator** moves them to the Awarded column, being sure to change any amounts that might differ from the recommended amount. When this task is complete, the proposed column will probably be zero.

Sector sheets only contain items awarded by the Board and are part of each Sector's annual budget. The **Grants Administrator** will update the GCCs and special grants on the summary sheet as they occur.

BRADLEY FELLOWS DATABASE
June 27, 2011

Open the Bradley Fellows Access Database located at "H:\Records\Grants\Database\Bradley Fellows" (or use the icon).

To Record Information from a Final Report:

1. Choose Search Persons; enter the last name of the student, search.
2. If the name shows up in a list, double click on the name; then click once on the contact screen that showed up behind the search screen. You are now in the person's record.
3. If the name did not show up, enter a new person by selecting "add person" at the bottom of the screen and enter as much information as you have, at least city and state for the address.
4. Complete and/or update the contact information, including affiliations of the recipient, i.e. where they are going, jobs, education, address, email. (A description of the terms follows.)
5. Move to the Fellowships tab; select Add Fellowship.
6. Enter the ID number of the grant from which the student received funds.
7. Tab to the payment year and enter the year paid (1^{st} half of term year is used).
8. Enter each recipient who received funds in the same way.
9. If the grant ID# was not found, enter the grant into the database (see next page).
    A. First, search from the main menu for 'grants'
    B. ID# is not found
    C. To enter it, click on the "add grant" button and proceed to complete the brief screen
10. "ID# not found" is unusual because the BF grants should have been entered into the database before the end of the award year. Follow above directions to enter each grant.

To Enter New Bradley Fellowship Grant into the Database:

1. Best to run a list from Gifts of the current year awards to be entered.

2. Select Grants from the main menu, then Search Grants.

3. Enter the ID # to verify it has not already been entered.

4. If it comes back not found, click the Add Grant button at the bottom left of the screen.

5. Proceed to enter the information as the fields indicate.
   A. First, the grant ID # from Gifts

   B. Then select the “supervisor” name (professor’s name) by entering first few letters of last name or from the pull-down menu

   C. Then the enter the University name: start by entering the name; options will pop up from the drop-down menu to be selected

   D. Grant date (award date in Gifts)

   E. Grant amount (usually $25,000) enter 25000 (system will show it as currency)

   F. When record is entered, select “search grants” to continue the entering process, or select “main menu” when finished

6. The edit button is available in case you need to change anything.

To Enter a “New Supervisor” (Professor) into the Database:

1. Choose “Search Persons” from the main menu to verify it has not already been entered

2. If name not found, create a new record, completing as much information on the first screen as possible; be sure to select the “coordinator” box located just to the right of the last name field

3. If found, update any information you can and select the “coordinator” box (a new BF coordinator/professor would already be listed in the database if he had previously been a Bradley Fellow himself

To Enter a New Student into the Database:

1. Choose “Search Persons” from the main menu to verify it has not already been entered

2. If not found, select “Add Person” and complete the address screen as indicated, including as much information as is available (at least city, state for address)

3. Move to the Fellowship tab and add the grant ID#(s)

OVERVIEW OF BRADLEY FELLOWSHIP PROGRAM

June 14, 2011

1. The Board awards a grant of $1.5 million for Bradley Fellowships. The dollar amount is not attached to specific organizations at that time. Grants are awarded opportunistically during the course of the year. Each award is not to exceed $25,000.

2. The Director of Academic, International and Cultural Programs sends a letter of invitation to professors outlining what needs to be done if they choose to participate in the Program.

3. In response to the invitation a professor sends a letter of request, in a specific style, a sample of which had been included in the invitation letter.

4. The request letter prompts a letter of award from the Foundation to the grantee, which needs to be counter-signed by the University and returned to the Foundation.

5. The Grants Administrator verifies the organization's exempt status by printing and filing the organization's Charity Check report.

6. Any non-compliance situations discovered during this process are directed to the Vice President for Finance.

7. Before payment can be released, the counter-signed letter and the professor's report on the prior year's fellowship must be received, if applicable.

BRADLEY FELLOWSHIP PROGRAM
June 21, 2012

Upon approval by the Foundation's Directors for the Bradley Graduate and Post-Graduate Fellowship Program:

1. A copy of the page of the Board Minutes indicating approval is placed in the authorizations' tab of the white 3-ring binder of the Bradley Fellowship book (located in the top drawer of the lateral file in GA's office).

2. Update and print the BF-Authorization and BF-Grant History files to replace those already in the Bradley Fellowship book.

3. The Bradley Fellows grant will be treated as a grant commitment on the tracking sheet for grant commitments and grants should be noted there at the end of each month.

In January of the first year of the two-year program, the Director of Academic, International and Cultural Programs (who also is the Director of the Bradley Fellowship Program) will inform you of professors that have been added to or dropped from the list of Bradley Fellow Professors. To update this information:

1. To add a professor to the program, search for the name in the contact record; if not found, create a new contact in the usual manner, but on Page 2 of the contact record, click on the "assign" button, select the "Bradley Fellow Professor" box and okay the screen.

2. If the professor's name is found in the contact record, double-click on the name to open and move to Page 2; click on the "assign" button, select the box "Bradley Fellow Professor" and okay the screen.

3. To remove a professor from the program, search for the name in the contact record; double click to open and move to the mailing list on Page 2; highlight "Bradley Fellow Professor" from the right side of the screen and click the "remove" box. But, since you will need to add the "Former Bradley Fellow Professor" code to the mailing list, you could instead click on "assign" and deselect "Bradley Fellow Professor" and select "Former Bradley Fellow Professor" – either brings you the same result.

4. When all of the updates to the current year's list are complete, search from the contact tab using the criteria Mailing List is "Bradley Fellow Professor" and choose find now. Verify the list against the information you were given.

When the mailing list of professors for the current term is complete, the Director of the program sends a letter of invitation to the selected professors explaining the program and outlining what the professor needs to do if he chooses to participate in the program. Previous Professors receive the “BF Renew” letter, while the new professors receive the “BF New letter.” These letters are prepared using the merge correspondence feature of Gifts as follows:

1. Search from the contact record of Gifts for Mailing List is “Bradley Fellow Professor.”

2. Select all and then deselect the new professors and on the “send correspondence” icon

3. Choose the BF Renew letter from the pull-down menu and follow the correspondence wizard as usual to merge the letter, being sure to “record activity” and “save file to disk”

4. Next, select only the names from the contact list that are new and choose the BF New letter from the menu, preparing as above

5. The professors not invited to return will need to be searched for separately and will receive the “BF Expire” letter

Since Bradley Fellowship requests require a particular verbiage, a sample of a letter of request is sent with the invitation letter. The invited professor responds to the invitation with the letter of request as outlined. The Foundation then responds to the letter of request with a letter of award, which is prepared from the requests tab of Gifts after the request has been awarded. To create a Bradley Fellowship request:

1. Go to the Request screen and enter as a proposal in the usual way, completing page one fields as follows:

    A. Primary contact = the University's contact who signed the request letter

    B. Subdivision = Department awarded to (i.e. Department of History)

    C. Project description = "To support the Bradley Graduate and Post Graduate Fellowship Program

    D. Staff = your name

    E. Date = current (F3)

    F. Amount requested = $25,000 (max for 2012-13 and 2013-14 academic years)

    G. Amount recommended = $25,000 (same as requested)

    H. Reference number = professor’s full name

2. Proceed to the Coding tab and enter the following:

    A. Program Area = None

    B. Fund = ’12-‘13 Bradley Fellows (currently)

    C. Population served = WI (if located in Wisconsin)

    D. Support Type = Research & Teaching Fellowships

    E. Geographic Area = USA (or WI, accordingly)

    F. Internal = REG

3. Proceed to the Affiliations tab:

    A. Click “new” to add the professor as an affiliation of this grant (add this additional affiliation even if he is the primary contact and requestor because he is also the BF Professor)

    B. Choose Role = Professor

    C. Verify or change address as needed

    D. On the right side of the affiliation’s screen, use the Address pull-down menu to select which of the three addresses to use for this person’s particular request

    E. If this is a first-time BF professor, double-check on Page Two of the Contact Record that the BF Professor code is selected in the mailing list

    F. Move to the Education tab, click on Assign under Discipline, add the area of expertise

4. Move to the Payments tab:

    A. Schedule two ½ payments ($12,500 each), August and the following January

    B. Place both payments on Hold (this will be changed to scheduled when the signed contract and prior year report are received)

5. Verify IRS tax-exempt status by printing the report from Guidestar’s Charity Check.

    A. Open the organization’s record from page one of the request; move to the tax status screen.

B. A blank registration date field indicates we do not have a copy of the organization's IRS determination letter. In which case, make note to request the letter when the grant is paid by placing a reminder in the payment notes field.

C. As in the regular grants, copy the "Tax ID" number and place it in Guidestar's search field; if no EIN #, search for organization name. [See Charity Check Process]

D. When you determine the correct organization, click on "Check Today's Charity Check Report," select PDF, then choose Print. This report will be placed as the bottom item in each grant file.

E. Back in the tax status screen of Gifts, complete the three verification fields on the right side of the screen.

   a. Verified by = your name (select from pull down menu)

   b. Verified on = current date (F3)

   c. Next verification on = one year from current date

6. Prepare the "separator page" for this grant:

   A. Place a blue sheet of paper in the printer

   B. Click on the "envelope" icon (merge correspondence) at top of screen

   C. Select "Separator page" from the drop-down menu; complete the merge without saving or recording the activity

   D. Place the charity check report on top of the January renewal/invite letter, with a copy of the Letter of Award on top of the Letter of Request, and the separator sheet on top of all.

   E. File by Professor's name within the University's file in the Bradley Fellow files located in the top drawer of the lateral file in Grants Administrator's office.

7. Award the grant by selecting the green check-mark icon at the top of the screen; complete the award screen as follows: Grant date = current date; Amount = $25,000

8. Move to the Requirements tab:

    A. Select “new” and choose “prior year report” from the pull-down menu (it’s easiest to check if the report as been received before creating the requirement because if it has been received, you can also mark the requirement complete at this time)

    B. Change the “yellow checklist” requirement selecting “charity check” in its place, mark as done.

    C. The Grant Agreement is automatically placed in requirements when the grant was awarded.

9. Return to Page 1 of the record:

    A. Select create letter icon at top of page

    B. Choose Award Letter Bradley Fellows (be sure to select record activity and save document to file as you progress through the correspondence wizard)

    C. Merge and proceed to edit the letter:

        a. Remove bold text at bottom of page one if final report on previous year Fellowship has been received.

        b. If professor sent in this request, be sure to remove the “cc” and change language in second paragraph of award letter to “under your direction”

    D. Give the letter(s) to the Director of the Fellowship Program to sign.

    E. When letters have been signed, make a copy for the chron file, the agency file, and the BF professor that was “cc’d” (if needed)

    F. Return to Gifts and close the request screen.

10. If the Professor’s prior year report has not been received, select the Professor’s prior year Bradley Fellowship grant; click on create letter (as above); select “BF Report Form” and print on white paper; enclose form with the award letter.

11. Update both tabs of the “BFPA*current-year*.xlsx” file (located at H:\Records\Grants\Bradley Fellows\year) with information just processed. Each tab should be self-explanatory; samples attached.

12. When the countersigned agreement letter is received:

    A. Find the corresponding grant in Gifts by searching for the request ID#.

    B. Focus and move to the Requirements tab.

    C. Open the "Contract" requirement.

    D. Choose Action at the top of the screen, then Mark as Done, Okay, okay.

    E. If the Misc. Requirement of 'Prior Year Report' has been received (and therefore marked complete in the requirements tab) move to the payments tab. If not marked complete, search for the Professor's prior Fellowship grant and see if the final report has come in. If it has, mark the requirement as done.

    F. When the prior year report and signed agreement arrive and have been recorded as such in Gifts, open each of the two payments and change status from "Hold" to "Scheduled" by selecting Action, Activate, save and close.

    G. If the Misc. Requirement of Prior Year Report has not been marked done, do not change the payments from Hold to Scheduled; make the change after both the prior year report and countersigned letter are received.

    H. Stamp the signed agreement with the red "Entered" stamp.

    I. File the signed contract in the Professor's Fellowship file, tossing out the unsigned copy.

    J. When payment is made, a copy of the check cover letter will be placed in the grant file.

13. Continue to update the file with receipts, thank you letters, and reports as they come in.

Prior year reports are an important requirement of each Bradley Fellow grant. When a report is received, identify the grant in Gifts by searching for the grant ID#. Then:

1. Focus and move to the Requirements tab

2. Select/highlight Final Programmatic Report

3. Click on Action, Mark as Done.

4. A "notes" field opens. Record the names of the students who received funds from the grant, then click okay.

The report must also be recorded in the Bradley Fellows Access Database.
[See Bradley Fellows Database]

Frequently, professors request to carry over unused funds to the next term. When the Foundation's Director of the Fellowship Program gives you the approval, you will:

1. Respond with an email or letter informing the grantee that the Foundation has approved the request. Be sure to include the grantee's and Foundation's grant ID numbers, and cc the Foundation's Director of the Program, as well as others mentioned in the request for extension letter, i.e. the professor, Dean, office of research, etc.

2. Open the Gifts record of the grant to be extended.

3. On page 1 of the record, update the new end date accordingly.

4. On page 2 of the record, type "Extension granted to (date)" in top left field.

5. Also on page 2, update the "docket number" field with the grantee's ID number for the grant (it may, or may not, have already been entered).

6. In the "Requirements" tab, open the "Final Programmatic Report" item and type in the notes field "Extension granted." Also, enter the current date in the "received" field only – do not mark the item done.

7. Check to see if the current year's grant has been awarded.

    A. If it has, mark the "Misc" requirement of "prior year report" as done, so payment on the current grant can be released. If the "contract" requirement is also marked done, move to the payment tab and change the status "Hold" to "Scheduled."

    B. If not yet awarded, you will know from the notes field of the previous grant that the end date has been extended and will mark the new request's Misc requirement of prior year report as done. (Part of the process of entering a new grant is to verify receipt of the prior year programmatic report.)

BRADLEY FELLOWSHIP TIMELINE

ITEM		DUE
Excel document created-2 tabs in Excel BF year file		01/15/12
Update Gifts w/ dropped, new		01/18/12
Update Excel lists of professors (add/remove)		01/18/12
Update E-Tapestry w/ dropped, new		01/19/12
Update renewal / invite / bye letters templates		01/20/12
Copy letters		01/31/12
Get letters signed		01/31/12
Prepare envelopes		01/31/12
Prepare nenewal / invite / bye letters		01/31/12
Mail BF letters		02/02/12
File BF letters		02/05/12
BF approval in minutes/print page for booklet		03/08/12
Update memo, report form and award letter to current year		04/09/12
Verify disciplines in database w/list		04/14/12
Add current year Fund code in Gifts Admin		04/30/12
Award letters, initial & on-going		05/15/12
Verify tax status of BF grantees (ongoing)		06/30/12
Follow up on BF prof w/o requests		08/28/12
Inform DJS of BF Balance remaining		10/30/12
Cancel unassigned slots as directed by Dianne		11/30/12
Keep up with both tracking documents		12/31/12
Process & track reports (to allow payment)		12/31/12
Add all current year fellowships to BF database		12/31/12
Enter report infointo BF database		12/31/12
Merge & print report form/memo/env.	?	04/15/12
Send out report forms to current BF Professors	?	04/20/12

BRADLEY FELLOWSHIP TIMELINE

DONE	NOTES

OVERVIEW OF BRADLEY PRIZES PROGRAM

June 14, 2011

1. The process begins when the President invites persons prominent in their fields to nominate deserving recipients.

2. The nominations are reviewed by the President and Director of Academic, International and Cultural Programs.

3. The nominations are then sent to the Selection Committee.

4. The Selection Committee selects the recipients. After the winners are selected, the President notifies the recipients and offers a four year payment schedule to each recipient. Some recipients request an accelerated payment.

5. The President informs the Grants Administrator of each recipient's payment schedule, which is then set up in the grants database as part of the $1,000,000 Bradley Prize award and paid in the next regularly scheduled grant payment cycle. Exceptions to the payment schedule may be made.

6. The President or Vice President for Administration sends a letter to each winner requesting the W-9 form (or foreign form) be completed and returned to the Foundation's Controller.

7. The Finance Staff prepares and sends each recipient a Form 1099 by January 31.

BRADLEY PRIZES PROCEDURES

February 20, 2013

1. From the Administrator Module of Gifts, create a new Status code = Prize YEAR.

2. In the Organization tab of Gifts, create a new organization (Bradley Prizes YEAR) and move to the coding tab. Code as follows so these defaults will carry into each request as they are being created: Program Area = None, Fund = Bradley Prize, Population = No, Type of Support = Bradley Prize, Internal Program = Bradley Prize.

3. Email nominations should be saved; open the attachment and save to the current year Prizes directory, using naming convention Nominator-Nominee. Hard copies should be scanned and saved in the same method. Don't scan attachments unless they are from the form and part of a "see attached" note.

4. As in entering any request, in the Organization tab of Gifts, search for Bradley Prize. Select the current year you created in step 2. Focus on the org, move to requests tab, choose create new request.

5. It is helpful to make a basic entry for each request as it arrives and then go back and prepare the write-up at another time. This allows for Lists and Reports to be produced even though the write-ups are not complete.

6. As you create the new request, enter information from the nomination form into fields as described below:
   - A. Type = Bradley Prize; Status = Prize [year])
   - B. Subdivision = Area(s) of expertise
   - C. Primary contact = name of the nominee (if not found in the database search, create a new contact using the information provided on the form)
   - D. Project title = the nominator's name, title, org, phone, email
   - E. Reference number = nominator's last name, then first
   - F. Docket number = list type of attachment that was sent (CV, articles)
   - G. Also on page 1, deselect "information complete" until everything is completed, including the write-up, which you may be doing later in the process. This will easily allow you to see which requests have not been completed because they are listed in a different color.
   - H. Move to the codes tab and verify or complete as follows:
     Program = None
     Fund = Bradley Prize
     Population = No
     Type of Support = Bradley Prize
     Internal Program = Bradley Prize

7. If an organization instead of a person is nominated, you will need to create a "contact" record using the organization name as a person.

8. Move to the affiliations tab. Open primary contact (nominee) and on page 2, mailing list, assign Bradley Prize Nominee, save and close. Then, choose "new affiliation" to add name of nominator. On page 2, mailing list, deselect Bradley Prize Nominator-invited and select Bradley Prize Nominator-accepted. If "former BP nominator" is not selected, choose that as well. Save and close. Under the affiliation role, choose Bradley Prize Nominator.
   A. Back in the page 2 tab of the request record, enter the references in the Project Description Long field. Use only: name, title, org, phone, email.
   B. Tab to the Evaluation-Long field. This is where you will copy and paste the nominator's write-up, or type it in if it cannot be copied. Note that if you copy it from an OCR'd document, you will need to proof it carefully, and once again on the form after it is merged.
   C. To copy the write-up, open the nomination from its saved location. Copy and paste the nomination text into the Evaluation-Long field, or merge the write up and then paste directly into the Word document where it is easier to edit; from there copy to page 2 of Gifts.

9. Choose write-up (the scroll icon) and select BP nomination. The form will merge with the entries you just made. You will need to edit the following:
   A. Remove titles (Mr. Dr. Ms.) at top.
   B. Select name, bold and change to all caps.
   C. Spell out organization abbreviations used in the text.
   D. Read through the Statement of Nomination and edit accordingly, changing the " to " as needed and italicizing names of books, newspapers, etc.
   E. Place page breaks accordingly.
   F. Make sure everything looks good on the page.
   G. Print two copies, double-sided, for each request's write-up (one for the nominee's file folder; one for the alpha list folder which will be used to prepare the first Selector Book.)

10. After at least one entry, you can create a search to easily get to the list and easily begin entering again at any time. Search for Type = Bradley Prize, Status = YEAR. As you save the search as 2011 Bradley Prizes Nominees, be sure to select the view Bradley Prizes Nominees before you save. The next time you want to enter or look something up regarding Prizes, right mouse click in the Requests tab of Gifts, choose Get Search, then select the newly created 2011 Bradley Prizes Nominees. Focus on any one of the items in order to select the "organization name" Bradley Prizes 2011 and continue to enter by clicking on the "new" icon.

11. Each time a new person it nominated you need to create a file folder label. Type file folder label in all caps: Last name, first name of nominee. Next line, two spaces in, --2011 Bradley Prizes Nominee. These labels will be placed on a blue file folder and the items submitted along with the nomination form as well as the write-up created from Gifts will be kept in the folder, which will be filed alphabetically in the second drawer down in the lateral file cabinet in Yvonne's office.

12. If a candidate is nominated more than once, prepare entry and write-up as usual, but place nomination papers and write-up in the existing blue file folder. Do not prepare a second folder – one folder per nominee.

13. Add the scanned file to the documents tab so it can be viewed by all from Gifts:
    A. Focus on the applicable request just entered.
    B. Move to the documents tab.
    C. Click on the new document icon.
    D. Choose “browse for file.”
    E. Locate the nominee’s scanned file in H:\WPDATA\BRADLEY PRIZE\2010 NOMINEES\ directory and choose “save and close.”

No longer being used; can refer to the BP year for nominations.

14. After the nomination deadline, all of the write-ups will need to be printed/copied and provided to Dianne Sehler and Mike Grebe. This can be accomplished by printing an extra set when the form is first merged and printed for the file folder. Place the extra forms in the expanding alpha sort folder until all entries have been completed. Then, do the detail alphabetizing and make two copies. Three hole punch two sets and place them in three-ring binders using alpha index tabs. Do no double-side the write-ups; books must be comprised of single sided copies. Keep one unbound set for yourself, in case any other copies are needed; other copies will be needed when you prepare the Selector Agenda Books. You will need to run two lists of the nominees from Gifts, one sorted by nominee, the second sorted by nominator; these will serve as index pages for the binders. The views are saved in the view/apply edit views. Change views, columns, sorts to accomplish this task. (See previous years.)

15. Mike G. and Dianne S. will determine which write-ups need to be coded “sent to Selection Committee” for each member to choose their top 10. These write-ups are noted by:
    A. Run the search for current year nominations
    B. Select each record sent to the Selection Committee by highlighting each with the “ctrl” key depressed (windows method of multiple selections)
    C. At the top of the screen, go to Gifts Plus, Update, Coding Sheet; choose “add a code” then choose “ethnicity” as the field to update, and “sent to selection committee” as the code. Okay screens until done.
    D. Focus on each highlighted record being sent on (as a group, using ctrl select) and move to the contacts tab.
    E. Select all Primary Contact names and follow the same process using Gifts Plus to add the “sent to selection committee” code to the “ethnicity” field for each of the nominees, being careful not to select the nominators as their names will also appear on the list of related contacts.

16. Next, these various lists and write-ups will be compiled to form the Selection Committee's first agenda book, which is sent to their home/office. The agenda book is compiled of the write-ups indicated by Dianne (staff director of the program), and will also contain an Index (on white paper), the Cover Page in color and Mission and Vision Statement, both printed on 2nd sheet letterhead (cream) paper. Prepare a sample book in a 3-ring binder and give to Dianne for review, keeping a clean set of write-ups for future use. With her approval (make any changes requested) give the sample to the VP-Administration. After review (make any changes requested), she will give the material to the Office Assistant, who will spiral bind and mail the books.

17. After each selector sends in their list of Top 10 and Dianne indicates those moving on to the Selector Finalist Book, follow procedure A-E above to add the code "Top 10" in the "ethnicity" field of the request record and again in the contact record by using Gifts Plus. (This code is added once in the contacts record, and once in each of the applicable request records for that nominee, no matter how many times or in what years they were nominated. Therefore, in some cases, the codes may already be in place.)

18. The information from Dianne will also be used to create several grids indicating the votes reach nominee received. Find prior year's Selector Grids file and save as current year.
    A. On the file tab of Selection Committee Members Top 10 Choices, delete the n names and replace with the nominees that were sent to the Selection Committee.
    B. Copy this first grid to the "two or more votes" grid and delete those with less than two votes.
    C. Copy this grid to the "three or more votes" grid and delete those with two votes.
    D. Next, type the first and last names of the Top 10 into the columns on the chart where the column title indicates the number of votes received.
    E. For the last chart, list the first and last names of the nominees who received "Zero to 1 Votes" and in the second column "2 or more votes."
    F. Give these grids to Dianne for review, and provide the President and VP-Administration each with a copy.

19. Prepare the Selection Committee Tally sheet by opening the prior year's file and saving as the current year. Change the names in the Finalist column to the current finalists. Print the Round 1 page, then for each round through 12, change the Round number and print the page. Give these to the VP-Administration, along with contact information for the current year's Top 10, and the nominators of the Top 10. To do this:
    A. Search the requests tab of Gifts for status code = BPcurrentYear and Ethnicity code contains Top 10.
    B. Select all, focus, move to the affiliations tab.
    C. Use an affiliations view that sorts by Type of Affiliation for ease in selecting the names.
    D. Click to highlight the name of the nominator at the top and scroll down to the lasts nominator's name. Hold down the shift key and click on that name. Focus on the selected names and move to the contacts tab.
    E. Select a view that gives you the columns of Name, Primary Phone and Email.
    F. Print all, creating an appropriate title for the report.
    G. Go back to the affiliations tab and repeat the same process selecting the Primary Contact affiliations this time.

20. To prepare the Selector Finalist Book, you will need the Cover Page printed in color on 2nd sheet letterhead paper, the Mission and Vision Statement also printed on 2nd sheet letterhead, the Index from the first selector agenda book with "Original" added to the title and the tab column removed, the updated Numerical Index followed by the write-ups in the corresponding tabs. Provide this material to the VP-Administration for review. She will pass on to the Office Assistant to be spiral bound and sent to the hotel where the meeting is being held.

21. When the winners are selected, add BP Winner to the ethnicity field in each winner's contact code table and to their mailing list; also add "*year* winner" in their note's field. Then, include the Winner code in the ethnicity field of each of the winning nominations in the requests tab.*

22. After the event, run the list of nominees from the requests tab of Gifts. Select all and then decline, using the declination reason of "program completed."

23. Go to the Affiliations tab of the appropriate year of the Bradley Prizes Initiative and add each winner as a $250,000 Payee.

24. Discard write-ups and nomination materials at the start of next year's program, but keep winner information for each year in file cabinet.

25. When next year's program gets underway, change Page 2 mail list of each of the prior year's nominators' contact record from declined or accepted, back to invited so a draft nominators list can be prepared, reviewed, edited and updated.

26. Go to the payment section of the current year of the Bradley Prizes Initiative grant, whether or not it is formally awarded yet or not. If there were four winners:
    A. Split the $1,000,000 payment into four $250,000 installments using the pending date of 06/30/xx. Their exact payment schedule will be determined after the President and winner decide it.
    B. Indicate the winner's name on the notes line of each payment record (payee = name).
    C. Select payee = (winner's name) from the pull down menu.
    D. Change the Status to Hold for each payment.
    E. Move to the requirements tab to schedule a requirement of the W-9 Form for each winner, typing their last name in the notes field.
    F. The requirement should be marked as done and the payment status field should be changed to scheduled when the form has been received, which will allow payment to be released. (The W-9 will be requested by President or someone from the Finance Department, who should let you know when it has been received.)

27. When the winners send in their invitation list, keep these names in one spreadsheet, using a tab for each winner, in order to track their RSVP so each winner may be informed of which of their invitees are attending. Do not add these names to e-Tapestry's BP invitation list; these are temporary unless directed otherwise.

28. Add the winner’s guests, names, directors, and staff to the RSVP list.

29. The RSVP list will be used to create the check-in list by refining the Yes responses in a new document.

30. When the program is over and you are given the combined check-in list in order to record attendance, use that list to enter the current year attendees in e-Tapestry. The winner's guests and congressional list should not be included. Search for each name on the list. If it is found in e-Tapestry, go to Defined Fields and move to Events. Choose events attended and select the current year Prizes; then save, and search for the next name. Do not add the names to the Mail List field's Bradley Prizes invitee code, and do not enter additional persons into the database unless specifically directed to.

**Note:* In the case of an organization instead of an individual winning (Federalist Society, 2009), the contact record will not contain the "sent to selection committee" or "top 10" code because it was the organization and not a person nominated. However, the "BP Winner" code should be added to each of the individuals' contact record, in all places as previously indicated.

PROCESSING BRADLEY PRIZE SELECTOR DESIGNATED GRANTS

March 21, 2012

The form "Grant Designation by Bradley Prize Selection Committee Member" will be given to each member of the Selection Committee to complete at the off-site meeting. Open the prior year file and save as current year. Change the information according to current year selectors. The President's Assistant will take these forms along to the Selection Committee Meeting and return the completed forms to the Finance Department, who will use it as documentation to release the $10,000 meeting fee for each Committee member. The Finance department will give you a copy of the form to authorize the grant to the organization(s) they designate.

A. Award a new grant in the database, coding it BP Selector Designated in the Type field.
B. Indicate the selector in the Reference field (last name).
C. Complete the coding fields as usual, using the Program Area = None, Fund = BP Selector Designated, Population = No.
D. When awarding, place "BP Designated/(name)" in the Board Minutes field.
E. Enter the Selector in the Affiliations tab as the Sponsor.
F. Schedule payment for a regularly designated grant payment date. Be sure BP Selector Designated appears in the Fund code of the payment record as well.
G. Remove contract requirement; indicate form required and received.
H. Make file folder as usual, placing the Designation form inside.
I. Print Charity Check report and Yellow Checklist; place in file folder.
J. When payment is made, use appropriate transmittal letter.

NOMINATOR & SELECTOR DETAILS

Each nominator or selector is coded as such in their contact record of Gifts. Open the contact record (or create, if record doesn't exist). Go to page two, assign Bradley Prize Nominator (or Selector) in the mailing list section.

At the end of each year's program, search for all of the Bradley Prize Nominators using the Mailing List code of Accepted or Declined. Delete all Accepted and Declined; then add Former Prize Nominator (if not already in place) and reinstate BP Nominator Invited again. This allows a draft list of nominators to be prepared for next year by searching for BP Nominator Invited. If anyone is removed from the draft nominator list, the BP Nominator-Invited code is removed from the contact record, but the Former Prize Nominator code will always remain.

BRADLEY PRIZE WINNER DOCUMENTATION REQUIREMENTS

A completed and signed W-9 is requested by the President's assistant (or the Finance Department) and kept by the Controller.

Board authorization for each year's $1,000,000 is also noted by copying the page from the Board minutes for the authorization file.

If the winner chooses to designate a 501(c)(3) organization to receive the $250,000 award, amend the $1M Bradley Prize Initiative down by $250,000 and award a $250,000 grant to the designated organization.

<u>OVERVIEW OF BRADLEY PRIZES SELECTOR GRANTS</u>

June 14, 2011

1. Individuals appointed to the Bradley Prizes Selection Committee are allowed to recommend, with the President's approval, a grant(s) totaling $20,000.

2. The President's authority was granted in November, 2002 when the structure and process of the program was outlined by the Bradley Prizes Committee.

3. Each selector also completes a form indicating their grant recommendation(s), which is also signed by the President.

4. The form is retained by the Finance Department, and a copy is provided to the Grants Administrator to process the recommended grant(s). She verifies the organization's tax exempt status by printing and filing the Charity Check report in the grant file and notes the tax information in the grants database.

5. Any non-compliance situations discovered during this process are directed to the Vice President for Finance and President.

6. Approved and verified grants are included in the regular grant payment process. See step 24 of the Regular, Board-Awarded Grants.

BRADLEY PRIZES MONTHLY TIME-LINE

Year A, B	MONTH ITEM ANTICIPATED	DUE
	JANUARY	
Program A	Run list of nominators not responsed	01/05/12
Program A	Prepare follow up letters to BP nominators from MWG	01/10/12
	FEBRUARY	
Program A	Give write-up copies to MWG/DJS in booklet form	02/11/11
Program A	Draft save date mail-list to DK/program & KP/BN & MWG (w/memo)	02/11/11
Program A	Draft save-the-date cards for printer--printer does them	02/11/11
Program A	Enter BP nominations into Gifts	02/11/11
Program A	Prepare BP write-ups	02/11/11
Program A	Follow up w/PS re: BPI save-date mail list	02/18/11
Program A	Mail list add/changes/deletes returned; passed on to MWG for approval	02/18/11
Program A	Send final save date mail list to SR for printer	02/25/11
Program A	Prepare tally grid for DJS	02/28/11
Program A	Selection comte 1st agenda book to SR for copy/prep (3-hold binder)	02/28/11
Program A	Format/add Rep Con list from Mueller to invite list	02/28/11
Program A	Invitation mail list to program staff & devel w/memo	02/28/11
Program A	Draft of invitation to TF	02/28/11
	MARCH	
Program A	Tally & Grids for DJS	03/04/11
Program A	Selection comte Final agenda booklet to SR for copy/prep	03/04/11
Program A	Prepare Selector Finalist list for DJS	03/04/11
Program A	Phone & email for nominees & nominators for TF	03/08/11
Program A	Mail list add/changes/deletes returned; passed on to MWG for approval	03/11/11
Program A	Update Mail List w/staff changes	03/15/11
Program A	Prez save-date let to past BP winners, w/env	03/25/11
Program A	Prepare selection committee grant forms for TF	03/30/11
Program A	Make changes to invitation	03/30/11
	APRIL	
Program A	PDF of invitation for email	04/04/11
Program A	Final save date ML to SR for printer	04/06/11
Program A	Set up Win-Guests invitation & RSVP spreadsheet	04/10/11
Program A	Gifts coding: requests -- sent to selection cmte.	04/12/11
Program A	Foreign invite mail list to SR	04/12/11
Program A	Prepare MWG notecards & env for BP selectors	04/14/11
Program A	Final invitation list to printer	04/14/11
Program A	Top 10 list for MWG & DJS (variety of formats)	04/16/11
Program A	Selection committee 2nd agenda booklet to SR for copy/prep-spiral bound	04/16/11
Program A	Run list of finalists w/phone & email	04/20/11
Program A	Run list of nominators of the finalists w/phone & email	04/20/11
Program A	Pages of all nominees w/nominators for agenda book	04/20/11
Program A	Gifts coding: requests & contact -- Top 10	04/20/11
Program A	Start 1st draft of program (no banner; "winner" placeholder)	04/20/11
Program A	List of all who nominated Program A winners for MWG	04/20/11
Program A	Program completed & to printer	04/28/11
Program A	Winner & Nash sep file updates of guests invitees	04/28/11
Program A	Code winners in Gifts	04/30/11
Program A	Decline all BP nominations in Gifts (after winners have been selected)	04/30/11
Program A	Send additional invites	04/30/11
Program A	Add winner guests to invite list as they come in	04/30/11

BRADLEY PRIZES MONTHLY TIME-LINE

Program A	Let TF know of win/guests w/o addressses	04/30/11

BRADLEY PRIZES MONTHLY TIME-LINE

	MAY	
Program A	Temp RSVP list for DL	05/01/11
Program A	Prepare VIP invitations	05/01/11
Program A	Prepare Final RSVP spreadsheet (color coded=win guest/tell YE)	05/03/11
Program A	Additional VIP reception letters	05/04/11
Program A	Confirm winner guests RSVPs	05/05/11
Program A	Prepare check-in list	05/09/11
	JUNE	
Program A	Process BP-Selector grants	06/01/11
Program A	Draft winner check letter from MWG	06/03/11
Program A	Draft thank-you letter to winners' nominators	06/06/11
Program A	Assemble winner file folders	06/30/11
	JULY	
Program A	Update e-Tapestry with attendees (add new events attended code first)	07/31/12
Program B	Change no response nom ml codes to BP-nom & Former BP-nom	07/01/11
Program B	Verify ALL BP selectors coded as such	07/01/11
Program B	Compare updated Gifts nominator list with e-Tapestry	07/01/11
	AUGUST	
Program A	Discard non-winner write-ups	08/31/11
Program B	Change Gifts' BP nom contact rec from dec/accep to invited & inc: prior yr win & new B	08/31/11
	SEPTEMBER	
Program B	Set up next program's Invitation, Save Date, E-invite	09/10/11
Program B	Set up next program's BP Program	09/10/11
	OCTOBER	
Program B	Prepare draft nominators list & distribute to DK for prog staff	10/15/11
Program B	Pass nominator list reviewed by PS to RN	10/25/11
Program B	Pass nominator list reviewed by PS&RN to MWG for approval before making changes	10/30/11
Program B	Update for draft - nomination form & nom invite let enclosures	10/30/11
Program B	Draft of nom invite letter to MWG	10/30/11
	NOVEMBER	
Program B	Final nomination form & enclosures to printer	11/15/11
Program B	Complete current program's nominator list	11/20/11
Program B	Draft current program's nominator letters	11/22/11
Program B	Envelopes made	11/30/11
	DECEMBER	
Program B	Final nomination leters for signature	12/5/11
Program B	Nomination letters Program B (current) signed and mailed	12/7/11
Program B	Discard previous year lists and charts no longer needed	12/31/11

HOW TO USE THE BUDGET WORKSHEET
July 25, 2011

1. In January, the Grants Administrator creates the current year Budget Worksheet.

2. As the Program Assistant is informed of recommendations for the upcoming agenda, she places those recommendations on the Excel spreadsheet titled “Budget Worksheet.” (H:\WPDATA\2011\BUDWKS11.xls).

3. For each request being recommended, enter on the appropriate Sector’s tab, the organization’s name in the first column, and the recommended amount in the column titled Proposed. Place the recommendations by subsector and by the quarter in which it is being presented (See file).

4. Continually update as any changes occur on the agenda. The Program Staff should keep the Program Assistant informed; the Program Assistant will keep the Grants Administrator informed.

5. The worksheet is set up to total all tabs into the Summary tab.

6. After the board meeting, the Grants Administrator moves the proposed amounts to the awarded column. If the grant amount is different than the recommended amount, use the final grant amount.

7. This Budget Worksheet will be used for budget analysis and planning the year’s giving. The summary page will provide balances of awarded, proposed and available funds. It will also be used for the Grants Administrator’s monthly financial reports for budgeting of future payments, for cash flow projections, and to verify the Gifts database with the Excel spreadsheet and agenda.

CANCELLATIONS
June 23, 2011

1. Find the grant in the database.
2. Open the request.
3. Select "Action" at the top of the screen.
4. Choose Amend Grant.
5. Enter new grant amount accordingly, adding an explanation to the notes field.
6. Create "Note for File." Print three copies.
7. Place note in misc actions folder, grant reconciliation notes folder, and agency file.
8. This information should be recorded in the file kept for each year that shows refunds, cancellations, voids and replacement checks. When updating that annual file, be sure to note whether or not the original payment date was current or prior year. The file is used for the annual audit and tax return.

The review process, as per Dan’s instructions, will take place after the board books have been sent out. Your process is to compare the committee minutes to the board book. The comparison you will be doing is to make sure the board book is consistent with committee minutes for voting abstentions, grantees, and grant amounts. This is in addition to the review you currently do, which is to compare the dollar amount in the write-up to the cover page (I’m not really sure what to call this page, I believe you had a name for it). Any differences should be noted in writing and be given to me for review. I will contact Dan with those differences for attention at the Board Meeting. The exception to this is the IRA committee minutes. The IRA meeting is held the day of the board meeting so a review is not possible until after the board meeting is over. That review will be done at the time you complete the grant portion of the minutes for the board meeting. Any differences you find should be documented and given to me for review. If you have any questions, comments or clarifications for the above, let me know.

CHALLENGE & MATCHING GRANTS
October 27, 2010

1. As the grant is awarded, a note explaining the challenge should be placed in the Meeting Minutes' note field (on page 1 of the Gifts record), and in the Page 2 tab of the request record in the "Project Description-Long" field.

2. Code as usual, except use Internal Program = match or challenge.

3. In addition to the requirements of Grant Agreement and Yellow Checklist with Charity Check report attached, add a new requirement in the Type field of Challenge/Match Met (select from Type field's pull-down menu). This Requirement will be marked completed when notification is received that the challenge/match has been met.

4. Schedule payment on hold for 12/31/year, as the payment will not be scheduled until the conditions have been met.

5. When letter confirming match/challenge has been met:

    a. Indicate completed in requirements tab
    b. Check with Dan to see how they might want the payments divided, if at all
    c. Schedule an actual payment date and change status from hold to scheduled, providing the contract has also been received and recorded
    d. Change Internal Code to Regular
    e. File the notification letter in the file folder

6. Prepare Note for File from scroll icon at top of screen.

    a. In the note, indicate that the challenge/match was met, person who sent the confirmation, and any details that might be helpful.
    b. Place note in misc committee actions file folder (to remind you to report as a misc action to the directors at next Board meeting).
    c. Place a copy of the note in the grant file folder.

MicroEdge GIFTS - Organizer

File Edit Action View Quick Options GIFTS Plus Help

Meeting Date is on 11/9/2010 AND Request Status is 'Staff-Recommend' (108 items)

Activities | Payments | Requirements | Documents

Organizations | Requests | Affiliations | Contacts

Organization Name	ID/Ref	Program Area	Staff Person	Recommended
Sagamore Institute	20101192	IRA	Mike Hartmann	$150,000
St. Josaphat Basilica Foundation, Inc.	20101154	Legacy	Janet Riordan	$20,000
St. Marcus Lutheran School	9001513	Legacy	Alicia Manning	$500,000
The Salvation Army of Greater Milwaukee	20101126	Legacy	Alicia Manning	$100,000
Sand County Foundation, Inc.	20101198	Implementation & Impact	Mike Hartmann	$675,000
Silver Spring Neighborhood Center, Inc.	20101129	Legacy	Alicia Manning	$15,000
Southeastern Legal Foundation, Inc.	20101038	Implementation & Impact	Mike Hartmann	$25,000
Taliesin Preservation Commission, Inc.	20100804	Legacy	Janet Riordan	$50,000
Teneo Network	20101013	Implementation & Impact	Mike Hartmann	$25,000
The University of Chicago	20101102	Ideas & Institutions	Dianne J. Sehler	$25,000
University of Miami	20101166	Ideas & Institutions	Dianne J. Sehler	$20,000
University of Wisconsin Foundation	20100463	IRA	Dan Schmidt	$40,000
University of Wisconsin-Madison	20100969	Ideas & Institutions	Dianne J. Sehler	$100,000
University of Wisconsin-Milwaukee	20101169	Legacy	Janet Riordan	$15,000
UWM Research Foundation, Inc.	20101040	Legacy	Janet Riordan	$400,000
Walnut Way Conservation Corp.	20100744	Legacy	Alicia Manning	$175,000
Wisconsin Conservatory of Music, Inc.	20101060	Legacy	Janet Riordan	$60,000
Wisconsin Forensics Coaches' Association	20100964	Legacy	Janet Riordan	$10,000
Wisconsin Lutheran College	20101031	IRA	Mike Hartmann	$25,000
Wisconsin Lutheran College	20101108	Legacy	Janet Riordan	$75,000
Zoological Society of Milwaukee County	20100938	Legacy	Alicia Manning	$75,000

Pending Incomplete Approved Declined

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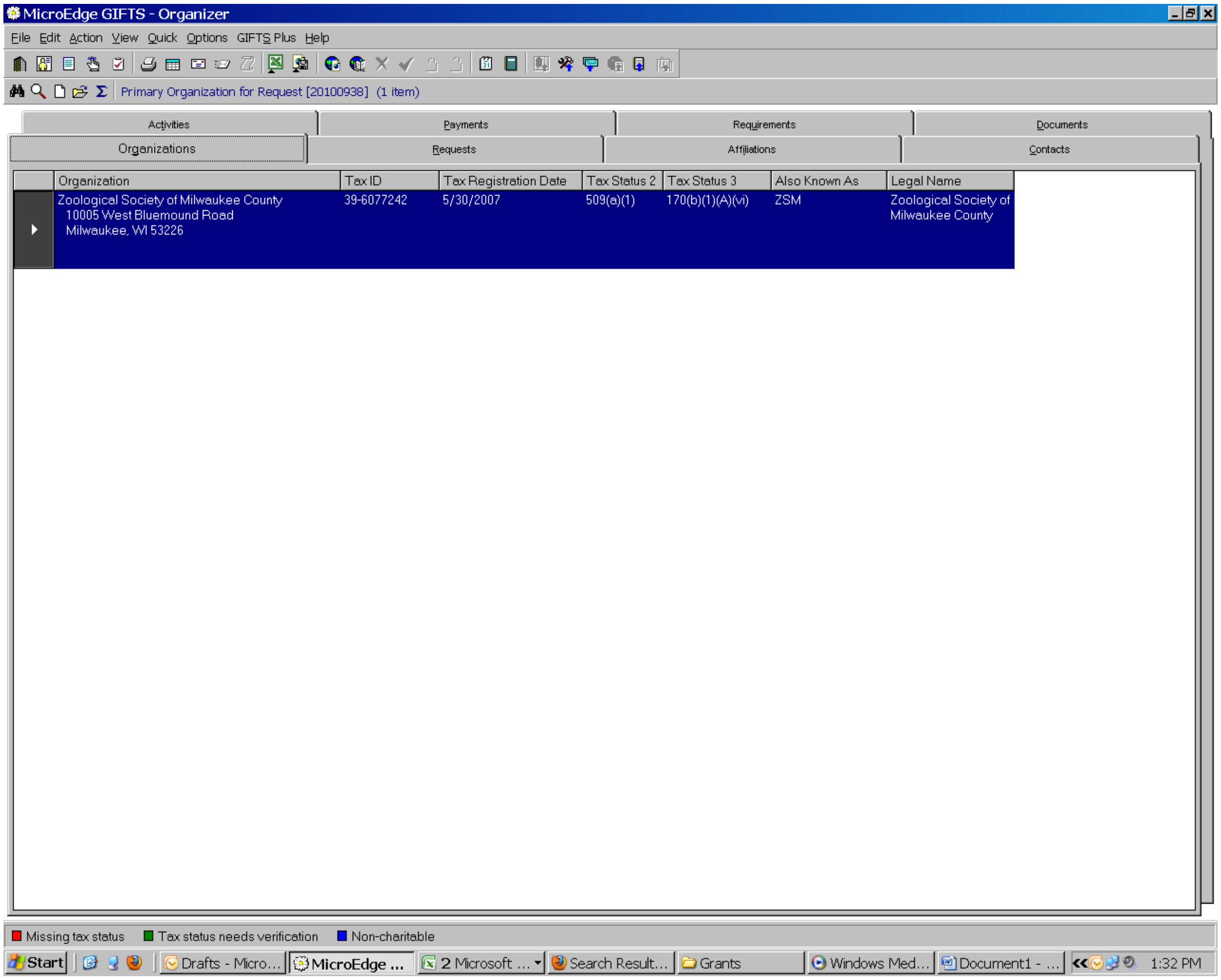
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Requests
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Contacts
Organization
Tax ID
Tax Registration Date
Tax Status 2
Tax Status 3
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Zoological Society of Milwaukee County
10005 West Bluemound Road
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5/30/2007
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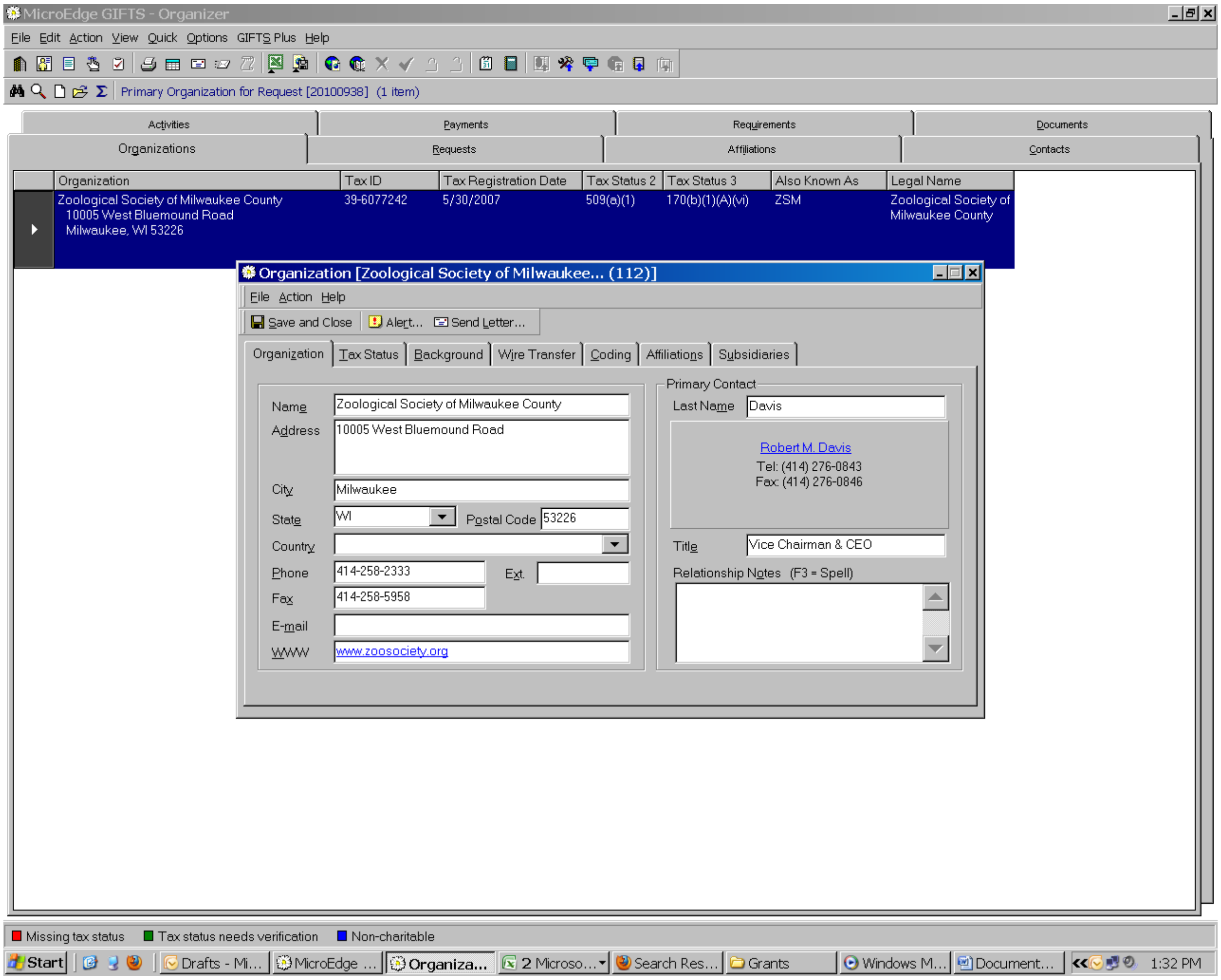
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Wire Transfer
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Affiliations
Subsidiaries
Name
Zoological Society of Milwaukee County
Address
10005 West Bluemound Road
City
Milwaukee
State
WI
Postal Code
53226
Country
Phone
414-258-2333
Ext.
Fax
414-258-5958
E-mail
WWW
www.zoosociety.org
Primary Contact
Last Name
Davis
Robert M. Davis
Tel: (414) 276-0843
Fax: (414) 276-0846
Title
Vice Chairman & CEO
Relationship Notes (F3 = Spell)
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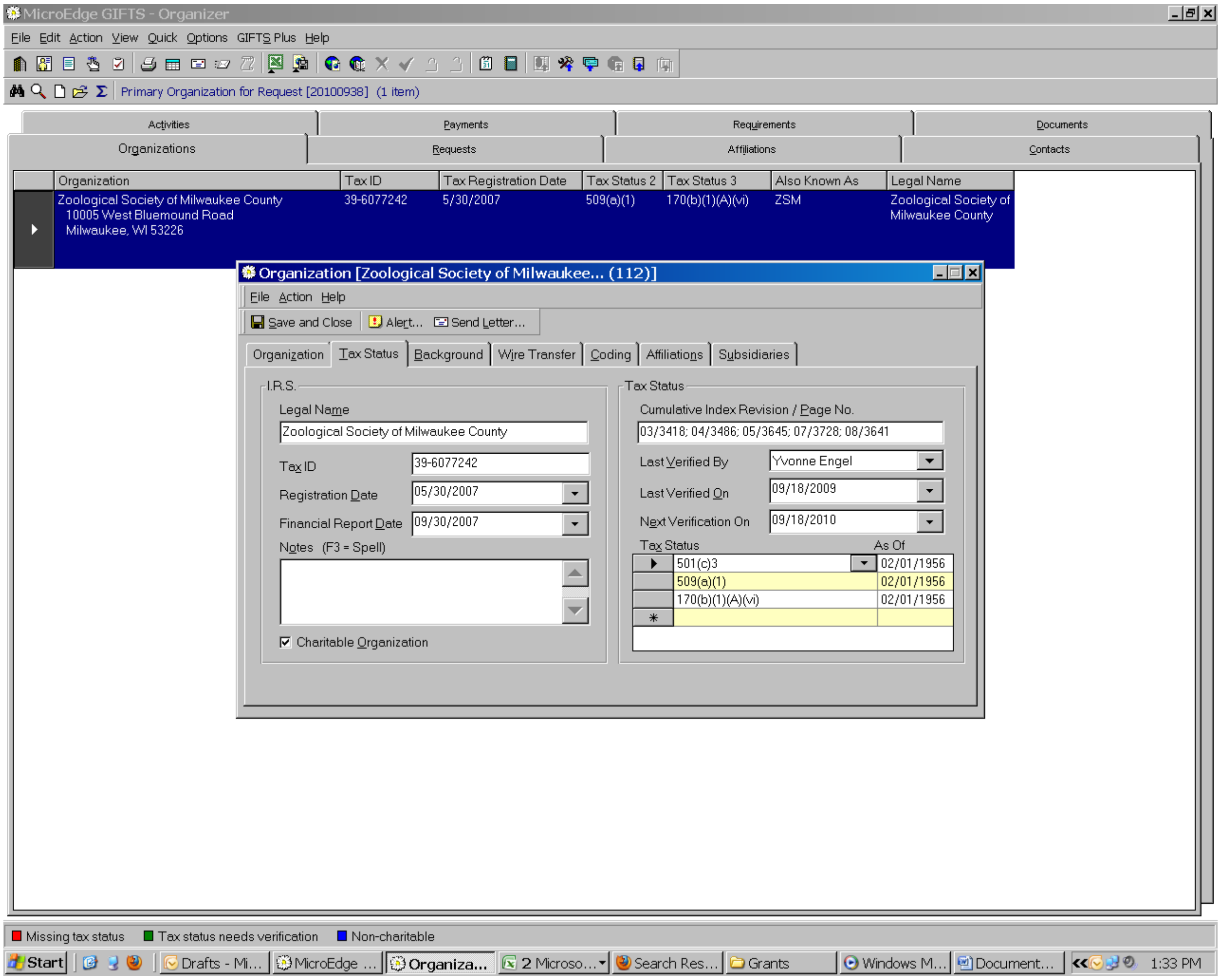
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05/30/2007
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Notes (F3 = Spell)
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Cumulative Index Revision / Page No.
03/3418; 04/3486; 05/3645; 07/3728; 08/3641
Last Verified By
Yvonne Engel
Last Verified On
09/18/2009
Next Verification On
09/18/2010
Tax Status
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eTapestry Login | Search Results

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Update Nonprofit Report | Analyze Nonprofit Data | Take Action | Review A Charity

Search GuideStar | Advanced Search | Refine Your Search

Organization name, EIN, City, State | Nonprofit Search | Start New Search

Home > Search Results

Your search for **39-6077242** produced 1 result.

Viewing 1 - 1 of 1 result

Remove Criteria:

Keywords: 39-6077242

Organization Name	Details			Sort Results By Relevancy
ZOOLOGICAL SOCIETY OF MILWAUKEE COUNTY EIN: 39-6077242	Income: $8,622,505 Assets: $1,813,394	501(c)(3) Public Charity	Pub 78 Verified	GuideStar Charity Check Check Today's Report >
	2009 Form 990 10005 W Bluemound Rd, Milwaukee, WI 53226			
Organization Name	Details			Sort Results By Relevancy

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http://www.guidestar.org/FinDocuments//2009/396/077/2009-396077242-05f5bd0d-9.pdf

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GUIDESTAR

Charity Check Report

Generated on October 04, 2010, at 2:30 PM EDT

ZOOLOGICAL SOCIETY OF MILWAUKEE COUNTY

PDF Print

10005 W Bluemound Rd
Milwaukee, WI 53226

Charity Check Data Sources
Charity Check FAQs

IRS Publication 78 Details

IRS Pub 78 Verified

Organization Name	Zoological Society of Milwaukee County
EIN	39-6077242
Location	Milwaukee, WI
Code and Description	None - A public charity with a 50% deductibility limitation
Most Recent IRS Publication 78	July 2010
Verified with Most Recent Internal Revenue Bulletin	October 4, 2010

IRS Business Master File Details

IRS BMF 509(a)(1)

Organization Name	ZOOLOGICAL SOCIETY OF MILWAUKEE COUNTY
EIN	39-6077242
Most Recent IRS BMF	August 31, 2010
IRS Subsection	This organization is a 501(c)(3) Public Charity.
Reason for Non-Private Foundation Status	Section 509(a)(1) organization as referred to in Section 170(b)(1)(A)(vi)
Ruling Date	02/1956

GuideStar

Charity Check Report

Generated on October 04, 2010, at 2:30 PM EDT

ZOOLOGICAL SOCIETY OF MILWAUKEE COUNTY

PDF Print

Charity Check Data Sources
Charity Check FAQs

10005 W Bluemound Rd
Milwaukee, WI 53226

IRS Publication 78 Details

IRS Pub 78 Verified

Organization Name	Zoological Society of Milwaukee County
EIN	39-6077242
Location	Milwaukee, WI
Code and Description	None - A public charity with a 50% deductibility limitation
Most Recent IRS Publication 78	July 2010
Verified with Most Recent Internal Revenue Bulletin	October 4, 2010

IRS Business Master File Details

IRS BMF 509 (a)(1)

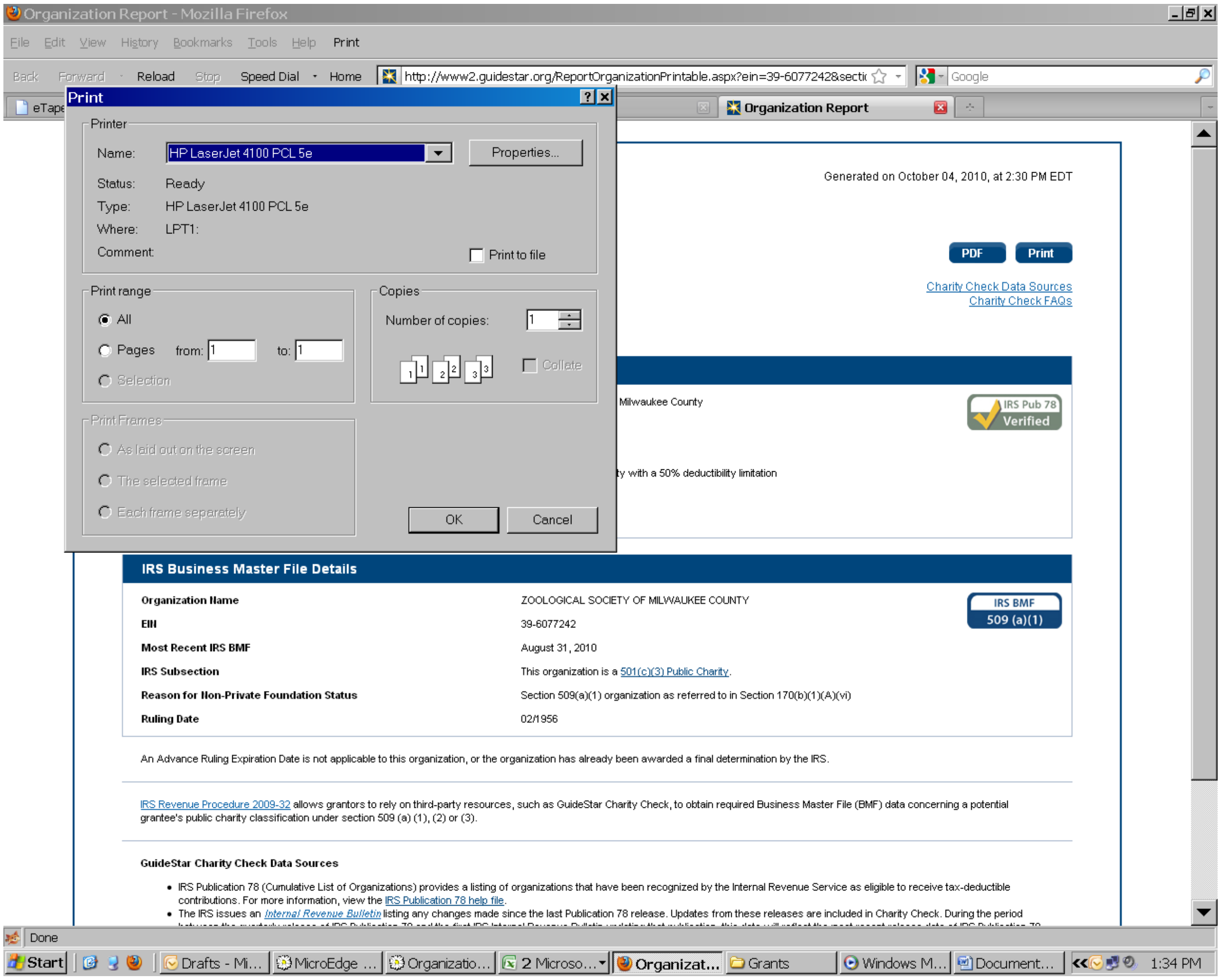
Organization Name	ZOOLOGICAL SOCIETY OF MILWAUKEE COUNTY
EIN	39-6077242
Most Recent IRS BMF	August 31, 2010
IRS Subsection	This organization is a 501(c)(3) Public Charity.
Reason for Non-Private Foundation Status	Section 509(a)(1) organization as referred to in Section 170(b)(1)(A)(vi)
Ruling Date	02/1956

An Advance Ruling Expiration Date is not applicable to this organization, or the organization has already been awarded a final determination by the IRS.

IRS Revenue Procedure 2009-32 allows grantors to rely on third-party resources, such as GuideStar Charity Check, to obtain required Business Master File (BMF) data concerning a potential grantee's public charity classification under section 509 (a) (1), (2) or (3).

GuideStar Charity Check Data Sources

- IRS Publication 78 (Cumulative List of Organizations) provides a listing of organizations that have been recognized by the Internal Revenue Service as eligible to receive tax-deductible contributions. For more information, view the IRS Publication 78 help file.
- The IRS issues an *Internal Revenue Bulletin* listing any changes made since the last Publication 78 release. Updates from these releases are included in Charity Check. During the period



IRS Business Master File Details

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EIN	39-6077242	
Most Recent IRS BMF	August 31, 2010	
IRS Subsection	This organization is a 501(c)(3) Public Charity.	
Reason for Non-Private Foundation Status	Section 509(a)(1) organization as referred to in Section 170(b)(1)(A)(vi)	
Ruling Date	02/1956	

An Advance Ruling Expiration Date is not applicable to this organization, or the organization has already been awarded a final determination by the IRS.

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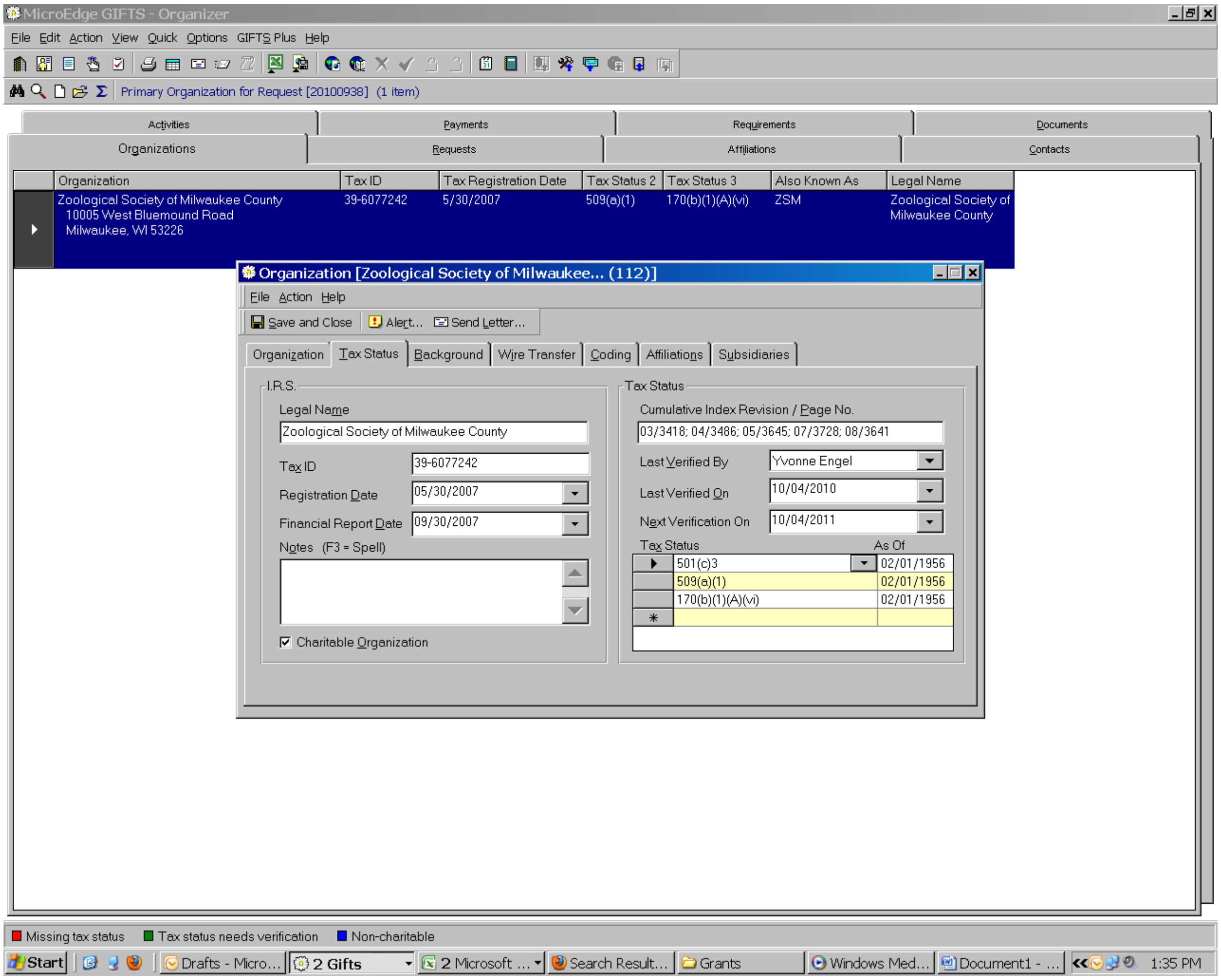
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CHARITY CHECK PROCESS
October 28, 2011

1. Search Gifts for the request ID# *[Exhibit C]* of the grant you want to verify.

2. Focus on the request; move to the organizations tab *[Exhibit D]*.

3. Double-click to open the organization record; move to Tax Status tab *[Exhibit D]*.

4. Copy the Tax ID number *[Exhibit D]*.

5. Open Guidestar and log in. Guidestar is located at http://www2.guidestar.org/Home. *[Exhibit E]*

6. Paste the Tax ID number in the search box and enter *[Exhibit E]*. (If the tax ID number is not recorded in Gifts, search by name instead.)

7. When the results appear for the correct organization, click on "Check Today's Charity Check Report" on the right side of the screen *[Exhibit F]*.

8. When the report comes up, choose PDF. To print, click on the software's print icon at top left of the screen. Close out (x) of the report just printed, leaving Guidestar open for the next item.

9. File the Report *[Exhibit G]* in the grant file folder. If the Yellow Checklist is needed, prepare it and staple the Charity Check report to it.

10. Return to the organization's tax record screen in Gifts. Most of these fields are probably complete, but some will need to be updated at this time *[Exhibit H]*. Verify or update:

    A. Organization's legal name.

    B. Employee identification number (EIN)-referred to as the tax ID in Gifts.

    C. Registration date, which represents the most recent determination letter we have on file; if this field is empty (and the organization is not foreign), place a note in the payments field of the <u>request</u> to remind you to ask for it in the award letter or check transmittal letter.

    D. Last Verified By (select your name from the pull down menu).

    E. Last Verified On (F3 will insert current date into any date field in Gifts); this date will also pull into the Yellow Checklist, if it is needed.

    F. Next Verification On (insert current date, but change year to next year).

G. On each line, enter from the pull down menus, each tax status code found on the most recent determination letter *[I]*, followed on each line by the date of the original determination letter, or current letter if original date unknown.

11. Close the organization record; focus on the organization and move to the requests tab.

12. Focus on the request you are working on *[Exhibit Q]* and move to the requirements tab.

13. Click on “new” (the blank page icon at the top of the screen) to create the requirement *[Exhibit R]*.

14. From the new screen *[Exhibit S]*, insert your name in “Staff” field and select “Type” “Charity Check” from the pull-down menus. To mark the requirement done, insert current date in “Rec’d” and “Done” fields by using the F3 key, or choose Action, Done from the menus at the top of this new screen. Save and close the requirement.

NOTE:

Additional information on incorporating this process with other items required for Board recommendations can be found in the Quarterly Spreadsheet tab of the Board Meeting Preparation Section.

American Cinema Foundation	20110490	DN	DJS	25,000	X	X			Yes	21-Jun	
American Conservative Union	20110561	DN	DJS	35,000	X	X			Yes	21-Jun	
American Enterprise Institute	20110617	IRA	MEH	15,000	X	X	George		Yes	21-Jun	
American Foreign Policy Council	20110504	DN	DJS	85,000	X	X			Yes	21-Jun	
American Legislative Exchange Cnc	20110582	MM	MEH	75,000	X	X			Yes	21-Jun	
American Studies Center	20110503	DN	DJS	40,000	X	X			Yes	21-Jun	
Association Study Mid East & Afr.	20110539	DN	DJS	35,000	X	X			Yes	21-Jun	
Ave Maria Univ.	20110491	IRA	DPS	30,000	X	X			Yes	21-Jun	
Center for Excellence in Higher Ed	20110450	DN	DJS	10,000	X	X			Yes	21-Jun	
Center for Immigration Studies	20110489	DN	DJS	20,000	X	X			Yes	21-Jun	
Center for Strategic & Budgetary	20110541	DN	DJS	70,000	X	X			Yes	22-Jun	
Center for the Study of Carbon Diox	20110556	MM	MEH	25,000	X	X			Yes	22-Jun	
Ethics and Public Policy Center	20110611	IRA	DPS	25,000	X	X	George		Yes	22-Jun	
Foundation for Cultural Review	20110514	DN	DJS	200,000	X	X			Yes	22-Jun	
Foundation for Edu Reform & Acc.	20110540	MM	DPS	70,000	X	X			Yes	22-Jun	
Free Congress Research	20110513	MM	DPS	150,000	X	X			Yes	22-Jun	
GreatSchools.net	20110519	IRA	MEH	15,000	X	X			Yes	22-Jun	
Heartland Institute	20110602	MM	DPS	50,000	X	X			Yes	22-Jun	
Hoover Institution	20110620	MM	MEH	100,000	X	X	George		Yes	22-Jun	
Hudson Institute	20110562	DN	DJS	75,000	X	X			Yes	22-Jun	
Institute for Foreign Policy Analysis	20110573	DN	DJS	100,000	X	X			Yes	22-Jun	
Institute for Justice	20110546	MM	MEH	165,000	X	X			Yes	22-Jun	
Institute on Religion & Public Life	20110563	IRA	DPS	100,000	X	X	George		Yes	22-Jun	
Intellilgence Squared	20110599	MM	DPS	25,000	X	X			Yes	22-Jun	
Job Creators Alliance	20110269	MM	MEH	25,000	X	X			will req	not found	
Manhattan Institute for Policy Rsch.	20110595	DN	DJS	20,000	X	X			Yes	22-Jun	
Media Research Center	20110459	DN	DJS	10,000	X	X			Yes	22-Jun	
Military Community Youth Ministri	20110300	MM	DPS	20,000	X	X			Yes	22-Jun	
Prager University Fdn.	20110537	DN	DJS	40,000	X	X			Yes	not found	
Sagamore Institute	20110585	MM	MEH	50,000	X	X			Yes	22-Jun	
Stanford University	20110578	IRA	DPS	80,000	X	X			Yes	22-Jun	
Teach for America	20110619	IRA	MEH	40,000	X	X			Yes	22-Jun	
UCLA	20110557	DN	DJS	15,000	X	X			Yes	22-Jun	

University of Chicago	20110449	DN	DJS	75,000	X	X			Yes	22-Jun	
22-Jun			SS	1,915,000							
22-Jun			BW	1,915,000							
22-Jun			Gifts	1,915,000							
22-Jun			Pay	1,915,000							

CHECK CUTTING PROCESS FOR ADMIN CHECKS
May 23, 2011

Once a week the Accountant prepares the administrative checks for invoices due, processing them through the Great Plains Dynamics accounting software. Blank checks are stored in a locked cabinet in the Accountant's office. A log is kept to show which checks have been removed for processing.

The Accountant produces a Great Plains report listing the checks to be signed. The Controller or CFO signs off on each check run before the checks are cut by verifying the payee and the amount, initialing at the bottom of the report.

Using this same initialed list as evidence of approval, the Grants Administrator also initials the list to indicate that the checks produced matches the criteria signed off on and then affixes the electronic signature. Each check is then reviewed to be sure the signatures are okay. The checks are returned to the Accountant. An Excel spreadsheet log is updated to indicate the check numbers of the checks that have been electronically signed; see H:\WPDATA\FORMS\SignatureControlLogAdmin11.doc). The initialed form is placed in the Administrative Check Signing file in the bottom right-hand drawer of the Grants Administrator's desk.

The dual signature image is found only on the hard drive of the Grants Administrator's computer, which is password protected. Checks $4,000 and above require two manual signatures of authorized signers. The Accountant will acquire those signatures.

The signed checks are returned to the Accountant.

CHECK CUTTING PROCESS FOR GRANTS

November 23, 2011

Two days before checks are to be cut the Grants Administrator reviews the calendar to verify that the VP-Program or President is available to sign the checks. If not, she consults with VP-Finance and/or VP-Administration.

The day before the checks are to be cut, she will search the Gifts database for the scheduled payments, using a date range starting with the 1st of the month to the date of the first Wednesday so nothing is inadvertently missed. The date range search for 2nd check cutting date of the month is the day after first processing date to end of the month.

Any payments still on Hold should be moved to the next check cutting date, placing an "S" in the notes field to indicate the payment has been changed from original date and follow-up may be needed to inform grantee that the paperwork required to release payment has not been received. Any paperwork not received and processed by noon on Tuesday will wait until the next check run, unless VP-Program requests special run.

In order to include recently received agreements, she prepares the Grant Payment Approval form the day prior to the scheduled payment date. After signing the form, she provides it to the VP-Program for signature to indicate his approval to release the payments. Before sending the approval form on to the Accountant, she makes a copy for the check-signing file. [See Grant Payment Approval Form, prior Tab.]

After the Accountant receives the signed approval form, she cuts the checks using the grants database Gifts for Windows. She will search the payments tab in Gifts using criteria of scheduled date = (today, or …) and status = "scheduled." This data is then exported from Gifts into the Great Plains Dynamics accounting software, where the checks are cut and entered into the general ledger. Then the payment information is imported back into Gifts, after which she prepares the "Grant Payment Detail" report, which verifies the grants approved for payment are the same as those paid. This report is also used by the Grants Administrator when editing the check transmittal letters.

Blank checks are stored in a locked cabinet in the Accountant's office. A log is kept to show which checks were removed for processing. The Accountant will acquire signatures for checks requiring manual signatures.

The checks are signed electronically by the Grants Administrator. Then she updates the Signature Control Log, (located at H:\WPDATA\FORMS\SignatureControlLogGrants11.doc) and initials the Great Plains Payables Management report, placing it along with the Grant Payment Detail report in the Grant Check Signing file, located in the bottom right-hand drawer of her desk. She must also review each check to be sure the signatures turned out okay and immediately notify the Accountant that all went well, which allows the Accountant to proceed with next step of processing "positive pay," a verification process used by the bank. The bottom third of the check-page is removed and returned to the Accountant for storage.

HOW TO SIGN ADMINISTRATIVE CHECKS
September 4, 2012

The Accountant will produce a report listing the checks to be signed using the accounting software, Great Plains. The Controller will verify each payment, recording her initials at the bottom of the list and checking off each entry to verify the payee and the amount. The Accountant will bring the list and the checks to the Grants Administrator. Using this same list, the Grants Administrator initials the list at the bottom to indicate that the checks produced match the criteria signed off on by the Controller. Signatures are placed on checks. Here's how:

On the Payables Check Register, note first that the Controller or VP-Finance (Mandy or Cynthia) has approved the check run. If not, return the checks and Register to the Accountant (Judy).

Place a dash to the left of any amounts $4,000 or more or any checks payable to Mike Grebe. These checks will be signed manually (Accountant will take care of those; they should not be among the checks for you to sign.) Subtract the number of those checks from the total number of checks processed in order to know how many signatures to print.

Look at each check to verify that the name, check number and amount match what is on the Payables Check Register. To confirm, circle the dash that was made when the check run was approved and place your initials at bottom right of the Register.

Open the e-copy desktop software. Select shared files. Open the Checks file from the right-hand side of the lists. Enter password.

Place checks face down, bottom in first, of bottom tray of YE's printer. Or face up, top in first, in top/open tray of YE's printer.

Using File-Print, indicate number of checks placed in tray and select print. Close software.

Record checks signed by using the admin log that you will select from H:\WPDATA\FORMS\SignatureControlLogAdmin12.doc.

Verify signatures printed okay by looking at each check and placing it face up in a new stack; this will also place the checks back in numerical order.

Let the Accountant know that the signatures ran fine so she can do Positive Pay with the bank and pick up the signed checks (or you can take them to her).

HOW TO SIGN GRANT CHECKS
September 4, 2012

On the Great Plains report provided by the Accountant, place a dash to the left of any amounts listed that are $200,000 or more, or are made payable to one of the persons whose name is on the electronic signature, (i.e. Mike Grebe or Terry Considine). The Accountant will get manual signatures on these checks; therefore they should not be among the checks to be signed. Subtract the number of the checks needing manual signatures from the total number of checks processed in order to know how many signatures to print. Both reports are stored by the Grants Administrator with the log of checks electronically signed, which is located in the bottom right drawer of her desk.

Place checks face down, bottom in first, of bottom tray of YE's printer. Or face up, top in first, in top/open tray of YE's printer if only one is being signed.

Open the e-copy desktop software. Select shared files. Open the Checks file from the right-hand side of the lists. Enter password. Using File-Print, indicate number of checks placed in tray and select print. Close software.

Record checks electronically and manually signed by opening and completing the Signature Control Log found at H:\WPDATA\FORMS\SignatureControlLogGrants.doc

Verify signatures printed okay by looking at each check and placing it face up in a new stack; this will also place the checks back in numerical order.

After the checks have been signed, let the Accountant know that the signatures ran okay so she can do Positive Pay with the bank. Tear off the bottom check stubs and return them to the Accountant.

Include the checks with the corresponding transmittal letters and mail. [See how to prepare "Grant Check Transmittal Letters."]

	QUARTERLY ITEMS	1st Q (Jan-Mar)		2nd Q (Apr-Jun)		3rd Q (Jul-Sep)		4th Q (Oct-Dec)			
		February 28 Meeting		June 6 Meeting		August 21 Meeting		November 13 Meeting			
		Started	Done	Started	Done	Started	Done	Started	Done		
GA	Create & update SS of recommendations										
GA	List cme mtgs as become avail for fol up										
GA	Code each staff recommendation										
GA	Schedule payments for each staff recommendation										
GA	Bal. Sched pay with Recs prior to month end										
GA	Run charity check for each staff recommendation										
GA	Change board and mailing dates on yellow checklists template										
GA	Prepare yellow checklists for all recommendations										
GA	Verify recommendations with Gifts, BudWks, SS										
GA	Follow up on MM minutes										
GA	Follow up on DN minutes										
GA	Follow up on LEG minutes										
GA	Verify committee agenda, min, Gifts review: Id & In										
GA	Verify committee agenda, min, Gifts review: Imp & Imp										
GA	Verify committee agenda, min, Gifts review: Leg										
GA	Memo w/backup to CF re: verify cmte agenda, min, Gifts, Dir Aff										
GA	Verify committee min & board agenda & Gifts: Id & In										
GA	Verify committee min & board agenda & Gifts: Imp & Imp										
GA	Verify committee min & board agenda & Gifts: Leg										
GA	Compare project descrip from Board agenda books with Gifts										
GA	Memo w/backup to CF re: verify cmte min, brd ag, Gifts										
GA	Signed board minutes from previous meeting to SR										
GA	Prepare Dir Affil page										
GA	Prepare Misc Act page										
GA	Dir Affil to CF w/list of rec & Gift rept of affil										
GA	Misc Act to CF w/backup										
GA	Make any needed changes to Misc Act										
GA	Make any needed changes to Dir Affil										
GA	Misc Actions, to MWG										

	QUARTERLY ITEMS	1st Q (Jan-Mar)		2nd Q (Apr-Jun)		3rd Q (Jul-Sep)		4th Q (Oct-Dec)			
		February 28 Meeting		June 6 Meeting		August 21 Meeting		November 13 Meeting			
		Started	Done	Started	Done	Started	Done	Started	Done		
GA	Director Affiliations, to MWG										
GA	Misc Actions to SR, for agenda										
GA	Director Affiliations to SR, for agenda										
GA	Grant summary to SR for agenda (30 copies in color)										
GA	Keep track of letters & contracts on abm ss										
GA	Award grants										
GA	Verify Gifts, BudWks, SS after										
GA	Prepare draft GA w/letter										
GA	Prepare final GA w/letter										
GA	Get signatures on letters, contracts										
GA	Prepare envelopes										
GA	Mail GA w/letter										
GA	Follow up on IRA minutes										
GA	Verify w/tape IRA min w/Brd agenda awards										
GA	Provide CF w/IRA cmte min w/grants										
GA	Follow up on Encounter min										
GA	Run list of grants for minutes										
GA	Enter grants into minutes document										
GA	Brd. min w/tape of grants, cmte min, Gifts report, Bud Wkst, Dir Aff, to CF										
GA	Draft minutes to DPS/MWG										
GA	Verify filed all minutes										
GA	Copy of Board, Aud, Fi minutes to CF w/req synopsis										
GA	Yellow checklists to DK to file										
GA	Copies of GA & L to DK to file										
GA	Update synopsis of Board, Audit, Finance for CF										
GA	Check for 509(a)(3) type 3, inform CF										
GA	Draft minutes to TS										
GA	Final minutes signed by TS										
GA	Copy of signed minutes to MLH, SR, CF, me & file original										

	QUARTERLY ITEMS	1st Q (Jan-Mar)		2nd Q (Apr-Jun)		3rd Q (Jul-Sep)		4th Q (Oct-Dec)			
		February 28 Meeting		June 6 Meeting		August 21 Meeting		November 13 Meeting			
		Started	Done	Started	Done	Started	Done	Started	Done		
GA	Follow up on missing minutes 2 weeks after meetings										
GA	Give copies of all minutes to MLH 1st week each qtr										
GA	Toss out det lets not needed										

CHRON FILES
June 20, 2011

Copies of all correspondence sent by all members of the Foundation staff are kept in the "chron files." Terri keeps copies of her own and Mr. Grebe's letters. Yvonne, Dionne and Diane Lask maintain temporary files for their own correspondence and anyone else they have prepared letters for. Every month these temporary files from all sources are placed in the appropriate bin in the Office Assistant's designated area. She will compile them chronologically by staff member and bind them. They are kept in the file room for **three** years. Anyone may access these files as need arises.

The procedure is:

- Make certain each individual's letters are in chronological order.
- Three-hole punch all sheets.
- Using a blue report cover, bind the letters.
- Make certain that the most recent letters are on top.
- Make a label for the binder:
  NAME OF INDIVIDUAL
  CHRON FILE
  [month/year of oldest letter - month/year of most recent letter]
- Place the bound volume (chronologically by staff name) in the sliding-door cabinet in the file room. Note: Some of the older chron files are kept on the bottom shelves of the gray shelving units in the second floor storage closet.

COMPLIANCE ITEMS TO PREPARE
PRIOR TO BOARD MEETING
September 9, 2011

Guidestar's Charity Check report and the Foundation's Yellow Checklist must be prepared and printed for each recommendation on the board agenda.

Preparing these two compliance items are included in the descriptions of how to use the Quarterly Spreadsheet in this Section.

A complete picture of using Charity Check and the Yellow Checklist is available in the Compliance section.

CONTACT RECORDS
November 8, 2011

1. Starting in the Contacts tab of Gifts, search for last name.

2. Review the list of same last names now on your screen and find the one you are looking for by identifying the first name.

3. Double click to open the record.

4. Here you can make any changes needed as relates to this person.

5. Basic information on Page 1 is self-explanatory:
   A. Last name:
   B. First name:
   C. Middle:
   D. Prefix:
   E. Suffix:
   F. Email:
   G. Title:
   H. Primary organization:
      a. If a primary organization address has not already defaulted, or you need to select a different organization because perhaps the contact moved to another organization, click on the binoculars in the contact's "Primary Organization Affiliation" field to search for the organization's name. From the list that appears, select the name of the organization this person is affiliated with or hit the "escape" key to create a new organization. [See Organization Records]

6. Proceed to the contact's address tab.
   A. You may want to simply change a phone number – go ahead, but know that when you close, the system will ask you if you want to also change the phone number of the organization; answer accordingly.

   B. Occasionally, a contact is affiliated with more than one organization or prefers to be contacted at home. When you click on the "address" tab at the top of the contact record, you will see the organization's address has defaulted as the office address (middle tab on the left). If "use organization's address" is checked that address will stay; if deselected, the current address is gone and you may enter an address specific for this person, and by selecting "omit organization name" from bottom right of the screen, the person's address will not automatically include the organization's name. This is particularly good in the case of large universities, where a variety of addresses may be used for the same organization. If you re-select the "use organization's address" box, the organization's primary address will again appear in that field.

   C. Notice the additional tabs of "home" and "alternate" on the left. Enter the home information if available.

D. Another field available is the alternate tab used in the event of a secondary organization or alternate, perhaps temporary, address. The alternate address might be used in case the contact prefers to be reached at a business address or a temporary "in care of" address is preferred. Here you would enter the address, but start with the company name (if there is one), followed by the address etc.

E. Be sure to select which tab is the preferred address for this person by selecting the "use as primary mailing address" found at the bottom of all three address screens. The primary address will now have a blue dot on its tab.

F. In addition to the "use as primary mailing address," the office address tab also allows you to select "use organization's address" and/or "omit organization's name from label" select any or all according to your needs.

G. Any of these three addresses may be selected to use with a request when you edit the request's affiliations tab and choose which to use address to use with the request. (More on that with "Affiliations.")

7. On Page 2 of the Contact record:
   A. The left side of the screen is seldom used, but if this information is available it can be recorded here.

   B. The right side contains the mail list; click on "assign" and check all of the boxes required for this person, then "okay" the screen.

   C. Also on the right side of the screen are three varieties of salutation that the system created for you; editing is seldom necessary but the option is there if you need it.

8. On the Education tab, only the "discipline" field on the right side of the screen is used, mostly for Bradley Fellowship Professors.
   A. Click on "assign" to select a discipline and choose boxes by clicking on them to select and deselect; okay the screen

   B. To delete a discipline, highlight the item on the list and select "remove"

9. On the Code tab, nothing to do at this point. The only field used (rarely) is the Ethnicity field, which refers to the various stages of Bradley Prize nominees and would be used during the Bradley Prizes process only.

10. Nothing needs to be recorded on the Affiliations tab.

WHEN A CONTACT NEEDS TO BE REPLACED
(Has Retired, Died, or Changed Organizations)

When a contact of a grantee organization is replaced by a new person, the new person's name and contact information is entered into Gifts as affiliated with the grantee organization. If he becomes the primary contact of the organization, that won't change the prior person's affiliation with any grant requests. Here's where the procedure needs to be changed.

The prior contact is most likely affiliated with one or more requests of the organization. We need to look at all of the organization's requests that have any payment outstanding, which of course would mean we will have future correspondence relating to the grant. Each of those grants will need two changes made: the affiliation of the prior contact should be changed to "original requestor" in the affiliations tab, and the new contact needs to be entered as the primary contact (on page 1) so any correspondence will go to the new employee of the grantee organization.

We need to be aware, even when a new proposal is sent in and the contact name is different from the previous grant's contact person, the new person's name must replace the previous person in each of those unpaid records. Grants completely paid would not need the update because any report that would need to be acknowledged would be addressed to the person sending in the report.

SEARCH TIPS FOR FINDING CONTACTS

1. Search name: Weinstein (3 addresses)-(when affiliation added to a request, designate which of the three addresses should be used for this particular request)
2. Search mailing list
3. Get searches…. Prize winners; BP professors

CONTACT SCREENS
November 18, 2011

1. Starting in the Contacts tab of Gifts, search for last name.

2. Review the list of same last names now on your screen and find the one you are looking for by identifying the first name.

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   C. Notice the additional tabs of "home" and "alternate" on the left. Enter the home information if available.

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We need to be aware, even when a new proposal is sent in and the contact name is different from the previous grant's contact person, the new person's name must replace the previous person in each of those unpaid records. Grants completely paid would not need the update because any report that would need to be acknowledged would be addressed to the person sending in the report.

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2. Search mailing list
3. Get searches…. Prize winners; BP professors

UNDERSTANDING THE CODING SYSTEM
November 17, 2011

CURRENT (ACTIVE) CODES

TYPE	STATUS	APPLIES TO DISPOSITION
Bradley Grant	Active Grant	Approved
Bradley Grant	BP Selector Grant	Approved
Bradley Grant	Cancelled	Approved
Bradley Grant	Closed Grant	Approved
Bradley Grant	Combined	Declined
Bradley Grant	Deferred	Pending
Bradley Grant	Discussion Item	Pending
Bradley Grant	Gen. Cont. Cmte.	Pending
Bradley Grant	Grant Commitment	Approved
Bradley Grant	Hold	Pending
Bradley Grant	No Book Projects	Declined
Bradley Grant	O.M.	Declined
Bradley Grant	Other	All
Bradley Grant	Pending staff review	Pending
Bradley Grant	Preliminary	Pending
Bradley Grant	PRI	Approved
Bradley Grant	Request Withdrawn	Declined
Bradley Grant	Sent to Sand County	Declined
Bradley Grant	Special Dec	Pending
Bradley Grant	Staff-Dec	Pending
Bradley Grant	Staff-Recommend	Pending
Bradley Grant	Turned Down	Declined
Bradley Grant	Withdrawn	Declined
Bradley Prize	Prize 2012	All
Bradley Prize	Prize 2011	All
Bradley Prize	Prize 2010	All
Bradley Prize	Prize 2009	All
Bradley Prize	Prize 2003	All
Bradley Prize	Prize 2005	All
Bradley Prize	Prize 2006	All
Bradley Prize	Prize 2007	All
Bradley Prize	Prize 2008	All
Donor Intent Program	Keiser	All
Program Related Investment	Active	All
	Closed	All
	Due	All
	Loan Guarantee	All

REQUIRED CODES FOR ALL GRANTS

PROGRAM AREA tells you which sector and sub-sector of the budget the grant is from. (Organization & Request Records **– one code required** in request record for each grant awarded)

- Ideas & Institutions
  - Basic and Applied Research
  - Bradley Prizes
  - Higher Education
  - Public Discourse
  - Signature Grant
- Implementation & Impact
  - Education
  - Energy and Environment
  - Equal Opportunity & Individual Liberty
  - Family & Society
  - Growth & Prosperity
  - Law & Legal Reform
  - Signature Grant
- IRA (Ideas to Results)
  - Defend and Advance Freedom
  - Education
  - Employee Rights
  - Human Dignity, Ordered Liberty, Civic Identity
  - Philanthropy
  - Signature Grant
- Legacy
  - Capital
  - Civic Growth & Prosperity
  - Civic Identity
  - Education
  - Family & Society
  - Signature Grant

FUND CODE refers to the type of grant or reason it was made. (Organization & Request Records **–** one code **required** in request record for each grant awarded)

- ’11-’12 Bradley Fellows
- BF Unassigned
- BP Selector Designated
- Bradley Prize
- Donor Intent Program
- General Contributions Cmte.
- Grant Commitment
- Other
- Program Related Investment
- Regular

POPULATION SERVED indicates if the grant should be included in the annual reports. (Organization & Request Records – **one code required** in request record for each grant awarded)

- AR – include in Annual Report only
- NO – do not include in either report
- WI – include in Report to Wisconsin and Annual Report

REQUIRED CODES FOR ALL DECLINATIONS

Used for Request Status and Declination Reason fields, these classifications indicate the reason for declination. (Request Records – one code each for status and reason required.)

- Combined (place ID# in reference field of the request combined with)
- No Book Projects
- Sent to Sand County
- Other
- Out-of-Mandate (negative response to an inquiry)
- Turned Down (at Directors Meeting)
- Program Completed (refers to Bradley Prizes)
- Withdrawn

CONFLICT CODES represent directors affiliated with the organization. Select from list of director last names. Codes in the Organization Record are default codes when a new Request is created for the organization, but if the request was created before the affiliation was noted in the organization record, it is necessary to open the request record and add the code. (Organization & Request records – used only if needed) [See Director Affiliations Process in the Compliance section for further information.]

ETHNICITY CODES refer to Bradley Prizes. (Contact & Request Records – as needed)

- BP Winner
- Sent to Selection Committee
- Top 10

GEOGRAPHICAL AREA SERVED is self-explanatory. (Request Records)

- Africa
- Asia and Pacific
- Canada
- Russia & Central Europe
- Central/Latin America
- Middle East
- Not Applicable
- Other
- Unassigned
- United States (not WI)-reminder WI grants are separated out
- Western Europe
- Wisconsin
    - Milwaukee

INTERNAL PROGRAM refers to tax situations and differing grant requirements. (Organization & Request Records – select as needed; most will be Regular Grant)

- 509(a)(3)-Type 3
- Bradley Prize
- Challenge
- Exp Resp – Foreign
- Exp Resp – New Org Applied to IRS
- Exp Resp – Possible Tipping
- Exp Resp – PRI's
- Exp Resp – Private Foundation
- Exp Resp – Private Operating Foundation
- Foundation Initiative
- General Contributions Cmte.
- Matching
- Program Related Investment
- Regular Grant

TYPE OF SUPPORT states the general type of support the grant is for. (Request Records)

- Applied Research
- Archival Research
- Basic Research
- Book Project
- Bradley Prize
- Capital Construction
- Commissions
- Conferences/Lectures/Seminars/Workshops
- Curriculum Development
- Emergency
- Endowment
- Equipment
- General Operations/Program Activities
- Gifted Education
- Other
- Planning Study
- Public Education
- Publications
- Renovation/Preservation
- **Research/Teaching Fellowships –** used for Bradley Fellowships
- Student Exchanges
- Student Scholarships
- Visiting Scholars

ORGANIZATION TYPE defines the type of organization. (Organization & Request Records)

- Association/Professional Society
- Broadcast Media (TV/Rad/E)
- Church/Synagogue
- Community Service Agency
- Foundation
- Government
- Hospital/Medical Care Facility
- Library
- Miscellaneous
- Museum/Historical Society
- Performing Arts Group
- Policy Research Institute
- Print Media (Mag/Jrnl)
- Private University/College
- Public Affairs Organization
- Public University/College
- School (Other than University/College)
- Social Service Agency
- Think Tank

When coding, only codes currently in use are displayed. When running reports, all codes are displayed.

BOOK PROJECT DECLINATION
October 31, 2011

If an inquiry letter seeks funds for a book project, they would receive the “Dec of Book Project” letter in the same manner as a regular out-of-mandate inquiry.

1. Enter the proposal in the database in the usual manner for out-of-mandate requests.
2. Decline the request by selecting the red “X” icon at the top set of icons in Gifts.
3. As you move through the declination screen, choose OM for declination reason and “No Book Projects” for the status; okay the screen.
4. To merge the response letter, select “No Book Projects” from the pull-down menu of the correspondence icon. The letter will merge and open in Word.
5. Review the merged letter, edit if necessary, print on letterhead.
6. Create and print envelope by selecting Word’s envelope icon at top of screen.
7. Make two copies of the signed letter.
8. Place the request in the file folder, along with a copy of the declination letter, and place it to be filed in the closed agency files by the Office Assistant.
9. The other copy of the letter should go in the signatory’s chron file, also to be filed by the Office Assistant.

HOW TO PREPARE DECLINATION LETTERS
FOR REQUESTS DECLINED AT BOARD MEETINGS
November 17, 2011

1. After declining the pending request in the database (see "After Board Meeting"), the Program Assistant runs a search from the requests tab of Gifts using the following criteria:
   A. Staff = name of program officer who will sign the letter
   B. Declination Date = date declined on (always the board meeting date)
   C. Declination Reason = Turned Down

2. When the list appears, go to View, Apply/Edit Views; select Alpha Grants, apply view.

3. Select all items on the screen.
   A. Choose the correspondence icon at top of screen
   B. Choose the appropriate declination letter according to who will be signing it
   C. As you move through the merge screen, be sure to select "record activity" and "save file to disk"
   D. Be sure to complete all fields as you move through the correspondence wizard.
   E. Name the file with a naming scheme that includes the date of declination and initials of the signer

4. When the letters have merged, edit as necessary. You may occasionally need to add project descriptions to the text of the letter for clarification. In the case of multiple letters to the same organization, only one letter is sent; be sure the project descriptions and all ID numbers are reflected in the letter. (For filing purposes, make additional copies of the letter so each file folder is complete.) Change date of the letters to the Friday after the board meeting.

5. Changes to these letters are seldom requested, which is why we skip the draft letter printed on white paper, and print directly on letterhead in final form. Give letters to appropriate program officer for review and signature.

6. When changes are requested, reopen the document, make the changes and select print current page in order to re-print only the changed letter. Return to staff for signature.

7. Create envelopes while the declinations are in the same order (alpha) as on your screen.

8. When signed, make two copies – one for chron, one for agency file.

9. When filing the agency file copy (7-10 days after meeting so file is handy if staff need it in the event the grantee phones), remove the file folder from the open agency files as you place the letter in the file. Write the declination date in red on each label, and place the folder in the closed agency file area to be filed by the Office Assistant. If a hanging file is needed (generally indicated by an X on the bottom right corner of the file label), give the folder to the Receptionist to make the hanging label; she will take the completed file to the closed agency file area.

HOW TO PREPARE DEC LISTS FOR BOARD BOOKS
October 26, 2011

1. From requests tab of Gifts, choose VIEW, apply/edit view, select "Staff Decs for Board Book," apply view.

2. Then search for:
    a. Program Area = Sector (one at a time)
    b. Request/Status = Staff Dec
    c. Request/Meeting Date = (mo/dt/year)

3. Right mouse click, select all, click the print icon.

4. To style the report:
    a. Change the title to:
        i. Requests Recommended for Declination
        ii. Meeting of the Directors (insert date spelled out here)
        iii. Sector Name as used on agenda

    b. Under Page Set Up tab:
        i. Select repeat title and subtitle one and two

    c. In Design tab:
        i. Choose Text Element and select Report Data
        ii. Select the Times New Roman listing, and 10 point

    d. Print: portrait list

5. The items that appear as individual decs need to be looked up in the database so you can type the name, last name first, next to the entry before any copying that might be required.

This process has been replaced by a new format prepared by the Director of Research and Evaluation.   Samples of both styles are attached.

REMAINING ITEMS:

1. Run a report of items remaining on the pending staff review list for each sector so the appropriate program person can review whether or not any requests should be moved to the dec list.

2. Move to the Reports area of Gifts.

3. Choose "Log Using New Program Areas."

4. New criteria:
    a. Program Area = (1 sector at a time)
    b. Request Status = Pending staff review

5. Title:
    a. Pending Staff Review
    b. Sector Name on second line

6. Run report; print.

THE ABOVE TWO REPORTS GO TO:

Give each member of the Program Staff their sector's pending and staff dec lists together for their review. Be sure to get either an "okay as is" or "changes to be made" from each Program Staff person before sending down for copying.

FINAL LIST FOR AGENDA BOOK:

When all changes have been made, re-run the Staff Dec list as explained on previous page; give to Office Assistant to copy for the agenda book.

PREPARING DIRECTOR AFFILIATIONS
PAGE FOR BOARD AGENDA BOOK
October 26, 2011

1. To retrieve information to prepare the Director Affiliations page for the agenda book:

   A. Start in the Requests tab of Gifts.

   B. Search criteria: Request Type and Status = Staff-Recommend; Meeting Date On = board date of the upcoming meeting.

   C. From the View menu, choose Apply/Edit Views, select "Director Affiliations" then Apply View. Select all; print the report (portrait) using an appropriate title. *[See Exhibit A]*

   D. The conflict column contains names that need to be on the Director Affiliations page. The information on your screen also provides the grantee name, project description and amount recommended, all of which are included on the Affiliations listing.

2. Open the previous meeting's Affiliations page located in the current year directory in H:\WPDATA and "save as" the current meeting Affiliation's page (change date). Delete entries and replace with current meeting information from report of recommendations just printed (above). *[See Exhibit B]*

3. Now, run a report of all director affiliations for the year. To do this:

   A. In Organization tab, select View, Apply/Edit, Director Affiliations, Apply View. This view automatically runs the search for all Director Affiliations. Print this report (portrait). *[See Exhibit C]*

   B. Return to the Requests tab. Compare the report of all affiliations that you just printed to the recommended items still on your screen to verify the information on the Affiliations page you have just prepared.

4. Give the Affiliations page prepared for the agenda book *[Exhibit B]*, the list of recommendations on the agenda *[Exhibit A]*, and the current list of all director affiliations *[Exhibit C]* to the VP-Finance for review.

5. When approved by VP-Finance, give only the Director Affiliations page being included in the agenda book to the President for approval.

6. After approval by the President, give to the Office Assistant to copy and insert as a tab in Section 5 (Informational Material) for the agenda book.

DIRECTORS AFFILIATED WITH GRANTEES PROCESS
July 25, 2011

At the beginning of the year the directors advise the Foundation of any affiliations they have with other organizations by completing and returning forms sent by the VP-Admin.

1. To update Gifts with information from the form:

    A. Start in the organization tab of Gifts.

    B. Select from the view menu at top of screen: Apply/Edit, Director Affiliations, Apply View, save and close.

    C. From the search menu, choose coding sheet, click on conflict, click on "add," insert Director's name from pull-down menu, choose "find now."

    D. Compare what is on the screen with what is on the form received from the Director.

    E. If Director is no longer affiliated with one of the organizations on the screen, you will need to remove his name from the conflict code.

        i. Double click to open the organization record.

        ii. Click on the coding tab.

        iii. In the Conflict field, click the Director's name.

        iv. Click "remove," and then save and close.

        v. Indicate on the Director's form any organizations removed.

    F. If the organization listed on a completed form is in the Gifts database, but the director name is not listed in the conflict field:

        i. Double click to open the organization record; go to the coding tab.

        ii. Click on field Conflict, select add.

        iii. Select name from pull down menu; click insert; close (x) menu.

        iv. Save and close the organization record.

    G. If the Director's list contains a non-profit organization not revealed during the search for affiliations, search for the organization to see if it is in the system. If not, note on his form "not a grantee at this time."

2. If a director's affiliation affects only part of the year, make a note in the Organization's record, Recipient Bank Contact Name field, regarding partial year affiliation (i.e.: Uihlein resigned affiliation June 2010). This will only show up when you run the entire list of all director affiliations from the organizations screen.

3. If changes were made to the Conflict code for any Director:

    A. Focus on the changed organization; move to the requests tab.

    B. Select view "Director Affiliations" to see if the organization has any requests recommended on the upcoming agenda.

    C. If there is a "staff recommendation" listed, check the conflict column on the screen to be sure the Director's name is listed.

    D. If not listed, open the request record and insert the Director's name in the Conflict field, the same way is was done in the organization record.

    E. Notify the Program Officer for that request so they can change the GPR form.

4. When all of the affiliations have been entered for the year:

    A. Create and print a report that includes all of the Director affiliations.

    B. Date stamp the report.

    C. Provide a copy of the date-stamped report for the VP-Finance to compare with the Directors' forms (give her the original forms).

    D. Keep a copy of this date-stamped report in the file folder with the directors' original forms.

5. Continue to update this report as changes occur, and provide a copy to the VP-Finance.

6. To retrieve information needed to prepare the Director Affiliations page for the agenda book, with grant amount, project description, name of Director for each conflict noted:

    A. Start in the requests tab of Gifts.

    B. Search for all staff recommend items on the agenda for the upcoming meeting.

    C. From the view menu, choose apply/edit views, "Director Affiliations" and select apply view.

    D. Open the previous meeting's Affiliations page located in the current year directory in H:\WPDATA and "save as" the current meeting Affiliation's page (change date). Delete entries and replace with current meeting information now listed on the screen: grantee name, project description, amount recommended, and director name(s).

7. Give the Director Affiliations page prepared for inclusion in the agenda book to the VP-Finance for review, along with the current list of all Director Affiliations report run from Gifts:

    A. In organization tab, select View, Apply/Edit, Director Affiliations. This view automatically runs the search for all Director Affiliations.

    B. Print the report and give to the VP-Finance to compare with original disclosure forms. You will need to provide the database report again to verify abstentions noted in the minutes.

8. When approved by VP-Finance, give the agenda page to the President for approval before sending it on to the Office Assistant to be copied and inserted as a tab in Section 5 (Informational Material) for the agenda book.

9. When preparing board meeting minutes, refer to this page to note voting abstentions with the grants awarded.

10. To prepare a list of directors affiliated with grants awarded during the entire year:

    A. Start in the requests tab of Gifts.

    B. Select the Year End Director Affiliations view from the View options.

    C. Search criteria is:

        i. Approval Date is in this year.

        ii. Second criteria will include all current directors listed in the Conflict field of the coding screen. To do this, while still in the search screen, click on "coding sheet" then "conflict" then "add" then click on a Director name and click "insert" and click the next name and insert, continuing with each Director name until all are included. Close-out the drop-down menu (x) and choose "find now." (There is no select all choice.)

DISCARDING DECLINED CLOSED AGENCY FILES

November 17, 2011

1. On the first or second business day of each month, the Grants Administrator prepares a Gifts report listing all files currently in need of being discarded.

    - To run the report, open the Reports section of Gifts. In the Requests (or Favorites) section, select the report named "Decs to remove from dead files."

    - Choose "Select Search" and edit the selection criteria by one month for each of the searches: O.M./Other Decs (kept one year) and Turned Down Decs (kept two years).

    - After making the changes to the criteria, select and run each report, editing the title according to dates.

    - Give the report to the Office Assistant in order for her to remove these declined files from the closed agency cabinets.

2. The Office Assistant will discard the paper contents of each folder into the shredding bin, and place reusable folders, clips etc. accordingly in the copy room.

3. The report of declination files to discard include:

- A declination file turned down at a board meeting is discarded after two years from the date of decision. They will have the dec date hand written in red ink.

- Requests that have been declined because they were withdrawn have been filed in their organization's hanging file folder in the closed agency area. They are kept for one year from date of decision.

- An Out-of-Mandate declination file is discarded after one year from the date of decision. They will have "O.M. declined" and date highlighted with blue marker.

DISCARDING PRELIMINARY REQUESTS

August 23, 2011

Preliminary inquiries are kept at least two years.

Each February, the Grants Administrator runs and prints a report from the Request tab of Gifts.
Select the "Prelims to Discard" view
Search for "Status = Preliminary" and "Request date is before 1/1/*Year*"
(*Year* is two years prior, i.e. February of 2006, date is before 1/1/2004)

Remove each file folder on the list from the open agency files.

Discard contents into the shredding box, saving clips and folders to reuse.

Return to the report on the Gifts screen.

Delete each item on the list to remove the record from Gifts.
To delete each request, double click to open.
At the top left of the request screen, choose file, delete.
(Permissions to delete a request are needed for this task.)

DOCUMENTS TAB
July 26, 2012

As with everything in Gifts, what you see on-screen is the result of the most recent search or item focused on. Therefore, you can find documents related to a specific request, an organization, a payment, or a contact. When clicking on the documents tab, a list of the correspondence pertaining to the last item focused on is produced.

Two types of documents are stored in this tab. The first is labeled Mail and shows up in blue. The other is called External Document and is listed in green.

Mail items are system generated. If there is a file name associated with a Mail item listed, you may double-click to open it, at which time you can edit, save or print. If the letter was not saved, there is no file to open. The only information available is the name of the document and the date it was prepared. Form letters are generally not saved unless specific elements have been added to the letter, i.e. positive and negative reply letters and acknowledgement letters.

An External Document is one that was scanned and saved as a PDF file, and then attached to the specific record using the "Attach External Document" process. [See next page.] These items can be opened, edited and printed.

OVERVIEW OF DONOR INTENT PROGRAM

June 14, 2011

1. The Donor provides a list of recommended grantees and amounts to the President.

2. The President reviews the list for agreeableness with the Bradley mission.

3. Grants recommended by the donor are entered into the database by the Grants Administrator.

4. The Grants Administrator verifies tax exempt status by searching Charity Check; this information is then noted in the database and filed in the grant file folder she has prepared.

5. Any non-compliance situations discovered during this process are directed to the Vice President for Finance and President.

6. A list is run from the database in order for the donor to review and confirm grantees and amounts.

7. When the list is confirmed by the Donor and approved by the President, the grants are awarded.

8. The donor sends the check to the Foundation's President, who gives it to the Finance Department for deposit.

9. When the Controller confirms to the Grants Administrator that the Donor's check has cleared the bank, a special check-run is scheduled and the checks are prepared by the Accountant according to the standard check process.

10. The checks are signed electronically by the Grants Administrator. She prepares the transmittal letter under signature of the President, and mails the checks, placing a copy of the letter in the grant file.

11. A thank you letter is sent from the President to the Donor enclosing a receipt from the VP-Finance. The thank you letter also qualifies as the IRS required acknowledgement letter.

12. A letter regarding the donor's tax limitation percentage is sent to the Donor by the VP-Finance before March 15th of the next year.

DONOR INTENT PROGRAM
May 26, 2011

In 2002 the Foundation established a Donor Intent Program whereby unrestricted contributions are received from independent donors. Donors are permitted to recommend that grants be made to organizations that are tax exempt under Section 501(c)(3) of the Internal Revenue Code in an amount up to the donor's contribution. Contributions to the Donor Intent Program are irrevocable and all donor recommended grants must be reviewed and approved by the Board of Directors of the Bradley Foundation.

<u>Process</u>

1. Grants recommended by the Donor are entered as pending requests in the Gifts database.

   Prepare as usual, but use the following codes:

   A. Page One Tab
      a. Type = Donor intent
      b. Status = (name of donor). *A Status code will need to be entered in the administrator module using the Donor's last name*
      c. Project title usually = general operations (unless otherwise noted).
      d. Request date is current date.
      e. Recommended amount is the amount requested by the Donor.

   B. Coding Tab
      a. Program Area = None
      b. Fund = Donor Intent Program
      c. Population Served = No
      d. Type = general operations
      e. Geographical Area = United States
      f. Internal = Regular

   C. Payment Tab
      a. Schedule full payment for a non-regular check or wire processing date, as determined, using Status = Scheduled instead of Hold because there are no requirements to wait for.

2. When the proposal entries are complete, run a search for them in Gifts, select all and move to the Organizations tab in order to proceed with verification of exempt status. (See Charity Check Process).

   A. Open each organization's record and proceed to verify the tax exempt status using Charity Check.

   B. Print each Charity Check report for the grant file.

   C. Update Gifts database as usual.

   D. If an IRS determination letter is not on file, make note in the Notes field of the Payment record as a reminder to request it.

3. Run a report of the grants recommended by the donor; the President (or his appointee) will review the list for agreeableness with Bradley purposes.

4. The President will send this list to the Donor requesting confirmation of the grants and amounts to be awarded.

5. When all is verified, the grants are awarded in Gifts.
   A. Use the current date as grant date.
   B. Place the Donor's name in the Meeting Minutes field on the approval screen.

6. The Finance staff will deposit the Donor's check and notify you when it has cleared the bank so payment can be released.

7. When checks have been cut and signed, prepare the check transmittal letters, specific to the Donor Intent Program, to be signed by the President.

8. A contract is not used, so this requirement can be removed. The only item left in the requirements tab is Final Report, which is not required, but frequently submitted.

9. Prepare the official receipt for signature by the VP-Finance. The receipt will be enclosed with the President's thank you letter, which you will also draft. Then, draft the Qualifying Distributions letter for signature of the VP-Finance, and prepare the Excel list of grants in specific format, which will be included with the Qualifying Distributions letter. (These items can be prepared from letters of the previous year and should be saved in the appropriate directory.)

EXPENDITURE ACCOUNTING LOG AND LETTERS
July 25, 2011

The expenditure accounting log tracks the progress of reports for organizations that require expenditure accounting. All foreign grantees, grantees that are private foundations or private operating foundations must report on how the grant funds were expended. This is a requirement of the IRS. This log will become part of the Foundation's tax return as well.

Using the report titled "Payments Made, by Grantee Organization" (found in the Financial Reports section of the Gifts reporting feature), the criteria is: Grant Date = Last Year and Internal Code = (one at a time, using all expenditure accounting codes).

Open and print the previous year's EAR log. Review and mark the grants that have not completed their reporting; they are the ones without a "yes" in the far right column. A follow-up letter will be sent to these grantees as the new requests are being prepared.

Now, use the "save as" feature to change the file name to the current year, and change the year-end date at the top of the new file page to the current year report date. Using information from the reports just run, enter the grantee information for those grants requiring expenditure accounting responsibility.

The various EAR letters request the grantee complete the form and provide documentation of the expenses related to the grant for the specific time period relative to the tax return reporting timeframe. From the correspondence section of Gifts Administrator Module, change any dates referred to in the text of the letters and form, and type in the date the letters will be mailed instead of using the auto-insert date. Date the letters about a week out.

Now you are set to merge the letters and forms using the database. Working from the newly prepared log, call up each grant in Gifts by ID number. If a grantee has more than one grant listed, include all grants with one letter, though each grant will have its own form. These letters need a lot of editing. Please note there are different letters available in the database for different tax situations; be sure to select the EAR letter according to the organization's EAR type. The letters, sent under signature of the VP-Finance, request the enclosed form be completed and returned to the Foundation. Do this for each grant on the log. Use the correspondence icon to merge the letter and form, being sure to choose "keep document permanently on disk" and "record activity" as you move through the merge screen.

On the form and letters for foreign grantees, you will need to request that the grantee report in U.S. dollars, but be sure to remove that language when preparing and sending the EAR request to non-foreign grantees.

When signed, make a copy for the VP-Finance (in the event a grantee call with questions), a copy for the VP-Finance chron file, and a copy for the Grant Administrator's compliance file.

Prepare envelopes from Gifts; mail on the designated date. Send all foreign mail via Federal Express.

EXPENDITURE ACCOUNTING RESPONSIBILITY

June 14, 2011

1. Certain grants require Expenditure Accounting Responsibility (EAR) to be in compliance with IRS regulations.

2. The process to identify these grants begins when the Grants Administrator prints the Charity Check report and discovers the tax status of the organization is that of a private foundation, private operating foundation, or foreign organization.

3. Those identified as requiring Expenditure Accounting are coded accordingly in the organization and request record of the database, and noted on the yellow checklist.

4. At the end of each year an Expenditure Accounting log is prepared by the Grants Administrator using data gathered from the grants database.

5. The Grants Administrator prepares a letter, signed by the VP-Finance, requesting the Expenditure Accounting form be completed and returned. There is more than one standard letter. If the grantee has not responded to previous requests, a more strongly worded letter is sent.

6. The requests are sent semi-annually until the grantee returns all requested information.

7. When the completed form is returned by the grantee to the Foundation, the VP-Finance reviews the form and gives it to the Grants Administrator to note the information in the database and on the Expenditure Accounting Log, which is used in preparation of the Foundation's tax return. The completed form is stamped in blue ink "Exp Acctg Report Do Not Remove From File," top-hole punched, and given to the Office Assistant to attach to the corresponding grant file folder in the closed agency files.

EXPENDITURE ACCOUNTING RESPONSIBILITY (EAR) PROCEDURES
January 11, 2012

At the close of each year, the list of paid grants is examined for the purpose of the Foundation's compliance with IRS expenditure accounting responsibility (EAR) rules. The objective of the examination of the grantees' non-profit status with the IRS is two-fold:

a) Verification of those grants which were identified throughout the year as requiring EAR and updating the log with payment dates;

b) Identification of those grants which cannot be counted toward minimum distribution payout.

Expenditure Accounting is required if the grantee is a Private Foundation, a Private Operating Foundation, a sponsored project, or a foreign entity. Grants requiring expenditure accounting are identified as early as possible during the proposal process. Often, EAR is discovered during the process of tax verification and completion of the Yellow Checklist because the organization's tax documentation, if any, is usually available at that point.

If a grant is identified as requiring EAR, the first item is to update the grant’s Internal Code in the Request record of Gifts, and then in the Organization record coding section. It should be changed to reflect the appropriate code EAR code, such as EX-F, which means expenditure accounting responsibility is required because the grantee is a foreign entity.

An Expenditure Accounting Responsibility Control Log is maintained (using an Excel file located at H:\Records\Grants\Compliance\ExpActg\EAR-yr.xls) listing the grantee name, date of award, grant amount, paid amount and date paid. Filled in later will be the date on the status report received, amount expended according to the report, comments, and if all funds have been expended, completion of the requirement is also noted.

Information for the EAR control log is generated via the Gifts database. Using the report titled “Payments Made, by Grantee Organization” (found in the Financial Reports section of the Gifts reporting feature), the criteria will be: Grant Date = Last Year and Internal Code = (one at a time, using all expenditure accounting codes).

Enter the information from these reports into the EAR Control Log. Start with opening the previous year’s log and saving it as the current year. Then go in and change the information to the current year information.

With this log as a tool, prepare a cover letter under signature of VP-Finance requesting the enclosed EAR form be completed. Do this for each grant on the list. Use the standard correspondence icon to find the letter and form; choose keep document permanently on disk. From the correspondence section of Gifts Administrator Module, change the dates on the merge letters and form. Now you are set to merge the letter and form using the database. Caution needs to be taken with the address the letter is sent to. Foreign forwarding is often delinquent. Send all foreign mail via Federal Express. (Sometimes an organization is contacted through another organization, or the contact person spends limited time at the organization and the mail is not forwarded.) The letter requests the grantee to complete the form and provide documentation of the expenses related to the grant for the specific time period relative to the tax return reporting timeframe. The time period covered should include all payments relative to the start date of the grant to 12/31/__ (tax year end).

The cover letter is sent under signature of the VP-Finance to the primary contact for the grant and is generated within the grant record in the database, selecting “record activity” and “keep file on disk” as you are move through the merge screen. Please note there are different letters available in the database for different tax situations; choose accordingly.

The fact that the report has been received is noted on the log, and the date of report and amount of grant spent in the appropriate columns. This information is also noted in the Requirements tab of the Gifts grant record. Follow up is continued until all grant monies are expended. The requirement is not marked complete until all of the funds have been spent.

The letter requesting the form be completed is kept until the completed form has been received. Occasionally proof is required that we have done our due diligence by requesting the information.

Follow-up letter templates are also in Gifts, and the dates need to be updated using the Administrator’s modgual before being merged in July, which is follow-up time.

The Grant Expenditure Accounting Report (EAR) form is completed as follows:

> Find the grant in the database and merge an EAR report from the record. See internal letters: Form: Grant Expenditure Report - (type). Fields merged include name of grantee, period of time covered by report (standardized to be "from receipt of grant to 12/31/xx)", date grant approved, total amount of grant, grant payments. Use of grant, books and records, and certification paragraphs are all standard on form with no individualization needed.
>
> Grantee enters: amount of grant spent during reporting period, purpose of grant, progress made toward goals of the grant. Also, "use of grant" paragraph requests the grantee attach an expenditure statement including all expenditures made from grant funds.

In the database, "save" all correspondence generated regarding the EAR task. In the Requirements tab, enter the EAR requirement, and update the notes field with information from the grantee’s report as it becomes available until it is complete, at which time you will choose Mark as Done, save and close.

A copy of the letter and form are retained (filed at desk of Grants Administrator), until a response is received from the grantee.

After response is received, update the requirements tab of the request in the database, indicating date of receipt. Update the Control Log with the amount spent, date of report, comments, and whether or not completion of EAR has been realized (full amount spent). Unusual items can be discussed with VP-Finance for clarification.

When the EAR report is received, two-hole punch the original at top, stamp it "Do Not Remove from File," and place it to be filed in the closed agency files along with any letters of attachments provided.

On the form and in the letters for foreign grantees, you will need to request the grantee report in U.S. dollars, but be sure to remove that language when preparing and sending the EAR request to non-foreign grantees.

Grants which were not completely ("substantially") spent by the end of the reporting period are followed up the next year. Only grants which actually have a payment in the following year are added to the next year's log. If follow-up on an older grant is required, maintain the older log until all EAR is complete for that payment.

NO RESPONSE FROM GRANTEE

Sometimes a grantee does not respond to our first or follow-up inquiries due to lost mail between countries in either direction, or the grantee assumes that its prior submission of a programmatic report was sufficient. The grant files are checked to see if the response was filed prior to updating the log, or if a programmatic report exists and may actually suffice if they would sign and return the form. If not, payment of any future grants is to be withheld until the older grant's expenditure accounting documentation is received.

A list of these items is maintained and shared with VP-Finance and VP-Program. Place a note in the notes area of the Organization's tax screen, that "payments are to be withheld until EAR has been completed for ID #xxxxxx." Also, this information should be placed in the Alert box of the grantee organization and that particular grant. With these notes available, when a new proposal is received or has become part of the review process for a board meeting, a note should be placed in the database organization and request records that payment is to be withheld until EAR is complete. Keep the VP-Finance informed on this status. It may be necessary for her to ask the program officer to inform the grantee that the Foundation must withhold new grants to their organization until the completed form is received.

Follow up letters (under signature of VP-Finance) should be sent to the grantee at the time a grant payment is scheduled, indicating the payment will not be made until all EAR documentation is complete for the prior grant.

Each year's log corresponds to payments for a fiscal (calendar) year that have been reported as GEAR on our tax return.

The logs of each year are kept in the vertical file drawer "compliance" in the Grants Administrator's office. Occasional updates are provided to financial staff and the most recent copy for the tax return, when requested

Grants not substantially spent by the end of the reporting period need to be followed up on next year. If follow-up is required, maintain the older log until all EAR is complete for that payment(s). Only grants that have a payment in the following year are place on next year's log.

Expenditure Accounting Questions and Answers:

Is formal permission to extend a grant period required if the grantee does not expend all grant funds within the period as stated on the grant agreement?

-YES.

In case of large institutions, may the primary contact sign EAR form or should an official of institution?

-Primary contact may sign - anyone representing the institution and having information enough to complete the form.

How long to wait for response to our request?

-Four to six weeks within the U.S.

-Eight to ten weeks for foreign.

-Follow up for two additional years, then drop it.

-Record on permanent log for reference “no additional follow-up considered practicable; and/or “future grants will be restricted pending receipt of EAR.” Then drop from next year’s pending log.

How long to maintain these records (control log and responses)?

Permanently.

EXPENDITURE ACCOUNTING REPORTS
July 25, 2011

As expenditure accounting reports are received, they need to be recorded in the grant record of Gifts and on the EAR log in Excel.

Update the requirements tab of the request in the database, indicating date of receipt. Include report date and detailed information on amount spent and amount to follow up on, if any.

Update the Control Log with the amount spent, date of report, comments, and whether or not completion of EAR has been realized (full amount spent). If all funds have been expended, indicate YES in the far right column and state “all funds expended” in the comments column. Unusual items can be discussed with VP-Finance for clarification.

Stamp the original report received "Do Not Remove from File." Two-hole punch the report at top, place to file in closed agency files along with any letters or attachments provided.

Grants not substantially spent by the end of the reporting period need to be followed up on next year. If follow-up is required, maintain the older log until all EAR is complete for that payment(s). Only grants that have a payment in the following year are added to next year's log.

FILING PROCEDURES
January 26, 2012

OPEN AGENCY FILING

- All pending requests, preliminary requests, approved grants awaiting first payment, or declinations awaiting their official notification are located in the Open Agency cabinets in the File Room on the second floor of the Lion House, and maintained by the Program Assistant. They are filed alphabetically by organizational name.

- Occasionally, a file is labeled under the contact's last name or another organization name until final determination on what organization will receive and administer the funds is made, in which case a new label is made and the Gifts entry is changed to the new organization.

MOVING FILES FROM OPEN TO CLOSED AGENCY AREAS

DECLINATION FILES

- After the Board meeting, the Program Assistant files a copy of the letter of declination, placing it as the top item in the corresponding file, with the proposal beneath, removing these files from the open agency files.

- Using red pen, she will write "Dec" and the date of meeting on each request turned down.

- If the file label has an "X" on the bottom right corner (indicating no hanging file has been prepared for this organization) the folder is given to the Clerical Assistant to prepare a hanging file label for the folder.

- The folders without the "X" are given to the Office Assistant, who will file them in the closed agency files.

GRANT FILES

- When the first payment is made, the Grants Administrator places the check transmittal letter in the grant's file folder and removes the folder from the open agency files. She then purges it of extraneous material. The pertinent materials (see below) are clipped together in the file folder using fasteners that hold two-hole top punched paper. The folder is transferred to the Closed Agency files located in the Lion House File Room to be filed by the Office Assistant.

- Files for different types of grants require different documentation, but in each case, verify all papers in the folder relate to the same grant and use the same ID number. Before being sent to the closed agency files, each grant file should contain the following items, in this order -- top to bottom, attached to the folder with clips at the top:

REGULAR GRANTS

- "Enclosed is your check" letter
- Grant agreement signed by both parties (extra, unsigned copies may be discarded)
- "Thank you" or other correspondence enclosed with the signed agreement
- Award letter
- Yellow checklist with Charity Check report attached
- GPR form, or discussion sheet from Board Meeting
- Proposal: Go through it and organize into original form as closely as possible. Place additional correspondence received during review of proposal in chronological order, with most recent correspondence at top of proposal section; duplicate copies should be discarded.
- Place tax returns, financial statements, annual reports, newsletters, etc. on top of the clipped contents of the folder.

BRADLEY FELLOWSHIP FILES

- All Bradley Fellow files are kept in the top drawer of the lateral file cabinet in the Grant Administrator's office until archived. Bradley Fellow grants are filed alphabetically by institution name. Within that hanging file folder, each professor has his/her own manila file folder. In the manila file, each of the professor's grants are separated by a yellow sheet of paper that lists the organization name, professor name, grant ID#, grant amount, grant date, department and academic term. Following behind each yellow sheet are the Foundation's invitation letter, the grantee's letter requesting funds, the Foundation's award letter countersigned by the grantee organization, cover letters for checks, reports, and extensions. These are kept chronologically with most recent on top

BRADLEY PRIZES

- The Bradley Prizes files are kept in the second drawer of the lateral file cabinet in the Grant Administrator's office. The active year is filed alphabetically by nominee's last name, with nominator and selector information, press, form samples etc. in their own file. Completed years each have their own hanging file containing manila folders for topics as needed, plus each winner's file. See files.

DONOR INTENT FILES

- These files, generally processed only once a year, are kept in the lateral file cabinet in the Grants Administrator's office. Blue folders are used and kept alphabetically by year. The same file labeling convention is used as regular grants and they are archived in the same manner as regular grants.

GCC/DIRECTED OR BP SELECTOR GRANT FILES

- The files for these grants are kept in the Grant Administrator's bottom left desk drawer until paid, purged and sent to the closed agency file room. Each folder contains the following information, in this order (top to bottom):
  1. Check cover letter
  2. Signed GCC or BPS form
  3. For GCCs, a note from director or staff requesting funds
  4. Copy of charity check report

MAINTAINING CLOSED AGENCY FILES

The closed agency files are comprised of paid grants and declinations. When additional correspondence relating to one of these grants is received, the Grants Administrator identifies the grant or declination number and writes it on the correspondence, placing it in the closed agency file area to be filed by the Office Assistant.

- If the item to be filed refers to approval of a grant end date extension, changes in budget or other legal details, she will two-hole punch the paper at the top. This indicates to the Office Assistant that it needs to be clipped into the file folder.

- Occasionally, the Foundation must obtain pertinent information regarding the exact use of funds given to a grantee – Grantee Expenditure Accounting Report. This report includes a copy of a single page form stamped "Exp Acctg Report, DO NOT REMOVE FROM FILE" and any backup information sent by the grantee. It needs to be two-hole punched so the report can be bound within the folder's clips.

- Financial statements, tax returns, and other related material sent in with the proposal (brochures, photos, manuscripts, annual reports) are kept loosely on top of clipped items in the specific grant folder.

- When the grantee reports on the progress on the grant, the report and "thanks-for-report" letter should be placed loose in the folder at the front of the grant file.

- A manuscript should be saved until the book is received, at which time the manuscript may be disposed of by placing it in the shredding bin.

- Items relating to the organization, but not necessarily the specific grant, are placed in the organization's "Misc. Correspondence" file. Misc. Correspondence should be kept for a period of one year.

- Misc. Correspondence can include general policy reports, general correspondence, invitations, annual reports, press releases, conferences, speaking tours, newspaper clippings, tax returns, audited financial statements, but only if not related to a specific grant. If a conference was funded, then the invitation and program do go into the specific grant file according to the grant's ID number.

- Annual reports of small institutions (receiving less than $100K from Bradley in one year) are discarded after one year if an updated issue comes in. If multiple copies arrive, retain one for small institutions, two for large institutions. Annual reports of large institutions (receiving $100K or more in grants from Bradley per year) should be kept five years, with the current report in the grant file and prior years given to the Librarian for the library.

- Alphabetically arranged, each organization has its own hanging folder, which contains the grant file folders in chronological order with the most recent grant in front. Any declination files should be in front of the grant folders, and the Misc. Correspondence folder and/or the Annual Report folder should be the first item in the organization's hanging folder.

- Be aware that large institutions may be broken up into multiple hanging folders by institution, department or division names within the organization.

- When informed of an organization's name change, make the change in Gifts by placing the former name in the a/k/a field of the organization, and replace the old name with the new name in the Organization and Legal name fields. If new tax information is received using the new name, update the database accordingly, scan and save to file, file the determination letter as usual. Then ask the Office Assistant to: (1) Create a hanging folder label for the New Org's Name; (2) Create a hanging folder label See "New Org's Name" to place on the Old Org's hanging file; (3) Move the files contained in the Old Org's folder to the New Org's file; no need to change names on each grant's file folder label.

- When the Office Assistant is unable to find where to file something, she places it in the "unable to find" tray for the Grants Administrator to review and determine placement. If a grant folder has been archived, the item may need to be scanned and saved (creating the file name to include the grant ID# plus a hint of the contents and date) to the J:\Gifts\Documents\Scanned\Reports folder and attached to the record in Gifts.

FOREIGN GRANTEES – ANTI TERRORIST GUIDELINES
October 28, 2011

Potential foreign grantees must be vetted against the Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) list or Terrorist Exclusion List (TEL).

The Grants Administrator will access the government's anti-terrorist web site (http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx) and confirm the prospective grantee is not listed therein. This vetting is documented on the Tax Status screen of the organization's record in the Gifts database, and included on the Foundation's internal Yellow Checklist.

The Foundation's practice is to never make grant payments in currency – only via check requiring proper endorsement or direct wire transfer. This process documents who received the funds and eliminates money from falling into the hands of terrorists.

FOREIGN GRANTEES – WITHHOLDING
October 28, 2011

IRS regulations require the Foundation to withhold income tax of 30% of the grant funds awarded to foreign organizations. The taxes will be remitted by the Foundation's financial staff to the U.S. Department of the Treasury.

Income tax withholding will not be required if:

1. Grant funds will be used in connection with activities conducted entirely outside of the United States.

2. Grant funds will be used to purchase property.

3. An exception applies under a U.S. tax treaty.

4. The organization can demonstrate it could qualify as a U.S. tax exempt organization.

If grant funds will be used in part for activities inside the United States, 30% of the funds from the portion of the grant that is allocated for such U.S. activity will be withheld.

Examples of U.S. activities: attending a conference, site visit, temporary work or research and similar activities, including travel costs to and from the U.S. and living expenses in the U.S.

The Program Staff, knowing the purpose of the grant, will need to inform the Grants Administrator if any funds will be expended in the U.S., in which case a withholding form (attached) will be sent to the grantee.

FOUNDATION INITIATIVES
May 26, 2011

CURRENTLY NOT IN USE

OVERVIEW

A Foundation Initiative exists when the Bradley Foundation Board of Directors authorize a lump sum of money for a specific programmatic purpose. The grantees have not yet been identified, but the funds have been approved. Final selection of grantee(s) are the prerogative and responsibility of staff designated by the Board. Approval of each specific award is not required; the grants awarded from the Initiative will be ratified by the Board as part of the Miscellaneous Actions that are presented at each Board meeting.

Terms of the Initiative are outlined in the minutes of the Board meeting at which the lump sum was authorized. Terms, for example, could include: a Foundation Initiative (FI) "fund" was awarded by the Board in February 1993 for parental (educational) choice. The Board authorized any two Foundation executive officers acting together to award grants from the FI fund. Reference grant ID# 930192.

The total amount authorized by the Board is entered into the database as one grant, with the grantee organization name 'Foundation Initiative.' As funds are awarded to specific grantees, the newly assigned grant amount is deducted from the grants payable by amending down the Foundation Initiative grant using the grant amendment feature, much like the Bradley Fellowship Program.

CREATE THE FOUNDATION INITIATIVE GRANT

Enter and award a new grant using the organization name "Foundation Initiative" in the amount authorized by the Board of Directors.

In the meeting minutes field, enter an appropriate description as authorized by the Board, i.e.: "On 2/19/02 the Board of Directors authorized $300,000 to be used to fund projects relating to Russian new citizenship programs. This "dummy" grant will be drawn down on as actual requests are received and awarded."

The following codes should be used in the Coding Tab:

Program Area = whatever budget area has been designated
Fund = Regular
Population = No
Type = (whatever is appropriate)
Area = (whatever is appropriate)
Internal Program = Regular

Schedule one payment for the full amount of the grant. This amount will be amended down as the actual grantees and amounts are determined. Award the grant as usual, but no requirements.

AWARDING A GRANT FROM FOUNDATION INITIATIVE FUNDS

Enter the request to the designated organization in the amount determined, using the current date as the grant date. Create a file for the grant request as usual, noting on label that the funds were from FI.

On page two of the request record, reference that the grant is authorized from the Foundation Initiative funds award on *date,* ID #.

Complete coding tab using:

Program Area = whatever budget area has been designated
Fund = Regular
Population = AR or WI, accordingly
Type = (whatever is appropriate)
Area = (whatever is appropriate)
Internal Program = Regular

Schedule the payment for next payment date, or as requested. In Notes field of payment screen, enter "from Foundation Initiative, ID #*xxx*."

Use Charity Check as usual to verify the organization's tax status; print page for the file. Complete or update the tax screen in Gifts as usual.

Prepare the Letter of Award and Grant Agreement as usual, if required.

If a form is required (as determined by the Board) note "Fdn Ini Form" due in requirements tab, recording the last name of the two signatories of the form. Create and prepare the form as needed. When the signed Approval Form is returned, mark the open Requirement complete. File form in the grant folder.

[If payment is required before grant agreement is returned, conduct reasonable follow-up on retrieval of grant agreement as authorized by the Management/Program Staff.]

AMENDING FOUNDATION INITIATIVE

Find and open the Foundation Initiative.

Add the name, ID number, and amount of the grant just awarded in the Evaluation field on the Page Two screen. This makes for easy reference on the balance and use of the funds. Remember to manually deduct the new grant amount from the total on this page.

In the Payment Tab, open the scheduled payment on Hold. Reduce it by the amount of the new grant. When asked if you want to amend the grant, respond yes and allow the system to adjust to the new amount. Indicate on the amendment screen the grantee's name, ID# and amount of the grant. Save and close.

HISTORY OF THE GCC PROGRAM

June 7, 2011

HISTORY

In May 1985 the Board of Directors established a General Contributions Committee (GCC). The Committee was created to serve as a means for considering and disposing of small requests submitted to the Foundation through one or more of the directors. These requests were of such a character that Foundation support was warranted, but a full proposal documenting the request and Board deliberation was unnecessary. The Committee was comprised of any two consenting directors. They had the authority to grant up to $2,000 to an eligible (tax exempt) recipient without calling a special meeting.

On three occasions since 1985 the Directors have raised the level of award under this Committee's authority. In 1988 the Directors increased the level of the grant from $2,000 to $2,500; in 1991 to $3,000; and in 1999 to $5,000.

The program was reaffirmed at the November, 2001 meeting of the Directors and the requirement changed from two consenting directors to each director authorizing $5,000 per year with the approval of a senior staff member to verify the grantee's tax exempt status.

The February, 2003 Board meeting authorized the expansion of the Directed Contributions Program to include each Bradley staff directing $2,000 annually, with the approval of the President.

DOCUMENTATION

A written request by the director or staff is required to start the process. Then, tax exempt status is verified through Charity Check. The requestor and President, or Vice President-Program, are required to sign the GCC form as confirmation of approval and documentation for the file. No contract is required; the contract requirement in Gifts should be changed to "GCC form" and marked as done when the form has been returned with both signatures. The database entry is done the same way any other request is logged, except the Program Area = None, Fund = GCC, Population Served = No. Payment is released on the next check processing day, provided the completed GCC form has been received.

<u>OVERVIEW OF DIRECTED GIVING (GCC) PROGRAM FOR STAFF AND DIRECTORS</u>

June 14, 2011

1. Each staff member is allowed to recommend a grant(s) up to $2,000 per year and Directors are allowed to recommend up to $5,000 in grants for each year; both require the approval of the President or Vice President for Program. Grants cannot fulfill an individual's pledges.

2. The authority to approve these recommendations was granted at the November 13, 2001 meeting of the Directors (see page three of the minutes).

3. Staff and Directors send a written request to the Grants Administrator indicating the grantee name, contact information, grant amount and purpose of the award.

4. The Grants Administrator prepares the database entry, creates a file folder, verifies tax exempt status through Charity Check, prints and files the report. If not already on file, she will request a determination letter when the check is sent.

5. Any non-compliance situations discovered during this process are directed to the Vice President for Finance and the requestor for resolution.

6. The Grants Administrator creates the form from the database that needs to be signed by the requestor (staff or director) and the President.

7. When the signed form is returned to the Grants Administrator, it is stamped and filed in the grant file folder, with a copy placed in the annual file. Payment is released to the grantee as part of the next grant check cutting run. The same transmittal and purging process as outlined in the regular grants payment section is followed.

8. Approved and verified grants are included in the regular grant payment process. (See step 24 of the Regular, Board-Awarded Grants.

9. A list of these grants are provided to the Directors at each Board Meeting in a section of the agenda book titled Miscellaneous Actions.

HOW TO PROCESS GCC'S

Directed Giving Program for Directors and Staff
(Formerly the General Contributions Committee)
September 28, 2011

1. Enter as a proposal in the usual way, completing fields as indicated.

   A. Status = GCC

   B. Make sure the board date field is not used

   C. Enter the "designated amount" in the recommended amount field so it will pull into the approval form when you award the grant

   D. Reference field = first and last name of requestor

   E. In the codes tab, complete codes using:
      1) Fund code as GCC
      2) Program Area as None
      3) Population Served as No

   F. If a director is noted in the Conflict field, you should place that name on line at the bottom of the GCC form

2. Award the grant by clicking the green check mark at the top of the screen. During this process, schedule payment for the next check cutting date, placing it on hold.

3. Move to the requirements tab. Open the contract requirement that was automatically set up when the grant was awarded and change the type to GCC.

4. Add the Charity Check requirement and mark as done.

5. Print the Charity Check report from Guidestar and place as the bottom item in the file folder. [See Charity Check Process]

6. Prepare a file folder label as for other proposals, adding dollar amount and "GCC."

7. Date and Enter stamp the Director or Staff request and place in the file folder.

8. Return to page one and select the letter icon from the top of the screen.

   A. Select GCC form for director or staff accordingly and choose “keep document on disk.” Edit accordingly by completing full name of requestor at top and bottom and lining up the address.

   B. Print and give to requestor for signature.

   C. When signed by requestor, make a temporary copy for the file.

   D. Then give the original form signed by the requestor to Mr. Grebe.

   E. When the signed form is returned to you:

      1) Find the grant in Gifts by searching for the ID#
      2) Focus on the grant and move to the requirements tab
      3) Highlight the “GCC form” requirement
      4) Choose “Action” from the top menu
      5) Click “mark as done”
      6) Move to the payment tab
      7) Double click to open the payment record
      8) Select “Action” then “Activate” then save and close
      9) Stamp the form with the red Entered stamp

   F. Make a copy of the completed form for the “Completed GCCs file” at GA’s desk.

   G. Place the completed form (both signatures) in the newly created grant file folder kept in the GCC folder in the bottom left-hand drawer of the Grant Administrator’s desk. (If the GA is no longer the person who will be purging the file when it is paid, it can be filed alphabetically in the open agency files.)

9. The check will be cut as part of the regular check-cutting process; the “GCC” award/transmittal letter should be prepared and sent with the check and a copy of the letter placed in the grant file, as usual.

10. Open the H:\Record\Grants\DirectedGCC\DirGive-2011.xls file. Enter requested information using appropriate Director or Staff tab.

11. Update the Budget Worksheet with the new total of GCCs awarded.

12. A history and documentation of the Program’s authorizations are in the Grant Administrator’s GCC file, bottom drawer left side of desk. Keep this file updated as further changes to the program occur.

GIFTS EXPORTS TO BE COMBINED WITH E-TAPESTRY EXPORTS
November 28, 2011

Start in the Gifts database.

1. Select the view "Mail merge w/E-Tap" from either the Request or Contact tab of Gifts.

2. The only difference in these views (besides one being in Contacts, the other in Requests) is that the Department field can be and is included as part of the Request record, but it is not available to be selected from the Contact record. The export process in Gifts very much depends on which tab you need to search.

3. Once you select the view, run a search to select the records needed for your report.

4. When search results appear on your screen, click on the Excel icon at the top of the screen to complete the export.

5. Use the "Save As" feature to save the exported Excel file to an appropriate directory, using a name that includes Gifts.

Proceed to e-Tapestry.

1. Select "Report and Export Categories."

2. Click on the plus sign beneath Custom Mail Merge.

3. Select the merge you need and proceed to run the report.

4. Save, using a name that includes e-Tap.

5. Next, "save as" using a name indicating both e-Tap and Gifts are being combined.

6. Delete e-Tapestry columns not needed for current project.

7. Open the previously exported Gifts report.

8. Copy all and paste into new (separate) tab of document with combined name.

9. Verify the Gifts column names in the second tab are the same and in the same order as the e-Tapestry names in the first tab of the document.

10. Use Excel sort feature to sort by "sort name" column.

11. Edit if needed.

12. Proceed to merge with your template.

13. Edit if needed.

TRACKING GIFTED EDUCATION GRANTS

June 28, 2011

Due to the requirements of a Bradley Trust, it is important to track the amount spent on grants to support gifted education.

Beginning with 2010, the Foundation's Program Area code in the grants database no longer includes Gifted Education. It is now tracked using "Type of Support = Gifted Education," found on the codes tab of both the organization and request records.

In order to retrieve information, the information must first be entered in the database. This should be done when completing the coding and scheduling the payments for the grants being recommended on every agenda. Select the Gifted Education code from the Type of Support field, regardless of what Sector (Program Area) the grant funds are recorded in.

To find the amount spent on Gifted Education, search for Paid Year = xx, and Type of Support = Gifted Education. If previous years are needed, you must select all of the Gifted Education codes from the Program Area field.

<u>Two reports are prepared at year-end:</u>

1. Gifted Education for the year; use the Schedule of Appropriations and Payments report from Gifts with appropriate criteria for Gifted Education and Fiscal Year at least (current).

2. Gifted Education from the beginning of the Foundation until current year-end; use the Chronological List of Grants report from Gifts with all of the current and previously used Gifted Education codes.

SPECIAL FEATURES USED IN GIFTS
July 25, 2012

ROLL BACK TO PENDING

Is used in the event an error was made, or a change occurred after running the award process. Open the grant record and select Actions at the menu. Scroll about half-way down and click on Roll Back to Pending. Reply “Yes” to the question “Do you want to roll this request back to pending?” Now that it is back to pending, you may change whatever needs changing and re-award the grant. The system will again add any automatic requirements that are associated with the award process. If the change occurs in a month other than the original date of award, be cognizant of how it may affect the monthly financial reports.

SYSTEM RENEWALS

In the case of Charter Fund, the Directors approved a grant of $15M to be paid $3M a year for five years. Only the payment needs to be authorized by the Directors each year. The entire $15M is not entered as one grant. The budget will reflect a $3M grant each year. The grant agreement covers all of the payments, so that is not needed each time. To make a payment, there must be a grant.

To award the renewal, open the most recent grant in the series. Move to page 2. Enter an explanation ($15,000,000 over 5 years; this is year 3. Payment approved at the 8/21/12 board meeting.). Make sure the current date is after the “allow renewal after” field’s date. If it is not, change the date in this field to a date earlier in the month you are renewing it. The system will copy over all of the information, including contacts, to a new record and will assign it an ID number the same as the original (#9001430) but with a “point, plus 1” i.e. #9001430.1 or .2 or .3, etc. Any correspondence relating to this grant should be kept in the original file (#9001430), including the Charity Check report and payment documentation.

GRANT COMMITMENTS

General operating support for Encounter for Culture and Education (Encounter) is usually recommended as a grant commitment, which means the Board will authorize it one year for award the next (this allows for Encounter to be able to plan their budget). If not logged as “Fund = Grant Commitment, this field should be changed as soon as you are aware it will be a commitment instead of a regular grant. Grant commitments are tracked on an Excel spreadsheet and awarded in the designated year. [See H:\Records\Grants\Grt_Commit\GrtComYR.]

HOW TO PREPARE GRANT CHECK TRANSMITTAL LETTERS

February 18, 2011

Starting in the Payments tab of Gifts, search for “paid date” equals (date checks were cut: today, yesterday?).

Right mouse click and select all. Review the Grant Payment Detail Record (provided by the Accountant) for notes that may require editing of the standard letter, or require selecting only some of the payments in order to use a different transmittal letter for others (like for GCCs).

If notation was made to use GCC letter, highlight only those and choose “Check Cover Letter for GCCs” from the pull-down menu of the create-new-letter (envelope) icon. Be sure to select Record Activity and Keep Document, assigning a file name according to type and date paid (i.e. “checks03-10-2010GCC").

Repeat the letter preparation process by selecting all non-GCC noted payments from the list displayed in the Requests tab and choose “Check Cover Letter” from the pull-down menu. Again, be sure to select Keep Activity and Keep Document, assigning an appropriate file name.

Select all of the payments made; focus; move to requests tab. Select all requests; focus; move to affiliations tab. Affiliations noted as “cc” will need to be added to the check letters when editing.

Editing is always required of the check transmittal letters. Use the search and replace feature to change “To support” to “to support” and remove duplicate “..”s.

WHERE THE MERGED TEXT READS:
If you are transmitting the only payment of the grant, the merged text reads as follows, but should be changed as noted below:
This *payment represents the 1 installment of a $XXX* grant *which* was awarded by our Board of Directors **T**o support general operations.

(The text to be removed is noted in italics above.)

CHANGE IT TO READ:
This $XXX grant was awarded by our Board of Directors **t**o support general operations. (change <u>To</u> to <u>to</u>)

In other cases, WHERE THE MERGED TEXT READS:
This payment represents the (any number other than 1) installment of a $XXX grant which was awarded by our Board of Directors To support general operations.
CHANGE IT TO READ:
This payment represents the third of four* installments of a $XXX grant which was awarded by our Board of Directors to support general operations. *Basically, spell out the numbers and check the payment sequence. You may need to use final, or second of three, etc.; check the Grant Payment Detail Report for this information.

Bradley Fellow merge letters are set up to include the professor's name in the project title area and as a cc at the bottom of the letter. The letters may need additional editing. If the letter is addressed to the professor, remember to remove the cc from the bottom of the page.

GCC/Directed Giving merge letters are set up to include in the body of the letter the name of the staff or director initiating the grant. The cc is also set up to include the initiator at the bottom of the letter.

When all the letters have been edited, place Dan Schmidt's letterhead (VP-Program) in the printer and print the document. Give the letters to Dionne (Program Assistant) for Dan's signature. When the letters are signed, make two copies (one for the chron file and one for the agency file).

Prepare envelopes by merging the same contacts with the envelope template and print an envelope for each letter.

Take time to make sure the correct check is matched with each letter by comparing the check number noted at the bottom of the letter with the check inserted. (When more than one check is cut for the same organization, sometimes their order is reversed from the order in which the letters were produced.) Place check and letter in envelope and take to the mail room.

Next, place one copy of the transmittal letter in the appropriate file folder located in the open agency files and removed the file to be purged before being sent to be filed in the closed agency files. If the payment is not a first or only payment, the subsequent payment should be two-hole punched at the top and placed in the closed agency filing bin to be added to the file folder.

GRANT EXTENSIONS & BUDGET CHANGES
August 12, 2011

Occasionally a grantee requests to extend the term of an award to continue spending the funds past the one-year from date of first payment end-date. Or, the grantee might want to change the budget from the way it was originally approved. Both of these requests require approval from the Foundtion. When a change to the terms of a grant has been approved:

1. Respond with an email or letter informing the grantee that the Foundation has approved the request. Be sure to include the grantee's and Foundation's grant ID numbers, and cc the program officer, as well as others mentioned in the request for extension letter, i.e. the professor, Dean, office of research, etc.

2. Open the Gifts record of the grant to be extended.
   a. On page 1 of the record, update the new end date accordingly.
   b. On page 2 of the record, type "Extension granted" in top left field.
   c. Also on page 2, update the "docket number" field with the grantee's ID number for the grant (it may, or may not, have already been entered).

3. In the case of a change in the budget, the approval letter is sent and noted on page 2 of the grant record.

4. Place a copy of the request and the Foundation's response in the grant file.

5. In the case of the term of a Bradley Fellowship grant being extended, check to see if the current year's grant has been awarded.
   a. If it has, mark the "Misc" requirement of *prior year report* as done, so payment can be released. If the "contract" requirement is also marked as done, move to the payment tab and change the status from "Hold" to "Scheduled."
   b. If not yet awarded, you will know from the notes field of the previous grant that the end date has been extended and will mark the new request's Misc requirement of *prior year report* as done. (Part of the process of entering a new Bradley Fellowship grant is to verify receipt of the prior year programmatic report.)

HOW TO PREPARE GRANT HISTORIES

October 12, 2010

1. Start in the Requests tab of Gifts.

2. Select from View: Apply/Edit Views; scroll down and choose Grant History; click on apply.

3. Search, using the following criteria in this order:
   a. Organization name contains or equals (whatever you need), and
   b. Disposition = approved, and
   c. Coding sheet: Fund = Small, Regular, GCC, GC, Donor Intent, Fdn Ini, BP selector (all this, just to exclude any Bradley Fellowship awards)

4. When the search is complete, scroll down to verify that the list contains only the organization you were looking for.

5. Hide the organization name column by right-clicking on the column header.

6. Select all (or, using the control click command, select the items needed for the grant history)

7. Click on the printer icon. Type the name of the organization as Header 1 and Grant History as Header 2 (deleting other information previously in place). Move to the Page Set-up tab and select Repeat Title on each page. Click on the Printer icon located on this screen.

8. When printed, right click on the column heading of the hidden column to restore it on your screen.

9. For the next item, right click for find, click on “last search” change the organization name to the one you need. (Using “last search” prevents you from reentering the other code fields because they remain until a different search is used.)

PREPARING THE GRANT PAYMENT APPROVAL FORM

April 1, 2011

1. Start in the Payments tab of Gifts.
2. Select view "Grant Payment Approval Form."
3. Search for the payments within the scheduled radius.
4. Verify all use schedule date of whatever the current check-cutting date is.
5. New search for that check-cutting date, plus Status = Hold.
6. Double click to open the payment record.
7. Change schedule date to the next check-cutting date (1st and 3rd Wednesdays).
8. When all payments on Hold have been moved out, edit the search using the schedule date, plus Status = Scheduled.
9. Select all records on screen.
10. Click on print icon.
11. Change title to "Grant Payment Approval Form" and second line to "Checks Scheduled for M/D/YEAR."
12. Move to page set-up and select landscape.
13. Move to columns and click on "#3-request grant amount" and under currency options deselect "include in totals."
14. Then click on project title and click the move-right icon twice.
15. Print via the print icon.
16. On the last page, type under the last line the titles of the two signatories: Grants Administrator and either Vice President for Program or President and "Date" next to each title so signatures can be placed on the line.
17. Sign and give to VP-Program or President (accordingly) for their signature.
18. When returned signed, make a copy for check files.
19. The original form should go to the Accountant in the Finance Department.

OVERVIEW OF GRANT PAYMENT PROCESS

October 4, 2011

Grant payments are processed twice a month, on the first and third Wednesdays.

Grant payment schedule dates are set initially by the Grants Administrator during the process of preparing the Grant Agreement and Transmittal Letter when the grant is awarded. Actual payments are contingent upon the receipt of the Grant Agreement signed by the grantee.

Two days prior to the scheduled processing day, the Grants Administrator checks the Bradley Calendar to see if the VP-Program is available to sign the Grant Payment Approval Form. If he is not, she will check to see if the President is available to sign the Form. If neither are available, she will discuss with VP-Finance to find a solution.

Late morning on the day before the processing day, the Grants Administrator will search the payments tab of Gifts using a date range of the first of the month through the day prior to the second check-run of the month with a status code of Hold. If a grant is scheduled for payment but any required paperwork, i.e. the signed grant agreement, has not been received, the payment must be bumped to the next check cutting day. To move the payments still on hold, double-click to open each and change the scheduled payment date to the date of the next grant check run and place an "S" in the notes field to indicate the original scheduled payment date was sooner than the actual payment. These payments need to be moved before the Accountant prepares her reports. The Grants Administrator will make follow-up calls to the grantees if the paperwork is not received in a timely fashion.

The same report as above is run, but the Status criteria should be Scheduled instead of Hold. Select the view "Grant Payment Approval Form" and apply it. Verify all of the scheduled dates are set for the correct processing date. If any are included because they fall in the date range, be sure to change the scheduled date to coincide with the schedule date. Prepare the Grant Payment Approval Form for authorized signature. (See "How to Prepare the Grant Payment Approval Form.")

For the month's second run, search from the day of the previous check cutting day to the end of the month. This ensures no payments are missed in the event of a typo or other situations that might have caused an off-schedule date to be inserted in that field. Any scheduled dates found to be off-schedule should be rescheduled to the current processing date. Payments with a status code of Hold will again be moved to the next check cutting date.

When the approval form has been signed, a copy is made for the electronic signature file log and the original is given to the Accountant as authorization to produce the checks.

The Accountant prepares the checks using the grants database Gifts for Windows and Great Plains Dynamics accounting software. She runs a Payables Management report from the Great Plains software and prepares the Grant Payment Detail Record. Both reports are provided to the Grants Administrator with the checks that need to be signed. The Detail Record report from Gifts details the grant payments that were made and is used for editing the check letters, and also to verify that the amount authorized on the approval form equals the total amount of checks cut. The notes column is used to inform the Accountant of any situations she might need to be aware of and to remind the Grants Administrator of any special directions concerning the payment.

Checks below $200,000 are given to the Grants Administrator to apply the dual electronic signature and document the checks that were signed in the Signature Log. Checks for $200,000 or more are given by the Accountant to be manually signed by two officers; the Accountant follows up on those.

As soon as the electronic signatures have been applied (see “How to Sign Grant Checks”), the Accountant is notified so she can do the Positive Pay procedure with the bank. A check transmittal letter is prepared by the Grants Administrator under the signature of the Vice President-Program. When signed, two copies are made – 1 for the chron file, one for the agency file.

GRANT PAYMENT SCHEDULING PROCEDURE

October 27, 2010

It is most helpful when a request is received and logged into the database, that payment needs and project time-frames be noted on Page 2 of the request tab in the Gifts database.

As a proposal is recommended for award and therefore placed on the Board meeting agenda, the payment schedule is then determined by the Grants Administrator and entered into the Gifts database. The fact that the payment has been scheduled is also noted on the agenda spreadsheet.

Payments are scheduled for the first and third Wednesdays of each month. The grantee is informed of the payment schedule via the letter of award, which also encloses the grant agreement. Occasionally the Program Staff, being more aware of the grantee's needs, will request the payment schedule be changed. The change will need to be made not only on the award letter, but also in the Gifts database. If the grantee requests a change to the payment schedule and it is approved by the Program Officer, the Grants Administrator will change it in the database.

[Payments of $100,000 or more are generally scheduled using appreciated stock. An approval form is prepared by the Grants Administrator and usually signed by the VP-Program and given to the Accountant as authorization allowing the grant to be paid. The accountant will coordinate the stock transfer with the grantee. (The stock program is currently not in use.)]

GRANT PAYMENT GUIDELINES
October 27, 2010

GENERAL PROCESSING PROCEDURE

- Review the grantee's past payment cycle as *guide* for current grant; i.e. was it paid immediately, was it split, paid over several months, installments still unpaid from previous grants, turn-around time needed?

- Check notes in Page 2 of the grant record in the Gifts for Windows database. Notes may have been made by program staff regarding payment needs.

GENERAL PAYMENT GUIDELINES

- Split general operation grants as follows, giving consideration to the size of the organization:

Grant amount	*No. of annual installments*
$49K or less	1
$50K - $100K	2
[Over $100K	1st choice is to pay with appreciated stock]*
$101K - $300K	3
Over $300	4
Over $1 mil	Special consideration, see VP-Program\VP-Finance

*Stock program currently not in use

- Specific projects
  Determine length of grant period (# of years); determine begin date of project stated in proposal or staff write-up. Split if practicable. Payments for conferences generally cannot be split, for example, because most of the cost culminates shortly before the event, pay approximately 3-4 weeks prior to conference date.

- Academic programs
  Determine length of grant period and begin date of cycle as stated in staff write-up or proposal. Split according to academic/semester periods, with August and January installments typical. Because academic institutions have a short year and various departments to work with, small and frequent installments are often cumbersome for the grantee.

- GCCs and BP Selector Grants
  As these grants are small, pay immediately in single installment after grant paperwork is complete, unless otherwise requested.

PAYMENT WILL BE RELEASED ONLY AFTER DOCUMENTING RECEIPT OF
- Signed Grant Agreement (Contract)
- Tax Verification
- Challenge/match met, if required

REGULAR, BOARD-AWARDED GRANTS

1. When a request for funding (proposal) is received, the Vice President for Program determines what program sector the proposal falls into.

2. The Program Assistant enters the proposal into the database, which generates an ID number. She creates a file folder, and sends a letter of acknowledgement to the requestor on behalf of the VP-Program or Director of Academic, International and Cultural Programs. If the IRS Determination Letter is sent with the proposal, it is given to the Grants Administrator for processing.

3. The Program Assistant gives the file to the appropriate program staff member for research and evaluation.

4. Program Staff evaluates and presents a recommendation of award or declination to the designated Sector Committee, which is comprised of members of the Board of Directors.

5. The Program Staff prepares the Committee agendas.

6. The Selector Committees review and determine recommendations to the full Board.

7. Proposals being recommended for award are placed on the Board agenda, which is prepared by the Program Assistant. She changes the database status code from "pending staff review" to "staff recommends" in order to indicate their inclusion on the agenda. If a proposal is recommended for declination, she changes the database status code to "staff dec."

8. The Grants Administrator verifies the tax exempt status of the organization using Guidestar's Charity Check. She prints the Charity Check Report and places it aside to be attached to the yellow checklist. Foreign organizations are vetted against the government's Specially Designated Nationals (SDN) list.

9. The Grants Administrator prepares the yellow checklist for each proposed grant coded as "staff recommends." The Charity Check Report is attached and given to the Program Assistant to file in each proposal's file folder.

10. The organization's employee identification number, date on determination letter, and each tax status code, are entered into the organization's record in the database by the Grants Administrator. The date verified is updated when the Charity Check Report is printed.

11. Grants Administrator confirms Charity Check against the IRS determination letter on file and records the exempt status, EIN, and date of verification in the database. She also files the hard copy of the determination letter in the alphabetical master file of determination letters located in her office, after scanning the determination letter to a network file located in the H:\Records\Grants\IRSDetLets directory. These records are retained permanently.

12. If the Grants Administrator finds any non-compliance situations during this process, she directs them to the Vice President for Finance and the Program Officer for resolution.

13. If the organization has not yet provided their determination letter to the Foundation, the Grants Administrator will request it when the grant is awarded or will print it from Charity Check if it is available.

14. Program Staff prepares a write-up [Grant Proposal Record (GPR)] for inclusion in the Board agenda book. This document presents the research and recommendation for the Board's review. It is prepared and saved as part of the permanent record within the grants database and in the grant file.

15. After the Board awards the grants, the Program Assistant informs the Grants Administrator of any changes to the recommendations. The Grants Administrator runs the award process in the database, which changes the status from "pending" to "grant."

16. The Program Assistant runs the declination process for the requests the Board has declined, which changes the status from "pending" to "declined" in the database. She then prepares a letter of declination, under the signature of the assigned Program Staff member, that informs the requestor of the Foundation's decision.

17. When the declination letters have been signed, the Program Assistant copies and mails them, filing a copy of the letter in the corresponding request file. She then removes the files from the open agency file cabinet and gives them to the Office Assistant to be filed in the closed agency files, where they are kept for two years.

18. The Grants Administrator prepares an award letter and Grant Agreement for each grant awarded. The letter and agreement are signed by either the VP-Program or the Director of Academic, International and Cultural Programs, depending on the grant's Sector. The grantee must sign and return the Grant Agreement in order for payment to be released.

19. The Grants Administrator gives the Yellow Checklist with Charity Check report attached, and a copy of the award letter with grant agreement, to the Program Assistant to be filed in the open agency files. The Office Assistant, who copies and compiles the Board Agenda Books, provides the Program Assistant the GPR forms that were copied for the Board Agenda Books.

20. The Grants Administrator notes in the database requirements field of each grant that the yellow checklist has been completed; Charity Check has been previously noted.

21. When the signed Agreement is received from the grantee, it is passed on to the Grants Administrator. She stamps the agreement with the red "Entered" stamp, notes the requirement as complete in the database, and changes the payment status from Hold to Scheduled so payment can be released on the scheduled date. The agreement is then given to the Program Assistant to file in the open agency files.

22. If the signed agreement has not been received within two months of the award date, the Grants Administrator runs a report of those items and provides it to the Program Assistant to follow up on.

23. The Grants Administrator informs the Accountant when the payments are ready to be processed on the scheduled payment dates. She prepares and reviews the Grant Payment Approval Form, which is comprised of the payments to be made, and gets approval in the form of a signature on that form from the VP-Program or the President. The list of approved payments is given to the Accountant as authorization to prepare the checks.

24. The Accountant prepares the checks and gives them to the Grants Administrator to run electronic signatures on those less than $200,000. Any checks $200,000 or more require two manual signatures, which the Accountant gets from any of the officers available with the authority to sign checks.

25. The Grants Administrator prepares a transmittal letter for each check under the signature of the VP-Program. After the letters are signed, she copies the letters and mails each check with its cover letter.

26. The transmittal letters indicating first or only payments are filed in the grant folder by the Grants Administrator, at which time she removes the folder from the open agency files, purges it of extraneous material (such as duplicate copies, resumes, CVs, books, CDs) and clips the required papers (check transmittal letter, grant agreement, award letter, yellow checklist, Board book write-up, proposal) to the file folder and gives it to be filed by the Office Assistant in the closed agency files.

27. The Grants Administrator top-hole punches letters transmitting payments that were not first or only payments and gives them to the Office Assistant to clip into the appropriate file folder already filed in the closed agency files.

EXPENDITURE ACCOUNTING RESPONSIBILITY

1. Certain grants require Expenditure Accounting Responsibility (EAR) to be in compliance with IRS regulations.

2. The process to identify these grants begins when the Grants Administrator prints the Charity Check report and discovers the tax status of the organization is that of a private foundation, private operating foundation, or foreign organization.

3. Those identified as requiring Expenditure Accounting are coded accordingly in the organization and request record of the database, and noted on the yellow checklist.

4. At the end of each year an Expenditure Accounting log is prepared by the Grants Administrator using data gathered from the grants database.

5. The Grants Administrator prepares a letter, signed by the VP-Finance, requesting the Expenditure Accounting form be completed and returned. There is more than one standard letter. If the grantee has not responded to previous requests, a more strongly worded letter is sent.

6. The requests are sent semi-annually until the grantee returns all requested information.

7. When the completed form is returned by the grantee to the Foundation, the VP-Finance reviews the form and gives it to the Grants Administrator to note the information in the database and on the Expenditure Accounting Log, which is used in preparation of the Foundation's tax return. The completed form is stamped in blue ink "Exp Acctg Report Do Not Remove From File," top-hole punched, and given to the Office Assistant to attach to the corresponding grant file folder in the closed agency files.

GCC / DIRECTED GIVING PROGRAM FOR STAFF AND DIRECTORS

1. Each staff member is allowed to recommend a grant(s) up to $2,000 per year and Directors are allowed to recommend up to $5,000 in grants for each year; both require the approval of the President or Vice President for Program. Grants cannot fulfill an individual's pledges.

2. The authority to approve these recommendations was granted at the November 13, 2001 meeting of the Directors (see page three of the minutes).

3. Staff and Directors send a written request to the Grants Administrator indicating the grantee name, contact information, grant amount and purpose of the award.

4. The Grants Administrator prepares the database entry, creates a file folder, verifies tax exempt status through Charity Check, prints and files the report. If not already on file, she will request a determination letter when the check is sent.

5. Any non-compliance situations discovered during this process are directed to the Vice President for Finance and the requestor for resolution.

6. The Grants Administrator creates the form from the database that needs to be signed by the requestor (staff or director) and the President.

7. When the signed form is returned to the Grants Administrator, it is stamped and filed in the grant file folder, with a copy placed in the annual file. Payment is released to the grantee as part of the next grant check cutting run. The same transmittal and purging process as outlined in the regular grants payment section is followed.

8. Approved and verified grants are included in the regular grant payment process. (See step 24 of the Regular, Board-Awarded Grants.

9. A list of these grants are provided to the Directors at each Board Meeting in a section of the agenda book titled Miscellaneous Actions. This section also informs the Directors of refunds and any previously authorized actions that have been completed.

BRADLEY PRIZES PROGRAM

1. The process begins when the President invites persons prominent in their fields to nominate deserving recipients.

2. The nominations are reviewed by the President and Director of Academic, International and Cultural Programs.

3. The Grants Administrator prepares a write-up for each nomination, which will comprise the Selection Committee Agenda Book.

4. The nominations are then sent to the Selection Committee.

5. The Selection Committee selects the recipients. After the winners are selected, the President notifies the recipients and offers a four year payment schedule to each recipient. Some recipients request an accelerated payment.

6. The President informs the Grants Administrator of each recipient's payment schedule, which is then set up in the grants database as part of the $1,000,000 Bradley Prize award and paid in the next regularly scheduled grant payment cycle. Exceptions to the payment schedule may be made.

7. The President or Vice President for Administration sends a letter to each winner requesting the W-9 form (or foreign form) be completed and returned to the Foundation's Controller.

8. The Finance Staff prepares and sends each recipient a Form 1099 by January 31.

BRADLEY PRIZE SELECTOR GRANTS

1. Individuals appointed to the Bradley Prize Selection Committee are allowed to recommend, with the President's approval, a grant(s) totaling $20,000. Each selector completes a form indicating their grant recommendation(s), which is also signed by the President.

2. The form is retained by the Finance Department as authorization to pay each Selector their $10,000 stipend.

3. A copy of the form is provided to the Grants Administrator to process the recommended grant(s). She verifies the organization's tax exempt status by printing and filing the Charity Check report in the grant file and notes the tax information in the grants database.

4. Any non-compliance situations discovered during this process are directed to the Vice President for Finance and President.

5. Approved and verified grants are included in the regular grant payment process. See step 24 of the Regular, Board-Awarded Grants.

6. The President's authority for this program was granted in November, 2002 when the structure and process of the program was outlined by the Bradley Prizes Committee.

DONOR INTENT PROGRAM

1. The Donor provides a list of recommended grantees and amounts to the President.

2. The President reviews the list for agreeableness with the Bradley mission.

3. Grants recommended by the donor are entered into the database by the Grants Administrator.

4. The Grants Administrator verifies tax exempt status by searching Charity Check; this information is then noted in the database and filed in the grant file folder she has prepared.

5. Any non-compliance situations discovered during this process are directed to the Vice President for Finance and President.

6. A list is run from the database in order for the donor to review and confirm grantees and amounts.

7. When the list is confirmed by the Donor and approved by the President, the grants are awarded.

8. The donor sends the check to the Foundation's President, who gives it to the Finance Department for deposit.

9. When the Controller confirms to the Grants Administrator that the Donor's check has cleared the bank, a special check-run is scheduled and the checks are prepared by the Accountant according to the standard check process.

10. The checks are signed electronically by the Grants Administrator. She prepares the transmittal letter under signature of the President, and mails the checks, placing a copy of the letter in the grant file.

11. A thank you letter is sent from the President to the Donor enclosing a receipt from the VP-Finance. The thank you letter also qualifies as the IRS required acknowledgement letter.

12. A letter regarding the donor's tax limitation percentage is sent to the Donor by the VP-Finance before March 15th of the next year.

BRADLEY FELLOWSHIP PROGRAM

1. The Board authorizes $1.5 million for Bradley Fellowships. The dollar amount is not attached to specific organizations at that time. Each award is not to exceed $25,000.

2. The Director of Academic, International and Cultural Programs sends a letter of invitation to professors outlining what needs to be done if they choose to participate in the Program.

3. In response to the invitation a professor sends a letter of request, in a specific style, a sample of which had been included in the invitation letter.

4. The request letter prompts a letter of award from the Foundation to the grantee, which needs to be counter-signed by the University and returned to the Foundation.

5. The Grants Administrator verifies the organization's exempt status by printing and filing the organization's Charity Check report.

6. Any non-compliance situations discovered during this process are directed to the Vice President for Finance.

7. Before payment can be released, the counter-signed letter and the professor's report on the prior year's fellowship must be received, if applicable.

HOW TO PREPARE GPR'S FOR BOARD BOOKS
October 26, 2010

Locate the record in Gifts; double click to open.

If not already done, change the following fields in the database:
Status = SR (Staff Recommends)
Project Description, update if necessary
Staff = your name (program staff preparing the GPR form)
Project Budget & Requested Amount – if available
Amount Recommended = dollar amount being recommended
The duration of grant, if not for one year
Meeting Date = Board Date (two-digit month, two digit date, four digit year)
The Page 2 tab is a good place to note payment scheduling information, i.e. conference dates, term of grant requested, etc. This information is helpful when the Grants Administrator schedules the payment.

With the above changes made, choose Save and Close.

To compose your write-up:
Be sure the request is highlighted. Select the write-up icon at top of screen, the 6th from the left (looks like a scroll) to start your write-up.
From the pull-down menu choose "GPR form."
Be sure to check "record activity" and "keep document permanently on disk" before you "OK" the screen.
The system will merge the record's information with the GPR template and open Word, where you will compose the write-up. You may have more than one Word document open at a time and all of the usual Windows and Word commands apply for editing, moving around, closing, viewing, formatting, copy/paste, printing etc. "Ctrl. S" saves at any time during the write-up process. Of course, you may use the commands under "File" as well.

Verify the information on the cover sheet; edit as necessary. Top of page two begins **BACKGROUND**: Followed by text two spaces later. When background is complete, the next paragraph should start with **STAFF RECOMMENDATION:** Followed by text two spaces later.

If you need to edit or add to your write-up after closing out, first find the record in Gifts and focus/zoom on it. Then, click on the "Documents" tab. When you see the list of items, double click on the GPR form. If you saved it to disk when moving through the merge screen, it will be there and the system will open it in Word so you may continue editing or printing.

If you want to record an activity, such as a site visit or phone call, zoom on the request and click on the "Activities" tab. From there, click on the "new" icon (the center icon, white paper symbol) and use the pull-down menu to select the type of activity and record your information. (This can also be used along with the calendar feature to see your meetings at a glance.)

RECORDING GRANT REQUIREMENTS
June 13, 2011

According to the code used in the field "Type" at top left of Page 1 on the request screen, the system will automatically generate the following requirements during the award process. In some cases, the requirements will need to be modified. (Any of these requirements can be changed using the Administrator's Module.)

TYPE OF GRANT	**AUTO GENERATED SYSTEM REQUIREMENT**
BP Selector	BP Selector Grant Form Charity Check
Donor Intent	Charity Check
Bradley Grant Regular	Final Programmatic Report Contract
GCCs	Change: Contract to GCC Form
Bradley Fellows	Add: Misc. (in notes field: prior year report)

Search for the request you need. Select, focus, move to the requirements tab (or double-click to open the request record and then move to the requirements tab within).

To change an existing requirement, open the requirement and select a new requirement from the pull-down menu for Type. (i.e. for GCCs, change Contract to GCC Form.)

To add a requirement for the request, click on add. Tab through the fields, placing your name in the staff field and select the requirement needed from the pull-down menu in the type field. Make notes as needed in the notes field. Then save and close. (i.e. for Bradley Fellows, choose Misc. and type "prior year report" in the notes field.)

In the case of a challenge or matching grant, you will need to add the requirement "Challenge/Match Met." Requirements remain "open" until the specified item is received, at which time it should be marked as done by highlighting the requirement with one click and selecting "mark as done" from the bottom of the screen (or by opening the requirement and selecting "mark as done" from the top of the screen). Also, in the requirement's notes field, indicate what documentation is available to verify that the challenge/match has been met. The documentation needs to be included in the grant file; place ID# on the paper to be filed.

When proposals are being logged, certain items included with the proposal are recorded as having been received. For each of the following, create a requirement and mark it complete at the same time: Annual Report, Budget, Financial Statement, IRS Det. Let.

The Charity Check requirement should be added and marked complete during the Charity Check process.

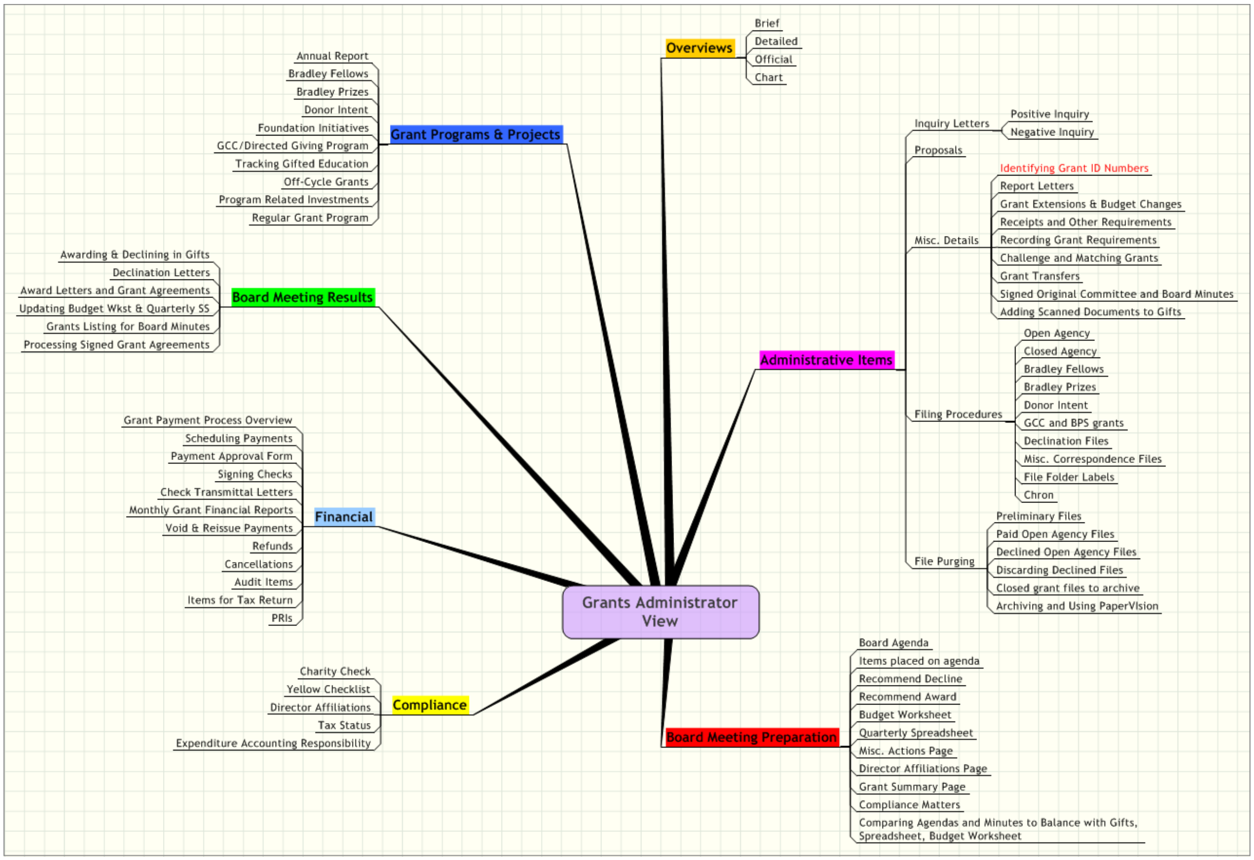
GRANT SUMMARY PAGE FOR AGENDA BOOK
June 13, 2011

This grant summary is the report prepared monthly as part of the grant reconciliation process. The report is located at H:\Records\Grants\Grt_Rec\2011\GRTSUM-*month* 2011.xls. The Office Assistant needs 30 color copies printed for the agenda books. Use the Grant Summary for the month that ended the quarter prior to the Board Meeting.

> February will have 12/31/Prior Year
> May/June will have 3/31/Current Year
> August will have 6/30/Current Year
> November will have 9/30/Current Year

Be sure to wait until you have updated the Grant Summary with the "Actual Year to Date rate of return" for the month. This figure will be provided to you by the Controller after the 15th of the following month.

Grants Administrator View



A Overviews

A.1 Brief

A.2 Detailed

A.3 Official

A.4 Chart

B Administrative Items

B.1 Inquiry Letters

B.1.1 Positive Inquiry

B.1.2 Negative Inquiry

B.2 Proposals

B.3 Misc. Details

B.3.1 Identifying Grant ID Numbers

B.3.2 Report Letters

B.3.3 Grant Extensions & Budget Changes

B.3.4 Receipts and Other Requirements

B.3.5 Recording Grant Requirements

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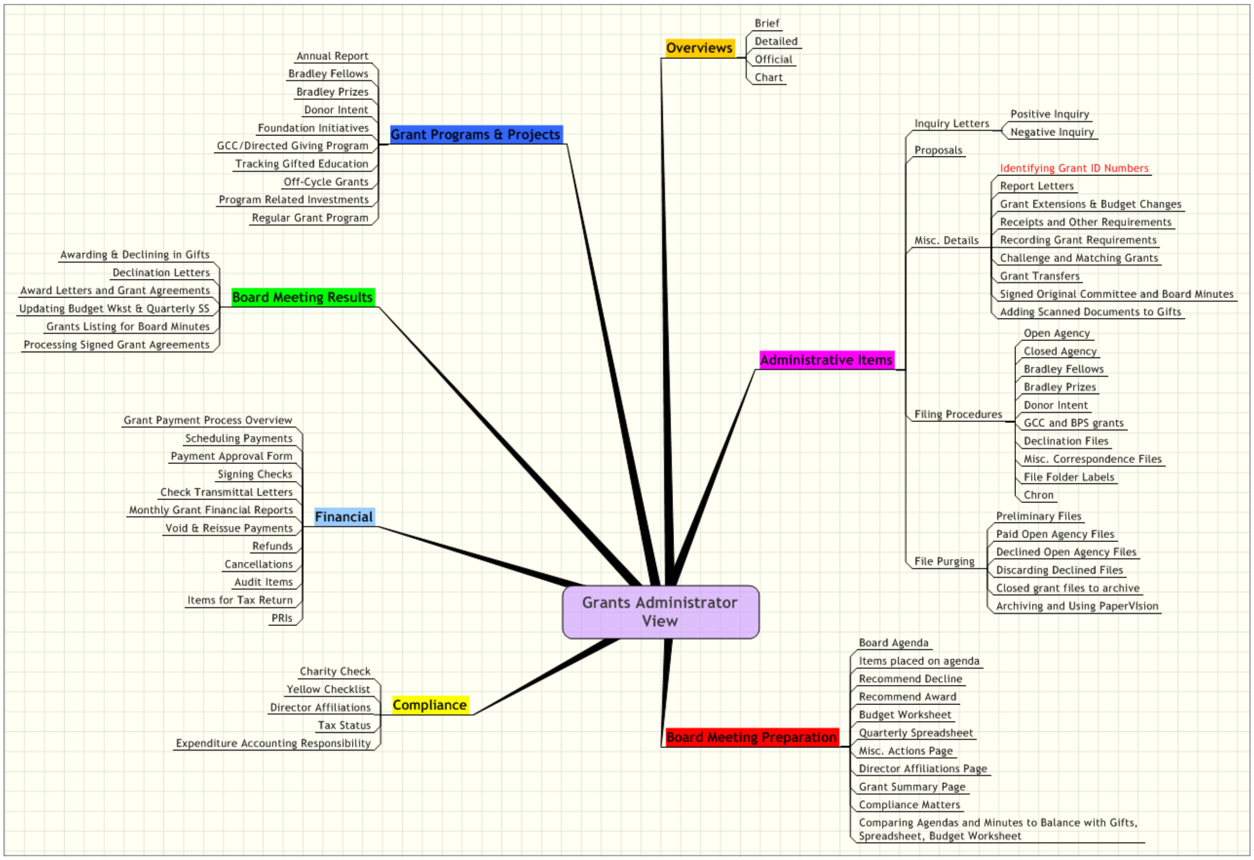

GRANTS ADMINISTRATOR VIEW

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Regular Grant Program

LIST OF ACTIONS FOR BOARD MINUTES

August 12, 2011

1. At least a week after the board meeting, after each item on the agenda has been officially disposed of (awarded or declined) in the database, and the contracts have been sent and therefore the database project descriptions updated, run the "Grants - Alpha List by Program Areas 1 and 2" report from the Reports section of Gifts. Use selection criteria Award Date is (date of award). Print the report.

2. Enter the grant information (grantee name, project title, grant amount) from the Gifts report into the meeting minutes according to the agenda Sectors and order of appearance on the agenda of the subsectors.

3. Review Director Affiliations page from board agenda book and add which directors abstained from voting on affiliated grants, i.e. "Mr. Grebe abstained from voting. "

4. Add the Miscellaneous Actions where indicated at the end of the minutes; much can be copied and pasted from the Miscellaneous Actions file page used for the meeting agenda.

5. From the draft minutes just updated, run a tape total of each sector and compare with the Gifts report. If the totals agree, give a copy of the Board minutes with the tape totals attached, the Gifts report of grants by Sector awarded at the meeting, and a copy of the Director Affiliations page to the VP-Finance for review.

6. The VP-Finance will let you know when to give a copy of the draft minutes to the President and VP-Program.

7. Make any changes they request, and give updated minutes along with requested changes to the VP-Finance.

8. She will direct you when to send the minutes to the Secretary of the Foundation for signature. Include a memo asking him to sign the last (signature) page and return it to you to add to a fresh print-out of the previous pages, thereby completing the original minutes.

CHECKLIST FOR HOLIDAY CARDS

√	TARGET DATE	TASK	STAFF
	June	Schedule August photo shoots with Patrick Manning • Directors' photo for annual report and website • Staff photo for annual holiday card and annual report (reminder - need lions without holiday attire for AR photo)	Terri
	August board meeting	Photo shoots • 8:30 a.m. – directors • 2:00 p.m. – staff	Terri
	Late August	Holiday card mailing list to be circulated • Printout from Yvonne • Program circulation by Dionne • Separate copy for External Relations/Bob • Mike Grebe last to review all staff recommendations • Back to Yvonne for updating	Yvonne
	October 1	Get/update staff signatures • Consistency – all informal	Yvonne
	October 15	Get quote from printer • Mailing count from Yvonne • Add 200 (10 cards for each staff member) • Add extra for External Relations? • Terri to approve all quotes	Stephanie/ Terri
	November 1	Transmit files to printer • Mailing list from Yvonne • Separate tab for foreign addresses; printer will <u>not</u> mail • Card with front, inside photo and signatures	Stephanie
	November 15	Mailing date • Check for postage • Printer to mail; all extras to Stephanie	Stephanie
	December 1	Mail foreign cards	Stephanie
	December 1	Email to staff re distribution of 10 cards • Anyone wanting more cards should see Stephanie • Anyone not using their cards should return to Stephanie	Terri

IDENTIFYING CORRESPONDENCE FOR FILING
November 3, 2011

The easiest items to file are those that include a grant ID number, such as the signed grant agreements. Any other item will still need to be verified because some institutions carry over the original ID number on later grants for the same project. We need to record according to the period being reported on, which in our system is usually a new grant each year.

There are many things to consider while identifying which grant a piece of correspondence belongs to. These items could be final or interim financial reports, final or interim programmatic reports, receipts, acknowledgement and thank-you letters, requests for term extensions or approval of budget changes or any other kind of request or update.

First off, you will start in the requests tab of Gifts and search for the organization's name. The search will look at four fields to match your criteria (Name, Legal Name, Sort Name, AKA). It is best not to use too much of the name because the prepositions, dashes and "ampersand versus and" may cause the organization not to be found, so you would need to search again. You may search for acronyms, as they are usually entered in some field of the organization. Look for the most recent grant whose project title refers to the subject of the correspondence. Glance through the grant date column on your screen and be sure the item is dated after the date of award; if not, you could be dealing with an update to a pending request, in which case it should be added to the requirements tab and then filed in the open agency files. The next thing to consider is the timeframe referred to in the letter. The Foundation's Grant Agreement describes the term of the grant as one year from date of first payment. Look at the letter to determine if the contents refer to a timeframe within the most recent grant; if not, check the next one chronologically in line. If the letter you are identifying is dated prior to the first payment for the grant you are looking at, move down to an earlier grant. The grantee cannot report on a grant that has not yet been paid.

Occasionally you may need to search the contacts tab for the name of the signatory. When found, focus and move to the requests tab and proceed with the identification process as above.

If the letter contains a check number, start in the payments tab and search using criteria of "check number equals." When that comes up, focus and move to the requests tab and there is the ID number. If you need to record a receipt, for example, focus on the requests tab and move to the requirements tab. Now you are able to add to one of the existing requirements or create a new one. When you have identified the grant, write the ID number on the correspondence next to the variation of the organization's name as seen in the database.

Some correspondence comes from the project of an organization. You may not know the official name, but you can search for the title the project is known as; it was most likely noted as an A/K/A in the organization's record. (Example: The Foundation for Cultural Review produces *The New Criterion* magazine. Their correspondence usually arrives on *The New Criterion* letterhead. If you search for "The New Criterion" the Foundation for Cultural Review will show up and the project description will be to support The New Criterion magazine. In this case you will need to write the name of the organization under which the project is filed (Foundation for Cultural Review) as well as the ID #, on the letter.

GIFTS INFORMATION	**QUARTERLY BOARD MEETING**
Gifts Coding System	Quarterly Checklist
Gifts Activities Tab	Quarterly Spreadsheet
Gifts Affiliations Tab	Requests Placed on Agenda
Gifts Contacts Tab	Budget Worksheet
Gifts Documents Tab	Review of Committee and Board Books
Gifts Exports Combined with e-Tapestry Exports	Minutes
Gifts Overview (Records, Fields, Relationships, Icons and Commands)	Updating Budget Worksheet & Quarterly Spreadsheet
Gifts Organizations Tab	Board Meeting Agenda
Gifts Payments Tab	Declinations Recommended on Agenda
Gifts Requests Tab	Director Affiliations Page
Gifts Requirements Tab	List of Actions for Board Meeting Minutes
Awarding and Declining Requests in Gifts	Miscellaneous Actions Page
Terminology	Preparation of Board Agenda
	Preparing GPR (Grant Proposal Record) Forms
	Preparing Grant Histories
	Preparing List of Declinations for Agenda
	Grant Summary Page
PROJECTS	
Annual Report	
Logo Procedure	
Holiday Card Checklist	
Updating Outside Source Mail Lists	
Flow Chart	
Prizes	

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509(a)(3) Supporting Organizations	Receipts and Requirements
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Charity Check	Regular Grant Program
Compliance Issues Memo	Grant Cancellations
Compliance Items	Challenge and Matching Grants
Declination Letters	Discarding Declined Files
Expenditure Accounting Responsibility	Discarding Preliminary Requests
Foreign Grantees – Anti-Terrorism Guidelines	Donor Intent
Foreign Grantees – Withholding Tax	Foundation Initiatives
IRS Tax Exempt Status Determination Letters	GCC/Directed Giving Program
IRS Tax-Exempt Code Explanations	Extensions and Budget Changes
Overview of IRS Requirements for Private Foundations	Identifying Grant ID Numbers for Correspondence and Filing Transfers
Yellow Checklist	Grants Recommended on Agenda
Audit	Tracking Gifted Education
Audit Checklist	Award Letters and Grant Agreements
Tax Return	Logging Proposals
Tax Return Checklist	Negative Response to Inquiry Letter
Expenditure Accounting	Off-Cycle Grant Program
Monthly Grant Financial Reports	Positive Response to Inquiry Letter
Qualifying Distributions	Preparing Report Letters
Program Related Investments	Preparing the Pending Log
Director Affiliations Process (Conflict of Interest)	Processing Signed Grant Agreements
Original Committee and Board Minutes	Transfers
Year End Tax Return Cobra Report	Bradley Fellows
	Bradley Prizes
PAYMENT PROCESS	Archiving
Check Cutting Process	Official Description of Programs and Requirements
Check Transmittal Letters	Open and Closed Agency Files
Grant Payment Approval Form	Monthly Checklist
Overview of Grant Payment Process	Overview of Regular Grant Process-Brief
Payment Scheduling Guidelines	Overview of Regular Grant Process-Detailed
Payment Scheduling Procedure	Annual Checklist
Signing Administrative Checks	Using PaperVision to Access Archived Grant Files
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Use table of contents & index!!!

GRANTS ADMINISTRATOR MANUAL

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October 26, 2011

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IRS TAX-EXEMPT STATUS DETERMINATION LETTERS

January 11, 2012

Every grantee's IRS tax-exempt status determination letter is kept permanently on file, in hard copy and as a scanned document.

As the Program Assistant logs the proposals, she sets aside the determination letters for the Grants Administrator, who will hold them until the request is declined or recommended for award. They are kept in the alphabetical file located in the bottom left drawer of her desk. If the letter is from an organization recognized as a current grantee, she can check the date on the letter against the organization's most recent determination letter, which is noted in the organization's tax screen Field "Registration Date;" it can also be found in the H:\\Records\Grants\IRS Det Lets\Directory-first letter of the organization's name. If the date on the letter is the same or earlier than what the database contains, discard the letter. If the date on the letter is more recent than the database entry, it needs to be updated.

Here's how to enter or update a grantee organization's tax record *[Exhibit H]*:

A. Open the organization's record and move to the tax screen.

B. Complete or verify the organization's legal name.

C. Enter or verify the Employer Identification Number (EIN) – referred to as the "Tax ID" Field in Gifts.

D. The Registration Date represents the date of the most recent determination letter we have on file. If this field is empty (and the organization is not foreign), place a note (req det let) in the payment field of the request to remind you to ask for it in the award letter or check transmittal letter.

E. Select your name from the pull down menu of the Last Verified By field; tab to the next field.

F. Use the F3 key to insert the current date into the Last Verified On field; this is also the date that will pull into the Yellow Checklist if it is needed.

G. If this is a new entry, tabbing to the next field will automatically pull in the current date and change it to the next year in the Next Verification On field. If there already was a date here, F3 for the current date, "end" key and backspace once; type last digit of next year.

H. In the Tax Status area, enter each tax status code found on the most recent determination letter *[I]* by using the pull-down menu on each line, followed on each line by the date of the original determination letter, or current letter if original date unknown.

I. The first line should be 501(c)(3), the second should start with 509(a)(1 or 2 or 3), the third line would probably be 170(b)(1)(A) (vi or i-v). If the second line is 509(a)(3), the Type must also be selected, if known at this time. [If not known, a letter requesting this information must be sent to the grantee if a grant is awarded.] If covered under a group exemption, note the group number, if available, in the notes field to the left.

J. If the determination letter indicates a private foundation (PF) or private operating foundation (POF), select accordingly. Select Foreign on the first line if the organization is international or foreign. For either of these types, be sure the "Exp-(*type*)" code is used in the "Internal Program" field of the organization's coding tab. Also, verify or enter the same Expenditure Accounting code in the "Internal Program" field on the codes tab of the request, if there is one pending or one has been awarded during the year.

K. The letter you are entering should then be stamped with the red ENTERED stamp and the name highlight with a yellow marker. Scan the new letter as a tif file.

L. The scanned document will arrive in your email. Open and save it using an abbreviated name in the H:\Records\Grants\IRS det let directory; close the file. Then, open the existing file that uses the complete name of the organization, selecting from the A-Z directory according to first letter of the organization's name *[Exhibit J]*. It will open in the e-Copy Desktop software. Click on the "view all" icon and place the cursor on the last page. From the top menu, select Edit and Insert File, selecting the file you just saved with the abbreviated name. While in the "view all" layout, arrange the pages by dragging them so that the newest are first. Save the updated file with the organization's complete name (as it was when you opened it) and delete the email. If no determination letter was on file, save the scanned file directly to the appropriate alphabetical directory using the organization's full name.

M. File the determination letter in the permanent file located in the bottom drawer of the lateral file cabinet in the office of the Grants Administrator. If other letters are already on file for the organization, staple the new copy to the top of the existing determination letter(s).

<u>To purge the holding file:</u>

After each board meeting, go through the alphabetical file holding the determination letters that were sent in with proposals. Search Gifts for the ID# on the determination letter. If the database indicates the request has been declined, discard the determination letter. If the database indicates the request is "Pending Staff Review" or "Preliminary," return the letter to the alphabetical file. If the request disposition is "Active Grant" or "Staff Recommends," focus on the request and move to the organization tab. Double-click to open the record; move to the Tax Status screen; continue as above to update or complete the tax record.

Determination letter not on file:

The IRS tax exempt status determination letter should be requested as soon as the grantee's proposal is placed on the agenda as a recommendation. If the letter is not already on file, send letter of request and search Charity Check as usual.

If organization has not received final determination letter, ask for copy of letter of application for our file, requesting they send the letter when received.

If the signed agreement is received and the payment could be released, request approval from the VP-Finance to release payment with a request to send the determination letter immediately; also, let her know whether or not the organization was found in Charity Check.

If determination letter requested with the check transmittal letter is not received in three weeks, follow up with grantee or ask program staff for assistance in procuring the letter.

Expenditure accounting may be required at year-end for grantees not providing their IRS letter, or not providing it before payment was released, as determined by VP-Finance. The Internal Program code to use is "Exp Resp – New Org applied to IRS" and will pull into the appropriate reports.

POTENTIAL COMPLIANCE ISSUES
February 1, 2012

After completing the pre-board meeting compliance steps, prepare a memo to the VP-Finance providing information on any potential compliance issues of the requests being recommended for award at the upcoming meeting. Indicate name of the staff member preparing the write-up for each item included in the memo. Also include actions you will be taking for each situation.

Items to include are:

1. Organizations for which we do not yet have an IRS determination letter on file; note what status is found in Guidestar, if any.

2. All 509(a)(3) organizations: indicate Type 1, 2, 3 and functionally integrated or not.

3. Non 501(c)(3) entities.

4. Foreign grantees recommended; include whether or not the grantee is current in responding to expenditure accounting requests.

Below is the access information to access the **entire contents** of the Milwaukee Journal-Sentinel Online and Digital Editions. The Bradley Foundation is granted access to the entire contents of the *JSOnline.com* because we have multiple copy subscriptions to the Monday – Friday editions and a subscription to the Saturday-Sunday editions. The access information allows you to access both the Online version of the paper and the Digital version of the paper. Without this information you are limited to **viewing only 20 *JSOnline* articles per month**.

Please contact me if you have any questions or comments about this. I will keep this information, so if you need it please contact me.

Bill

Milwaukee Journal-Sentinel Online/Digital Edition Access Information

Login: lhbradley (all lowercase)
Password: lions1995 (all lowercase)
Milwaukee Journal-Sentinel web address: http://www.jsonline.com/

Instructions to Navigate the Milwaukee Journal-Sentinel Online Edition

The **Login icon** is located in the upper right hand corner of JS Online's web page and is in a row that looks like this:

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Site Profile: Sign in | Create account"

Click on the Login icon and use the access information above to access the JSOnline. Once in the line will appear as (notice "Login" changed to "Logout"):

"JS Everywhere Subscription: Logout | Subscribe | Manage Subscription| Help
Site Profile: Sign in | Create account"

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Find the "Manage Subscription" icon in the upper right hand corner in the row that looks like:

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Site Profile: Sign in | Create account"

Click on the "Manage Subscription" icon.

Locate the “Electronic Edition” icon on the far left hand corner of the page. It should look like (See below):

“ELECTRONIC EDITION”

Locate the “Access e-EDition” icon located below the “Electronic Edition”. It should look like (See below):

“Access e-Edition

Click on the “Access e-Edition” icon to get to the digital replica of the paper. You will have to click “Submit” on today’s date for today’s paper.

Again, please let me know if you have any problems.

Bill

PS s/b able to modify proj descript, chane $rec, chg p.a. code to subsector,

Imperative I be informed when changes are made to rec$!! affects many other reports, and pay sched.

DK: simple to place chrons in individ file folders v. all in one for SR to sort out; think toward next person's part and make is easier for them.

GIFTS: WOULD LIKE TO BE ABLE TO DELETE A LIST (ON SCREEN) WITHOUT OPENING EACH RECORD. (BATCH DELETE) ADDITIONAL CODES TO CHANGE BY BATCH.

ORIGINAL COMMITTEE MINUTES
February 15, 2013

1. Expect to receive original, signed committee minutes within two weeks of each committee meeting; if not received, follow up with staff.

2. Track receipt of the minutes in the document "H:\ Records\Permanent Records\Record Retention\Minutes-Record.xls."

3. Make five copies of each of the ***Sector Committee*** meeting minutes (Legacy, Implementation and Impact, Ideas and Institutions, and IRA); set copies aside in the labeled folders located in the second drawer of the Grant Administrator's vertical file cabinet:

    A. One copy in each of the two "save for auditors" files

    B. One copy in each the two "committee minutes to verify" files

    C. One copy for the Controller (used to document director attendance at meetings in order to pay director fees); provide the copies to her the first week following the end of the quarter

4. Make four copies of each for the ***Finance and Audit Committee*** meeting minutes and set aside in the labeled folders in the second drawer of the Grant Administrator's vertical file cabinet:

    A. A copy in each of the two "save for auditors" files

    B. A copy for the Controller

    C. A copy in the synopsis folder (to use later along with a note requesting what information should be included in the synopsis booklet)

5. ***Encounter*** minutes will need only three copies:

    A. One each in the "save for auditors" file

    B. One for the Controller

6. The ***Nominating and Personnel*** committee minutes are kept by the VP-Administration.

7. ***Board minutes*** need six copies:

    A. One copy in each of the two “save for auditors” files

    B. One in the Controller’s file

    D. One for the VP-Finance

    E. One copy in the synopsis folder (to use later along with a note requesting what information should be included in the synopsis booklet)

    C. One for the Grants Administrator’s quarterly file

    D. One goes immediately to the Office Assistant to be copied for the next board meeting agenda book

8. Each original committee and board meeting minutes should be three-hole punched and placed in its corresponding binder located in the second drawer of the fireproof file cabinet in the file room on the second floor of the Lion House.

9. Update the synopsis booklets accordingly; return the minutes, and any pages updated, to the VP-Finance for approval.

10. Currently experimenting with scanning the signed minutes to PDF file and storing in the current year directory on the H:\WPDATA drive.

PREPARING MISCELLANEOUS ACTIONS
PAGE FOR BOARD AGENDA BOOK
June 22, 2011

1. It is important to maintain notes on an ongoing basis in regard to changes made to grants. Activities such as an award increase or decrease, refunds, transfers, cancellations, commitments activated, emergency grants authorized by poll of directors via telephone, email, memo, and off-cycle grants need to be reported at the next board meeting via the Miscellaneous Actions page. A file folder containing a "note for the file" is kept for this purpose in the bottom left drawer of the Grant Administrator's desk. Place a copy of every "note for the file" created in this folder. A "note for the file" is also placed in the monthly reports notes folder (located next to Misc Actions folder) and in the grantee's closed agency file.

2. This report (which comprises a tab in Section 5, Informational Material) needs to be prepared about five days prior to the books being distributed to the directors, which is usually 10 days prior to the Board meeting.

3. Open the previous meeting's file (i.e. "H:\WPDATA\year\MISC actions [date].doc;") and save as, changing the date part of the name to the current meeting date, and change the date content of the page.

4. Present information in following order:

   A. Grant Commitments Activated/Challenges/Matches Met
   B. Refunds, Cancellations, Transfers, Adjustments
   C. GCC Grants (Directed Giving).
   D. Miscellaneous

5. For GCC information, search Gifts database for appropriate time-frame; print, work from this list to type in the table on the Misc Actions page. Be sure to change the totals accordingly.

6. Enter any other data that might be needed.

7. This page should be given to the VP-Finance, along with the Director Affiliations page and its back-up, for approval – after which you will provide these pages to the President for approval, and then give to the Office Assistant to be copied for the agenda books.

MONTHLY GRANT RECONCILIATION

October 31, 2011

For ease, run these **Gifts reports** in the following order:

1. **Summary of Payments Due**

   Gifts Report to Run: Payments Due Schedule, by Program Area 1

   Criteria: None

   [Use to update: H:\Records\Grants\Grt_Rec\2011\PayDue(month).xls]

2. **Schedule of Appropriations and Payments**

   Criteria: Fiscal year at least 2011 (current year)

   Print three additional copies of the last page – one will be "Lead Sheet" for current month, the other two will be set aside in the file to be used with next month's reconciliation

3. **Current Year Bradley Fellows Awarded Month, Year**

   Gifts Report: Grants Alpha List by Fund

   Criteria: Approval date = this month & coding sheet Fund = current year BF

   Also attach updated BF logs H:\Records\Grants\Bradley Fellows\10-12\BFPA11-12.xlsx (both tabs)

4. **Grant Awards**

   Gifts Report: Grants Alpha List by Fund

   Criteria: Approval date = this month

5. **Grant Summary – Awarded Month, Year**

   Gifts Report: Grant Summary by Fund

   Approval date = this month

6. **Grant Summary – Awarded YTD**

   Gifts Report: Grant Summary by Fund

   Approval date = this year

7. **Summary Bradley Fellows Awarded – YTD**

   Gifts Report: Grant Summary by Fund

   Criteria: Approval date = this year & Fund = current year BF & BF Unassigned

8. **<u>Grant Payments – Month, Year</u>**

Gifts Report: Payments Made by Month

Criteria: Paid date = this month

9. **<u>Gross Grant Payments – Month, Year</u>**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = month; Status = paid

Info: Includes payments, reissues

10. **<u>Gross Grant Payments – YTD</u>**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = this year; Status = paid

Info: Includes payments, reissues

11. **<u>Voided Payments – YTD</u>**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = this year; Status = Void

12. **<u>Voided Payments – Month, Year</u>**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = month; Status = Void

13. **<u>Reissued Payments – Month, Year</u>**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = month & *Advanced:* Payments Notes Field contains "reissue"

14. **<u>Reissued Payments – YTD</u>**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = this year, *Advanced*: Change current month to Jan & Payment Notes Field contains "reissue" (same as #13).

15. **<u>Refunds – YTD</u>**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = this year & Status = Refund

16. **Refunds – Month, Year**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = month & Status = Refund

17. **Net Grant Payments – Month, Year**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = month & Status = no refunds

18. **Net Grant Payments – YTD**

Gifts Report: Summary of Paid Payments by Fund

Criteria: Paid date = this year & Status = no refunds

19. **Grant Payments by Wire – YTD**

Gifts Report: Payments made by Month

Criteria: Paid date = this year & Wire transfer = yes

20. **Grant Payments by Wire – Month, Year**

Gifts Report: Payments made by Month

Criteria: Paid date = current month & Wire transfer = yes

21. **Grant Aging**

Gifts Report: Grant Commitments Schedule

Use last page of the report

22. **For Cash Flow**

Gifts Report: Payment Status Summary by Fund

Criteria: Date range of each month from next through end of year (Dec = 1-30; Pending = 31st)

Gifts payments tab: Disposition = pending & Schedule date = this year; then

Disposition = pending, Schedule date = next year (both for recommendations on next agenda)

Current month paid amount (report previously run)

Reports not run from Gifts to prepare:

1. **Grant Reconciliation**

   Update H:\Records\Grants\Grt_Rec\2011\Grant Reconciliation 2011.xls

   Copy previous month tab and place as next tab; rename tab to current month.

2. **Lead Sheet**

   On the last page of the Schedule of Appropriations and Payments, write the name of the month to the left of the column totals, and "Lead Sheet" at the top left margin. Using the additional copy of the last page of the "Schedule of Appropriations and Payments" report set aside from last month, write last month's column totals beneath the current month's column totals; subtract and write difference under each column.

These should be done the day before so there is time to fix anything that does not agree:

3. **Budget Worksheet-Summary**

   First, be sure to update H:\WPDATA\2011 Board\BUDWKS11.xls and Agenda Spreadsheet.

   Complete the verification page (H:\Records\Grants\Budget\2011\Verify-xxx) indicating the Worksheet balanced with Gifts and the Excel spreadsheet, attaching Gifts reports used for verification; omit verification page if no recommendations have been placed on the next agenda.

4. **Grant Commitments**

   Update H:\Records\Grants\Grt_Commit\GRTCOM11.xls

Provide to VP-Finance in this order:

1. Grant Reconciliation
2. Lead Sheet
3. Grant Summary (page that goes in the Board agenda book)
4. Grant Summary – Awarded Month
5. Grant Summary – Awarded YTD
6. Summary Bradley Fellows Awarded – YTD
7. Current Year Bradley Fellows Awarded Month & Year, with both tabs of updated BF log attached (H:\Records\Grants\Bradley Fellows\10-12\BFPA11-12.xlsx)
8. Gross Grant Payments – Month
9. Gross Grant Payments – YTD
10. Voided Payments – Month
11. Voided Payments – YTD
12. Reissued Payments – Month
13. Reissued Payments – YTD
14. Refunds – Month
15. Refunds – YTD
16. Net Grant Payments – Month
17. Net Grant Payments – YTD
18. Grant Payments by Wire – Month
19. Grant Payments by Wire – YTD
20. Grant Aging
21. Summary of Payments Due
22. Grant Commitments
23. Budget Worksheet-Summary
24. Cash Flow

These will be returned to you when approved. Then make appropriate copies and distribute:

VP-Finance: Return only the Reconciliation, Lead Pages, and Grant Summary

Controller: Reconciliation, Lead Pages, Grant Summary

Accountant: Grant reconciliation, Lead Pages, Grant Summary, all summary reports previously provided to VP-Finance

Bind: In 3-ring binder using index and tabs 1-10, bind the grant reconciliation, including all detail and summary reports

MONTHLY GRANT RECONCILIATION

June 29, 2012

For ease, run these **Gifts reports** in the following order:

1. **Payments Due Schedule, by Program Area 1**

   Criteria: None

   Title: ***Summary of Payments Due***

   [Use to update: H:\Records\Grants\Grt_Rec\2012\PayDue(month).xls]

2. **Schedule of Appropriations and Payments**

   Criteria: Fiscal year at least 2012 (current year)

   Title: None-inserted automatically

   Print two additional copies of the last page – one will be "Lead Sheet" for current month, the other one will be set aside in the file to be used with next month's reconciliation

3. **Grants Alpha List by Fund**

   Criteria: Approval date = this month & coding sheet Fund = current year BF

   Title: ***Current Year Bradley Fellows – Awarded Month Year***

   [Also attach updated BF logs H:\Records\Grants\Bradley Fellows\12-14\BFPA12-13.xlsx (both tabs)]

4. **Grants Alpha List by Fund**

   Criteria: Approval date = this month

   Title: ***Grant Awards – Month Year***

5. **Grant Summary by Fund**

   Criteria: Approval date = this month

   Title: ***Grant Summary – Awarded Month, Year***

6. **Grant Summary by Fund**

   Criteria: Approval date = this year

   Title: ***Grant Summary – Awarded YTD***

7. **<u>Grant Summary by Fund</u>**

Criteria: Approval date = this year & Fund = current year BF

Title: ***Summary Bradley Fellows Awarded – YTD***

8. **<u>Payments Made by Month</u>**

Criteria: Paid date = this month

Title: ***Grant Payments – Month, Year***

9. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = this month; Status = paid [Info: Includes, reissues]

Title: ***Gross Grant Payments – Month, Year***

10. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = this year; Status = paid [Info: Includes payments, reissues]

Title: ***Gross Grant Payments – YTD***

11. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = this year; Status = Void

Title: ***Voided Payments – YTD***

12. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = month; Status = Void

Title: ***Voided Payments – Month, Year***

13. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = month & *Advanced:* Payments Notes Field contains "reissue"

Title: ***Reissued Payments – Month, Year***

14. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = this year, *Advanced*: Change current month to Jan & Payment Notes Field contains "reissue" (same as #13).

Title: ***Reissued Payments – YTD***

15. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = this year & Status = Refund

Title: ***Refunds – YTD***

16. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = month & Status = Refund

Title: ***Refunds – Month, Year***

17. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = month & Status = no refunds

Title: ***Net Grant Payments – Month, Year***

18. **<u>Summary of Paid Payments by Fund</u>**

Criteria: Paid date = this year & Status = no refunds

Title: ***Net Grant Payments – YTD***

19. **<u>Payments made by Month</u>**

Criteria: Paid date = this year & Wire transfer = yes

Title: ***Grant Payments by Wire – YTD***

20. **<u>Payments made by Month</u>**

Criteria: Paid date = current month & Wire transfer = yes

Title: ***Grant Payments by Wire – Month, Year***

21. **<u>Grant Commitments Schedule</u>**

Print entire report plus two additional copies of last page, which will show agreement with "Summary of Payments Due" (item #1 above)

Title: ***Grant Aging***

22. **<u>Payment Status Summary by Fund</u>** [for cash flow projection]

Criteria: Date range of each month from next through end of year (Dec = 1-30; Pending = 31st)

Title: ***(Name of Each Month, accordingly)***

Current month paid amount (report previously run)

Reports not run from Gifts to prepare:

1. **Grant Reconciliation**

   Update H:\Records\Grants\Grt_Rec\2012\Grant Reconciliation 2012.xls

   Copy previous month tab and place as next tab; rename tab to current month.

2. **Lead Sheet**

   On the last page of the Schedule of Appropriations and Payments, write the name of the month to the left of the column totals, and "Lead Sheet" at the top left margin. Using the additional copy of the last page of the "Schedule of Appropriations and Payments" report set aside from last month, write last month's column totals beneath the current month's column totals; subtract and write difference under each column.

These should be done the day before so there is time to fix anything that does not agree:

3. **Budget Worksheet-Summary and Verification**

   First, be sure to update H:\WPDATA\2012 Board\BUDWKS12.xls and Agenda Spreadsheet.

   Complete the verification page (H:\Records\Grants\Budget\2012\Verify-xxx) indicating the Worksheet balanced with Gifts and the Excel spreadsheet, attaching Gifts reports used for verification; omit verification page if no recommendations have been placed on the next agenda.

4. **Grant Commitments**

   Update H:\Records\Grants\Grt_Commit\GRTCOM12.xls

   Remember to include Bradley Fellows

Provide to VP-Finance in this order:

1. Grant Reconciliation
2. Lead Sheet
3. Grant Summary (page that goes in the Board agenda book)
4. Grant Summary – Awarded Month
5. Grant Summary – Awarded YTD
6. Summary Bradley Fellows Awarded – YTD
7. Current Year Bradley Fellows Awarded Month & Year, with both tabs of updated BF log attached (H:\Records\Grants\Bradley Fellows\10-12\BFPA11-12.xlsx)
8. Gross Grant Payments – Month
9. Gross Grant Payments – YTD
10. Voided Payments – Month
11. Voided Payments – YTD
12. Reissued Payments – Month
13. Reissued Payments – YTD
14. Refunds – Month
15. Refunds – YTD
16. Net Grant Payments – Month
17. Net Grant Payments – YTD
18. Grant Payments by Wire – Month
19. Grant Payments by Wire – YTD
20. Grant Aging
21. Summary of Payments Due
22. Grant Commitments
23. Budget Worksheet-Summary
24. Cash Flow

These will be returned to you when approved. Then make appropriate copies and distribute:

VP-Finance: Return only the Reconciliation, Lead Pages, and Grant Summary

Controller: Reconciliation, Lead Pages, Grant Summary (advance copy of cash flow)

Accountant: Grant reconciliation, Lead Pages, Grant Summary, all summary reports previously provided to VP-Finance

Bind: In 3-ring binder using index and tabs 1-10, bind the grant reconciliation, including all detail and summary reports

NEGATIVE INQUIRIES
October 31, 2011

Applicants are requested to submit a preliminary letter of inquiry to the Foundation in order to determine whether their project falls within the Foundation's mandate. If it is determined the project does not fall within the mandate or is not of interest to the Foundation, the inquiry letter will be designated "negative" and an Out-of-Mandate letter is sent after creating a database entry and file folder.

1. Starting in the Organizations tab of Gifts, search for the organization name on the letter of inquiry.

    A. If not found, create a new organization record by choosing the blank paper icon (the middle one) and completing the first screen, including primary contact, before moving on to step 2. [Also, see Organizations Tab in Gifts section]

    B. If found, focus on it and select the Request tab. Check for duplicate entry.

    C. If no entry found for the project, create a new request. [See next step and also Requests Tab in Gifts section]

2. To create a new request in Gifts, tab between the fields, making the following entries:

    A. Status = O.M.

    B. Primary contact = person who sent in request

        i. If name not found, create a new contact record [see Contacts Fields in the Gifts section for directions]

        ii. If name is found, select it.

    C. Short project description should be entered (it always starts with "To support")

    D. Staff = your name

    E. Date = current date (F3)

    F. Amount requested, if known

3. Move to the Affiliations tab. If more than one person signed the letter, add the additional names, selecting "additional contact" as the affiliation type code. Update the contact's address if needed.

4. Stamp the request with a "date" stamp and the red "entered" stamp.

5. Make a file folder label:

    A. Type in all caps: ORGANIZATION -- CONTACT (PROJECT DESCRIPTION) ID#(as assigned by Gifts)--O.M. DECLINED, DATE. Place an X on the bottom right corner of label if this entry was a new organization and therefore needs a hanging file folder label.

    B. Highlight *ID #, O.M. Declined, Date* with blue marker (this makes the file easier to find when it is time to removed it from the file cabinet).

6. Return to page 1 of the request record.

    A. Decline the request by selecting the red "X" icon at the top set of icons.

    B. As you move through the declination screen, choose OM for declination reason and status; okay the screen.

7. Now that the request has been declined, select the letter icon at the top of the screen.

    A. Choose "Neg Inq" letter (according to who will sign the letter).

    B. The "record activity" should be selected, but "save to disk" should not be.

    C. Review the merged letter, edit if necessary, print on letterhead.

    D. Create and print the envelope by selecting Word's envelope icon at top of screen.

    E. Dispense the letter to be signed.

    F. When signed, make two copies: one for the chron file and one for the agency file you just created.

8. Place the file folder to be filed in the closed agency filing area.

9. Occasionally Dan may want to use his own text in a special out-of-mandate letter. Create the letter as usual, but select "keep document permanently on disk" since this letter is not a form letter. Change the text accordingly in the merged letter. Create envelope. Print letter and envelope. Save upon exit.

NO INDIVIDUAL DECS
October 31, 2011

Occasionally, individuals write seeking funds for their personal needs. The Foundation does not grant to individuals, only to 501(c)(3) non-profit organizations. For this type of negative inquiry response use the "No Individuals" letter in the same manner as a regular out-of-mandate.

1. To enter the proposal in the database, search organizations tab for "individual decs" and select Individual Declinations using the current year as the organization name; focus.
2. Move to the contacts tab. If name not found, create a new contact by selecting the blank sheet of paper icon on row beneath the tabs; be sure to select Home Address as primary mailing address.
3. Proceed to the requests tab and create a new request (the sheet of paper icon).
4. The organization will be Individual Decs – current year, and the primary contact will be the contact you just created (unless it had already existed, of course). Either way, the primary contact will be the name of the person who signed the inquiry letter.
5. Prepare grant file folder in the usual format, except use "INDIVIDUAL DECS" as the organization name followed by "—" then the name of the individual (last name, first name) and continue on with the label as usual.
6. Decline the request by selecting the red "X" icon at the top set of icons in Gifts.
7. As you move through the declination screen, choose OM for declination reason and status; okay the screen.
8. To merge the response letter, select "no individuals" from the pull-down menu of the correspondence icon. The letter will merge and open in Word.
9. Review the merged letter, edit if necessary, print on letterhead.
10. Create and print envelope by selecting Word's envelope icon at top of screen.
11. Make two copies of the signed letter.
12. Place the request in the file folder, along with a copy of the declination letter, and place it to be filed in the closed agency files by the Office Assistant.
13. The other copy of the letter should go in the signatory's chron file, also to be filed by the Office Assistant.

<u>OFF CYCLE GRANT AWARDS</u>

May 10, 2011

Off-cycle grants are processed exactly the same as regular board-awarded grants, with the addition of the Off-Cycle Authorization Form as verification of the Directors authorization. (See attached.) The completed form will be permanently attached to the grant file folder when the grant is purged after being paid.

The Program Assistant logs the proposal in the database, which will generate an ID number. The file folder is created and a letter of acknowledgement may or may not be sent to the requestor on behalf of the VP-Program or Director of Academic, International and Cultural Programs. (If the IRS Determination Letter is sent with the proposal, it is set aside for the Grants Administrator to process at another time.) It is important that the top five code fields on page two of the request's record be completed.

The assigned Program Officer prepares the GPR recommendation form from Gifts as usual. The form can be found at: H:\WPDATA\Forms\Off Cycle Authorization and printed out to be completed in ink, or saved using the grantee name in the file name and then entering the data accordingly.

After printing the Charity Check report from Guidestar, the Grants Administrator prepares the yellow checklist, attaching a copy of the report to it. She then updates the organization's tax record in the database. It is important to change the date of verification on the tax screen, along with any other information that may have changed. If the Foundation does not already have a copy of the IRS tax exempt status determination letter, a note should be made in the Notes field of the payment record so it can be requested at the time of payment.

The new award is entered in the appropriate sector of the budget worksheet by the Grants Administrator, who will also complete the coding and schedule the payment.

A copy of the Off-Cycle Grant Authorization Form is placed in the miscellaneous actions folder in order to be included in the Miscellaneous Actions section of the upcoming Board Agenda Book.

To award the grant in Gifts:

Search Gifts for the request to be awarded.
Double click to open the record.
Be sure the Purpose of the Grant field is completed and the grant amount is entered in the Recommended Amount field.
The Meeting Date field should be left empty.
Complete the coding tab (Program Area; Fund = Regular; Population Served is AR unless it is in Wisconsin, then select WI).
Schedule the payment by moving to the payment tab and entering the amount and date; select Hold at the top of the screen, then save and close.
Click the green check mark icon at top of the screen. (If not green, look to see if the box marked "proposal complete" is checked.)
The award date is the current date, which the system defaults to.
The recommended amount pops into the grant amount field; change if different.

To prepare the Grant Agreement and Award Letter:

With the grant open or highlighted, choose Award Letter w/Pay Schedule (according to signer: Dan, Dianne). Move through each screen, being sure to select “record activity” and “save file to disk”. The system will merge the database information with the award letter template and you will proceed to edit it in Word.

Following the same process, select Grant Agreement-New according to who the signer will be. Again, move through each screen, being sure to select “record activity” and “save file to disk”. The system will merge the database information with the award letter template and you will proceed to edit it in Word.

Give both items to the appropriate person to sign. Make two copies of all, one for the chron file and one for the agency file. Send or mail as directed (fax, email, US mail, Fed Exp).

To verify tax status:

Move to the grantee’s organization record (Organizations tab). Open the record, move to the tax status screen. Copy and paste the organization’s tax ID number into Guidestar’s search field. (If the number isn’t available, search Guidestar by organization name.)

Use the following web address (http://www2.guidestar.org/Home.aspx) to open GuideStar and use Charity Check. On Yvonne’s computer, the user name and password are stored and automatically filled in. In Guidestar’s search field, enter the EIN found in the tax record screen of the grantee organization, or search by organization name if EIN not available.

When found, select print charity check report. Set the printed copy aside to be attached to the back of the yellow checklist. In the tax status screen, update the last verified by (select your name from the drop-down list), last verified on (current date-just press F3), and next verification due (one year from current date-F3 and change year). Enter any missing information, i.e. the EIN or tax status codes. The registration date field indicates the date of the most recent copy of the determination letter the Foundation has on file. If the field is empty, make a note in the payment record Notes field to request the determination letter when the grant is paid.

<u>Upon receipt of signed agreement:</u>

When the signed agreement is returned, locate the grant and move to the requirements tab. Highlight or select Grant Agreement, select "Mark as Done." Move to the payments tab and double click to open. At the top of the screen choose Action and then "Scheduled." The payment will now be process for the date you originally entered, or it can be changed. When scheduling, keep in mind grant checks are processed on the first and third Wednesdays of each month. If a different pay date is requested, be sure to discuss with the Finance Department.

<u>Payment process:</u>

Prepare the Grant Payment Approval Form for Dan or Mike G. signature; when signed, give to Judy to allow payment to be released.

Sign the check according to standard process.

Prepare the transmittal letter according to standard process. (After check is cut, select or open the payment record. Choose the Regular check transmittal letter, select record activity and save to disk in the process. When merged, edit as needed. Print and give to be signed.

When returned signed, make two copies, one for the chron file and one for the agency file. Place the agency file copy in the grantee's file folder (usually found in the open agency file room) and remove the entire file. The Grants Administrator will purge the file before sending it to be filed in the closed agency files by the Office Assistant.

OFF CYCLE GRANT AWARDS

June 28, 2011

Off-cycle grants are processed exactly the same as regular board-awarded grants, with the addition of the Off-Cycle Authorization Form as verification of the Directors authorization. (See attached.) The completed form will be permanently attached to the grant file folder when the grant is purged after being paid.

Here is an outline of the Off-Cycle process. Further detail is available by reviewing instructions for the related activities.

Log the proposal in the Gifts database. (If the IRS Determination Letter was sent with the proposal, set it aside for the Grants Administrator to process at another time.)

It is important that the top five code fields on the coding page be complete.

Schedule the payments according to standard practice unless directed otherwise.

Create the file folder.

Verify tax status using Guidestar's Charity Check feature and update the organization's tax status record as well.

If the Foundation does not already have a copy of the IRS tax-exempt status determination letter, make a note in the Notes field of the payment record to request it at the time of payment.

Prepare the Yellow Checklist and attach the Charity Check report to the back of it.

The assigned Program Officer prepares the GPR recommendation form from Gifts as usual.

The Off-Cycle Form, found at: "H:\WPDATA\Forms\Off Cycle Authorization," can be printed out to be completed in ink, or, by using the "save as" feature, it can be prepared as a file but be sure to include the grantee name as part of the file name, and enter the data requested. (This form will most likely be added to the merge templates in Gifts.)

Upon receipt of the completed and signed Off-Cycle Grant form, award the request in gifts. (Be sure the Meeting Date field is empty.)

Place a copy of the Off-Cycle Grant Authorization Form in the miscellaneous actions folder in order to be included in the Miscellaneous Actions section of the upcoming Board Agenda Book.

Enter the grant in the appropriate sector of the budget worksheet.

Prepare the award letter and grant agreement as usual.

Change the Hold status of the payment to Scheduled when you receive the signed agreement.

Pay as usual, unless directed otherwise. If directed otherwise, be sure to prepare the Grant Payment Approval Form.

NOTES:

To award the grant in Gifts:
Search Gifts for the request to be awarded.
Double click to open the record.
Be sure the Purpose of the Grant field is completed and the grant amount is entered in the Recommended Amount field.
The Meeting Date field should be left empty.
Complete the coding tab (Program Area; Fund = Regular; Population Served is AR unless it is in Wisconsin, then select WI).
Schedule the payment by moving to the payment tab and entering the amount and date; select "Hold" at the top of the screen, then save and close.
Click the green check mark icon at top of the screen. (If not green, look to see if the box marked "proposal complete" is checked; if not, check it.)
The award date is the current date, which the system defaults to.
The recommended amount pops into the grant amount field; change if different.

To prepare the Grant Agreement and Award Letter:
With the grant open or highlighted, choose Award Letter w/Pay Schedule (according to signer: Dan, Dianne). Move through each screen, being sure to select "record activity" and "save file to disk". The system will merge the database information with the award letter template and you will proceed to edit it in Word.

Following the same process, select Grant Agreement-New according to who the signer will be. Again, move through each screen, being sure to select "record activity" and "save file to disk". The system will merge the database information with the award letter template and you will proceed to edit it in Word.

Give both items to the appropriate person to sign. When signed, make two copies, one for the chron file and one for the agency file. Send or mail as directed (fax, email, US mail, Fed Exp).

To verify tax status:
Move to the grantee's organization record (Organizations tab). Open the record, move to the tax status screen. Copy and paste the organization's tax ID number into Guidestar's search field. (If the number is not available, search Guidestar by organization name.)

Use the following web address (http://www2.guidestar.org/Home.aspx) to open GuideStar and use Charity Check. On Yvonne's computer, the user name and password are stored and automatically filled in. In Guidestar's search field, enter the EIN found in the tax record screen of the grantee organization, or search by organization name if EIN not available.

When found, select print charity check report. Set the printed copy aside to be attached to the back of the yellow checklist. In the tax status screen, update the last verified by (select your name from the drop-down list), last verified on (current date-just press F3), and next verification due (one year from current date-F3 and change year). Enter any missing information, i.e. the EIN or tax status codes. The registration date field indicates the date of the most recent copy of the determination letter the Foundation has on file. If the field is empty, make a note in the payment record Notes field to request the determination letter when the grant is paid.

Upon receipt of signed agreement:

When the signed agreement is returned, locate the grant and move to the requirements tab. Highlight or select Grant Agreement, choose “Action” select “Mark as Done.” Move to the payments tab and double click to open. At the top of the screen choose Action and then “Activate.” The payment is now able to be processed on the date you originally entered, or, the date can still be changed. When scheduling, keep in mind grant checks are processed on the first and third Wednesdays of each month. If a different pay date is requested, be sure to discuss with the Finance Department.

Payment process:

Prepare the Grant Payment Approval Form for Dan or Mike G. signature; when signed, give to Accountant to allow payment to be released.

Sign the check according to standard process.

Prepare the Regular check transmittal letter according to standard process; select record activity and save to disk when moving through correspondence wizard. When merged, edit as needed. Print and give to be signed.

When returned signed, make two copies, one for the chron file and one for the agency file. Place the agency file copy in the grantee’s file folder (usually found in the open agency file room) and remove the entire file in order to purge it before sending to be filed in the closed agency files by the Office Assistant.

OFF-CYCLE GRANT AUTHORIZATION FORM

Please attach the proposal. If the following information is not included in the proposal, please provide the information below to allow processing to begin:

Contact Name:	
Org Name:	
Address:	
City, State, Zip:	
Phone:	
Fax:	
Email:	

Complete this section for all Off-Cycle grants:

Purpose of Grant:		
Grant Amount:		
Budget Sector:		
Program Officer:		
Grant ID #:		Award Date:
Director Affiliation:		
Approved by:		
Approved by:		

(If unable to sign this form, attach email or other confirmation of the Board Member.)

Grant checks are processed on the first and third Wednesday of each month. This grant will be paid on the next check processing date after receipt of the signed agreement. Please indicate any special requests. ____
____

<u>Additional items for the file:</u>

The GPR recommendation form will be prepared by the Program Officer.

The Grants Administrator will prepare and send the grant agreement (which must be signed by the grantee and returned to the Foundation) and the yellow checklist, attaching a copy of the Charity Check report to it. If a determination letter is not on file, one will be requested.

REVIEW OF COMMITTEE AND BOARD BOOKS

1. The review process will take place after the board books have been sent out.

2. Compare the committee minutes to the board agenda book to make sure the board book is consistent with committee minutes for voting abstentions, grantees, and grant amounts.

3. This is in addition to the current review of comparing the dollar amount in the write-up to the cover page.

4. Any differences shuold be noted in writing and given to the VP-Finance for review.

5. VP-Finance will contact VP-Program with differences; VP-Program will bring to board's attention, if necessary.

6. Exception is the IRA committee minutes because the IRA committee meets the same day as the board; a review is not possible until the board meeting is over.

7. The IRA review will be done at the completion of the grant portion of the board minutes.

8. Any differences found should be documented and given to the VP-Finnce for review.

ORGANIZATION SCREENS
July 2, 2012

The Organizations' tab contains information relating to the grantee organization. Search and double-click to open the record.

A. **<u>Organization</u>** is the first screen within Organizations.

1. Name

2. Address (Spell everything out; no abbreviations)

3. City, State, Zip, (Country, if not USA)

4. Phones (Enter as 10-digit number; system will format)

5. Email

6. Website

7. The Primary Contact field identifies the main contact of the organization by attaching the contact's record to the organization's record, and vice versa. T*ype in last name; tab. A list of all of those last names will appear. If correct contact is found, select; if not found, escape and complete the new contact screen (see Contact Codes fields and Contacts Update file).* If <u>changing</u> the primary contact, choose Action, Clear Contact and proceed with new entry as above. This will not change or delete any other affiliations of the contact or of the organization.

B. The next tab is the **<u>tax status</u>** screen. These fields will be completed only if a grant is awarded, and will continue to be updated as additional grants are awarded or if tax status changes.

1. Legal Name = the name as listed on the organization's IRS determination letter. The default is the organization name used on the first tab, but this may be edited, for example, to include "Foundation" after a university's name.

2. The Tax ID number = the EIN (Employer Identification Number). Enter from determination letter or other documentation; having this number will also simplify the Charity Check process.

3. Registration date = Date of the most recent IRS tax-exempt status determination letter that we have on file. If this field is empty, that means we do not yet have a copy of the determination letter.

4. Financial Report Date = used for the date of the organization's most recent financial report. It is not required, but is entered if known; this gives us a clue to the organization's fiscal year – helpful when scheduling payments.

5. Notes can be anything noteworthy.

6. Be sure the box at the bottom left of the screen (Charitable Organization) is checked. This action opens up the tax status fields on the right side of the screen.

7. Previously, the Cumulative Index field recorded the year of the Index Book and page number the organization was listed on in the Cumulative Index, IRS Publication 78. Currently, Guidestar's Charity Check report is run and printed for each grant made, so this line is no longer used.

8. Last verified by = the person who checked the current exempt status (pull-down menu available).

9. The next line indicates on what date it was verified

10. The third line denotes when the next verification is due (one year from verified on date).

11. Several lines are available for tax status.

12. The first status selected should always be 501(c)(3).

13. Within that status are sub-categories. The 509(a)(1) or 509(a)(2) or 509(a)(3) should be the next status listed.

14. If there is further delineation, i.e. like frequently used 170(b)(1)(A)(vi), that should be on the third line.

15. The dates next to each of the exempt status should be the date on which the IRS approved the status, if not available, the date of the most recent determination letter on file will suffice.

C. The **background** screen was designed to contain a brief description of the organization and its work. It could potentially be pulled into any correspondence.

1. We use it for notes, or to record a previous address, or record physical v. mail addresses.

2. The a.k.a. (also known as) field should contain any other names the organization is known by, or perhaps the organization's acronym.

3. The Sort As field will populate itself with all capital letters of the name of the organization as listed on page one of the record. However, make changes as needed.

4. Spell out Saint when page one lists St. (and vice versa)

5. If an organization's name starts with "The," move it to the end, preceded by a comma. Any other alphabetizing should be made clear here.

6. The vendor number will be automatically assigned by the accounting software when the first payment is made.

7. Annual budget field is not used.

8. The United Way box should never be selected.

D. **Wire** transfer tab is available to record banking information if payment will be made by wire. Currently, the finance department has chosen not to use this record.

E. The **coding** tab is important for searching and retrieving specific types of information.

1. The coding fields used in the organization tab will be the default codes when requests for the organization are created.

2. The most important codes for the organization are Conflict and Internal Program because they stay the same for each request; other codes change according to the request.

3. From the Conflict field, select any director affiliated with this organization (information comes from annual Disclosure forms sent by the President and subsequently entered into this field).

4. The Internal Program field is usually Regular Grant, unless the organization is a foreign entity or needs Expenditure Accounting. Note also if the organization is a 509(a)(3)-Type 3 entity.

F. The **affiliations** record is automatically populated by Gifts as names are added to the organization through the Requests or Contacts tabs.

G. **Subsidiaries** are seldom needed; this action creates a parent/child relationship between two organizations.

POSITIVE & PRELIMINARY INQUIRIES
June 20, 2011

Applicants are requested to submit a preliminary letter of inquiry to the Foundation in order to determine whether their project falls within the Foundation's mandate. If it is determined the project is of interest to the Foundation, the inquiry letter will be designated "positive" and a positive inquiry letter inviting them to submit a full proposal will be sent. If designated "prelim" a letter is not sent, but a database entry is made and a file folder prepared.

1. Starting in Organizations tab of Gifts, search for the organization name.

   A. If not found, create a new organization record by choosing the blank paper icon (the middle one) and completing the first screen, including primary contact, before moving on to step 2. [Also, see Organizations Tab in Gifts section]

   B. If found, focus on it and select request tab. Check for duplicate entry.

      i. If "status = pending" request is found, add new correspondence to the existing file or give to the assigned program officer.

      ii. If status = prelim is found, open and update as needed (request date = current; status = pending staff review; request amount = $), pull the file from the open agency files, create new label for the folder, place additional contents in the folder and give to the assigned program officer.

      iii. If no entry is found, create new request. [See next step and also Requests Tab in Gifts section]

2. To create a preliminary request in Gifts, select the blank paper icon (the middle one) and tab between fields, making the following entries on the first screen:

   A. Status = preliminary

   B. Primary contact = person who sent request

      i. If name not found, create a new contact record [see Contacts Fields in the Gifts section for directions]

      ii. If name is found, select it.

   C. Short project description should be entered (it always starts with "To support")

   D. Staff = your name

   E. Date = today's, F3

   F. Amount requested, if known

3. Move to Affiliations tab. If more than one person signed the letter, add the additional names, selecting "additional contact" as the affiliation type code. Update the contact's address if needed.

4. Stamp the request with the "Date" stamp and the red "Entered" stamp.

5. Make a file folder label:

    A. Type in all caps: ORGANIZATION -- CONTACT (PROJECT DESCRIPTION) ID#(as assigned by Gifts)--PRELIM, DATE

    B. Highlight *ID#--PRELIM, DATE* with pink marker.

    C. Place an X on the bottom right corner of label if this entry was a new organization and therefore needs a hanging file folder label.

6. Return to page 1 and create a positive inquiry letter:

    A. Select letter icon on top of screen, choosing the positive inquiry letter to be signed by Dan or Dianne accordingly. This will open Word.

    B. Review merged letter; edit if necessary; print on letterhead.

    C. Create and print envelope by selecting Word's envelope icon at top of screen.

    D. Dispense the letter to be signed.

    E. When signed, make two copies placing one in the chron file and one in the agency file you've just created.

    F. Then, place the file folder in the tray on top of the open agency file cabinet in the file room on the second floor of the Lion House. The Program Assistant will file the folder in the open agency files. The folder will be combined with the full proposal when it arrives.

    G. Correspondence indicated as "Prelim" does not get a letter, just a file folder and database entry.

PROGRAM RELATED INVESTMENTS (PRI's)
May 26, 2011

INACTIVE AT THIS TIME

Enter as a proposal as usual; award procedure is the same as approving a grant.

On page one of the record, choose Type = PRI, and Status = (whatever is applicable) and the remaining fields as usual.

In the Coding tab, use:
  Program Area = None
  Fund = PRI
  Population Served = No
  Internal Program = Exp. Act. PRI

NOTE:
Over the years not all PRI's have been processed through the database. Work with the VP-Finance on the matter.

PROCESSING SIGNED GRANT AGREEMENTS
June 27, 2011

1. When the signed grant agreement (contract) is received, locate the grant in Gifts by searching the Request tab for the ID# found on the contract.

2. Focus and move to the Requirements tab.

3. Click to highlight the "Contract due" requirement. (Gifts automatically generated this requirement as the grants were awarded.)

4. At the very top of the screen, choose Action, Mark as Done, Okay and okay.

5. Next, move to the payments tab and double click to open the payment record(s).

6. At the top of the payment screen, select Action, then Activate; save and close.

7. Stamp the signed agreement with the red "Entered" stamp.

8. Place the agreement in the open agency file area for the Program Assistant to file (if a thank-you letter was also received, staple it behind the three-page agreement).

LOGGING PROPOSALS
December 28, 2011

Currently, proposals going to the Board for a decision are logged by the Program Assistant as part of the regular Sector-budget grants. Other grants not part of the Sector budget are logged by the Grants Administrator.

1. Starting in the Organizations tab of Gifts, search for the organization's name.

   A. If not found, create a new organization in the usual manner, focus on it and move to the requests tab. Proceed with step 2.

   B. If found, focus on the organization name and move to the Request tab.

      i. Check for an entry with a preliminary status for this organization.

      ii. Look at the project description to verify it is the same project as you are now logging.

      iii. If it is the same project, double click to open the record and change the status to "pending staff review." Verify information already entered, changing or adding according to what is found on the proposal. Retrieve the preliminary file folder from the open agency files. Make a new file folder label and place over this one. The proposal currently being logged should now be added to the contents of the preliminary folder.

      iv. If it is not the same project, create a new request (step 2).

2. To create a new request in Gifts, chose the blank page icon and tab between fields, making the following entries on the first screen:

   A. Status = pending staff review

   B. Primary contact = person signing the request

   C. Project title (description) = To support .....

   D. Staff = your name (choose from pull-down menu)

   E. Request date = current (F3)

   F. Enter amount requested, if known

3. Move to Page 2

   A. Note any information that may assist in determining a payment schedule, such as the date of a conference, or project period.

4. Move to the Codes tab

   A. Enter Program Area as noted on letter. If the Program Area code is not entered, the proposal will not pull into the log. Do not use a secondary code (program area sub-sector). The Program Staff will determine the sub-sector category when and if the proposal is recommended for approval.

   B. Fund = Regular

5. Move to the Affiliations tab

   A. Add additional affiliations, such as additional persons signing the letter, or administrative contacts as in the case of many universities. Select an appropriate code from the pull-down type menu to describe the relationship with this grant.

   B. Verify the primary contact's address is correct as found on the correspondence; if not, choose edit contact and make necessary changes.

6. Move to the Requirements tab

   A. If the IRS determination letter, budget, financial statement, or annual report was included with the proposal, note this by creating a new requirement. Select "new" from the bottom of the screen and enter:

      i. Staff = you

      ii. Type will be selected from the pull down menu according to item

      iii. Date = current (F3)

      iv. Comments field available as needed

      v. Write the ID # at the top right edge of any tax related information and give these items to the Grants Administrator when logging for the day is complete.

7. Stamp the request with the date stamp and the red "entered" stamp.

8. Make a file folder label:

   A. Type in all caps: ORGANIZATION -- CONTACT (DESCRIPTION) ID#--------(sector), DATE LOGGED
   B. If no grants have been awarded in the past five years, or decs in the past two, or O.M.s in the last one for this organization, place an X on the bottom right corner of the file folder <u>label</u> to indicate a hanging file folder label should be made after the request is decided and has been sent to the closed agency file area.

9. Return to page 1 and create an acknowledgment letter:

   A. Choose “send letter” from the top of the record screen.

   B. Select the appropriate acknowledgment letter according to whose sector the request falls into.
      i. When tabbing through the correspondence screen, choose “create an activity” but not “keep letter on disk” because it is a form letter.

      ii. Select finish; this will open Word and merge the letter.

   C. Edit if necessary; print on letterhead.

   D. Create and print the envelope.

   E. Dispense the letter for signature.

   F. Make two copies, placing one in the chron file of the signatory and one in the agency file you just created.

10. The file folder should now contain the copy of the acknowledgment letter, all material sent in with the proposal, and the contents of the preliminary file folder, if any.

11. Pass the file folder on to the appropriate member of the program staff. Currently, the Legacy sector prefers their logged proposals to be placed on top of the open agency file cabinet until they review them. File these only when placed in the file tray.

PREPARING THE PENDING LOG
June 20, 2011

FRESH LOG
After a board meeting, when decisions have been entered into the database as to awards and declinations and therefore the proposals are no longer pending, run a fresh log of pending items. The log may be added to with periodic updates until the next meeting cycle is complete. To run the fresh log:

1. From Reports section of Gifts, Choose View, Apply/Edit Views, "Fresh Pending Log"

2. Run a new search using the following criteria:

   A. Disposition = Pending

   B. Request Status Does Not = Preliminary

   C. Note: There is no date range as all items are needed.

3. Select all and choose the printer icon.

4. Click the Report Title icon. Change title (first line), if needed.

5. Under Sorting/Grouping, choose Group, and Print Group Heading.

6. Under Page Set Up, choose Landscape and Repeat Title

7. Click the Run Report icon.

8. Print the report.

9. Distribute a copy to each member of the program staff, and President's Assistant, keeping a copy for yourself.

PREPARING THE PENDING LOG

June 20, 2011

<u>LOG UPDATE</u>

Periodically, you may want to add proposals recently received to the existing log:

1. From the Reports section of Gifts, select "Log using new program areas."

2. Run a new search using the following criteria:

   A. Disposition = Pending

   B. Request Status Does Not = Preliminary

   C. Request Date = is after (select the day the complete log was prepared)

3. Click the Report Title icon. Change the first line to read: Update to Pending Log.

4. Under Sorting/Grouping, choose Group and Print Group Heading.

5. Under Page Set Up, choose Landscape and Repeat Title.

6. Click the Run Report icon to print the report.

7. Distribute a copy to each member of the program staff, and President's Assistant, keeping a copy for yourself.

PURGING DECLINED OPEN AGENCY FILES
November 17, 2010

- When a copy of the letter of declination is filed (7-10 days after the Board meeting), the file folder is then removed from the open agency files.
- If the folder needs a hanging file folder created, it is given to the Receptionist to make one, after which she will leave it in the closed agency filing area to be filed by the Office Assistant.
- If a hanging file folder is not needed, it is taken directly to the closed agency filing area to be filed by the Office Assistant.
- The declination file turned down at a board meeting may be discarded after two years from the date of decision. These files will have "Dec" and the meeting date written in red ink.
- An Out-of-Mandate declination file may be discarded after one year from the date of decision. They will have "O.M. declined" and date highlighted with blue marker.
- On the first or second business day of each month, the Grants Administrator prepares a Gifts report listing all files currently in need of being discarded.
- To run the report, open the Reports section of Gifts. In the Requests (or Favorites) section, use the report named "Decs to remove from dead files."
- Each month as you run the reports, choose "Select Search" and change the selection criteria by one month for each of the searches: O.M./Other Decs and Turned Down Decs.
- After making the changes, select and run each report, editing the title appropriately.
- The report is given to the Office Assistant in order for her to remove the files from the closed agency files.
- She will place the contents of the file folders in the shredding bin, and return any folders or clips back to stock to be used again.

PURGING PRELIMINARY REQUESTS

July 26, 2011

Preliminary inquiries are kept two years. Each February, run a list from the Request tab of Gifts, searching for Status = Preliminary and Request date is before 1/1/Year (year is two years prior, i.e. Feb of '06, date is before 1/1/2004).

Remove each file on the list from the open agency files and discard contents into the shredding box, saving clips and folders to be reused.

Return to the list on the Gifts screen. Open and delete each entry to purge the database of this information (top left of the request screen, choose file, delete).

Permissions to delete a request are needed for this task.

This is done only once a year.

USE OF THE QUARTERLY SPREADSHEET
October 26, 2011

The Quarterly Spreadsheet provides a method of tracking the many requirements of each grant recommended on the agenda. A weekly comparison with the Gifts database will let you know when changes, additions or deletions have been made by the Program Staff; you will need to make the changes on this spreadsheet as well.

1. The Grants Administrator prepares an Excel spreadsheet (H:\WPDATA\2011 Board\A-2011.xls) for the year that contains a tab for each board meeting.

2. As each meeting approaches, the Program Staff informs the Program Assistant of the recommendations. The Program Assistant lists these items on the appropriate Sector Tab in the Budget Worksheet. She also applies the "Staff Recommend" code to the status type field on Page 1 of Gifts, completes the amount recommended and the meeting date field.

3. When recommendations have been coded "Staff Recommend" in Gifts, the Grants Administrator runs an alphabetical list of these items. *[See Exhibit A]*

    A. Search using criteria "Status = Staff Recommends" and "Meeting Date = mo/dt/year."

    B. From the "view" menu in Gifts, select and apply "Quarterly SS info."

    C. Select all and print the report.

4. Using this Gifts report, enter the organization name in the first column of the appropriate quarter's tab of the Quarterly Spreadsheet; then the ID #, Program Area, Staff, and Amount Recommended. Update the spreadsheet as additional items are added to the agenda, or as changes are made. *[Exhibit B]*

5. Working with one recommendation from the list at a time, the next step includes scheduling the payment, completing the coding in Gifts, updating the organization's tax record, printing the Charity Check report, and looking for Director Affiliations. Each task is recorded on the spreadsheet so you know where to continue. It cannot be accomplished in one day; besides, additional items will be added later. To accomplish all of these steps:

    A. Search Gifts for the request ID# *[Exhibit C]* as noted on the spreadsheet.

    B. Focus on the request; move to the organizations tab *[Exhibit D]*.

    C. Double-click to open the organization record; move to Tax Status tab *[Also Exhibit D]*.

    D. Copy the Tax ID number *[Exhibit D]*.

    E. Open Guidestar and log in. Guidestar is located at http://www2.guidestar.org/Home. *[Exhibit E]*

F. Paste the Tax ID number in the search box and enter *[Exhibit E]*. (If the tax ID number is not recorded in Gifts, search by name instead.)

G. When the results appear for the correct organization, click on "Check Today's Charity Check Report" on the right side of the screen *[Exhibit F]*.

H. When the report comes up, choose PDF. To print, click on the software's print icon at top left of the screen. Close out (x) of the report just printed, leaving Guidestar open for the next item.

I. Set the printed copies aside until the Yellow Checklists have been prepared, at which time you will staple the corresponding Charity Check report to the Yellow Checklist.

J. Most of the following fields in the organization's tax screen are probably complete, but some will need to be updated at this time *[Exhibit H]*.

    a. Organization's legal name
    b. Employee identification number (EIN)-referred to as the tax ID in Gifts
    c. Registration date, which represents the most recent determination letter we have on file; if this field is empty (and the organization is not foreign), place a note in payments field of Gifts to remind you to request it in the award letter; then change the "Yes" to "No" in the "Det Let On File" column of the Yellow Checklist, making a notation that one will be requested
    d. Last Verified by (select your name from the pull down menu)
    e. Last Verified on (current date – F3 will insert current date into any date field in Gifts; this date will pull into the Yellow Checklist when merged)
    f. Next Verification on (insert current date, but change year to next year)
    g. Each tax status code found on the determination letter, followed by the date of either the original or current determination letter
    h. If not publicly supported, note the tax status code of POF, PF or International in the notes column of the Spreadsheet and be sure the "Exp-" code is used in the "Internal Program" field on the coding sheet for the organization (also, when you return to the request tab, verify the code carried through to the request)

K. If the organization's determination letter has not been received, check the determination letters that have been set aside in the alpha file as the proposals were being logged.

    a. If you locate a determination letter *[Exhibit I]*, or any time a new or updated determination letter is received, enter the information in the organization's tax record, stamp the letter with the red "Entered" stamp, highlighting the name with yellow marker, and scan using .tif or .cpy format. Open the file that arrived in your email; save as (using the full name of the organization as the file name) in the Grants\IRS directory *[Exhibit J]*. Place the hard copy alphabetically in the bottom drawer of the lateral file, stapling the new pages to the previous pages of the corresponding organization.
    b. If not found, check to see if it is available through "Guidestar" (it seldom is, but if found, print for our files as noted in "a." above)

c. If not found through "Guidestar," place a note in the payment notes field of the request "req det let" to remind you to include the request when preparing the award letter
d. When a more recent letter than we have on file is received, which will be discovered as you review the new letters passed on by the Program Assistant as she logs the proposals, or when cleaning out the hold IRS det let folder after the quarterly meeting, or directly from the grantee, follow the procedure outlined in "a." above

L. Verify Charity Check's exempt status with the organization's tax record in Gifts, which comes from the most recent determination letter we have on file.

M. Move to the organization's code tab to see if any director is affiliated with the organization. If found, verify the name is listed in the appropriate column of the spreadsheet for that request and also shows up in the Conflict field of the request.

N. Close the organization record; focus on the organization and move to the requests tab *[Exhibit K]*.

O. Locate a recent grant similar to the recommended grant. Focus on it and move to the payments tab to see when and how it was paid *[L]*; this will give you an idea of when to schedule payment of the new grant. Also, keep in mind the usual payment scheduling criteria. [See Grant Payment Scheduling]

P. Return to the list of requests for the organization *[M]*; double click to open the current recommended request and move to Page 2 to check for payment notations.

Q. Proceed to the payment tab *[Exhibit M]*. Click "new" to create a payment(s) equal to the amount recommended, referring to the timing you reviewed for the organization's previous grant and the payment scheduling guidelines [see Payment Scheduling Guidelines]; change status to "hold."

R. Move to the requirements tab *[Exhibit N]*; click on "new" to create the requirement "Charity Check" from the pull-down list; mark it done. Save and close the requirement.

S. Move to the code tab of the request *[Exhibit O]*. The three bold fields require coding be complete in order for the grant to be awarded. In each case, click on the field, then on add and select from the list. Code as follows:

a. The Program Assistant will have already completed the "Program Area" field according to Sector when the request was originally logged
b. If the "Fund" field has not been coded and this is a grant to be awarded by the board, use the "Regular" code
c. The "Population Served" field refers to which annual report the grant will be listed in; if a local grant, use WI code; if not local, use AR code (all WI codes are used along with the AR code for the full annual report)

T. If a director's name was discovered in the organization's code field, but not in the request's code field:

   a. Enter it now in the request code field
   b. Inform the assigned Program Officer so they can update the GPR form
   c. Include the director name in the conflict column of the quarterly spreadsheet
   d. Later in the process you will place these names on the Director Affiliations page that goes in the board agenda book

U. No matter what order you complete steps Q through T in, be sure to "save and close" the request before moving on to the next recommended item.

6. Prepare the Yellow Checklists *[Exhibit P]* using the merge correspondence feature of Gifts, selecting Yellow Checklist from the pull-down menu, and merging each batch as one document. Note the date the Checklist was prepared in the appropriate column of the Spreadsheet for every request in the batch. Later, when more Charity Check reports have been printed, run another batch of Checklists until all have been completed prior to the meeting. Record the date these were prepared on the Spreadsheet. Sometimes, information on the Spreadsheet can be helpful as you edit the Checklists. [See Preparing Yellow Checklists]

7. Later in the process, place an X in the "Cmt Min" column after you have compared the Committee minutes of the Implementation & Impact, Ideas & Institutions, and Legacy sectors to the recommendations in the Gifts database, on the Spreadsheet, and in the Board agenda book.

8. Periodically verify that the recommended amounts equal the scheduled payment amounts. The Program Assistant will try to keep the Grants Administrator apprised of any changes to the recommendations so the spreadsheet and payments scheduled can also be updated as items change.

9. While the Spreadsheet is started alphabetically, and hence the Charity Check reports and Yellow Checklists also come out alphabetically, the recommendations can easily be sorted according to Sector or Program Officer, which could be necessary when trying to locate differences between Gifts or the Budget Worksheet, of if you need a Sector total.

10. When the grant agreements are mailed, note the date they were mailed in the "Mailed GA" column. This is tracked because occasionally some contracts go out earlier than others, and some are held for a while.

RECEIPTS AND OTHER REQUIREMENTS
August 12, 2011

1. To process a receipt (or letter containing verbiage “no goods or services were received”) find the grant in Gifts, focus on it, move to the requirements tab.

2. Create a new requirement by selecting the blank page icon for new record.

3. Use your initials as the staff person, choose Receipt from the pull-down menu of the type field. In the notes field, indicate the date on the receipt, sender’s last name, and who it was sent to. Mark it as done. Save and close.

4. If there is already a receipt requirement listed, open the exiting requirement and add the new receipt information to it, whether it’s for the same payment or the next payment of the grant.

5. Write the ID # on the receipt or letter and place it to be filed in the closed agency file area.

6. Other items to record in the grant’s requirements tab include final or interim financial reports, programmatic final or progress reports, receipt of signed grant agreement, GCC form, and others as needed.

OVERVIEW
RECORDS, FIELDS, RELATIONSHIPS, ICONS, COMMANDS
November 21, 2011

A. Each of the eight tabs across the screen contains a set of information referred to as a R**ecord**:

1. **Organizations –** contains details relevant to the entire organization
2. **Requests –** contains details relevant only to the one particular request
3. **Contacts –** contain details about the person
4. **Affiliations** – indicates the type of relationship between a contact person and the request or organization (details about the person are found in the Contacts record)
5. **Payments –** contain details relating to a payment
6. **Requirements –** holds list of items required for the request
7. **Documents** – stores correspondence relating to the record
8. **Activities** – records actions taken relating to the request or organization

B. Records are comprised of Fields – Fields contain information pertaining to the Record. There are three types of **Fields**:
1. Text – you can write anything you want
2. Numeric – dates, grant amounts, payments, etc.
3. Coded – limited to terms selected from a drop-down menu, which facilitates sorting, searching and reporting

C. Each record shares some fields with other records, but each record also has its own fields determined by what kind of record it is. In Request records, the Status code is determined by the disposition of the request. There are only three **dispositions**:

1. Pending – still under consideration; no decision made
2. Approved – the request was awarded and is now considered a grant
3. Declined – the request was turned down and is now considered a declination

D. The **Status** code describes the current stage of, or reason for, the disposition. (The “Other” code is available in all dispositions.)

1. Pending requests can be:
   a) Deferred
   b) Discussion Item
   c) Gen. Cont. Cmte.
   d) Hold
   e) Pending Staff Review
   f) Preliminary
   g) Special Dec
   h) Staff-Dec
   i) Staff-Recommend

2. Approved requests can be:
   a) Active Grant
   b) BP Selector Grant
   c) Cancelled
   d) Closed
   e) Grant Commitment
   f) PRI

3. Declined requests can be:
   a) Combined
   b) No Book Projects
   c) O.M.
   d) Request Withdrawn
   e) Sent to Sand County
   f) Turned Down
   g) Withdrawn

E. **Icons** at the left edge of the screen just above the tabs are those you will use most often:

1. Binoculars – is the find or search icon
2. Magnifying glass – is used to focus (take a closer look at) one of the records
3. White rectangle (looks like piece of paper) – used to create a new record
4. White Arrow opening a file folder – will open the record that is highlighted on the screen (instead of double-clicking on the record)
5. Greek symbol (looks like an M on its side) – will show totals of the information currently displayed on your screen

F. The contents of each record are linked to other types of records. A record has many **relationships**.

1. For example, when you focus (the magnifying glass icon) on a name in the organization tab and then click on another tab, you would see all information under the heading of that tab (requests, affiliations, contacts, activities, payments, requirements, documents) that relates only to that organization.
2. Say you clicked on the requests tab after focusing on an organization. You would see a list of requests (pending, awarded, declined) that came from the organization you had focused on.
3. If you had clicked on the payments tab instead, you would see all payments that relate to that entire organization, both scheduled and paid.
4. However, if you had focused on one of the requests listed for the organization and then clicked on the payments tab, you would see information relating only to that one particular request of the organization – not the entire organization's payments that we saw previously.

5. Perhaps you want to see what correspondence was sent with the last payment. Focus on the applicable payment and move to the documents tab; most likely there will be a check transmittal letter listed; if there is a file name in the file name column, you could double click to open the correspondence and read, edit, print etc.

G. You can begin a search in any tab. Each tab has its own criteria available to search. If you need to record a receipt for payment that mentions the check number, but not the request ID number, begin your search in the payments tab, selecting check number = (#). You cannot search for a check number in any tab other than the Payments tab. You cannot get to the requirements tab from the payment screen, but, you can focus on the payment record resulting from the search, click on the requests tab, focus again and move to the requirements tab where you could create a new "receipt" entry for that specific grant. Grant requirements relate to the request, not the payment or the organization, which is why you needed to move to the request tab and focus before moving to the requirements tab; no requirements are associated with the payment record.

H. If you have correspondence from someone not using letterhead perhaps, or someone on the phone giving you their name, you may need to begin your search in the contacts tab. Use "contact last name" as search criteria and enter the last name accordingly. When the list of all contacts with that last name appears, locate the contact with the correct first name and click on it once to highlight, and then focus and move to the requests tab to see what grants the person is affiliated with, or perhaps move to the organizations tab to see what organization(s) he is affiliated with.

I. A Greek symbol (looks like an M on its side) is displayed at the top left of the screen for every type of record. On most records you will only find the number of items currently displayed on your screen when you click on that symbol. The Requests and Payment records also show monetary totals on your screen and provide other ways to sort or total the items.

J. Instead of focusing and moving to another tab to locate information, you can also double click to open the record. You will see the same tabs within the record as you would if you had moved to the tab. The tabs within the record pertain only to that record.

K. **Static commands** perform the same actions for each screen. Located just above the tabs within a record, the actions are related to the record you currently have open.

1. Save and Close does just that.

2. Alert opens another screen containing important information regarding this record; anyone using the database can view it, enable you to make others aware of a situation or remind yourself of other changes or special items needed to be done.

3. Send Letter opens the correspondence wizard where you would access the templates available for use with your current tab and disposition type and merge the letter or form with information from the record, which will open in Word for you to edit.

4. File contains the actions of Save and Close, Delete, Close.

5. Actions contain options of things you might need to do within the current tab and disposition type, differing from options available in other tabs or dispositions:

   a. Clear Primary Contact allows you to clear the contact field when the primary contact of the request (or of the organization if you are in the Organizations tab) needs to be changed. It will not remove the Contact record (the person remains in the system); it will not change the affiliations (relationships) of the contact with any organization or request unless you choose to (the system will ask you); it only removes the name from this screen to allow another name to be inserted as primary.

   b. Anything underlined fields will take you to another screen where you can make changes to that record, i.e.: the contact's record will open if you select the underlined name under Primary Contact within the Requests Tab – perhaps you wanted to add an email address to the contact's record. If you select the underlined name under Primary Organization within the Requests Tab, the Organization record would open allowing you to make changes to the entire organization – perhaps updating a phone number, which could change contact information as well (the system will ask if you want to change all affiliations or which ones).

REFUNDS

June 21, 2011

1. Find the related grant in Gifts.

2. Double click to open the request and go to the payments tab. [Or, focus on the request record and move to the payments tab.]

3. Select add payment. [Or, select the "new" icon.]

4. You will be asked to choose refund or payout; answer refund.

   A. Enter amount of check, rounding up or down accordingly; do not use cents! The system will now change to negative number.

   B. Enter date processed (current date, F3).

   C. Enter payment type = refund.

   D. In notes field, enter pertinent information (org name, amount, date, reason).

   E. Their check number can go in the check number field.

   F. When you OK the screen you'll be asked if you want to amend the grant, choose yes. Accept the system's amended amount (or enter the new grant amount by calculating the difference between the refund and original grant amount). Indicate the reason for the amendment in the notes field.

5. Prepare "Note for File" from write-up icon at top of screen. Be sure to choose "create activity" and "keep on disk" as you move through the merge screens.

6. Edit the merged information. Besides the organization name, be sure to include:

   A. Original grant amount

   B. Grant description

   C. Amount of refund (rounded up or down accordingly)

   D. Amount refunded (with cents)

   E. Refund check number

   F. Date of refund check

   G. Amended grant amount

   H. Reason for refund

7. Print four copies of the “Note for the File.”

    A. Place one copy of the note on top of the refund check with accompanying correspondence. Two-hole punch at top and place to be filed in closed agency filing area.

    B. Place one copy in misc actions file folder (to remind you to report as misc action to the directors at next meeting).

    C. Place one copy in grant reconciliation folder to explain differences on next monthly grant reconciliation.

8. Give refund check to the Accountant, along with a copy of the note and pertinent correspondence; do not endorse the check.

REGULAR GRANT PROGRAM
August 4, 2011

1. When a request for funding (proposal) is received, the Vice President for Program determines what program sector the proposal falls into.

2. The Program Assistant enters the proposal into the database, which generates an ID number. She creates a file folder, and sends a letter of acknowledgement to the requestor on behalf of the VP-Program or Director of Academic, International and Cultural Programs. If the IRS Determination Letter is received with the proposal, it is given to the Grants Administrator for processing.

3. The Program Assistant gives the file just logged to the appropriate program officer for research and evaluation.

4. Program Staff evaluates and presents a recommendation of award or declination to the designated Sector Committee.

5. The Program Staff prepares the Sector Committee agendas.

6. The Sector Committees, comprised of directors and staff, review and determine recommendations to the full Board.

7. Proposals recommended for award are added to the Board agenda, which is prepared by the Program Assistant.

8. The Program Assistant changes the database status code from "pending staff review" to "staff recs" and completes the recommended amount, board meeting date, and staff fields.

9. The Grants Administrator verifies the tax exempt status of each organization using Guidestar's Charity Check. She prints the Charity Check report, creates a "requirement" of "CC" in the Gifts database and marks it done.

10. For foreign grants, the Grants Administrator vets the organization again the IRS lists of terrorist organizations and persons that is provided by the grants database through Charity Check.

11. If the organization has not yet provided their determination letter to the Foundation, the Grants Administrator will request it when the grant is paid or will print it from Charity Check if it is available.

12. From the IRS determination letter, the Grants Administrator enters the organization's EIN (employee identification number), each tax status code, date on determination letter, date verified by and on, into the organization's tax record in the database.

13. If not already done, she scans the determination letter (or updated letter) to a TIF file, saving it in the H:\Records\ Grants/IRS Det Lets\(A-Z) directory on the computer network for easy access. Then, she files the hard copy of the determination letter in the alphabetical master file of determination letters located in the bottom drawer of the lateral file cabinet in her office. These are retained permanently.

14. If the Grants Administrator finds any non-compliance situations during this process, she directs them to the Vice President for Finance and the Program Officer for resolution.

15. The Grants Administrator prepares the yellow checklist for each proposed grant coded as staff recommends with the current board date, attaching the previously prepared Charity Check report. This will be filed in the proposal's file folder by the Program Assistant.

16. Program Staff prepares a Grant Proposal Record (GPR) for inclusion in the Board agenda book. This document presents the research and recommendation for the Board's review. It is prepared and saved as part of the permanent record within the grants database.

17. The Program Assistant prepares the grant history for each recommendation, which is then attached to the GPR form before being copied for the agenda book.

18. After the Board authorizes the grants, the Program Assistant informs the Grants Administrator of any changes to the recommendations. The Grants Administrator runs the award process in the database, which changes the status from pending to grant.

19. The Program Assistant runs the declination process for the requests the Board has declined, which changes them from pending to declined in the database.

20. She then prepares a letter of declination under the signature of the assigned Program Officer informing the requestor of the Foundation's decision.

21. When the declination letters have been signed, the Program Assistant copies and mails them, filing a copy of the letter in the corresponding request file. At this time she removes the declined files from the open agency file cabinet and gives them to the Office Assistant to be filed in the closed agency files.

22. The Grants Administrator prepares an award letter and Grant Agreement for each grant awarded. The letter and agreement are signed by either the VP-Program or the Director of Academic, International and Cultural Programs, depending on the grant's program area. The grantee must sign and return the Grant Agreement.

23. The Grants Administrator gives the yellow checklist with the charity check report attached, the award letter and grant agreement (signed) to the Program Assistant to be filed in the open agency files, along with the GPR form used in the agenda book which the Office Assistant will bring to her.

24. The Grants Administrator notes in the database requirements field of each regular grant that the yellow checklist has been completed.

25. When the signed Agreement is received from the grantee, it is passed on to the Grants Administrator. She stamps the agreement with the red "Entered" stamp, notes the requirement as complete in the database, and changes the payment status from Hold to Scheduled so payment can be released on the scheduled date.

26. The signed grant agreement is then filed in the open agency files by the Program Assistant.

27. If the signed agreement has not been received within two months of the award date, the Grants Administrator runs a report of those items and provides it to the Program Assistant to follow up on.

28. The Grants Administrator informs the Accountant when the payments are ready to be processed on the scheduled payment dates.

29. The Grants Administrator runs and reviews the Grant Payment Approval form the day before the payments are scheduled to be released.

30. When the Grants Administrator and VP-Program (or President) have signed the form, it is given to the Accountant as authorization to release payment.

31. The Accountant prepares the checks and gives them to the Grants Administrator to run electronic signatures on those less than $200,000. Any checks $200,000 or more require two manual signatures, which the Accountant gets from any of the officers available with the authority to sign checks.

32. The Grants Administrator prepares a transmittal letter for each check and gives the letters to the VP-Program for signature. When signed, the letters are copied and mailed with its corresponding check enclosed.

33. The transmittal letters indicating first or only payments are filed in the request folder by the Grants Administrator, at which time she removes the folder from the open agency files, purges it of extraneous material (such as duplicate copies, resumes, CVs, books, CDs) and clips the required papers (check transmittal letter, grant agreement, award letter, yellow checklist, Board book write-up, proposal) to the file folder and gives it to be filed by the Office Assistant in the closed agency files.

34. The Grants Administrator top-hole punches letters transmitting payments that were not first or only payments and gives them to the Office Assistant to clip into the appropriate file folder already filed in the closed agency files.

OVERVIEW OF REGULAR, BOARD-AWARDED GRANTS

June 14, 2011

1. When a request for funding (proposal) is received, the Vice President for Program determines what program sector the proposal falls into.

2. The Program Assistant enters the proposal into the database, which generates an ID number. She creates a file folder, and sends a letter of acknowledgement to the requestor on behalf of the VP-Program or Director of Academic, International and Cultural Programs. If the IRS Determination Letter is sent with the proposal, it is given to the Grants Administrator for processing.

3. The Program Assistant gives the file to the appropriate program staff member for research and evaluation.

4. Program Staff evaluates and presents a recommendation of award or declination to the designated Committee.

5. The Program Staff prepares the Committee agendas.

6. The Board Committees review and determine recommendations to the full Board.

7. Proposals being recommended for award are placed on the Board agenda, which is prepared by the Program Assistant. She changes the database status code from pending to staff recommends, in order to indicate their inclusion on the agenda.

8. The Grants Administrator prepares the yellow checklist, parts 1-7, for each proposed grant coded as "staff recommends."

9. The Grants Administrator verifies the tax exempt status of the organization using Guidestar's Charity Check. She prints the Charity Check Report and places it aside to be attached to the yellow checklist and filed later in the proposal's file folder by the Program Assistant.

10. For foreign grants, the Grants Administrator vets the organization again the IRS lists of terrorist organizations and persons that is provided by the grants database through Charity Check.

11. The organization's employee identification number, date on determination letter, and each tax status code, are entered into the organization's record in the database by the Grants Administrator.

12. Grants Administrator confirms Charity Check against the IRS determination letter on file and records the exempt status, EIN, and date of verification in the database. She also files the hard copy of the determination letter in the alphabetical master file of determination letters located in the Finance Department and also scans the determination letter to a file located in the Finance/Grants/IRSDetLets directory on the computer network for easy access. These are retained permanently.

13. If the Grants Administrator finds any non-compliance situations during this process, she directs them to the Vice President for Finance and the Program Officer for resolution.

14. If the organization has not yet provided their determination letter to the Foundation, the Grants Administrator will request it when the grant is paid or will print it from Charity Check if it is available.

15. Program Staff prepares a Grant Proposal Record (GPR) for inclusion in the Board agenda book. This document presents the research and recommendation for the Board's review. It is prepared and saved as part of the permanent record within the grants database.

16. After the Board awards the grants, the Program Assistant informs the Grants Administrator of any changes to the recommendations. The Grants Administrator runs the award process in the database, which changes the status from pending to grant.

17. The Program Assistant runs the declination process for the requests the Board has declined, which changes them from pending to declined in the database. She then prepares a letter of declination under the signature of the assigned Program Staff member that informs the requestor of the Foundation's decision.

18. When the declination letters have been signed, the Program Assistant copies and mails them, filing a copy of the letter in the corresponding request file. She then removes the files from the open agency file cabinet and gives them to the Office Assistant to be filed in the closed agency files.

19. The Grants Administrator prepares an award letter and Grant Agreement for each grant awarded. The letter and agreement are signed by either the VP-Program or the Director of Academic, International and Cultural Programs, depending on the grant's program area. The grantee must sign and return the Grant Agreement.

20. The Grants Administrator completes line eight of the yellow checklist, and gives all of them to the Program Assistant, along with a copy of the award letter and grant agreement, to be filed in the open agency files.

21. The Grants Administrator notes in the database requirements field of each grant that the yellow checklist has been completed.

22. When the signed Agreement is received from the grantee, it is passed on to the Grants Administrator. She stamps the agreement with the red “Entered” stamp, notes the requirement as complete in the database, and changes the payment status from Hold to Scheduled so payment can be released on the scheduled date. The agreement is then given to the Program Assistant to file in the open agency files.

23. If the signed agreement has not been received within two months of the award date, the Grants Administrator runs a report of those items and provides it to the Program Assistant to follow up on.

24. The Grants Administrator informs the Accountant when the payments are ready to be processed on the scheduled payment dates.

25. The Grants Administrator runs and reviews a list of the payments to be made, and gets approval in the form of a signature on that list from the VP-Program or the CEO. The list of approved payments is given to the Accountant for payment.

26. The Accountant prepares the checks and gives them to the Grants Administrator to run electronic signatures on those less than $200,000. Any checks $200,000 or more require two manual signatures, which the Grants Administrator gets from any of the officers available with the authority to sign checks.

27. The Grants Administrator prepares a transmittal letter for each check and gives the letters to be signed by the VP-Program. After the letters are signed, she copies the letters and mails each check with its cover letter.

28. The transmittal letters indicating first or only payments are filed in the request folder by the Grants Administrator, at which time she removes the folder from the open agency files, purges it of extraneous material (such as duplicate copies, resumes, CVs, books, CDs) and clips the required papers (check transmittal letter, grant agreement, award letter, yellow checklist, Board book write-up, proposal) to the file folder and gives it to be filed by the Office Assistant in the closed agency files.

29. The Grants Administrator top-hole punches letters transmitting payments that were not first or only payments and gives them to the Office Assistant to clip into the appropriate file folder already filed in the closed agency files.

THANKS FOR REPORT LETTERS
June 20, 2011

1. Find the appropriate grant in Gifts; here are some hints to locate the right grant:

   A. If programmatic, decide if it is a progress or a final report

   B. Be sure the grant you select has been paid (grant must be paid in order to be reported on)

   C. The term of the grant is one year from date of first payment, therefore check the date of the grant's first payment to verify the reporting period fits this grant

   D. Be sure the project title agrees with what is being reported on

2. Focus on the grant record; move to Requirements tab.

3. In requirements tab, select the requirement being noted from the drop-down list (final report or progress report; mark as done (F3=today's date). In the notes field, indicate the date of the grantee's correspondence, last name of person sending it, and to whom it was sent.

4. Return to the Requests tab; select letter icon at the top of the screen.

   A. Choose Report Letter by appropriate author and merge the letter

      i) Through the merge process, select "record activity" but not "keep file on disk" because this is a form letter

      ii) Word will open and create the letter

      iii) Edit project description as necessary

      iv) Print the letter on letterhead

      v) Using the envelope icon in Word, create and print the envelope

   B. When the signed letter is returned to you, make two copies:

      i) One for signatory's chron file

      ii) One to be attached to the report and placed in closed agency file tray

5. If the person sending the report does not already have an affiliation with the grant being reported on, add the affiliation in the Affiliation's tab of the request. When this is done, the new contact is available to merge with the report letter. As you move through the correspondence wizard, in the "who" tab, select the name of the person submitting the report. [See how to add affiliations]

REQUEST SCREENS
November 18, 2011

The Requests record contains information relating to a specific request of the organization. This record will describe the proposal and track activities regarding only this one particular request.

A. A request record can only be one of three dispositions: Pending, Approved, Declined. Pages one and two of each of these dispositions are slightly different from each other.

B. The left side of **Page 1** is the same for all dispositions; however, codes available will vary according to the disposition.

C. These fields are included on the left side of Page 1:

D. Type = Bradley Grant (default and most frequently used) Other types designate specific programs of the Foundation: Bradley Prizes, Donor Intent Program, Program Related Investment

E. Status = pull-down menu reveals codes within each Type

F. Project encompasses
    1. Organization's Name
    2. Subdivision = department or institute in the organization
    3. Primary Contact = person sending in the request
    4. Project Title = brief description of the proposed project, which always begins with "To support"
    5. Staff = the person creating the entry (i.e. logging the proposal) ; as the evaluation process continues, this will be changed to the name of the program officer responsible for the request
    6. Project Budget is available, but not used

G. The information displayed on the right side of Page 1 differs according to disposition. (Some fields of a pending request move to Page 2 when the request is awarded or declined.)

H. The right side of Page 1, on a pending request, includes these fields:

    1. Request Date = Date request was entered
    2. Requested Amount = Amount requested
    3. Recommended Amount = Amount recommended after review
    4. Project Start Date = Defaults to date of award
    5. Project End Date = Defaults to one year from date of award
    6. Reference Number = Different Foundation programs use this field for different reasons, usually names; usually this field is blank

7. Meeting Date = Date of Board Meeting to be reviewed at
8. Docket Number = The requesting institution’s reference number
9. Request Information Complete (always checked, except in the case of Bradley Prizes where the color difference of the list is helpful.)

I. When a pending request is approved or declined these fields and their codes are automatically moved to the bottom right side of Page 2 so the right side of Page 1 can summarize details of the grant or declination:
   1. Request Date
   2. Requested Amount
   3. Recommended Amount
   4. Meeting Date
   5. Docket Number

J. For grants, at the top in green letters is “Approved Request.”
   1. Then you will see the amount and date of the award in blue.
   2. Some fields previously on page 1 remain:
   3. Reference – Contains the first and last name of:
   4. GCCs: the requesting Director or Staff
   5. Bradley Fellows: the Professor’s name
   6. Bradley Prize Selector grants: name of selector
   7. Approved Date = grant date
   8. Fiscal Year = auto populates
   9. Project Start Date – defaults to grant date
   10. Project End Date – one year from start date
   11. Meeting Minutes – Any specific, out of the ordinary or special requirements should be noted here.

K. For declinations, at the top in black letters is “Declined Request.”
   1. Under that are the Amount Requested and Date of Request.
   2. Then the fields of:
   3. Reference Number (from page 1)
   4. Declination Date = date declined
   5. Declination Reason (many to select from the pull-down menu)
   6. Two text fields complete the page:
   7. Meeting Minutes – Anything added during the award process will be displayed here and can be edited, added to, or deleted.
   8. Declination Notes – During the declination process, any text placed in the Declination Notes field will appear here; the text can be edited, added to, or deleted.

L. The fields on the left side of Page 2 are seldom used; these text fields are:
   1. Project Description – Long is used by anyone to indicate payment needs of the grantee, in the event a grant is awarded. If the grant is for a conference, the conference dates should be noted here in order to play payments accordingly. If needs are immediate, that should also be noted here.
   2. Evaluation – Long (used for Bradley Prizes)
   3. Page 2 has more uses for other programs, particularly Bradley Prize nominations.

M. The right side of the Page 2 deals with Renewals, which is seldom used.

N. The third tab is "Coding." The first three fields are required (indicated in bold type) if a grant is awarded. The fields and codes used here are explained in another section.

O. "Affiliations" is the fourth tab. Do not confuse this with contacts. A contact record contains basic information about the person; the affiliation record indicates the relationship between the person and the Request (or Organization). The three buttons at the bottom allow you to make changes:

   1. New Affiliation: Click this to add another affiliation (Note: the relationship "Primary Contact" is already listed). When the screen comes up, click on the contact icon and search for the name needed. If found, highlight to select from the list; if not found, begin entering the new contact name, address etc.
   2. Edit Affiliation: If you click here, you can change the code indicating the type of relationship the contact has with this request, and/or select the address to use with their affiliation to this request by selecting one of their addresses from the pull-down menu.
   3. Edit Contact: Allows you to make changes to the contact information without exiting the request record.

P. The "Payments" tab shows information related to payments, whether they are scheduled, on hold, or paid. The two self-explanatory buttons at the bottom of the screen that you will use are "new" and "edit." Instruction for how to use this tab can be found in the "Payments Screen" document.

Q. Instructions for using the "Requirements" tab can be found in the document titled "Requirements Screen."

R. While you can add to the Activities Tab by selecting New and from the drop-down menu choosing a code that most closely describes the activity you want to make a record of, such as a phone call or site visit. Most of the activities listed here are recorded automatically by the system. When merging a document, if you select "create activity" as you move through the merge screen the letter will be listed here; when the status or other coded fields change, the system notes that change here as well.

QUARTERLY REVIEWS

April 25, 2013

The following procedures are in place to prevent omission of recommendations, to verify recommended amounts, project descriptions, and director affiliations for voting abstentions between the Committee meeting agendas, Committee meeting minutes, Gifts, Budget Worksheet and finally, the Board Agenda Book.

REVIEW OF SECTOR AGENDA BOOKS WITH GIFTS, QUARTERLY SPREADSHEET AND BUDGET WORKSHEET

When you receive a Sector Agenda Book, run a Gifts report of requests recommended for the sector using the view "Pre-Board Meeting Review." Print the report and the sector's portion of the Quarterly Spreadsheet for comparison. All three items should be in agreement with organizations, amounts, director affiliations. Then compare the totals with the Budget Worksheet. Be aware that changes are made during the preparation process and this is an opportunity to update and verify accuracy.

As you page through to review each GPR form in the agenda book, verify that the recommended amount on each cover page matches the amount recommended in the write-up's last paragraph. Compare the organization, amount being recommended and director affiliations with Gifts. Be sure to change the project descriptions in Gifts to match the description on the GPR form, and reprint the report.

REVIEW OF COMMITTEE AGENDAS AND MINUTES WITH GIFTS AND BUDGET WORKSHEET

After the Sector's committee meeting, compare the minutes to the Sector's agenda. Items to note are omission of abstentions, organizations, and changes in recommended amounts. To do this:

1. Copy the agenda page from each Sector's committee book and attach a tape total of the recommendations listed. Then run a tape total of the recommendations listed in each committee's minutes and attach it to the minutes.

2. Print a copy of the summary page of the budget worksheet.

3. Run and print a report from Gifts for each sector's recommendations showing the total recommended. Use report named "Log Using New Sectors, Level 2" with criteria "Status = Staff Rec" and "Meeting Date = xxxxxx" and Coding Sheet: Program Area = each Sector, one at a time. To verify, check off organization names and recommended amounts as you compare the agenda to the minutes to the Gifts report and the totals to the budget worksheet summary. If discrepancies are found, consult with the appropriate program officer to explain the change, and report this in the memo to the VP-Finance, which is prepared at the end of your review.

4. Attach the Director Affiliations page as the last item, along with the print-out of all director affiliations for the year.

5. By Sector, clip the agenda, minutes, and Gifts report together, followed by the Budget Worksheet summary, with the affiliations material as the last item. Prepare a memo summarizing your findings and explaining any discrepancies. Give the packet of information to VP-Finance with memo on top.

REVIEW OF COMMITTEE MINUTES WITH BOARD AGENDA BOOK

When the **Board agenda books** are distributed, the Grants Administrator receives a copy in order to review the recommendations. Each recommendation in the Board book is verified with its Committee meeting minutes, and again with the Gifts database and Budget Worksheet, to ensure nothing is left out. To do this:

1. Run and print a report from Gifts listing recommendations for each Sector. Use report named "Log Using New Sectors, Level 2," using criteria "Status = Staff Rec" and "Meeting Date = xxxxxx" and Coding Sheet: Program Area = each Sector, one at a time. Highlight each Sector's total on the Gifts reports.

2. Copy the Board agenda. Run a tape total of each Sector's recommendations, label and staple to the agenda, highlighting the tape totals.

3. Run a tape total of the recommendations from each of the sector minutes and attach appropriately to each. Use check marks as you compare the organizations and amounts recommended to what is listed on the board agenda.

4. When reviewing the Board agenda book, verify the dollar amount in the last paragraph of each write-up is the same as the write-ups cover page and note that any director affiliations for voting abstentions have been included on the cover page.

5. Print and attach the Budget Worksheet, with sectors and proposed amounts highlighted.

6. Print and attach the Director Affiliations page from the Board agenda book. Indicate with check marks on the list that each is also listed on their corresponding GPR cover page.

7. Next, prepare a summary of your findings, noting any discrepancies and confirming agreement of the documents. Clip all items above to the note and give to the VP-Finance.

8. The VP-Finance will contact the VP-Program with any discrepancies. The VP-Program will bring them to the attention of the Directors at the Board Meeting, if necessary.

Exception
The exception to these reviews is the IRA Sector committee minutes. The IRA meeting is held the day of the Board meeting, so a review would not be possible until after the board meeting.

Instead, run a tape total of recommendations on the Committee's agenda and verify it with recommendations on the Gifts report and budget worksheet total. This can be provided to the VP-Finance with the other Sector reviews.

When the grant portion of the Board minutes are being prepared, give the VP-Finance a memo confirming your review of the IRA minutes with the agenda, noting any differences discovered.

(The VP-Finance will not return any of these materials unless additional work is required.)

RUNNING THE AWARD AND DECLINE PROCESS IN GIFTS
August 12, 2011

1. After receiving the go-ahead to award grants as presented, or after making any changes to the recommendations as requested by the Program Staff, the Grants Administrator awards the recommended requests in the database. At this point, these pending requests become grants.

   A. Search in the requests tab of Gifts for
   Meeting Date = (board date) and Status = Staff Recommend

   B. Select all and click on the green check mark at the upper menu items

   C. Be sure the award menu that you are now moving through uses the board meeting date as the grant date

   D. Okay the screen, and proceed with next and next and finish.

   E. If the system rejects awarding any of the grants, check to see if the grant amount equals the amount of payments and if the coding tab has been completed; if not, adjust either accordingly and run the award process for these items again

   F. Now you may wonder why all the items on the screen are gone. They are gone because they no longer match the criteria for the last search; they are no longer Pending/Staff Rec because they are now Approved/Active Grant, which is part of the criteria you will use when preparing the award letters and grant agreements.

2. Program Assistant will decline in the database those requests that were turned down at the meeting. At this point, these pending requests become declinations.

   A. Search in the requests tab of Gifts for
   Meeting Date = (board date) and Status = Staff Dec

   B. Select all and click on the red X mark at the upper menu items

   C. Be sure the declination screen you are now moving through uses the board meeting date as the declination date, and select from the drop down menu the declination reason and status code of “Turned Down”

   D. Okay the screen.

   E. Now you may wonder why all the items on the screen are gone. They are gone because they no longer match the criteria for the last search; they are no longer Pending/Staff Dec because they are now Declined/Turned Down, which is part of the criteria you will use when preparing the letters of declination.

SAND COUNTY DECS
July 27, 2011

The Foundation provides a grant each year to the Sand County Foundation to review requests the Foundation received regarding support for environmental projects. Sand County is a publicly support grant-making organization who awards grants in the environmental area.

1. Enter proposals designated "Sand County" in the database as usual
2. No Program Area code is necessary
3. Do not remove any proposal information, such as the IRS determination letter
4. Decline the request is the usual manner, entering the "sent to Sand County" code in both the declination type and reason
5. Prepare the "Sand County" dec letter from Gifts' mail merge
6. Prepare two grant file folders in the usual format
7. Make one copy of the entire request
8. Make four copies of the signed letter
9. Place the original request in the file folder being sent to Sand County, and the copy in the file folder to be filed in the Foundation's closed agency files
10. Add a copy of the "Sand County dec" letter to each of these files, placing the third copy in the chron file, and the fourth copy in the file folder located prior to the "A"s in the open agency file cabinet (this provides an easy record of proposals the Foundation received and forwarded, which is frequently useful to the VP-Program and Program Staff)
11. Prepare a cover letter to transmit the file(s) and mail to Brent Haglund at Sand County

REGULAR BOARD-AWARDED GRANTS
SECTORS & REVIEW PROCESS
July 25, 2011

Each Sector works within a budgeted amount for the year. The grant budget is based on a 12-month rolling average of investments. This number is determined by the Finance Department and provided to the Program Department. The annual grant award and payment budget is drafted by the Program Staff, reviewed by the Sector Committees, and finally approved by the Board of Directors.

As proposals arrive throughout the year, the Vice President for Program (or President) briefly reviews each and determines the budget Sector. Current sectors are Legacy, Ideas & Institutions, Implementation & Impact, and IRA.

The proposals are given to the Program Assistant to log. Logging a proposal requires entering the request into the Gifts for Windows database, creating a file folder, and sending an acknowledgment letter to the requestor, a copy of which is placed in the file. If an IRS determination letter has been included, the request ID number is written at the top and then set aside for the Grants Administrator. If the proposal mentions payment requests or event dates, this should be noted on Page Two of the database record, to aid with payment scheduling in the event a grant is awarded.

When the logging process is complete for the day, the Program Assistant takes the file folders to the corresponding Program Officer.

Each Program Officer reviews the proposal and researches the requests in their Sector. They recommend each proposal for either award or declination. Requests recommended for declination will appear on the list of declinations presented to the Board in the agenda book. Each request being recommended for award will need a write-up (Grant Proposal Record-GPR) prepared by the corresponding Program Officer for the Board agenda book. The GPR form is prepared through the Gifts database and remains part of the database record for the request. (See “How to Prepare a GPR Form.)

The decisions to recommend or decline the proposals are provided to the Program Assistant, who codes them accordingly as “Staff Dec” or “Staff Rec” in the request record of the Gifts database.

If a request is recommended to be awarded, the Program Assistant will update additional database fields to reflect the amount recommended, the meeting date, the program officer preparing the write-up, and finally the program Sector codes are completed to allow sorting for various reports. Each staff recommendation is placed on the Board agenda document in Word, which is created by the Program Assistant. She will also list the recommendations in the appropriate Sector of the Budget Worksheet in Excel.

Two to three weeks after the proposal deadline, the Program Staff meets with the Vice President and President to discuss their recommendation of the disposition of each of these pending requests.

During this time, the Program Officers are preparing the Grant Proposal Record (GPR) forms (or write-ups) for each of the recommendations. These forms will comprise the bulk of the agenda book the Directors will receive a week prior to the Board meeting. Occasionally, requests are presented to the Board in the form of a Discussion Item and a GPR form is not used. A copy of either is placed in the grant file by the Program Assistant after the Board meeting.

The Program Assistant prepares a grant history of the organization for each grant being recommended. The grant history will then be attached to each write-up (GPR form).

Committees have been established for each of the four program sectors, which are chaired by one of the Foundation's Directors. Each committee, composed of Directors and Staff, meet several weeks before the scheduled Board of Directors meeting. The staff presents their research and recommendations to the Committee. The Committee determines the recommendations that will be presented to the full Board of Directors at the Board meeting. The Committee meeting minutes are prepared and the original provided to the Grants Administrator, who is responsible for keeping all of the original minutes of the Foundation in binders located in a fire-proof cabinet (except Personnel Committee and Executive Session, which are kept by the VP-Administration).

SEMI-ANNUAL CHECKLIST

ARE/	SEMI-ANNUAL	DUE	DONE
FI	Run reports from Gifts to prepare GEAR log	12-Jan	
FI	Prepare GEAR log	13-Jan	
FI	Prepare GEAR letters and forms for CF	15-Jan	
FI	Print envelopes	16-Jan	
FI	Letters returned signed	21-Jan	
IN	Copy letters	21-Jan	
FI	Mail GEAR letters	21-Jan	
FI	File approved vendor list from TF in ins file	28-Feb	
IN	Prepare follow up GEAR letters	15-Jul	
FI	Update GEAR log	15-Jul	
	Print envelopes	16-Jul	
	Letters returned signed	21-Jul	
	Copy letters	21-Jul	
	Mail follow up GEAR letters	21-Sep	
	File approved vendor list from TF in ins file	31-Jul	

SIGNED ORIGINAL COMMITTEE & BOARD MINUTES
June 27, 2011

1. Expect to receive original, signed committee minutes within two weeks of each committee meeting; if not received, follow up with staff.

2. Track receipt of the minutes in the document "H:\ Records\Permanent Records\Record Retention\Minutes-Record.xls"

3. Make four copies of each of the Program Committee meeting minutes (Legacy, Implementation and Impact, Ideas and Institutions, and IRA); set copies aside in the labeled folders located in the second drawer of the Grant Administrator's vertical file cabinet:

    A. A copy in each of the two "save for auditors" files

    B. A copy for the Controller (used to document director attendance at meetings in order to pay director fees) ; provide the copies to her the first week following the end of the quarter

    C. A copy in the Committee minutes file to use to compare the Board Meeting Agenda book with the recommendations found in the Committee minutes; give this copy to the VP-Finance along with a memo of your findings

4. Make four copies of each for the Finance and Audit Committee meeting minutes and set aside in the files noted above:

    A. A copy in each of the two "save for auditors" files

    B. A copy for the Controller

    C. A copy in the synopsis folder to use later along with a note requesting what information should be included in the synopsis booklet

5. Encounter minutes will need only three copies:

    A. One each in the "save for auditors" file

    B. One for the Controller

6. The Nominating and Personnel committee minutes are kept by the VP-Administration

7. Board minutes need five copies:

    A. A copy in each of the two save for auditors file

    B. One in the Controller’s file

    C. One for the VP-Finance requesting which items to include in the synopsis book

    D. One for the Grants Administrator’s quarterly file

    E. One goes immediately to the Office Assistant to be copied for the next board meeting agenda book

8. Place each original of the signed minutes in the appropriate three-hole binder found in the second drawer of the fire proof filing cabinet located in the file room on the second floor of the Lion House

9. Update the synopsis booklets accordingly; return the minutes, and any pages that were updated, to the VP-Finance

TO PREPARE BACK-UP OF EXCHANGE'S PUBLIC FOLDERS:

SET CUBE TO 1 (BRADLEY SERVER)

OPEN EXCHANGE

PULL DOWN TREE TO SEE PUBLIC FOLDERS

CHOOSE FILE, EXPORT, EXPORT TO A FILE, CHOOSE PST
UNDER OPTION: CHOOSE ALLOW DUPLICATE ITEM TO BE CREATED

BROWSE FOR LAST DATE
GO UP ONE TIER
CREATE NEW FOLDER WITH CURRENT DATE IN THE
U:\COMPUWARE\WETWORKBACKUPS\EXCHANGE-PUBLIC FOLDERS/DATE

EXECUTE

NT-BACKUP TO BACK-UP PRI.EXCHANGE -- FOUR OPEN FILES

STOP EXCHANGE SERVER: BACKUP: EDB (E:\PROGRAM FILES\EXCHANGE SERVER)

TO BACK-UP GREAT PLAINS

SET CUBE TO 2
STOP SERVICE TO BACKUP
COPY GP.MDB FOLDER TO BACKUP FOLDER IN CM'S DRIVE

E:\PROGRAM FILES\EXCHANGE SER

SUMMARY OF HOW TO PREPARE GRANT FILE LABELS
August 23, 2011

TO MAKE FILE FOLDER LABEL FOR A PROPOSAL:

- All caps: ORGANIZATION NAME -- CONTACT (PROJECT DESCRIPTION) ID# DATE LOGGED
- If you know a hanging file folder will be needed, place an X at bottom right of label
- Place acknowledgment letter in file and pass the file on to appropriate program staff

TO MAKE FILE FOLDER LABEL FOR O.M. DECS:

- All caps: ORGANIZATION NAME -- CONTACT (PROJECT DESCRIPTION) ID# DATE PROCESSED, O.M. DEC
- Highlight "ID#, date, O.M. DEC" with blue marker
- Place completed file in closed agency filing area to be filed by the Office Assistant (after copy of signed letter has been added, of course)

TO MAKE FILE FOLDER LABEL FOR PRELIMINARY REQUESTS:

- All caps: ORGANIZATION -- CONTACT (PROJECT DESCRIPTION) ID# DATE PRELIM
- Highlight "ID, date, prelim" with pink marker
- After copy of signed letter has been added, place completed file in open agency file tray to be filed by the Program Assistant in the open agency files

ADDITIONAL LABEL NOTATIONS

- When a grant is awarded, the amount and date are written somewhere on the file folder label in blue ink.
- When a proposal is declined, DEC and the meeting date are written on the file folder label in red ink.

TAX EXPLANATIONS FOR REFERENCE
October 3, 2011

PRIVATE OPERATING FOUNDATIONS (POF)
- Run own program
- Do qualify toward minimum distribution requirements
- Don't have to prove gave money away; we don't need to know
- Expenditure Accounting should be done

PRIVATE FOUNDATIONS (PF)
- Must prove grantee spent funds within 12 months in order to use towards minimum distribution requirement
- Expenditure Accounting required

PUBLIC SUPPORT STATUS 509(a)(1), (2), (3), (4) and 170(b)(1)(A)(vi)
- Not subject to various excise taxes that apply to private foundations
- Section 170(b)(1)(A)(vi) [within the 509(a)(1) code] organizations receiving at least 33 1/3 percent of their support from a governmental unit or from the general public
- Section 509(a)(2) organizations receiving more than one-third of their support from a combination of gifts, grants, contributions, membership fees, and gross receipts from performing exempt function activities, and not more than one-third of their support from investment income and unrelated business taxable income

SUPPORTING ORGANIZATION 509(a)(3)
- Organized exclusively to support a public charity
- Must determine if the 509(a)(3) grantee is Type 1, Type 2 or Type 3
  Type 1: Operated, supervised, or controlled by,
  Type 2: Supervised or controlled in connection with,
  Type 3: Operated in connection with one or more publicly supported organizations, also known as Functionally Integrated
- A Type 3 organization cannot count as a qualifying distribution
- Expenditure Accounting required for Type 3 organizations
- The Foundation must retain a certification letter from the organization's attorney, and the articles of incorporation and by-laws, as documentation supporting the Type 3 functionally integrated status, unless specified in the determination letter

TAX RETURN – GRANT ITEMS NEEDED
November 1, 2011

<u>Report of Grants Paid and List of Refunds from Gifts Reports</u>

Starting in the reports section of Gifts, choose financial reports; select "Tax Return Payments (USE)" report. From the top menu, select tools and then report template. The template will open in Crystal Reports. Click on the header and change the year of the report. Select report expert and move to the tab entitled disposition date; change the selection criteria to the appropriate year. Save and close. Use this updated report for the following:

<u>When running the Grants Paid report:</u>

Title:	Grants Paid Calendar Year 20??
Criteria:	Paid Date = last year and Status does not equal refund
Note:	Remove replacement checks

<u>When running the Refunds report:</u>

Title:	Refunds for Calendar Year 20??
Criteria:	Paid Date = last year & Status = refund

Save each to H:\Records\IRS Tax Grants*year*\ Paid YEAR and Refunds YEAR.
Edit project descriptions as necessary (see below). Indicate tax exceptions by adding an asterisk at the left edge each grant of an organization whose tax status is Private Foundation. The Expenditure Accounting Log contains this information. Refer to previous year. Taxes are filed in November; editing may be done as time is available.

<u>To Edit Grant Descriptions of Payments and Refunds (the above reports)</u>

- Remove any individual names; modify using the position or title instead
- Regarding Bradley Fellow grants, remove professor name and department so the purpose reads: To support the Bradley Graduate and Post-Graduate Fellowship Program
- To *support scholarships* should be changed to *support the scholarship program*
- Delete dollar amounts in the descriptions allotting funds to different programs
- If any questions arise, consult the annual report and/or the program officer

<u>Update Expenditure Accounting Log and copy to the Tax directory</u>

The EAR log has been in use all year.

<u>Refunds, Cancels, Voids, Replacements List, copy and move to Tax directory</u>

This list is created and updated monthly throughout the year. Verify for accuracy.

<u>Grants Approved for Future Payment</u>

Using the Sched of App & Pay from Gifts run for 12/31, save as Future Payments and delete unnecessary columns. Using previous year as example, delete addresses, edit descriptions, copy header and style, remove brown lines, set currency-no decimals-for payment amount column,

<u>List of Tax Exceptions</u>

Info comes from the GEAR log: Organization, Amount Paid, Date Paid.

GRANT ITEMS NEEDED FOR TAX RETURN
April 20, 2012

Prepare and Save to File in the "IRS Tax Grants" Directory by Year	**Exhibit**
Report of grant payments for the year (edit grant descriptions) (Remove replacement checks; indicate Tax Exceptions in left margin)	A
Report of grant refunds for the year	B
Updated Expenditure Accounting log	C
Refunds, Cancels, Voids, Replacements list	D
Grants approved for future payment	E
Tax exceptions list	F

PREPARING THE YEAR-END TAX RETURN/COBRA REPORT
June 6, 2011

This report should be run on the first business day of the New Year.

Starting n the reports section of Gifts, choose financial reports, then select Tax Return Payments (USE) report. Now, from the top menu, select tools and then report template.

The template will open in Crystal Reports. Click on the header and change the year of the report.

Then, select report expert and move to the tab entitled disposition date; change the selection criteria to the appropriate year.

Save and close.

When running the report, use criteria Paid date equals last year, Status does not equal refund.

Save to H:\Records\IRS Tax Grants\year and edit project descriptions as necessary. The taxes are filed in November, so editing may be done as time is available.

TERMINOLOGY

October 25, 2011

GRANT
AWARD
PAYMENTS
SCHEDULED PAYMENT
HOLD PAYMENT
PAID PAYMENT
REQUEST
STATUS
DISPOSITION
COMMITMENT
PRIMARY CONTACT-REQUEST
PRIMARY CONTACT-ORG
SCREENS
FIELDS
CODES
RECORDS
AFFILIATIONS
CONTACTS
REQUIREMENTS
ACTIVITIES
BUDGET
GRANT PROGRAMS

GRANT TRANSFERS
June 21, 2011

1. If funds are returned, process refund and grant amendment as usual. [See how to process refunds.]

2. Change the organization in the grant record of Gifts by clicking on the binoculars next to the organization's name. Search and select to replace with new organization.

3. Prepare transfer letter (from templates available in Gifts).

4. Reissue contract to new organization.

5. Print Charity Check as usual and update tax status in Gifts.

6. Enter the transfer letter as miscellaneous requirement in requirements tab.

7. Also, enter the contract in the requirements tab.

8. Upon receiving signed contract, and completed transfer letter, note the requirements as complete, as usual.

9. Schedule payment on the next check-cutting day, changing payment code to Scheduled.

10. Prepare new file folder label with new grantee's name, combining all papers from original folder (including old contract) with the new transfer information, including request for same.

11. Create "Note for File" from icon at top of screen to explain the reason for the transfer.

12. Print three copies; place in Misc Actions folder, grant reconciliation notes folder, and the agency file folder.

UPDATING FROM OUTSIDE SOURCE MAILING LISTS

September 29, 2011

The following mailing lists are part of our e-Tapestry database.

1. Donors Forum
2. Greater Milwaukee Committee (GMC)
3. Metropolitan Milwaukee Association of Commerce (MMAC)
4. Philanthropy Roundtable
5. Oshkosh Corp.
6. Church Mutual

When an updated list is received from the source, you will need to:

1. Run a report from e-Tapestry for the mail list received.
2. Compare the new list just received with the list pulled from e-Tapestry.
3. Cross out those on the e-Tap list that are no longer on the source list.
4. Add new names from the source list to e-Tapestry.
5. If name not found in e-Tap, add the new constituent information and be sure to include the source code in “User Defined Fields, Mailing Lists.”
6. If name is already in e-Tap, add the source code to the Mailing Lists field.
7. Double check each remaining entry for address change and update e-Tap accordingly.
8. Return source information to VP-Admin.
9. Print new, updated list from e-Tapestry and file in the mailing list file located in the top drawer of the vertical file cabinet on the left in the GA’s office.

UPDATING THE BUDGET WORKSHEET
AND QUARTERLY SPREADSHEET
August 12, 2011

Budget Worksheet

1. Open the Budget Worksheet and move to one of the Sector tabs to begin.

2. In each Sector tab, update grant amounts that changed from their recommended amounts.

3. Then, move the amounts listed in the proposed column to the awarded column.

4. The summary page will automatically update itself.

5. The grants awarded in Gifts needs to be balanced with the Budget Worksheet and agenda spreadsheet.

6. Run a summary of grants awarded on the meeting date. If Sector numbers do not agree, run detailed reports from Gifts to compare with the Worksheet; find and correct the error.

Quarterly Spreadsheet

1. Open the Quarterly Spreadsheet and update grant amounts that changed from their recommended amounts.

2. C heck off in the left margine as each grant agreement is placed in its envelope.

3. Place the date the agreement was mailed in the “Mailed GA” column.

4. Note any items that are being held, or faxed or Fed Exd.

5. The grants awarded in Gifts needs to be balanced with the Quarterly agenda spreadsheet.

6. Run a summary of grants awarded on the meeting date (same as report above). If not in agreement, run detailed reports from Gifts to compare and find and the error.

VOIDS and REISSUED CHECKS
May 23, 2011

When a grant payment needs to be voided and replaced, here's what to do:

1. Search the Payments tab of Gifts for the check to be voided.

2. Double click to open the payment record.

3. Select "void" at the top of the screen.

4. You will be asked if you wish to schedule a replacement payment at this time; answer yes.

5. Schedule the payment for the next check-cutting day.

6. In the payment notes field of the new payment, indicate the check number and date of the voided check. (This information is need for the Finance department because current year voids and prior year voids are handled differently.) Be sure to include the word reissue in the notes field because you will need to search on that word in order to find reissued checks for the monthly grant reconciliation.

7. In the payment notes field of the voided payment, indicate the reason (i.e. lost in mail).

GRANT PAYMENTS BY WIRE

August 29, 2012

Large grant payments or payments imperative to the grantee receiving immediately are sometimes made by transferring funds by wire from the Foundation to the grantee.

The Grants Administrator requests approval for the wire transfer from the VP-Finance via email and then informs the Program Assistant and Controller (with a cc to VP-Finance) that a wire was approved. In the email, she confirms payment date with Controller to make sure Finance staff is available.

The Program Assistant contacts the grantee to request or confirm banking instructions, which she will send to the Controller. (A form is available, but not required, to insure pertinent information is not overlooked. It can be found at: H:\Records\Grants\Wire-Int'l Cable Instructions\ Wire_Transfer_Information_Form.)

The Grants Administrator completes the normal grant process for obtaining the grant agreement, verifying charitable status, etc., then prepares the Grant Payment Approval Form for signature, and provides the signed form to the Controller.

The Controller enters the transaction in the on-line banking system and works with the custodian through the process. The Accountant or the VP-Finance double-checks the information and provide verification of the bank's transaction. A wire transfer requires two finance staff approvals before the transfer can be completed. The grantee is asked to notify the Foundation when the funds have been received.

Wires cannot be sent until we have the wire instructions and approval form; all documentation must be received by 10:00 am CT to send out a wire the same day.

Wires have to be initiated by 12:45 CT because the custodian sweeps all cash out of the Foundation's account at 1:00 CT to invest it overnight. We cannot send out a wire after that time or we will have an overdraft in our account.

Foreign grant wire instructions need to be verified several days in advance of funds transfer so our custodian can verify the instructions are complete because they require information not needed for domestic grants.

The Controller will give the Grants Administrator (and Program Assistant, if it's a foreign grant) the Federal Reference Number.

When the transaction is complete, she marks the scheduled wire payment as paid, selecting the "wire" box on the payment screen and types "Wire" in the notes field.

HOW TO PREPARE THE YELLOW CHECKLIST

October 17, 2012

The yellow checklist is used to document due diligence in respect to grantee compliance of tax exempt status. Some understanding of tax and grant compliance matters is necessary. The yellow checklist template contains many default answers which, in a few instances, will need to be changed.

1. Open the "yellow checklist" template in the admin module of Gifts. Update the award date and date sent to correspond with the current meeting. Save and close. (If unable to do this, after all are merged into one document, use Word's search and replace feature by searching for the date being used on the checklists and replacing with the appropriate date.)

2. When most recommendations are coded in Gifts as Staff Recommend, search from the request tab for those included in the upcoming meeting. (Status = Staff Recommend & Meeting Date = [current meeting date]; may add Sector = *xxxx*.)

3. Choose the "Alpha Staff Recs" view. Select all records on screen. Click on the "send correspondence" icon; select "yellow checklist" from the pull down menu. As you move through the correspondence wizard, be sure to select "record activity" and "save file to disk" so any of the checklists may be edited in the future; complete the merge.

4. With all recommendations still selected, focus and move to the organization tab; apply the "tax info" view. Now, return to the merged yellow checklist document to review for completeness. Referring to the tax information now on the Gifts screen, you will be able to see which organizations are not publicly supported and which directors are affiliated with these grantees; update the checklist accordingly. Also adjust for foreign grants. Sometimes you may find it necessary to refer to the quarterly spreadsheet for data as well. Print the completed forms on yellow paper.

5. If an organization is not found in Guidestar, some things need to be changed in the "Tax Exempt Status" portion of the checklist. Change the "charity check report printed" "Yes" to "No". If we do not have the determination letter on file, replace the "yes" with "no" and beneath, type "will request." If uncertain whether or not the organization is "publicly supported," place three "?" after the entry asking for "type." This information may be updated and the page reprinted if further documentation is received.

6. Attach the corresponding "Charity Check" report printed from Guidestar to the back of each proposal's yellow checklist. When all are completed, place in the open agency filing area for the Program Assistant to file.