

THE JOHN RANDOLPH AND DORA HAYNES FOUNDATION

*Governance & Democracy
Grantmaking Initiative*

**INITIATIVE OVERVIEW
and DRAFT GUIDELINES**



Governance & Democracy Initiative

The John Randolph Haynes and Dora Haynes Foundation
Governance and Democracy Grantmaking Initiative
From Research to Action

Initiative Overview

The Haynes Foundation is launching a new research grantmaking initiative to strengthen democracy and advance good governance in the Los Angeles region. It is focused on enhancing the quality, form, and results of democratic political participation and the performance of government institutions in the Los Angeles region.

This new initiative is firmly rooted in the Haynes Foundation's rich history, enduring mission, and near century of work bridging quality academic research and action to identify and advance solutions to complex regional challenges.

This specific focus on governance and democracy emerged from conversations around our own board table and beyond in gatherings and interviews with nearly forty diverse experts and leaders across multiple sectors and subject areas. What emerged from these future-focused conversations was a clear, shared recognition that our public systems have not kept pace with our rapid, ever-changing environment.

Guided by the foundation's rich history and today's voices calling for actionable solutions to drive positive change, we seek to support solution-focused research that provides data to shape innovative, evidence-based problem solving. In fulfilling its historic mission to address pressing regional issues, the foundation is looking to fund and support two grantmaking approaches:

To what end?

We aim to support research projects that both identify data supported solutions to a regional challenge and drive implementation of these solutions to make a measurable impact on improving the well-being of people throughout the Los Angeles region.

1. Planning grants: \$50K-\$100K per year for one year
- AND
2. Research-to-action grants: \$150K-\$250K per year for two to three years

Priority will be given to proposals that actively involve researchers and policymakers from governmental institutions together with affected stakeholders.

Proposals are expected to be timely, based on scholarly excellence in design, execution, and evaluation, with meaningful engagement and indication of interest in the research topic by affected policymakers and stakeholders.

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- ✓ **Proposals will start with a big question.**
- ✓ **Quality research will turn that question into transparent and accessible data that drives action.**
- ✓ **The result will be solutions implemented to strengthen democracy and advance good governance in the Los Angeles region.**

Why this focus on strengthening democracy and governance?

WE BELIEVE

- Our region faces a series of complex, multi-faceted, and stubborn challenges that defy easy solutions
- Strengthening democracy and advancing good governance practices are at the heart of many of the challenges our community faces
- Bold ideas are out there that have the potential to solve some of our most thorny regional challenges
- Quality research and data can and should guide decision-making and problem-solving and supersede political divides
- No researcher, academic center, community organization, or policymaker can solve these challenges alone
- The public sector has an important role to play in problem-solving, given the scale of resources it can mobilize and its mandate to serve the public good
- Now is the moment to creatively fund and think in new ways to build and support research-to-implementation partnerships that will bring evidence-based solutions to our region.

The **VALUES** that will guide our new initiative are:

QUALITY: We value "quality" research -- unbiased, fact-based, scientific research. Good quality research provides robust, ethical evidence, stands up to scrutiny, and can be used to inform policy-making. It should adhere to principles of professionalism, transparency, accountability, and auditability

- The problem should be well formulated, and the purpose of the study should be clear.
- The study approach should be well designed and executed.
- The study should demonstrate an understanding of related studies.
- The data and information should be the best available.
- Assumptions should be explicit and justified.
- The findings should advance knowledge and bear on important policy issues.
- The implications and recommendations should be logical, warranted by the findings, and explained thoroughly, with appropriate caveats.
- The documentation should be accurate, understandable, clearly structured, and temperate in tone.
- The study should be compelling, functional, and relevant to stakeholders and decision makers.
- The study should be objective, independent, and balanced.

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COLLABORATION: We value collaborative research, which treats practical researchers (practical research refers to the building of knowledge useful to practice that adheres to the principles of scientific inquiry), stakeholders, and policy/changemakers as partners working toward the same ends and involves them in the process of defining research questions addressed and identifying viable solutions. We believe collaborative research tends to get more stakeholder buy-in and can help spot systemic problems that might be overlooked using more traditional methods.

IMPLEMENTATION: Moving beyond studying, talking, and hand-wringing, we value and prioritize the hard, imperfect work of implementing real, measurable solutions that help people in our drive to strengthen democracy and advance good governance practices in the Los Angeles region.

TRANSPARENCY: We trust our grantees and the experience and expertise they bring to each project. We value clear, direct, accessible, actionable language in our communication, grant request proposals, and research results. We share information in a candid and timely manner.

ACCOUNTABILITY: We hold ourselves responsible for managing and directing the funds entrusted to our stewardship to achieve results and make a measurable impact on improving the well-being of people throughout the Los Angeles region. Our FOCUS areas of this new research grantmaking initiative are advancing effective governance practices and strengthening democracy in the context of the evolving needs and challenges facing the people of the Los Angeles region.

What do we mean by ADVANCING GOOD GOVERNANCE?

Governance is about how governmental decisions are made to address and solve problems, how to get to the best solutions, how to implement these decisions to help people, and who is held accountable. The challenge of advancing good governance considers such question as: How do we increase citizens' connections to government agencies and the help they provide? How can we make public services more accessible? How do we build larger, more inclusive decision-making tables to ensure diverse voices are heard? Are we recruiting, attracting, training, and retaining the best leaders for public office and public service? Are our current governing structures (neighborhood councils, commissions, city councils, board of supervisors, board of education) effective? How do we strengthen the government workforce? Should there be high-quality training for candidates and newly elected public officials? Are we holding government officials accountable to the constituents they serve? How do we increase a shared norm, belief, and value that government is a positive and necessary force in helping all people?

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What do we mean by **STRENGTHENING DEMOCRACY**?

Engagement in the democratic process and strengthening democracy is more than just the act of voting. It should be embedded in every part of civic life, extending before and after an election. It is a chance for all people to become and remain involved in their communities and to have a voice in issues that impact their lives. An engaged and informed citizenry is essential for representative democracy to function effectively.

The challenge of strengthening democracy considers such questions as: How do we foster communities built on mutual respect, representation, checks and balance, the importance of the law, and interpretation of the principles embedded in our US Constitution considering contemporary issues and needs of people? How do we reinvigorate and deepen civics education to build more informed and engaged citizens? How do we increase voter participation, increase voting rates and opportunities for all, ensure fair elections, and rebuild trust in the election process? How do we create a shared understanding of our social compact and civic responsibility? How do we nurture and create a public square space for safe, civil discourse and dialogue sharing diverse perspectives?

Our **DESIRED OUTCOMES** include...

- Quality research is conducted in close partnerships with the stakeholders most affected and advanced by policy and changemakers both inside and outside of government
- Bold, innovative, actionable solutions are identified to advance good governance practices and strengthen democracy
- Regional solutions are implemented and their impact evaluated
- The lessons we learn are disseminated to help others address and solve problems
- Practical research and researchers are valued (practical research refers to the building of knowledge useful to practice that adheres to the principles of scientific inquiry)
- When the research grant is complete, the parties involved in the research and impacted by the recommendations feel the value of their contributions.

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The John Randolph Haynes and Dora Haynes Foundation

Established in 1926 by a prominent, reform-minded physician and his suffragist wife, the John Randolph Haynes and Dora Haynes Foundation is a leading supporter of social science research for Los Angeles. It is also the oldest private foundation in the city.

Each year, the Foundation spends up to \$3 million distributing grants and scholarships to various public and private institutions, most of them local. These funds, in turn, are used to encourage study and research into the underlying causes of social problems in Los Angeles and to recommend ways of addressing them.

Over the years, the Foundation has funded hundreds of important urban studies in education, transportation, local government, elections, public safety, demographics, public personal services, and natural resources. In doing so, the Foundation has remained true to its founder's philosophy of promoting the well-being and social betterment of humankind.

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Governance and Democracy Research-to-Action and Planning Grant Application Process

The Haynes Foundation considers grant applications from 501(c)(3) nonprofits whose work is aligned with our mission and priority areas. Grantees must be located within and primarily of service to residents of Los Angeles County. Exceptions may be made for regional, statewide, or national public policy efforts that benefit a substantial portion of the local population.

Applicant organizations may not discriminate based on race, religion, gender, sexual orientation, age, national origin, or disability in hiring practices or the provision of services.

Preliminary Screening: Letter of Inquiry

The letter of inquiry (LOI) is a short expression of your planning or research-to-action project in letter form. This letter gives the foundation a thumbnail sketch of either your proposed planning process or research-to-action project, the partners involved, the research question and challenge you propose to address and solve, and a brief description of your project implementation plan.

This letter will help the foundation determine whether your project meets our essential Governance and Democracy research-to-action grant criteria and priorities before asking you to take the time to submit a formal grant proposal.

All LOIs proceed through this screening process to determine whether or not the initial request, partners, and plan align with the foundation's Governance and Democracy Initiative funding priorities. Those who qualify will be notified and invited to submit a full grant proposal for further consideration.

Please submit your LOI via email with Governance and Democracy LOI in the subject line directly to _____ at _____ by _____. We welcome your questions. Please contact _____ at _____ they will be happy to respond to your inquiries.

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Grant Proposals

If either your planning or research-to-action LOI has been reviewed and approved for further consideration, you will be contacted directly by a foundation staff member and asked to submit a full grant proposal. Our staff are available to answer your questions and will provide you with a checklist outlining all the information required for a full review. Please submit your grant proposal via email with the Governance and Democracy Grant Application in the subject line directly to _____ by _____.

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Review of Grant Requests: Guidelines

The foundation trustees accept and review both planning and research-to-action grant requests. They consider requests that prioritize implementation, action, and positive change and which display either a plan to assemble these attributes or a research-to-action proposal with the following attributes:

- Are focused in Los Angeles County to advance good governance or strengthen democracy in the region
- Present a straightforward research question and a quality research methodology best suited for the topic and goals of this research
- Describe how this research question was selected in collaboration with the stakeholders most affected by the problem
- Include a researcher, stakeholder, and policymaker partnership to improve the likelihood the data will be implemented to solve the challenge identified
- Present a clear plan for utilizing the data developed to drive solutions to regional challenges
- Define progress, success, and a timeline for addressing the challenge(s) identified
- Explain how Haynes Foundation funds, which are relatively limited, might be used to leverage the funding of others or to work in collaboration with others
- Include a plan and process for evaluating the impact of the research and implementation
- Are written in clear, plain, and accessible language

Applicants will be contacted promptly as soon as a decision has been made.

Due to the numerous requests received, visits to the foundation's offices are discouraged unless arranged by invitation. Foundation staff welcome your inquiries at all times and will contact grant applicants directly to discuss funding requests and to schedule interviews, meetings, or site visits.

Unfortunately, the foundation can fund only a limited number of the requests it receives. If a request meets funding criteria but does not receive support, one should not interpret this as an indication of the foundation's lack of appreciation for the merit and worthiness of either the request or the organizations seeking support.

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Eligibility Checklist

- Do the partners on this proposal have 501(c)(3) nonprofit status?
- Are you seeking a research-to-action grant (\$150K-\$250K per year for two to three years) or a planning grant (\$50-\$100K per year for one year)?
- Does your proposed project focus on advancing good governance and/or strengthening democracy?
- Is your proposed research project or planning process focused on finding a solution to the challenges affecting people within the Los Angeles region?
- Do you have a team, or are you committed to assembling a team, of collaborative partners committed to working together to ensure the success and implementation of this grant? Such a team could include the following:
 - Researcher
 - Stakeholder(s) most affected by this challenge
 - Policy or changemaker(s)
 - Philanthropic partner(s)
- Have you spoken to a member of the Haynes Foundation staff to discuss your request?

If yes, advance to the LOI:



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Letter of Inquiry

The Haynes Foundation only accepts LOI submissions online. Use this document as a guide for developing your letter on your university or organization letterhead. **The maximum length of your LOI is two single-spaced, 12-point font pages.**

Before applying, please review our website's overview of the Haynes Foundation Governance and Democracy Initiative. Additionally, we encourage all applicants to contact our foundation executive director, _____, at _____ before submitting an LOI.

- Planning grant (\$50-\$100K per year for one year)?
 - Research-to-action (\$150K-\$250K per year for two to three years)
- (At the opening of your letter, please indicate which grant you're applying for.)

1. Applicant partners' names, fiscal sponsors, university, organization name, and federal tax ID numbers
2. Application contact person: name, title, address, phone number, email address
3. Title of your project:
4. Research question:
5. Provide a brief explanation of the challenge you seek to address and how this research will be implemented to address this challenge. (____ words)
6. Be specific about your research methodology. How is (or will) this methodology best suited for the topic and goals of this research?
7. Is this research focused on Los Angeles County? Where? Who will be affected? (____ words)
8. Briefly describe how the people most affected by this research were (or will be) involved in developing this project and how they will be involved throughout. (____ words)
9. How will this project advance good governance or strengthen democracy in the Los Angeles region? (____ words)
10. Do you have other funding sources for this work? (____ words)
11. What grant amounts are you requesting? What is the term (in months or years) for which you are requesting a grant?

If your LOI has been reviewed and approved for further consideration, you will be contacted directly by a member of our foundation staff and asked to submit a full grant proposal. 

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Planning Grant Proposal

If your LOI for a planning grant has been reviewed and approved for further consideration, you will be contacted directly by a member of our foundation staff and asked to submit a full grant proposal. Our team is available to answer your questions and will provide you with a checklist outlining all the information required for a full review.

Please submit your completed planning grant proposal via email with Governance and Democracy Planning Grant Application in the subject line directly to _____ at _____ by _____.

Each planning grant proposal must be limited to three single-spaced, 12-point font pages and should include responses to the following questions, arranged in the following order:

1. How will you use this planning time and grant to develop a research-to-action project focused on Los Angeles County to advance good governance and or strengthen democracy in the region?
2. Please tell us where you are in regard to developing a straightforward research question and research methodology.
3. Describe how you will develop and select a research question in collaboration with the stakeholders most affected by the problem.
4. Have you identified and assembled a team of partners—a researcher, stakeholder, and policy/changemaker—to improve the likelihood that the data you produce will be implemented to solve the challenge identified? If not, how will you pursue that?
5. How can the foundation be of help to you during this planning process?

NOTE: The proposal should be understandable and convincing to knowledgeable lay readers, and its language should be concise and direct, evidencing a fair and inquiring approach to the topic.

Additionally, please attach the following:

- A brief budget and timeline for the one-year planning process
- The names and qualifications of the key partners involved to date (limit one-page resume for each partner)
- Copies of tax exemption letters from the Internal Revenue Service and the California Franchise Tax Board

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Research Grant Proposal

If your LOI for a research grant proposal has been reviewed and approved for further consideration, you will be contacted directly by a member of our foundation staff and asked to submit a full grant proposal. Our team is available to answer your questions and will provide you with a checklist outlining all the information required for a full review.

Please submit your completed grant proposal via email with **Governance and Democracy Grant Application** in the subject line directly to _____ at ___ by ____.

Each proposal must be limited to five single-spaced, 12-point font pages and should include responses to the following questions, arranged in the following order:

1. How will this research-to-action project, focused on Los Angeles County, advance good governance and or strengthen democracy in the region?
2. Present your straightforward research question and research methodology. Explain how this methodology is best suited for the topic and goals of this research. Be specific.
3. Describe how this research question was developed and selected in collaboration with the stakeholders most affected by the problem.
4. How did you identify and assemble your team of partners—a researcher, stakeholder, and policy/changemaker—to improve the likelihood the data you produce will be implemented to solve the challenge identified?
5. Present a clear plan and timeline for utilizing the data developed to implement solutions.
6. How will you define and measure progress, success, and impact to address the challenge identified?
7. Explain how Haynes Foundation funds, which are relatively limited, might be used to leverage the funding of others or to work in collaboration with others.
8. What grant amount are you requesting? What is the term (in months or years) for which you are requesting a grant?

NOTE: The proposal should be understandable and convincing to knowledgeable lay readers, and its language should be concise and direct, evidencing a fair and inquiring approach to the topic. The research methods should be well adapted to the subject matter and the project's goals.

Also, please attach the following:

- A detailed one-page budget and timeline for the project
- The names and qualifications of the key partners involved (Limit one-page resume for each of the three partners)
- Copies of the partner's tax exemption letters from the Internal Revenue Service and the California Franchise Tax Board

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Grant Reporting

IRS Rules Re: Grant Reporting

The granting private foundation must require reports on the use of the funds, compliance with the terms of the grant, and the progress made by the grantee toward achieving the purposes for which the grant was made. The grantee must make an annual accounting of the funds at the end of the accounting period and must make a final report on all expenditures made from the funds, in addition to the progress made toward the goals of the grant.

Reliance on information supplied by grantee. A private foundation, exercising expenditure responsibility with respect to its grants, may rely on adequate records or other sufficient evidence supplied by the grantee organization, showing the information the grantor must submit to the IRS.

Grantee's failure to make reports. A failure to make the required reports by the grantee will result in the grant being treated as a taxable expenditure by the grantor unless the grantor:

1. Awarded the grant according to the expenditure responsibility requirements,
2. Complied with all the reporting requirements,
3. Made a reasonable effort to get the required reports, and
4. Withholds all future payments on this grant and any other grant to the same grantee until the report is provided.

Grant Reporting Letter to Grantees

Haynes Foundation Grant Reporting Guidelines

[Grantee] [FY of Grant] [Grant Type]
Period Reporting On: [Grant Duration]

Dear [Grantee],

The Haynes Foundation trustees and staff are interested in hearing about your overall work and lessons learned over the past year. The information you provide is extremely valuable to our partnership and will help us ensure the following:

- Learn from and understand your work more deeply, including your successes, challenges, learnings, and aspirations.
- Where appropriate, enter into a conversation about providing additional support, when possible, in areas where partners are facing challenges or are seeking to amplify a particular area of their work.
- Share your work and learnings with new and prospective grantees.

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If you need further clarification or have additional questions about this document or your report, don't hesitate to contact the Haynes Foundation staff.

We always appreciate your honest feedback and reflection, and we look forward to reading your report.

Please respond to the question below in the format and length of your choosing.

What would you like us to know about your work and what has happened in this project over the past year?

What went well?

What challenges did you face?

What did you learn?

How might we help and support you?

Additionally, if you have any recent photos, videos, interviews, or news articles about your work you would like to share with us, please send them as a separate attachment.