College and Community Collaboration

Lilly Endowment is pleased to announce its College and Community Collaboration initiative (CCC). The aim of this initiative is to encourage Indiana's institutions of higher education to collaborate with community stakeholders to envision and jointly undertake significant community development efforts to create more vibrant places in which to live, learn, work and play.

Through CCC, Indiana colleges and universities that have physical campuses in Indiana and offer four-year degree programs are invited to submit proposals to enhance quality of life and place in their communities. The Endowment is interested in helping these institutions address opportunities and challenges in their communities in ways that benefit both the colleges and universities and community residents. For purposes of this initiative, community is used in its broadest sense and may include neighboring and surrounding communities, neighborhoods adjacent to a college or university campus, or a broader region or county in which the college or university is located. Projects that solely or principally benefit colleges or universities (e.g., residence halls, laboratories, classrooms) are outside the scope of this initiative.

The Endowment has allocated up to $300 million for this multi-year initiative.

Invited colleges and universities may request funding through a two-phase process: a noncompetitive planning phase and a competitive implementation phase.

Phase 1: Eligible institutions may submit letters requesting grants of **up to $250,000 each** to engage in planning activities aimed at envisioning and developing, in collaboration with community stakeholders, plans to enhance and revitalize in some significant way the quality of life and place in their communities. (Indiana University and Purdue University may request more than $250,000 as provided below.) **Planning grant proposals are due by 12 p.m. EDT on March 31, 2023.** The Endowment anticipates announcing Phase 1 planning grants on or before April 28, 2023.

Phase 2: Colleges and universities may submit proposals for implementation grants of **up to $25 million each** that may be used for up to a five-year period to implement their plans. Institutions may opt to submit their proposal to the Endowment by **one of two submission deadlines: September 1, 2023, or March 1, 2024**. The Endowment anticipates announcing Phase 2 implementation grants by the end of 2023 with respect to proposals submitted by the first submission deadline and by the end of July 2024 relative to proposals submitted by the second submission deadline.

Background information, guidelines and selection criteria, among other matters, are discussed more fully below.

Background

Colleges and universities direct their efforts primarily toward the engagement of their students and faculty in advanced learning, research, and scholarship and in the preparation of their students for career and life success. For institutions of higher education to carry out these essential objectives, they must attract and retain a talented and diverse student body, faculty and staff. Although reputation, academic excellence and campus facilities are critical to recruiting this talent, the quality of life and place in an institution's community can play a pivotal role in determining where many faculty, staff and students choose to work and study.

The Endowment has learned that many college and university leaders are increasingly motivated to enhance the economic, cultural and social vitality of their surrounding neighborhoods and their broader communities. They note examples from around the country, such as efforts to revitalize areas within walking distance from college or university campuses that include retail, office and residential spaces; and collaborations among higher education institutions, neighborhood associations and development partners to renovate or expand various types of housing units in neighborhoods close to college and university campuses.

Colleges and universities often serve as "anchor institutions" in their communities. As an anchor institution, a college or university has substantial economic and human resources that play, or can play, a critical role in its community's present and future vitality. Institutions of higher learning have significant financial resources and purchasing power, capital infrastructure and real estate holdings, and intellectual capital. In addition, many institutions have accumulated over decades substantial social capital, including trusted relationships with local leaders and residents, giving them the ability, among other things, to convene stakeholders, build consensus, and work collaboratively to achieve positive outcomes for their communities.

Through this competitive initiative, the Endowment aims to encourage and support the collaborative efforts of Indiana colleges and universities and community stakeholders to improve the quality of life and place in communities throughout the state. To be competitive in this initiative, proposals will need to demonstrate that the applying college or university has engaged in rigorous, concerted and inclusive planning activities and sought the perspectives and ideas of a diverse range of community organizations and residents in imagining and developing plans for the projects proposed for funding.

Guiding Questions and Priorities

In considering whether and how to participate in this initiative, institutions should consider the following guiding questions:

- What can or needs to be done in your institution's community to improve quality of life and place, and what role can your institution play in fostering that improvement? What does your institution need to understand better to plan and implement effective and additive local community and economic development efforts, e.g., do you need to learn more about efforts that are being supported through other initiatives, such as the State of Indiana's Regional Economic Acceleration and Development Initiative?

- What factors in your institution's community contribute to or detract from your ability to attract and retain talent (students, faculty and staff)? What are new and/or existing opportunities that, in collaboration with community leaders and other stakeholders, seek to improve quality of life and place and attract and retain talent? How can your institution and community be more welcoming and supportive of the various populations you wish to attract and retain?

- What are the community or economic development aspirations that your institution and others in your community share and might hope to achieve together? Do these aspirations include ways to build a more inclusive environment for diverse and underrepresented populations? What are some examples of projects that might help make progress toward realizing those aspirations? Consider (i) current assets that exist at your institution and/or in the community that can be maximized or more fully and effectively leveraged; and (ii) obstacles that could be removed and/or deficits that could be addressed to enable progress toward aspirational goals.

- What do students, faculty, staff, business and civic leaders, and other residents want from the community in which they live, learn and conduct business and how can it be provided to them? How might your institution help the community achieve the desired outcomes?

Initiative Eligibility and Design

The 35 Indiana colleges and universities that provide four-year degrees and have physical campuses in Indiana are eligible to apply for grants through the CCC initiative.

The 35 Eligible Indiana Institutions		
Anderson University	Huntington University	Saint Mary's College
Ball State University	Indiana State University	Taylor University
Bethel University	Indiana Tech	Trine University
Butler University	Indiana University	University of Evansville
Calumet College of St. Joseph	Indiana Wesleyan University	University of Indianapolis
DePauw University	Manchester University	University of Notre Dame
Earlham College	Marian University	University of Saint Francis
Franklin College	Martin University	University of Southern Indiana
Goshen College	Oakland City University	Valparaiso University
Grace College	Purdue University	Vincennes University
Hanover College	Rose-Hulman Institute of Technology	Wabash College
Holy Cross College	Saint Mary-of-the-Woods College	

The initiative comprises two phases: 1) a noncompetitive planning phase and 2) a competitive implementation phase with two submission deadlines. **A college or university must participate in the initiative's noncompetitive planning phase to be eligible to submit a proposal for the competitive implementation phase.**

The planning phase of the initiative (Phase 1) is intended to:

1. Enable institutions to envision and develop collaborative, significant community-oriented plans to enhance and revitalize their surrounding neighborhoods and/or their broader community.

2. If desired, prepare an implementation grant proposal to seek partial funding in the second phase of CCC to implement their plans.

The competitive implementation phase of the initiative (Phase 2) is intended to provide partial funding for compelling projects to enhance quality of life and place in an institution's community. This phase will include two submission deadlines. Colleges and universities should choose between the two submission deadlines based on their desired length of time for planning activities. Proposals will be adjudicated based on their relative merit, with no consideration given to the selected deadline.

Phase 1 Proposal Guidelines and Considerations

Noncompetitive Planning Phase

Thirty-three of the Indiana colleges and universities that provide four-year degrees and have physical campuses in Indiana will be eligible to apply for **planning grants of up to $250,000**. Indiana University and Purdue University, which have core campuses as well as significant regional campuses, will be invited to apply for larger planning grants based on their number of regional campuses.

Planning grants should be used to conduct comprehensive assessment and planning activities that satisfy the aim of the initiative and address the RFP's guiding questions. (see pages 2 and 3). Such activities should include extensive discussions, interviews and meetings with a diverse cross section of community stakeholders and, as appropriate, market assessments; identification of prospective sites for redevelopment; studies of national best practices; site visits to other campuses; consultations with private developers and/or subject matter experts; and explorations into financing options for the proposed projects, among others. Utilization of consultants and other third parties to help inform and execute the planning activities is an acceptable use of planning grant funding.

Phase 1 Planning Proposals

While this is a noncompetitive funding opportunity, proposals will need to provide information on the activities that will take place during the planning period, particularly those activities that relate to an institution's community stakeholder engagement. Successful planning grant proposals should:

- Briefly describe any work the institution already has undertaken and/or would like to undertake to create or support the creation of community or economic development plans to enhance and revitalize aspects or areas of their communities.

- Identify community leaders and other stakeholders the college or university intends to seek input from and collaborate with closely during the planning process.

- Describe activities the college or university will undertake using planning funds and who will be involved in these activities.

- Indicate the amount requested for planning funds (not to exceed the amount indicated by the Endowment) and include a high-level budget that details the costs and expenses associated with the institution's intended planning activities, including its efforts to seek the perspectives and ideas of a diverse range of community organizations and residents. At the conclusion of the planning phase, each institution will be required to report how the planning grant was used according to the schedule and provisions of the grant agreement.

Phase 1 Submission Guidelines

To apply for a planning grant, each eligible college and university is invited to submit a proposal of **no more than 5 pages in length**, with a cover letter signed by the college or university president (not included in the 5-page limit), **by 12 p.m. EDT on March 31, 2023**. **Proposals must be submitted as a single PDF and emailed to** collegeandcommunity@lei.org.

It is expected that planning grants will be scheduled for payment no later than April 28, 2023.

Phase 2 Proposal Guidelines and Considerations

Competitive Implementation Phase

In Phase 2 of the initiative, colleges and universities may submit proposals requesting partial funding to execute community or economic development projects that will enhance quality of life and place in their respective communities. Each eligible institution may apply for an **implementation grant of up to $25 million**, except for Indiana University and Purdue University. Given the aim of the initiative and based (among other factors) on the number and size of their campuses across the state (core and regional campuses), Indiana University may submit separate proposals for grants of up to $25 million each for three campuses and Purdue may submit separate proposals for up to $25 million each for two campuses.

If the proposed project is extraordinarily compelling, the Endowment may choose to award funding exceeding these limits. Institutions may use grant funds for up to a five-year period to implement their projects. Requested grant amounts may not exceed 30 percent of a proposed project budget.

To be considered for this competitive funding opportunity, each interested college or university should submit a proposal **by one of two submission deadlines: September 1, 2023, or March 1, 2024**. Colleges and universities should choose between the two submission deadlines based on their desired length of time for planning activities. Proposals will be adjudicated based on their relative merit, with no consideration given to the selected deadline.

Phase 2 Selection Criteria

In evaluating proposals, the Endowment may consider, among other criteria, the extent to which:

- The proposed project satisfies the aim of the initiative and addresses the guiding questions outlined on pages 2 and 3 of the RFP.

- The proposed project is feasible and is derived from a convincing rationale accompanied by a compelling narrative describing community collaboration and intended impact.

- The proposal demonstrates significant breadth, depth and quality of the engagement of a diverse range of stakeholders in the institution's community and how that input has informed the project design, strategy and implementation plans.

- The proposal clearly describes compelling and feasible outcomes that will be achieved for the institution and the community if the project is successful. The proposal should include qualitative and quantitative metrics that will be used to determine whether these outcomes are achieved and the performance indicators that will be monitored to gauge progress toward the defined outcomes.

- The proposed project includes effective collaborations, and the collaborators have well-defined roles (e.g., project implementation, financing, etc.) and have endorsed or otherwise demonstrated support for the proposed project.

- The proposal demonstrates the institution has sought out and used relevant state and local data in developing the proposed project.

- The total proposed project budget and the grant amount requested are reasonable and proportional to the scale of the envisioned project and resulting impact and community benefit.

- The proposal clearly demonstrates that other sources of project funding (e.g., government, business, investment capital, philanthropy, and the college or university itself) are credible, likely to be secured, and sufficient to execute and sustain the proposed project. Endowment funds may not exceed 30 percent of the project's revenue budget. In determining whether the 30 percent limitation is met, other sources of project funding include contributions of cash, cash equivalents (e.g., publicly traded stocks or bonds) and real or personal property that can be readily valued (e.g., through appraisals or other established valuation processes). In-kind contributions of services—such as the use of loaned employees, utilities or maintenance—may be treated as another source of project funding only if the value of such services will be determined on an objective, reasonable and documented basis (for example, timekeeping records used to determine employee salaries allocated to the project or separately metered utility costs). Projects in which Endowment funds are more highly leveraged will likely be favored in this competitive initiative.

- The proposal demonstrates clearly that the institution of higher education and key collaborators have both the financial and dedicated human resources required to execute and sustain the proposed project and indicates how the project will be governed on an ongoing basis to ensure both the institution and the community receive the intended benefits.

- The proposal includes an objective description of anticipated obstacles and difficulties that might be faced in implementing the proposed project and outlines appropriate mitigation strategies.

Phase 2 Implementation Proposals

An implementation proposal should be organized as follows and include the elements listed below.

Cover Letter: This letter to request funding of an implementation grant under this initiative must accompany all implementation proposals and must be signed by the college or university president and the chair of the board of trustees.

Executive Summary: This is a succinct, **one-page summary** of the proposal. It should include a brief statement of the rationale for the proposed project, a concise description of the project, a listing of any collaborators involved and their respective responsibilities, the amount being requested (up to the parameters outlined in this RFP) and the implementation timeline.

Proposal Narrative: This is a narrative description of **no more than 12 pages in length**, excluding the cover letter, executive summary, budget and budget narrative, timeline, letters of support and other supporting materials. The narrative should provide comprehensive information on the college or university's proposed project to enhance the quality of life and place in its community and include (among other things) the following elements:

- **Purpose and Rationale.** A description of the planning activities undertaken by the institution, including detailed information on the community stakeholders the college or university engaged throughout the planning process. The rationale for the project should be described, including why it was prioritized over others and how it will benefit both the institution and its community. This should include any feedback from community convenings, findings from benchmarking or research studies, economic analyses, and other relevant data and information.

- **Community Benefit.** Detailed information on the project to be executed and a description of the project's demonstrable community benefit; that is, a proposed project should have a community-

centered, mutually beneficial purpose and be designed to be broadly and readily available to (and utilized by) defined community constituencies. The proposed project should have a model of ongoing oversight and governance that meaningfully includes key community stakeholders.

- **Roles and Responsibilities.** A description of the college or university's role in the proposed project and an explanation of the responsibilities of each collaborating party, including a description of the capacity of the institution and its collaborators to carry out their responsibilities identified in the proposal. The roles and responsibilities described may include financial support, project implementation and human resources to implement the project, among others.

- **Proposed Outcomes.** A description of the outcomes of the proposed project and how the institution will evaluate the extent to which the outcomes are accomplished. This section should include key performance indicators, both qualitative and quantitative as appropriate, to measure progress.

- **Project Funding.** A description of the funding the college or university has secured and how and when it plans to raise funds for the remainder of the project budget.

- **Communications Strategy.** A communication plan that describes the various audiences the college or university intends to communicate with concerning the project (e.g., community stakeholders and leaders, general public, funders, other collaborators) and the communications strategies the institution will employ.

- **Sustainability.** A description of how any ongoing activities launched or supported with grant funds will be sustained after the Endowment's grant has been expended.

- **Risks and Mitigation Strategies.** A description of anticipated risks and obstacles to project execution and the strategies and plans to mitigate them.

Timetable: Provide a timetable for project implementation. This may be presented in a narrative description of the planned activities or in the form of a Gantt chart.

Budget: The budget should detail the costs and expenses associated with the overall proposed project and indicate the portion of the project the Endowment is being asked to fund.

Budget Narrative: The budget narrative is an accompanying document that describes each budget line item and clearly explains how it was calculated, including any assumptions made. Proposed funding for program expenses associated with the project may be included in the requested grant amount.

Letters of Support (required): Letters of support from community stakeholders who were engaged during the planning period and are supportive of the proposed project must be included with the proposal. Additionally, if the implementation of the proposed project involves other collaborating organizations (to implement or sustain the project), letters of support from the leaders of those organizations must be submitted with the proposal. Please exercise discretion in the number of letters of support submitted with the proposal.

Appendices (optional): If desired, the college or university may submit **up to 25 pages** of additional information about the project being proposed such as photographs, renderings, research citations and sample program materials. Please exercise discretion in the length and number of materials submitted in the appendices.

Phase 2 Submission Guidelines

To apply for an implementation grant, each eligible college and university is invited to submit a proposal with a cover letter signed by the college or university president and the chair of its governing board **by one of the two submission deadlines below. Proposals must be submitted as a single PDF and emailed to** collegeandcommunity@lei.org.

Implementation submission deadline options:

Submission Options	Submit Implementation Grant Proposal By:	Receive Grant Decision From Endowment By:	If Awarded Funding, Expect Payment By:
Option 1	12 p.m. on September 1, 2023	December 15, 2023	December 31, 2023
Option 2	12 p.m. on March 1, 2024	July 31, 2024	September 30, 2024

Institutions may submit implementation grant proposals in advance of either the first or second deadlines. Proposals will be adjudicated based on their relative merit, with no consideration given to the selected deadline. At the Endowment's discretion, colleges and universities that submitted proposals by the first deadline but did not receive funding may be eligible to submit revised applications on or before the second deadline.

Implementation Grant Proposal Checklist

Complete implementation grant proposals will include the following items in the order listed below:

- ☐ Cover Letter
- ☐ Contact Information Form (**see form here**)
- ☐ Executive Summary
- ☐ Proposal Narrative (no more than 12 pages)
- ☐ Timetable
- ☐ Budget
- ☐ Budget Narrative
- ☐ Letters of Support
- ☐ Appendices (optional) - (up to 25 pages)

Please direct any questions about CCC to Endowment staff, at collegeandcommunity@lei.org.