



HUMBOLDT COUNTY

Headwaters Fund

Competitive Grant Application

Applicants are strongly encouraged to submit a letter of interest prior to submitting a full application. Please refer to the letter of interest guidelines for information.

Applications are subject to public records acts and disclosure requirements.

Thank you for your interest in the Headwaters Grant Fund. As specified in our Charter, our purpose is to:

- a) Support the growth of industry clusters and increase the number of sustainable jobs that pay near or above the median income;
- b) Enhance the quality of life through social and environmental projects that promote healthy communities and protect and enhance the natural environment.

Please contact Kenny Spain, Executive Director, to discuss any questions about your application. Applications must be submitted electronically to headwaters@co.humboldt.ca.us. If some attachments are easier to submit as a paper version, you may bring or send those to our office at 520 E Street, Eureka, CA 95501.

Applications are due August 20th, 2021. Given the fund's current commitments, the annual allocation this year will be \$150,000. Applicants may apply for up to \$75,000. The application form, instructions, and information on the Grant Fund may be found on our website at www.humboldt.gov/headwaters.

APPLICATION PACKET CHECKLIST

Please email the following documents, in pdf format and labeled appropriately, to headwaters@co.humboldt.ca.us. Application limit is 35 pages:

- Coversheet (Page 1-2 of the Application, attached)
- Narrative (maximum of 5 pages, 12 point font, 1" margins)
- Project Budget with description of matching funds
- List of members of the Board of Directors
- Up to five letters of support
- Most recent IRS tax status certification (for non-profits only)
- Organization's current annual operating budget
- Project Timeline with milestones and expected completion dates

**The Headwaters Fund
Grant Fund Application Coversheet**

Date of application:

Organization Name:

Director/CEO:

Contact Person Name and Title:

Contact Phone: Contact Email:

Contact Address:

Total current year organizational budget: # of FTE employees:

Summarize the organization's mission (in the space provided):

Project title:

Please provide a less than 250 word summary of your project which answers the following questions: How will your project lead to improving the local economy and increasing the quality of life for local residents? What exactly are you going to do and for whom? Why is it necessary? What will be accomplished? How will you accomplish this?

Amount requested: Total project cost:

Grant timeline: Period covered: to

Total match amount: \$
Match amount as % of total project budget %
(Required 50% total project match for implementation, 25% of total project for planning)

Cash match: \$
Cash match as % of total project budget %
(Required: 25% of total project for implementation, 12% of total project for planning)

In-kind match: \$
In-kind match as % of total project budget %

Number of new FTE jobs created, if funded:
Number of FTE jobs retained, if funded (jobs that would otherwise be eliminated):

Number of permanent, long term, private sector jobs to be created:

Please provide a brief explanation of how job creation/retention numbers were calculated:

Type of project: Planning Implementation

Geographic focus of project:

Which Industry is your project working with (check off all that apply):

- Diversified Health Care
- Specialty Food, Flowers and Beverages
- Building and Systems Construction
- Investment Support Services
- Management and Innovation Services
- Niche Manufacturing
- Tourism
- Forest Products
- Arts and Culture
- Alternative Agriculture

Strategy being employed to promote economic development (check off all that apply):

- Supporting development of pre-permitted commercial space
- Reducing regulatory bottlenecks for business retention or creation
- Supporting economic development infrastructure
- Developing new strategies for economic development
- Providing access to external markets or plugs the economic leaks
- Retaining and growing existing businesses
- Providing workforce training
- Increasing the number of new businesses
- Leveraging future funding or projects
- Reducing poverty by helping people to develop business skills
- Other (describe):

Are any of the following components required, and if so are they in place already? (check off in left column if required, then check of "yes" or "no" for if they are in place already)

- | | | |
|--|------------------------------|-----------------------------|
| <input type="checkbox"/> Building permits | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <input type="checkbox"/> Market research | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <input type="checkbox"/> Legal review | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <input type="checkbox"/> Regulatory approval | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <input type="checkbox"/> Consultants hired | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <input type="checkbox"/> Staff hired | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

EXPLANATION OF NARRATIVE QUESTIONS

Please answer the questions below. The entire narrative is limited to 5 pages. Answers should be written in 12 point font with 1" margins. For further explanation of the questions, please see the Grant Application Instructions.

- 1) Describe the need for your project and how it will improve the economy. What is the problem you are solving? What is the current situation, and future vision? Which businesses are you working with that have helped you identify the need? What are the risks and challenges for project success and how will you mitigate those?
- 2) What are the measurable objectives of your project? Quantify the expected outcomes.
 - **Improves Market Competitiveness:** Examples include: return on investment, increase in number of clients served, units sold.
 - **Benefits Clusters/major Industries as Identified in CEDS:** How many industries will receive benefits and what will those individual industry benefits be?
 - **Job Creation/Retention:** Number of FTEs created or retained by the project. Please separate direct employment and ancillary employment. Please provide multiplier is used for ancillary positions.
 - **Drives Capital Investment:** Anticipated levels of Capital Investment? (Purchase of property, plant, and equipment? Property investment? etc.)
 - **Business Creation/Growth/Retention:** Number of businesses started? Number of businesses retained that would have otherwise shuttered? Percent change in size of businesses? (Sales Revenue, Net Profit Margin, Gross Margin, Lead to Client Conversion Rate, Customer Acquisition Cost, Property/Sales Tax Paid, etc.)

For other strategies you plan to use, quantify measureable outcomes in terms of numbers of businesses supported and additional dollars coming into the local economy.
- 3) Describe what you will do to achieve your objectives. Describe how you will measure progress towards your objectives.
- 4) Describe the work which has already been done to ensure that this project will be a success (i.e. prior research, planning or permitting). You may attach backup documentation.
- 5) List the jobs directly created as an outcome of the successful implementation of this project, titles, roles/general responsibilities, expected employers and expected wages. (Note: Please do not include jobs which will be actually paid for by grant funding or are short-term, temporary project related jobs.) If the project is expected to create indirect jobs in the long term please quantify those as well.
- 6) If appropriate, explain how the project will protect and or improve the natural environment in one or more of the categories listed below.
 - Supports the sustainable use of environmental resources
 - Preserves open spaces and working landscapes
 - Utilizes environmental knowledge in the creation of jobs
- 7) Explain how the project contributes to the quality of life for Humboldt County residents in any of the categories listed below.
 - Benefits Underserved Population
 - Preserves Cultural Heritage and Strengthens Community Identity
 - Improves Existing Infrastructure

- Strengthens Community Leadership and Civic Participation

8) Explain the capacity of your organization, staff and project partners to implement this project.

9) If you will be using grant funds to hire expertise please list the consultants or firms you are considering. If you are not considering using a local business please explain why.

10) Describe how you will acknowledge the Headwaters Fund in your work.

REQUIRED ATTACHMENTS

Please attach the following after the project narrative:

- **Project budget** – use the budget format outlined below and include a description of match sources.
- **Governance** - List of your board of directors or council members.
- **Support Letters** – attach documentation of collaboration and/or project need in the form of up to 5 Letters of Support, Letters of Partner Commitment, and/or Memoranda of Understanding.
- **IRS tax status certification** – most recent (for non-profits only)
- **Annual operating budget**
- **Timeline with expected project milestones and completion dates (sample below)**

Date	Milestone

OPTIONAL ATTACHMENTS

- **Resumes** – brief resumes of key personnel
- **Market Analysis**
- **Business Plan**
- **Associated Research**

SAMPLE PROJECT BUDGET FORMAT

Use the following format for your project budget submittal. For major expenses, please be specific.

Project Expense Item	Total Cost (\$)	Requested Amount from Headwaters Grant Fund	Amount from Matching Funds	Source of Matching Funds
<i>Example: Travel</i>	<i>5,000</i>	<i>2,000</i>	<i>3,000</i>	<i>United Way grant</i>
Direct Salaries & Wages (breakdown by individual position & indicate full or part-time; list indirect staff costs in "Overhead- staff related" section below)				
Staff 1:				
Staff 2:... etc.				
Sub-total: all Direct Salaries & Wages				
Benefits & Payroll Taxes				
Consultant & professional fees (specify)				
Travel (describe)				
Equipment (specify)				
Overhead- non-staff related				
Overhead- staff related (breakdown by individual position; include payroll taxes and fringe benefits)				
All Overhead Costs as % of Total Project Cost				
Total Project Cost				

Note 1: "Overhead- non-staff related" includes office supplies, printing, telephone/fax, postage, rent, and utilities.

Note 2: "Overhead- staff related" is comprised of indirect staff costs (e.g. bookkeeper).

Match Sources - list all other funding sources for this project. For each source, list whether the amount is received, committed, application pending, or not yet solicited.