

**CONNECTICUT BAR FOUNDATION  
BANK OF AMERICA SETTLEMENT SURPLUS DISTRIBUTION  
GRANT APPLICATION FORM**

Organizations Eligible for Bank of America Settlement Surplus Distribution Grants

In accordance with the terms of acceptance of the Bank of America Settlement Surplus Distribution ("Distribution"), grants from the Distribution **shall be made for the sole purpose of providing funds to legal aid organizations in the state of Connecticut for foreclosure prevention legal assistance and community redevelopment assistance.** The total amount available for these grants is \$2,869,193.

The Connecticut Bar Foundation (CBF) intends to give the broadest interpretation it deems appropriate to the term "community redevelopment assistance."

A Distribution recipient must:

1. Be a legal aid organization in Connecticut.
2. Be a nonstock nonprofit corporation qualified as tax exempt under sections 501(a) and 501(c)(3) of the Internal Revenue Code.
3. Have certified financial statements for the three prior years and have an appointed independent certified auditing firm.
4. Have registered, where applicable, with the Connecticut Department of Consumer Protection.

Distribution Guidelines

The Connecticut Bar Foundation (CBF) will take into account the following parameters when considering grant applications:

1. The CBF encourages challenge grants, fund-matching, fund leveraging, and use of volunteers.
2. The CBF will fund applicants to achieve broad geographic and demographic dissemination of Distribution funds throughout the state and to serve the greatest number of people. The CBF will seek to avoid duplicating the same or similar services to the same population.
3. The CBF will consider the quality, effectiveness and importance of the proposed legal services to the applicant's targeted population, and the contribution the proposed services would make towards achieving foreclosure prevention and community redevelopment.

- 4. The CBF will consider each applicant’s priorities, efficiency, and capability for quality control, outcome measurement, and accurate reporting.

The CBF also will give consideration to proposals from eligible legal aid organizations:

- for multi-year grants, and
- that partner creatively with each other or with non-legal aid organizations that advance the purpose of the Distribution.

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Application Process

The CBF will make funding determinations primarily on the basis of written applications in accordance with the Distribution application guidelines and instructions. The CBF may request supplements to the applications and make on-site visits. Periodic written reports will be required regarding the use of the funds from each grantee.

The total grant application package must be submitted to the CBF by June 23, 2017. The Board of Directors is responsible for making final grant decisions.

Email the application and other emailable information as separate files (not in PDF format) to [liz@cbf-1.org](mailto:liz@cbf-1.org) and [anne@cbf-1.org](mailto:anne@cbf-1.org) and send any remaining documents (if not emailable) to:

Liz Drummond, Assistant Director  
 Connecticut Bar Foundation  
 31 Pratt Street, Suite 420  
 Hartford, CT 06103

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\_\_\_\_\_  
Name of Organization/Program

\_\_\_\_\_  
Address

\_\_\_\_\_  
City State Zip Code

\_\_\_\_\_  
Contact Person Telephone

\_\_\_\_\_  
Amount of Funds Requested

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Provide the following information:

1. Describe the proposal and the goals and objectives to be achieved, including how the proposal advances the purpose of foreclosure prevention legal assistance or community redevelopment assistance, how these funds will be used in attaining these goals and objectives, whether the proposal is for a single-year or multi-year grant, and the benefits expected to be derived from the program.
2. Describe the geographical area to be served and the number of people to be assisted with the grant.
3. A statement agreeing to provide information to the CBF consistent with the National Association of IOLTA Programs "National Data Collection for Bank of America Settlement" document attached hereto, which information will be due 12 months from the start of the grant and each successive 12 month anniversary for multi-year grants.
4. Provide financial information as requested on the attached budget form. If requesting a multi-year grant, copy the form and submit a budget for each year, indicating the various grant years at the top of each budget form.
5. The 2017-2018 Budget to Actual, Caseload and Case Distribution reports are due after 12 months. Forms will be sent to you. For multi-year grants, forms will be sent each year.

Email the application and other emailable information as separate files (not in PDF format) to [liz@cbf-1.org](mailto:liz@cbf-1.org) and [anne@cbf-1.org](mailto:anne@cbf-1.org) and send any remaining documents (if not emailable) to:

Liz Drummond, Assistant Director  
Connecticut Bar Foundation  
31 Pratt Street, Suite 420  
Hartford, CT 06103

Provide information as requested below or signify that the information was submitted within the previous 12 months. **If there were changes to any of the following documents or you have never submitted a grant application to the CBF, please submit with this application.**

PREVIOUSLY  
SUBMITTED

- a. Describe the organization, the date organized, its history and its purpose. \_\_\_\_\_
- b. The organization's certificate of incorporation and bylaws (or other governing instruments), as amended. \_\_\_\_\_
- c. IRS exemption letter. \_\_\_\_\_
- d. Registration with the Connecticut Department of Consumer Protection, if applicable. \_\_\_\_\_
- e. List of the organization's officers and board of directors. \_\_\_\_\_
- f. Financial audit and a link to the organization's most recent IRS Form 990 or copies of Part VII of Form 990. \_\_\_\_\_
- g. Management letter and any additional comments by an auditor. Provide a response and/or corrective plan regarding any findings referred to in the management letter. If the auditor does not provide a management letter or comments, the auditor must provide a statement certifying that none was issued. \_\_\_\_\_
- h. Identify other organizations within the geographic service area that provide the same or similar service, and describe any cooperative work. \_\_\_\_\_
- i. Describe the system for the safekeeping of these funds. \_\_\_\_\_
- j. Describe the guidelines established for representation of other organizations with these funds. \_\_\_\_\_
- k. Briefly describe provisions for assuring the quality of services delivered by your organization. \_\_\_\_\_
- l. List any pending litigation against the organization. \_\_\_\_\_

If there are any questions, please contact Liz Drummond or Don Philips at 860.722.2494.



## **National Data Collection for Bank of America Settlement**

The national IOLTA community believes that it would benefit access to justice and legal aid to be able to demonstrate the positive impact that the Bank of America settlement dollars provide throughout the country.

In order to do this, each IOLTA program would need to capture a limited set of agreed upon metrics which could then be aggregated and reported out to establish the tremendous positive impact of the settlement. In designating the nation's IOLTA programs as appropriate recipients of this settlement money, the U.S. Department of Justice and Bank of America have acknowledged that the nation's IOLTA programs are experienced and professional grantors with years of experience in granting funds to legal aid programs. Thus, the settlement recognizes that each IOLTA program is best placed to specifically designate how the funds can be expended within Bank of America's broad categories of foreclosure prevention legal assistance and community redevelopment legal assistance.

NAIP and the ABA Commission on IOLTA thus encourage the IOLTA programs to award these funds to address the needs in their community. To obtain national outcome data on the impact on foreclosure prevention and community redevelopment, we proposed that IOLTA programs agree to capture the following broad categories of data, based upon each program's good judgment regarding what activities fall within each of those categories:

### **1. Foreclosure Prevention Legal Assistance**

*a. How many individuals were served from the funds used for foreclosure prevention legal assistance?*

Within this gross number, how many of those served were:

1. Elderly (60+)
2. Children (< 18 yrs-old living in a household impacted)
3. Veterans (homeowner or living in household impacted)

*b. How many foreclosures were prevented?*

c. How many foreclosure clients benefited in other ways?

## **2. Persons/Groups Served via Community Redevelopment Legal Assistance**

- a. How many individuals benefited from the funds used for community redevelopment?

Within this gross number, how many of those served were:

1. Elderly (60+)
  2. Children (< 18 yrs-old living in a household impacted)
  3. Veterans (homeowner or living in household impacted)
- b. How many non-profits benefited, if any?
  - c. How many small business clients benefited, if any?

## **3. Client Stories**

- a. Foreclosure Prevention  
Please include at least one (1) client story.
- b. Community Redevelopment Legal Assistance  
Please include at least one (1) client story for a non-profit or small business served OR of a person or people positively impacted by the community redevelopment legal services provided.

The national IOLTA community plans to collect data for this settlement through its regular data collection process which begins in late April each year. When you provide your annual data update and the data regarding the Bank of America settlement funds next spring, ABA Commission on IOLTA staff will also ask the following questions regarding the Bank of America settlement funds:

- a. the date that your grant(s) to your grantees started;
- b. the data up to a date certain, 12/31/15;
- c. how many months of data you are currently reporting; and
- d. the dollars expended and what percentage of your settlement dollars that amount represents.

The ABA Commission on IOLTA staff will collect this data until they can determine that the entirety of the settlement has been expended.