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FY2012-13 Statewide Arts Service Organizations



Grant Period:

July 1, 2011 –
June 30, 2012 and July 1,
2012 – June 30,
2013*(page 2)

Deadlines:

Intent to Apply form

Due: Tuesday, February
15, 2011, 4:30 p.m. (EST),

Application Due:

Tuesday, March 1, 2011
4:30 p.m. (EST),

The Statewide Arts Service Organizations Program application must be completed in the [IAC's online grant system](#). Internet links in this document provide further clarification and instruction. Please read linked information thoroughly. These guidelines will be made available on request to meet special needs.



The Indiana General Assembly, Indiana Arts Trust, and the National Endowment for the Arts fund this program. Inform your communities and elected officials about the importance of public arts support for the arts and your activities.

The Indiana Arts Commission

On behalf of the people of Indiana, the [Indiana Arts Commission](#) (IAC) advocates engagement with the arts to enrich the quality of individual and community life. The IAC encourages the presence of the arts in communities of all sizes while promoting artistic quality and expression. The IAC advocates arts development opportunities across the state, and stewards effective use of public and private resources for the arts. It stimulates public interest in, and participation with, Indiana's diverse arts resources and cultural heritage. [The IAC works to enhance public awareness of the arts, life-long learning opportunities, and arts education programs.](#) Governed by a [15-member board of gubernatorial appointees](#), the IAC serves all citizens and regions of the state.

About the SWASO Program

For FY2012 (July 1, 2011 – June 30, 2012) and FY2013 (July 1, 2012 – June 30, 2013) funding will be available for the Statewide Arts Service Organizations program (SWASO) to strengthen the capacity of arts organizations by providing financial support to statewide arts service organizations. Statewide arts service organizations offer high quality training and technical assistance services on a statewide or [multi-regional basis](#), with special attention to arts providers in underserved communities. An underserved community is one in which individuals lack access to arts programs due to: geography, economic conditions, ethnic background, disability or age. **New in FY2012**, funding is available for general operating support to fund the organization's arts-related technical assistance activities.

*Applications are submitted and paneled for two years: FY2012 AND FY2013. However, only yearly contracts will be issued. To be considered for FY2013 funding, FY2012 grantees will submit a Final Grant Report/ 2nd Year Update form in May 2012. If this update is deemed acceptable by the IAC and funding is available, a second grant contract may be issued for FY2013. The program will not be open to new applicants in FY2013.

Who Can Apply?

- Must have a statewide presence, as demonstrated by a defined statewide service area, a marketing plan that addresses the entire area, and/or a statewide service provision;
- Must provide arts-related technical assistance to a membership or constituency as the primary mission;
- Must have a defined membership or specific constituency;
- Must have at least a two-year history of successful experience in planning and delivering the type of arts-related technical assistance services described in the application narrative;
- Must have a systematic process for determining the training and technical assistance needs of consumers and an annual evaluation of the effectiveness of the service;
- Must have an annual process for program planning and evaluation with input from the community to be served;
- Must have a governing body that is representative of the organization's service area;
- Must have operated for at least one year according to a current strategic or long-range plan adopted by the governing body;

● **General applicant requirements and restrictions:**

- Must be a private, nonprofit, tax-exempt agency, with 501(c)(3) status proof from the Internal Revenue Service (IRS) OR an Indiana public entity (part of city, county, or state government);
 - Nonprofit corporations that are based in another state must be registered in Indiana as a Foreign Corporation, have an Indiana address, and provide all IAC-funded arts activities in Indiana.
- Must be incorporated in the State of Indiana at the time of application;
- Must not have any outstanding Final Grant Reports due to the Indiana Arts Commission.
- All applicants must have a DUNS number to complete an application. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of businesses. DUNS numbers are the basis by which Americans for the Arts tracks nonprofits and for-profits for its important research reports on Creative Industries: Business & Employment in the Arts. The federal government (which includes the National Endowment for the Arts) requires organizations to provide a DUNS number as part of its grant applications. Go to http://www.dnb.com/us/duns_update/ to apply for a DUNS number. Please note that it can take several weeks to receive your DUNS number. If you do not have your DUNS number to complete the application by the deadline date, please contact the program or grants/technology manager for further instructions.

Grant Amount

For the FY2012-2013 cycle, SWASO applicants will not input a grant request for general operating support. Grant awards will be determined by the Indiana Arts Commission based on the approved IAC budget and will not be more than 33% of the applicant's annual cash budget as indicated by the organization's most recently completed budget. The average grant in this category for FY2011 was \$7,000.

Grant Period

Applications will be submitted and paneled for two years: July 1, 2011 – June 30, 2012 AND July 1, 2012 – June 30, 2013. However, only FY2012 contracts will be issued. To be considered for FY2013 funding, grantees will submit a Final Grant Report/2nd Year Update. If this update is deemed acceptable by the IAC and funding is available, a second grant contract may be issued for FY2013. Grantees will be notified after the June Board of Commission meeting on the status of their second year funding.

Match Requirement

Applicants must match IAC funds on a dollar-for-dollar basis. Match must be at least 50% cash with the option of the remaining match amount being the [verifiable value of necessary donated goods and services](#).

Application Deadline

Any organization interested in applying must submit the Notice of Intent to Apply form to kdavis-smith@iac.in.gov by **February 15, 2011**. Once an organization is deemed eligible and is notified as such by Kristina Davis, it will use the [IAC's online grant system](#) to submit a full application by **March 1, 2011**.

Conditions and Requirements

- It is essential to **understand** ALL of the following requirements. Organizations must be able and willing to fulfill every requirement listed to receive a grant for its application. Failure to do so is a breach of contract with the State of Indiana and may result in application rejection, delay in payment, and/or fund rescindment.
- Only one application is allowed per year, per organization or 501(c)(3) for a grant in any of the following IAC grant categories: Arts Project Support and mini-grants, Arts Operating Support I, Arts Operating Support II, Arts Operating Support III, Statewide Arts Service Organizations, Arts in Education, and Regional Arts Partnership Regional Block Grant, and Regional Arts Partnership Operating Support. If special funding opportunities arise, some deviation from this rule may be permitted on a case-by-case basis at the discretion of the IAC and the funding source. Public entities, chapters/affiliates, and fiscal agent relationship will be handled on a case-by-case basis.

Technology requirements and restrictions:

- Must provide current, primary contact's email address;
- Must create and/or update profile information in the [online IAC grants system](#); and
- IAC staff cannot provide advanced technical help for computer or software-related problems.

Financial/Official form requirements: Grant recipients are required to sign and complete a grant agreement, Vendor Form and Form E-1 before payment is issued.

- The grant agreement is the official contract with the IAC and must be [procedurally signed and approved](#) by multiple state entities after receipt from the grantee. Read this document carefully as each grantee will be responsible for meeting all the terms and conditions it contains – including its references to these guidelines.
- The [Entity Annual Report \(Form E-1\)](#) is required by the State Board of Accounts each fiscal year of the grant. At the end of the grant period, all applicants will be contacted to complete the financial portion of the E-1 Form so it reflects the amount of state funds received for the fiscal year.
- **Audit requirements:** [An annual independent financial audit](#) conducted by a CPA (not a review or compilation) for the last fiscal year is **only** required for applicants if the organization meets the public disbursement/expenditure guidance provided at the link above. The audit must clearly state the yearly income, expenses and net assets of the applicant organization.
- **Acceptable expenses:**
 - Salaries, administrative fees, staff development and training, space and equipment rental, promotional costs and production costs, etc.; needed to support the organization's yearly activities; and
- **Unacceptable expenses:**
 - Cash reserves; deficit reduction, or deficit elimination;
 - Events in private dwelling places or other locations not open to the general public;
 - Consumable supplies and materials not directly related to the project;
 - Capital acquisitions (purchase of artwork, etc.); capital expenditures; equipment, restoration, or new construction of buildings;
 - Travel outside the United States;

- Indirect costs or underwriting for ongoing residencies or curricular programs in degree-granting colleges and universities;
 - Projects to be delivered outside the state of Indiana;
 - Project expenses outside the grant period (July 1 – June 30); and
 - Activities that are solely for the purpose of fundraising, private functions, religious services, lobbying activities, or any non-public activity.
- **Four Public Official Letters (per grant year):** Grantees are required to write at least four letters per grant year to their [local, state legislators](#) and the Governor to thank them for making these funds available. Grantees will mail one letter to each of four recipients, one to the Governor and the other three to state legislators from counties served by the organization. The letter should raise awareness of the funded services and programs in their community. The first two letter copies are due with the signed grant agreement, the third and fourth copies are due with the Final Report/Second Year Update on May 9, 2012 and the second Final Grant Report on May 8, 2013. Letters are purposely spread out to insure communication with public officials over the grant period. [Click for example.](#)
 - **Acknowledgement and credit of public funding:** [Requirements](#) are documented on the IAC website and should be applied to any and all printed documents related to the project.
 - **Project/Grant modification (if change is necessary):** During the grant period and PRIOR TO MAKING A CHANGE TO THE PROJECT/GRANT, grantees must notify the appropriate IAC Program Officer of any changes that may affect the funded project/grant. A [Project Modification Form](#) would be necessary if the change would include budget variance of 10% AND a minimum of \$1,000 in any line item (including the bottom revenue and/or expense lines) or any changes from your original proposal regarding personnel, project/grant dates (timeline), or scope of activities, etc. IAC staff will review the changes before giving written approval. *Grantees may be required to return grant money to the IAC if this procedure is not followed.*
 - **Final report and 2nd Year Update:** All grantees must submit a completed Final Report and copies of the third and fourth letters sent to the legislators by May 9, 2012. The Final Report is accessible through the [IAC online grants system](#). To be considered for FY2013 funding, grantees will need to submit a 2nd Year Update that will be part of the first year Final Report document. This update acknowledges that the original application is still accurate for a second year of funding and if not, it notes the anticipated variances. Second Year Updates must be accompanied with the grantee's un-audited financial statement for the most recently completed fiscal year. If approved for second year funding, the second Final Grant Report will be due on May 8, 2013.

Monitoring/records retention and tax responsibilities: Grantees must provide access to any books, records, documents, and papers pertaining to the grant for purposes of program or financial review by the IAC or its agents. Adequate records need to be maintained to substantiate financial and program information reported to the IAC for a period of no fewer than three years. Grantees are responsible for all tax obligations under [federal, state, and local laws](#). Consult a tax accountant or local Internal Revenue Service office. Grant monies cannot be used to pay taxes.

Public manifestation, fair labor, drug free, and civil rights: *The electronically-signed Grant Agreement indicates that the organization and its representative understand the detailed information provided at this [link](#) and are in compliance with these laws.*

How to Complete and Submit an Application

If the Notice of Intent to Apply form is deemed acceptable, allowing the organization to submit a full application, it will be due March 1, 2011. The submission of the application is the organization's indication that its representatives have read, understand, and will complete and comply with the requirements listed for this grant program – from application to final reporting if applicable.

- How to apply: Open your Internet browser and navigate to www.in.gov/arts
 - Click “Access Online Applications & Reports”
 - Click the link to access the IAC’s online grant system.
 - If this is the first time for an application to the IAC, an online profile will need to be completed. If not, then you will enter in your username and password and proceed to the application.
 - Once you have logged in, click on the “Current Programs & Applications link and scroll down until you find the appropriate program.

- Answer each section clearly and completely. Include as much information as possible, checking for typos, math and grammatical errors. Type directly into the text boxes provided. DO NOT copy and paste narrative text from another program into the spaces provided. This can create formatting problems with your text and may create unnecessary typos. Click [here](#) for other helpful grant writing tips.

- Review the PDF of the application. This will be the version the panel reviews.

- Upload any documentation noted in the requirements.

- It is strongly recommended that you begin your online application before the due date to handle any unforeseen technical problems that may prevent a timely application. Late applications will NOT be accepted.

- Once you have submitted your application you WILL receive an email to that effect. If you do not receive an email, your application was NOT submitted. Contact 317-232-1278 for assistance.

- **Only submit the electronic copy, a “physical” copy is no longer required or accepted. Your online submission indicates your agreement with, and adherence to, this entire document, including its embedded website links.**

Application Review Process

- After receipt of completed application, IAC staff will review your materials to ensure that all required information was submitted. If any discrepancies are found (such as incomplete answers or uploads), your application may be ineligible for review.
- The applications will be reviewed by a panel of professional peers who will assist the IAC in its evaluation of grant applications. The panel meeting time and location will be posted on the [IAC website](#). The meeting will be open to the public for observation and may be recorded. **Applicants are invited and are encouraged to attend to hear feedback, the quality of the recorded session is not guaranteed.** Applicants are invited as observers only and cannot lobby the panel on behalf of their applications before, during, or after the panel meeting.
- **Application Criteria**
The following [criteria](#) will be used in assessment of each application:
 - **Quality, 30 points** – The proposed activities will be of the highest quality possible in relation to community standards, expectations, and resources.
 - **Community Impact/Public Benefit, 40 points** – The organization and its activities will have a significant impact on the multi-county region the organization serves and includes underserved populations.
 - **Management, 30 points** – The organization delivering the proposed activities will be well-managed
- Panelists will be responsible for thoroughly reviewing each application and supportive material prior to the panel meeting. Panel meetings will allow for subsequent discussion of the information reviewed and submission of scores.
- Following the panel meeting, IAC staff will use a Commission-approved funding formula that takes into consideration the panel's ratings and available funds to determine specific grant recommendations.
- The IAC will review and ratify the FY2012 SWASO funding recommendations at its June 2011 business meeting. Commission meetings are open to the public for observation and may be recorded.
- Reconsideration Policy and Appeal Process: The reconsideration process is designed to review the method and fairness of the IAC decision concerning a grant application. This process is not intended to impose a different panel's choices/judgment over the original panel's decision. Dissatisfaction with the denial of a grant or the amount of an award is not sufficient reason for an appeal. [Click here for more information.](#)

What Happens After a Grant is Awarded?

- All applicants will be notified by email of grant decisions after the Commission meets in July and approves the grants. If funded, the organization will receive electronic copies of its award letter, grant agreement, vendor form, and other pertinent materials. These materials will need to be thoroughly reviewed, printed out, signed, and returned to the Indiana Arts Commission within **ten business days**. **Once the IAC receives**

the completed and signed forms, the state contract process will start. It can take up to 90 days to receive payment after the IAC begins this process. For more information about required forms, please visit our [website](#).

- All payments are contingent upon adherence to all grant guidelines and reporting requirements. The first grant payment will be for 75% of the total award. Funds will be transferred to the grantee's bank account after the grant agreement and aforementioned documents have been approved by all three state agencies. **It takes approximately three months from the time the correctly completed forms are submitted until the recipient receives the first payment.** The second and final payment will be for the balance of 25% of the total grant award and will be made after the project has been completed and following receipt and approval of all final documentation.
- If grantees adequately complete their FY2012 grant requirements and submit an acceptable Final Grant Report/2nd Year Update, panel scores from FY2012 may be used to determine continued funding for FY2013.
- If the grantee fails to comply with the contract, reporting, logo, or the letter to elected officials requirement, the IAC may rescind the entire grant amount and this may jeopardize future grants from the Indiana Arts Commission.

Need Additional Help?

Application Content and Program Questions:

Kristina Davis-Smith
Community Development Manager/Accessibility Coordinator
317-232-1279
kdavis-smith@iac.in.gov

Online Grants and Payment Info:

April Blevins
Grants and Technology Manager
317-232-1278
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