AOS III/Multi-Regional Program

FY2016-2017 Guidelines

Henry Woronicz and Monét Butler in the Indiana Repertory Theatre's production of *I Have Before Me a Remarkable Document Given to Me by a Young Lady from Rwanda*.

GRANT PERIOD:

August 1st, 2015 –

July 31st, 2017

PROGRAM DATES:

Notice of Intent due:

January 9, 2015 4:30 p.m. (EST)

Application due:

March13, 2015 4:30 p.m. (EST)

Panel review on:

April 29, 2015

Award agreement due: ten days upon receipt

Final reports due:

4:30 p.m. (EST)

July 29, 2016 (1st year)

July 31, 2017 (2nd year)

MATCH REQUIREMENT:

1:10

100 N. Senate Avenue Rm N505
Indianapolis, IN 46204
Ph: 317.232.1283
Fax: 317.232.5595
Relay IN: 711 or 800.743.3333
grantsprograms@iac.in.gov
www.IN.gov/arts

Updated 6/29/2015

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.

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ABOUT THE PROGRAM

Description

The AOSIII/Multi-Regional program will provide annual operating support for the ongoing artistic and administrative functions of **eligible arts organizations** that provide quality arts on a statewide or multi-regional basis, with special attention to 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. Eligible arts organizations are organizations for which providing arts activities or services is the primary mission and purpose.

Notice of Intent to Apply

For the FY2016-17 cycle, AOS III applicants are required to submit a Notice of Intent to Apply form due January 9, 2015 4:30pm EST. The IAC will contact your organization to confirm eligibility/ineligibility to apply.

Grant Period

Applications are submitted and paneled for two years: FY2016 (August 1, 2015 – July 31, 2016) AND FY2017 (August 1, 2016 – July 31, 2017). However, only yearly contracts will be issued. Awardees are required to submit a Final Grant Report/Second Year Update form at the end of the first grant year in order to be eligible for second year funding. The Final Grant Report/Second Year Update form will be made available in 2016. If this update is deemed acceptable by the IAC and funding is available, a second grant contract may be issued for FY2017. Grantees will be notified after the June Board of Commissioners' meeting on the status of their second year funding.

Guidelines

It is essential to understand ALL of the guideline requirements. Organizations must be able and willing to fulfill every requirement listed to receive a grant for its application. Failure to do so may be deemed a breach of contract with the State of Indiana and can result in application rejection, delay in payment, and/or fund rescindment and required grant repayment.

Grant Timeline

January 9, 2015 4:30 PM (EST)	A notice of intent to apply due
March 13, 2015 by 4:30 PM (EST)	Application due
April 29, 2015	Grant review panel
Early July 2015	Award notification, contract due ten days upon receipt, first payment follows
July 29, 2016 by 4:30 PM (EST)	Final grant report/second year update due and second payment follows
Early July 2016	Second year award notification and first payment for the second fiscal year follows
July 31, 2017 by 4:30 (EST)	Final grant report/second year update due and second payment for the second fiscal year follows

APPLICANT ELGIBILITY REQUIREMENTS

1. Organizations that operate with arts as their primary purpose, mission, and focus;
2. Organizations that operate within a mission that describes **the arts as the primary purpose** of the organization as outlined in their Articles of Incorporation and/or Bylaws;
   AND must also be one of the following:
   - An arts producing organization,
   - An arts promoting organization,
   - An arts presenting organization,
   - An artist service organization,
   - An arts teaching organization,
3. Must be a private, nonprofit, tax-exempt agency, 501(c)(3) status from the Internal Revenue Service (IRS) OR an Indiana public entity (part of city or county);
4. Must be incorporated in the State of Indiana at the time of application;
5. Must be physically located in Indiana, with the majority of its arts programming, services, or activities taking place in Indiana, and must primarily serve and engage Indiana audiences and participants;
   a. 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.
6. Must have operating history as an Indiana-based arts organization for two consecutive full years before applying to the Arts Operating Support grant program for the first time;
7. Must have a governing body that is representative of the organization's service area;
8. Must annually implement program planning and evaluation processes with input from the community to be served;
9. Must have a DUNS number;
10. Must operate year-round and provide arts services and programs directly for the benefit of the public;
11. Must provide an arts educational component to programs and services;
12. Must have an annual **cash operating income and expenses of $1,000,000 or more** over a three-year average, as supported by the last three audits;
13. **Must provide arts programs and/or services that occur in at least two or more** IAC-defined multi-county regions of the state, as demonstrated by a defined statewide or multi-regional service area, marketing and strategic plans that address the entire area, and a history of significant multi-regional or statewide service provision;
14. Must have a minimum of five years of service provision of the type requested;
15. Must have operated for at least three years according to a strategic or long-range plan adopted by the organization's governing body;
16. Must pay an administrative staff person who reports to the governing body;
17. Must have an annual, independent financial audit conducted by a CPA (not a review or compilation) for last three fiscal years and;
18. Must have an audit that clearly states the yearly income, expenses, and net assets of the organization.

RESTRICTIONS/INELIGIBLE APPLICANTS

Funding in the Multi-Regional/AOS III Grant Program will NOT be awarded for the following:

- Organizations whose primary purpose is not arts-based;
- Organizations whose primary purpose is educational or instructional e.g., schools, universities, colleges, etc;
- Entities that receive state operating support directly from the general assembly are **NOT** eligible for operating support. This includes any line items/support or contributions from the state within the organization's operating, facility, or other budgets or the organization being part of a larger state institution;
- Any organization whose sole or primary purpose is to fundraise (e.g., "friends of" groups, foundations, etc.) for an otherwise ineligible organization;
- Any organization with an outstanding Final Grant Reports due to the Regional Arts Partner/ Indiana Arts Commission or;
- An organization may not apply for IAC-based funding from both the IAC and a Regional Arts Partner or IAC administered Regional Initiative Grant program in the same fiscal year.

APPLICATION REVIEW CRITERIA

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. Each eligible application will be reviewed and scored by a conflict-free panel of professional peers. The panel review is scheduled for April 29, 2015 and will be open to the public for observation and may be recorded. Applications will be scored on a 100-point scale. The scores will be included as part of a funding formula to assist with the allocation of grant awards. Organizations that have a total score over 85 will be eligible for funding. Information submitted in the application will be reviewed according to the following evaluation criteria:

Management (30 points)
Quality (30 points)
Community Impact/Public Benefit (25 points)
Multi-Regional Impact (15 points)

MATCHING REQUIREMENTS

All eligible applicants must provide a match for every dollar provided by the Indiana Arts Commission with ten dollars of the organization's own funds. One hundred percent of the match must be cash and cannot include in-kind donations. The cash match can constitute funds from the applicant organization's budget.

GRANT AWARD DETERMINATION

Following the panel meeting, a Commission-approved funding formula is applied that takes into consideration the panel's ratings, number of eligible applicants, and available funds to determine specific grant recommendations. The grant award cannot be more than 10% of the applicant's most recently completed annual cash income as indicated by the organization's most recently completed audit. The average grant in this category for FY2015 was $37,594. The Indiana Arts Commission will review and ratify the funding recommendations at its June quarterly business meeting. Commission meetings are open to the public for observation and may be recorded. All applicants will be notified after the Commission ratifies the grant recommendations.

STATE/PROGRAM REPORTING REQUIREMENTS

Grant recipients must be able to meet the program requirements to maintain good standing and insure grant compliance and proper use of awarded funds with the state. Financial/Official forms: Grant recipients are required to complete a grant agreement as well as additional paperwork associated with state and federal grant processes/requirements and detailed information are provided at the following link: http://www.in.gov/arts/2387.htm. Contact the IAC if you have additional questions.

- **Form E-1, Business Entity Report, IRS W-9 and Direct Deposit Form**: AOS III grantees are required to file an Entity Annual Report (Form E-1) with the State Board of Accounts, maintain an active Business Entity Report with the Indiana Secretary of State, and accurately complete IRS W-9 and Indiana's Direct Deposit form for payment.
- **E-Verify Memorandum of Understanding (SEA 590):** Senate Enrolled Act 590 (SEA 590), signed into law by Governor Mitch Daniels in May 2011, stresses that State agencies cannot award a grant of more than $1,000 to a grantee unless the grantee documents enrollment and participation in the E-Verify program, affirming that a grantee does not knowingly employ an unauthorized alien. An explanation of the legislation can be found here. Your organization must comply with this legislation upon acceptance of your grant or you risk losing the grant and rescinding of any funds paid. You can find more information at the E-Verify website.
- **DUNS Number:** 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. Call or use the following link to apply for a free DUNS number at: http://fedgov.dnb.com/webform.
- **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.
- **Audit requirements**: IAC no longer requires an audit from direct grant recipients; however, the State of Indiana may require financial audit from organizations when receiving a certain amount of direct public funding determined upon filing of an E-1 form. Reference audit guidelines available here. **Updated 6/29/2015*
- **Clearance check requirements:** All grantees must go through a mandatory clearance check to ensure that they are in good standing with the Department of Revenue (DOR) and Department of Workforce Development (DWD). If the clearance is denied, the grantee will be contacted by the IAC and provided with contact information to assist in resolving the issue. The IAC allows up to 30 days to rectify the problem. At the end of this deadline, the clearance check will be performed again. If the clearance check is denied a second time, grantees risk losing funding for the Fiscal Year.
- **Four Public Official Letters**: Grant recipients are required to write at least four letters to their local, state legislators and the Governor to thank them for making these funds available each year. 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 first two letters are due with the signed grant agreement. The final two letters are due with the final grant report. For details and examples refer to the IAC website link: http://www.in.gov/arts/2387.htm.

- **Grant modification (if change is necessary)**: During the grant period and prior to making change to the grant, grantees must notify the appropriate IAC Program Officer of any changes that may affect the funded project/grant. A Grant Modification Form would be necessary if the change would include budget variances or any changes from your original application 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/Second Year Update:** All grantees must submit a completed Final Report/Second Year Update due July 29, 2016. The Final Report is accessible through the IAC online grants system. If approved for second year funding, the second Final Grant Report will be due on July 31, 2017. For grant recipients that do not submit a report by the deadline, the following will result:
    - For reports up to one week late, an automatic 15% will be deducted from the grantee's total grant award;
    - For reports later than one week and up to two weeks late, the entire final grant payment will be rescinded and;
    - After two weeks, the grantee's full grant will be rescinded, and the grantee will be ineligible to receive funds for the next cycle of any IAC grant opportunity.

FUNDING RESTRICTIONS

The funding from the grant award may be used to support most aspects of the arts organization's annual operating expenses (not including capital expenses). Acceptable expenses include artists' fees, administrative fees, staff development and training, space and equipment rental, promotional costs, personnel and production costs, and supplies needed to support the programming activities. IAC funds can provide fee subsidies to presenting organizations that wish to purchase the grantee's services.

The grant award funding may not be used to cover unacceptable expenses that include: 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; 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; and activities that are solely for the purpose of fundraising, private functions, religious services, lobbying activities, or any non-public activity.

ACKNOWLEGMENTS & RECOGNITION REQUIREMENTS

Grant recipients must use the IAC logo for acknowledgment and credit of public funding. For credit on any and all printed documents related to the funded project refer to the website http://www.in.gov/arts/2671.htm and/or contact the Director of Marketing and Communications by phone at 317.232.1273 or by email at rvanzant@iac.in.gov.

PAYMENT SCHEDULE

All payments are contingent upon adherence to all grant guidelines and reporting requirements. The first grant payment will be for 75% of the first fiscal year 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. The second and final fiscal year grant payment will be for 25% of the total award. Funds will be approved to transfer to the grantee's bank account after the final grant report and any additional requirements have been submitted and approved. It takes approximately three months from the time the correctly completed forms are submitted until the recipient receives the payment (first and second).
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.

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. For more information refer to the website at: http://www.in.gov/arts/2680.htm.

SUBMISSION INSTRUCTION/RESTRICTIONS

How to apply

All applicants and grant recipients are required to create and update the profile information in the online IAC grants system. The profile information must contain the current, primary contact's email address. IAC staff cannot provide advanced technical help for computer or software-related problems.

For more information on how to use the IAC online system refer to the IAC website link: http://www.in.gov/arts/onlineapplications&reports.htm. 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. 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.

Accessibility

Grant applicants are required to assure that all arts programs, services, and activities made possible with Indiana Arts Commission funding and all facilities in which such programs, services, and activities are held (whether owned, leased, or donated to the Applicant) will be accessible to people with special needs, in accordance with Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 OR will provide readily achievable reasonable accommodation as warranted. The Accessibility Self-Assessment Checklist guide can be found at the following link: http://www.in.gov/arts/files/Accessiblity_Checklist.pdf.

Applicant Restrictions
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, 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.

The submitted application and electronic signature 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.

FOR MORE INFORMATION

If you have a question concerning the Multi-Regional/Arts Operating Support III FY16-17 program and application development please contact:

Becca Hopson
Community Development Manager, Accessibility Coordinator
Phone: 317.232.1283
Email: rhopson@iac.in.gov

If you have a question about the online system, contract, and payment information please contact:
Grant, Research and Information Technology Manager
Email: grantsadmin@iac.in.gov
Phone: 317.232.1278