



INDIANA OFFICE OF  
**Community & Rural Affairs**  
*Where Rural Matters*



# **Indiana Main Street Promotion Fund Downtown Enhancement Grant**

## **Downtown Enhancement Grant Application May 2008**

Indiana Office of Community and Rural Affairs  
Indiana Main Street  
One North Capitol, Suite 600  
Indianapolis, Indiana 46204

*This is a competitive grant program designed to enhance the development and revitalization of downtown business districts in Indiana's Main Street communities. The Indiana Main Street Promotion Fund will provide financial resources for a variety of initiatives to aid Main Street communities in their downtown revitalization efforts.*

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**Coversheet**



**Downtown Enhancement Grant**  
**Indiana Office of Community and Rural Affairs**  
**Indiana Main Street**



Coversheet must be submitted with proposal.

Main Street Applicant: \_\_\_\_\_

Contact Person/Title: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ Zip Code: \_\_\_\_\_ County: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email Address: \_\_\_\_\_

Applicant's Legal Status:  City  Town  County  Nonprofit Corporation

Project Coordinator: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ Zip Code: \_\_\_\_\_ County: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email Address: \_\_\_\_\_

Type of Project (select one) \_\_\_\_\_ New \_\_\_\_\_ Expansion of an Existing Program

Amount Requested from OCRA: \$ \_\_\_\_\_

Amount of Match: \$ \_\_\_\_\_

Total Budget: \$ \_\_\_\_\_

Budget Contains Philanthropic Match: \_\_\_\_\_

(Check only if answer is "Yes")

Source of Philanthropic Match: \_\_\_\_\_

Amount of Philanthropic Match: \$ \_\_\_\_\_

Applicant is an Indiana Main Street Community: \_\_\_\_\_

(Check only if answer is "Yes.")

Year local Main Street program was established: \_\_\_\_\_

For the lead applicant identify: Indiana State Senator \_\_\_\_\_

Indiana State Representative \_\_\_\_\_

List the Counties to be served by the Project: \_\_\_\_\_

UPON SIGNING THIS REQUEST I AM CERTIFYING THAT APPLICANT IS NOT IN VIOLATION OF ANY STATE OR FEDERAL LAW, OR MUNICIPAL ORDINANCES AS OF THIS DATE. NO MONEY IS DUE AND PAYABLE TO ANY MUNICIPAL, COUNTY, STATE OR U.S. GOVERNMENTAL AGENCY OR DEPARTMENT, NOR DOES THE APPLICANT HAVE LIENS OR POTENTIAL LIENS WHICH COULD JEOPARDIZE THE COMPLETION OF THIS PROJECT.

\_\_\_\_\_  
**Signature of Chief Official**

\_\_\_\_\_  
**Official's Title**

\_\_\_\_\_  
**Date**

**SIGN IN BLUE INK ONLY**

**Partner Coversheet/Participation Agreement**



**Downtown Enhancement Grant**  
**Indiana Office of Community and Rural Affairs**  
**Indiana Main Street**



Partner Coversheet must be completed for all partners and submitted with proposal.

Partner (Legal) Applicant: \_\_\_\_\_

Contact Person/Title: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ Zip Code: \_\_\_\_\_ County: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email Address: \_\_\_\_\_

Applicant's Legal Status:  City  Town  County  Nonprofit Corporation

Project Coordinator: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ Zip Code: \_\_\_\_\_ County: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email Address: \_\_\_\_\_

Thoroughly identify the role of the organization's involvement in this project. This section must be complete to qualify as a project partner. Additional documentation for this question should be attached.

UPON SIGNING THIS REQUEST I AM CERTIFYING THAT APPLICANT IS NOT IN VIOLATION OF ANY STATE OR FEDERAL LAW, OR MUNICIPAL ORDINANCES AS OF THIS DATE. NO MONEY IS DUE AND PAYABLE TO ANY MUNICIPAL, COUNTY, STATE OR U.S. GOVERNMENTAL AGENCY OR DEPARTMENT, NOR DOES THE APPLICANT HAVE LIENS OR POTENTIAL LIENS WHICH COULD JEOPARDIZE THE COMPLETION OF THIS PROJECT. ADDITIONALLY, THE IDENTIFIED ORGANIZATION CERTIFIES THAT IT IS AN ACTIVE PARTNER IN THE PROJECT AND WILL FULLFILL THE ROLE(S) IDENTIFIED ABOVE THROUGHOUT THE GRANT PERIOD.

\_\_\_\_\_  
**Signature of Chief Official**

\_\_\_\_\_  
**Official's Title**

\_\_\_\_\_  
**Date**

**SIGN IN BLUE INK ONLY**

## **Purpose**

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The Indiana Office of Community and Rural Affairs (OCRA) is administering a competitive funding round for Indiana Main Street (IMS) programs. The Downtown Enhancement Grant is designed to foster innovative approaches to activities that support and promote community based planning, marketing and restoration efforts to improve the quality of life and opportunities for increasing private investment and employment. The Downtown Enhancement Grant priorities are directed by OCRA's strategic plan "Breaking the Boundaries" and the National Main Street Four Point Approach®.

One of OCRA's priorities is to provide resources that assist in promoting the economic development of downtowns. OCRA intends to ensure that resources are available to aid communities in their efforts to strengthen the economic vitality of rural downtown communities.

## **Background**

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The Rural Indiana Strategy for Excellence (RISE) 2020 is a strategic framework that is intended to help address the most critical needs of Indiana's small cities, towns, and rural communities, as identified by the rural constituency.

Using the framework, OCRA set key priorities for the agency in a strategic plan referred to as "Breaking the Boundaries", a name that reflects OCRA's commitment to breaking down the barriers rural communities face in accessing resources and developing opportunity. These priorities include:

- Developing a strategy to attract and expand philanthropic capital;
- Attracting and retaining entrepreneurial talent;
- Generating creative practices and programs for rural workforce development;
- Seeking innovations in rural broadband development and deployment; and
- Expanding health and human service delivery to reach marginalized populations.

## **Projects**

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Projects will promote economic development in the downtown areas and will enhance the quality of life in the community. Ideal projects could include, but are not limited to, promotional campaigns, the marketing of specific festivals or events, program branding creation, façade renovations or rehabilitations, establishment of revolving loan funds specific to Main Street activities, and other initiatives as they relate to the grant purpose. Projects should increase capacity for promotional activities that spur economic development within the IMS communities.

## **Partnerships**

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A competitive project will facilitate partnerships between IMS programs and various community agencies, Community Foundations, private sector entities, financial

institutions, Chambers of Commerce, local economic development organizations, educational institutions, and other interested parties. Such partnerships should be formed to address the critical needs of Indiana's downtown business districts.

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## Section II: Requirements

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### **Qualifications to Apply**

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An IMS community must be the lead applicant and have been an active organization in the community for a minimum of one year to be eligible to apply. An active Main Street organization is one that has an active and productive governing group with established committees that focus on implementing the Four Point Approach® and work toward fulfilling their mission statements and their work plans. They also submit reports requested by IMS within the reporting deadlines and consistently meet the criteria to maintain their current level of participation as set by the IMS office. Communities are required to maintain their current participation status with the IMS program for the duration of the grant period. Qualifying Main Street organizations may be operated with paid or volunteer staffing. Communities can verify their participation status by contacting Jo Grandel at [jgrandel@ocra.in.gov](mailto:jgrandel@ocra.in.gov) or by telephone at 317.232.8910 or 800.824.2476.

### **Funding**

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Grant requests up to \$20,000 will be considered. Selected Grantees will be allowed to use the funds for the duration of the project period according to the start and end dates noted in the grant agreement, not to exceed 18 months.

Applicant match for a project is 50% of the amount of the grant funds requested. For example, if the applicant's grant request is \$3,000, the minimum required applicant match must equal \$1,500. Letters identifying the source and amount of the cash match are required. Proper documentation must be provided on the letterhead of the organization that will provide the cash match and be signed by the chief executive or chief financial officer.

Federal and other state funds may not be used as local match. OCRA's Downtown Enhancement Grant encourages collaboration and leveraging local resources to address the challenges faced by a community. The intent is to encourage local community investment in the projects. Philanthropic foundations, especially Community Foundations, are strongly encouraged to participate and provide cash match.

Administrative costs may not exceed 10% of the project budget. Administrative costs include program-related accounting services and fees associated with evaluation.

### **Allowable Uses of Funding**

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Examples of eligible costs include, but are not limited to:

- Professional fees including consultation and contractual fees;
- Project costs as they relate to façade renovation;
- Developing and conducting marketing campaigns;
- Obtaining technical assistance from universities;

- Establishing revolving loan funds for the sole use of the Main Street program; and
- Other similar purposes.

## **Restrictions**

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### **A project budget (including local match) may not include:**

- The purchase of capital equipment;
- Administrative expenses in excess of 10% of the project budget;
- Operational expenses such as rent, utilities, insurance, non-program-related salaries;
- Funding to purchase, improve, or remodel a facility;
- Costs to supplant existing funds (the funding opportunity must be used for expansion of existing services or implementation of new services); or
- Direct financial support to provide start up or operational capital to businesses.

## **Reporting and Records Retention**

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- Once the first round of funds has been received, the grantee will submit a quarterly progress report which will include a narrative and financial expenditures section as well as an update on the goals and objectives form. The format of the report will be provided to the lead applicant upon selection for funding.
- Funded projects will be expected to maintain supporting financial documentation of grant expenditures sufficient to enable an audit by the State of Indiana and for monitoring by OCRA staff.
- Grantees are expected to maintain records as appropriate to the type of project being implemented. All records should be maintained for three years beyond the close of the grant period. OCRA staff may audit these records for the life of the project.

## **Financial Reimbursement Procedures**

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Below is the timeline for the release of funds:

- Upon receiving a fully executed grant agreement, the grantee may request 50% of the funding;
- An additional 25% will be released upon submission of copies of invoices for work completed to date and documentation that payment has been made such as cancelled checks, demonstrating that the initial funding has been spent; and
- The remaining 25% will be awarded upon 90% completion of the project once proper financial documentation has been submitted as identified above.

The project must be initiated within three months of receiving the fully executed grant agreement and completed within eighteen months.

Funded projects will be provided with the necessary paperwork and documentation for reimbursement and reporting requirements. Grantees must be willing to establish themselves as a direct deposit vendor with the State of Indiana and maintain appropriate financial records that would permit an audit by the State of Indiana and OCRA.

### **Contact Information**

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Jo Grandel  
Indiana Main Street  
Program Manager  
jgrandel@ocra.in.gov  
317.232.8910  
800.824.2476

## **Application Format**

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Applications shall adhere to the following format and must address each of the categories listed below. The application must be typed, single-sided, and double-spaced using a 12 point font size. Although there is no page limit, the proposal should be succinct. Five hard copies of the proposal, one marked as the original that include signatures signed in **blue ink**, must be received by **4:00 p.m. EDT on August 1, 2008** in the Office of Community and Rural Affairs. The other four should be marked as copies. **No electronic submissions will be accepted. Do not use acronyms** in the grant proposal. **Please do not use binders.**

Please label each section and number the pages of the grant application including the attachments. While not required, it is useful to use tabbed index dividers between the sections.

Proposals may be sent via mail or delivered to:

**Office of Community and Rural Affairs  
Indiana Main Street  
Downtown Enhancement Grant  
One North Capitol, Suite 600  
Indianapolis, IN 46204**

### **1. Coversheet**

The Main Street program should use the attached form, titled Downtown Enhancement Grant Coversheet. This is the only form that will be accepted as the first page of the grant application. **Sign in BLUE INK.**

### **2. Table of Contents**

Provide a table of contents immediately behind the coversheet.

### **3. Partner Coversheet/Participation Agreement**

Complete a project Partner Coversheet/Participation Agreement for each organization that will assume an active role in the project. In the space provided, identify the role of the partner in the project. Attach additional sheets as needed in order to thoroughly identify the role of each partnering organization. This section must be complete to qualify as a project partner.

### **4. Abstract**

Identify the issue to be addressed and give a summary of the proposed project and the expected outcomes. If this is an expansion of an existing project, please be sure to thoroughly address the expansion. The abstract should not exceed one page.

### **5. Project Description**

A. Identify whether the project is new or an expansion. If the project is an expansion of a current project, be very specific about what is currently being done and what the

expansion will be. This section should provide a clear sequential description of the project. Give a detailed description of each component of the project.

- B. Provide a timeline for the project and indicate the organization or persons responsible for each item in the timeline and the completion date.
- C. Identify those involved in the planning process. Include who will be involved in the implementation of the project and provide a detailed description of their roles as well as the resources they will contribute.
- D. Describe what efforts were made to draw in community support and collaborate with other community agencies, businesses, and local government. Provide letters of support from each entity. Please include documents in the application as Attachment A.

## **6. Need**

- A. In quantitative and qualitative terms, identify the need which the project will address. This section should clearly state the need for the proposed project and provide data for the area to be served.
- B. Identify other efforts in the community, county, or region that have been or are being done to address these issues. Describe how the proposed project fits into current efforts.
- C. Identify the long-term benefits of undertaking the proposed project, i.e. if this is a planning or marketing study, address how it will further the work of the Main Street program or open the door for future endeavors, such as economic or funding opportunities, etc.

## **7. Goals/Objectives/Methods**

- A. Clearly identify the goals and objectives of the project and the activities that will be undertaken to achieve the objectives. Identify who will be responsible for each objectives completion.
- B. Identify the anticipated impact of the project on the community.
- C. Complete the Project Goal Form (Attachment B). Information recorded on this form will provide the basis for reporting to the OCRA as well as serve as a measurement of impact and achievement. Instructions for completing this section are located at the top of the form.
- D. If applicable, describe the marketing of the project as well as the recruitment process of participants.

## **8. Collaboration**

Provide a brief description of the services administered through the Main Street program. Include information on current collaborations with other partners. Describe any experience and accomplishments the applicant has related to your proposed project and any previous grant administration.

Identify each project partner and identify in detail their roles in the proposed project. For each project partner there should be a Partner Coversheet/Participation Agreement.

## **9. Sustainability**

Describe in detail how the project will be sustained beyond the initial funding period. Include the efforts or plans that have been made for future sustainability.

## **10. Budget**

Submit a completed Budget Summary Form, detailed line item budget, and a separate budget narrative that clarifies the proposed use of the funds indicated in the budget.

Varying formats of a detailed line item budget are acceptable as long as sufficient detail is provided.

Please be sure to note the restrictions listed below when developing the project budget.

### **A project budget (including local match) may not include:**

- The purchase of capital equipment;
- Administrative expenses in excess of 10% of the project budget;
- Operational expenses, such as rent, utilities, insurance and non-program-related salaries;
- Funding to purchase, improve, or remodel a facility;
- Costs to supplant existing funds (the funding opportunity must be used for expansion of existing services or implementation of new services); or
- Direct financial support to provide start up or operational capital to businesses.

The following documents should be included in the application:

- A. Letters of commitment for cash contributions from all sources should be on the contributing organization's letterhead, clearly state the amount of the contribution for the entire 18 month period and be signed by the chief executive or financial officer.
- B. Applicants must complete the Management Review Form.
- C. The Budget Section should include all of the requested information in the following order:
  1. Budget Summary;
  2. Line Item Budget;
  3. Budget Narrative;
  4. Table of Matching Funds;
  5. Management Review Form; and
  6. Letters of Financial Commitment.

## **11. Evaluation**

Describe the evaluation process and criteria that will be used to document the success of the project. Identify the strategy for measuring the objectives stated in the proposal, the information that will be tracked, and the tracking format.

Submit a format to track the information required to complete the Objective Form and include any assessment tools that will be used as Attachment B.

## **12. Application Checklist**

Complete the Application Checklist which will serve as the last page of the proposal.

<b>DOWNTOWN ENHANCEMENT GRANT BUDGET SUMMARY</b>			
	<b>Match Funds</b>		
<b>Project Costs</b>	<b>DE Grant</b>	<b>Cash Match</b>	<b>Total</b>
<b>Professional Fees</b> (Includes consultant/contractual fees. Please specify.)			
<b>Subtotal</b>			
<b>Project Costs</b> (Includes material design, material printing etc. Please specify.)			
<b>Subtotal</b>			
<b>Administrative Costs</b> (Maximum 10% of project budget.)			
Accounting			
Evaluation			
Other (Please specify.)			
<b>Subtotal</b>			
Travel (Mileage not to exceed .40/mile.)			
Mileage			
Other (Please specify.)			
<b>Subtotal</b>			
<b>Miscellaneous</b>			
Postage			
Printing			
Binding			
Other (Please specify.)			
<b>Subtotal</b>			
<b>Total DE Grant Funds</b>			
<b>Total Cash Match</b>			

Attach a detailed line item budget in which the costs in each category are identified. Include this page immediately following the budget summary.



# Downtown Enhancement Grant Objectives Form



**Instructions:** Select the applicable objectives located on the following page for which the project will gather and report data throughout the 18 month grant period. The project may elect to add additional objectives that are unique to the project. List proposed objectives in the box titled "other." The applicant will be expected to report on each of their objectives. In order to complete the following page, write in the numeric answers corresponding to the objectives chosen for this project. Objectives should be reported according to the direct result of the utilized grant funds. This form must be completed and submitted with your proposal.

## Downtown Enhancement

**Goal Statement** – The Downtown Enhancement Grant is a resource provided to assist in the promotion of economically viable downtown business districts.

### Check type of project

- Project is a new service.
- Project is an expansion of an existing service.

Select the applicable objectives located on the following page for which the project will gather and report data throughout the 18 month grant period.

<b>Objectives</b>	<b>Data at implementation of project</b>	<b>Data at completion of project</b>
Increase membership in local Main Street program		
Increase capacity of financial assistance for promotional purposes that spur economic development within community		
Increase attendance at community events		
Increase knowledge of community events		
Increase number of visitors into the community		
Increase number of new businesses in downtown area		
Increase number of new events held in the community		
Increase participation of volunteers from business community		
Increase the number of booths rented at community events		
Increase number of volunteers involved in the local Main Street program		
Increase occupancy rate in the downtown business district		
Number of jobs in the downtown business district		
<b>Other:</b>		
<b>Other:</b>		
<b>Other:</b>		



<i>Source of Project Funds</i>	<i>Total</i>
<b>Table of Matching Funds</b>	
<i><b>This form must be completed for all projects and documentation of financial commitments from all sources is required.</b></i>	
<i><b>Total Matching Funds</b></i>	

**Applicant Name:** \_\_\_\_\_



## MANAGEMENT REVIEW FORM

The following questions must be answered to determine the applicant's ability to manage and safeguard funds. The documents described on this form do not need to be submitted; however, they must be available for review either on site or by transmission to the Indiana Office of Community and Rural Affairs should such a request be made. The Management Review Form should be filled out by the lead applicant.

1. Has your organization received funds from federal or other Indiana state agencies within the last five years? YES \_\_\_\_\_ NO \_\_\_\_\_

If yes, list agency, date or dates of award, and the amount awarded. \_\_\_\_\_

2. Date of your organization's fiscal year: \_\_\_\_\_

3. Date of last audit: \_\_\_\_\_

Were there material findings in the audit? YES \_\_\_\_\_ NO \_\_\_\_\_

If YES, were corrective actions taken? YES \_\_\_\_\_ NO \_\_\_\_\_

If NO, please explain: \_\_\_\_\_

4. Identify the type of accounting system of your organization:

Cash \_\_\_ Accrual \_\_\_

5. Does your organization have written: YES NO

Accounting procedures? \_\_\_ \_\_\_

Personnel policies and procedures? \_\_\_ \_\_\_

Travel policies and procedures? \_\_\_ \_\_\_

Procurement procedures? \_\_\_ \_\_\_

Conflict of interest policy? \_\_\_ \_\_\_



# Application Checklist

Applicant Name: \_\_\_\_\_

- \_\_\_\_\_ Application is typed and double-spaced using a 12 point font.
- \_\_\_\_\_ The original document is signed in **BLUE INK** and marked as original.
- \_\_\_\_\_ Five hard copies have been submitted (one original and four copies).
- \_\_\_\_\_ Pages are numbered.
- \_\_\_\_\_ Binders are **NOT** used.
  
- \_\_\_\_\_ Downtown Enhancement Grant Coversheet is the first page.
  
- \_\_\_\_\_ Table of Contents immediately follows Downtown Enhancement Grant Coversheet.
  
- \_\_\_\_\_ Partner Coversheet/Participation Agreement forms are included after table of contents.
  
- \_\_\_\_\_ Identifies partners and the role of each.
  
- \_\_\_\_\_ **Abstract**
- \_\_\_\_\_ Abstract is no more than one page.
- \_\_\_\_\_ Identifies issues to be addressed.
- \_\_\_\_\_ Summarizes program.
- \_\_\_\_\_ Identifies the goals of the project.
  
- \_\_\_\_\_ **Description of Need**
- \_\_\_\_\_ Provides qualitative and quantitative terms to define the program.
- \_\_\_\_\_ Identifies community/county/regional efforts to address the issues.
- \_\_\_\_\_ Identifies area to be served and the beneficiaries of the project.
  
- \_\_\_\_\_ **Program Description**
- \_\_\_\_\_ Program is logical, sequential, and clearly described.
- \_\_\_\_\_ Explanation of current efforts and plans for expansion if applicable.
- \_\_\_\_\_ All parties involved in the planning and implementation of the project have been identified.
- \_\_\_\_\_ Efforts to involve the community and gain support are identified.
- \_\_\_\_\_ Letters of support are included as **Attachment A**.
- \_\_\_\_\_ Detailed timeline is included.

**Applicant Name:** \_\_\_\_\_

\_\_\_\_\_

**Goals/Objectives/Methods**

- \_\_\_\_\_ Activities are identified.
- \_\_\_\_\_ Impact this project will have upon the community is identified.
- \_\_\_\_\_ Program participants and recruitment of participants is discussed.
- \_\_\_\_\_ Marketing of the program is addressed.
- \_\_\_\_\_ Completed Goals/Objective Forms are included as **Attachment B**.

\_\_\_\_\_

**Collaboration**

- \_\_\_\_\_ Describes applicant agency and qualifications to develop and implement the proposed project.
- \_\_\_\_\_ Describes experience and accomplishments of applicant related to this area.
- \_\_\_\_\_ Identifies any previous grant administration experience.

\_\_\_\_\_

**Sustainability**

- \_\_\_\_\_ There is clear evidence and support for sustaining and maintaining the project beyond the initial funding period.

\_\_\_\_\_

**Evaluation**

- \_\_\_\_\_ Evaluation criteria are identified.
- \_\_\_\_\_ Strategies to document success are stated.
- \_\_\_\_\_ Detailed methods for tracking are described.
- \_\_\_\_\_ Forms for tracking are attached as **Attachment C**.

\_\_\_\_\_

**Budget**

- \_\_\_\_\_ Project budget summary is complete.
- \_\_\_\_\_ Line item budget is complete.
- \_\_\_\_\_ A separate budget narrative is attached.
- \_\_\_\_\_ Table of matching funds is complete.
- \_\_\_\_\_ The Management Review Form is completed by the Main Street program.
- \_\_\_\_\_ Match sources are clearly identified.
- \_\_\_\_\_ Letters of commitment for matching sources are included.

\_\_\_\_\_

**Application Checklist**

- \_\_\_\_\_ Application Checklist is complete and included.