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REGION 7

FY2014-2015 AOSII Regional Initiative Grants



Photo Credit - Stephen Eastwood/Lynx

Grant Period:
July 1, 2013–June 30, 2015* (see page 2)

Application Due:
4:30 p.m. (EDT), Friday, March 4, 2013

FY2014 Final Grant Report/Second Year Update Due:
4:30 p.m. (EDT), July 11, 2014

PLEASE NOTE:
****Region 7 does not require artistic documentation for application submission. ****
****No Regional Upload is Required.**

The Regional Initiative Grant (RIG) application must be completed in the [IAC's online grant system](#) for applicants in Region 7 (Boone, Hamilton, Hancock, Hendricks, Johnson, Marion, & Shelby Counties). Internet links in this document provide further clarification and instruction. Please read linked information thoroughly. These guidelines will be made available upon 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 Arts Organization Support II (AOS II) Program

Program Description

For FY2014-FY2015 (July 1, 2013 – June 30, 2015) AOS II will provide annual operating support for the ongoing artistic and administrative functions of eligible arts organizations that provide quality arts activities 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.

*Applications are submitted and paneled for two years FY2014 (July 1, 2013 – June 30, 2014) and FY2015 (July 1, 2014 – June 30, 2015). However, only yearly contracts will be issued. To be considered for FY2015 funding, FY2014 grantees will submit a Final Grant Report/Second Year Update form that will be made available in 2014. If this update is deemed acceptable by the Regional Art Partner/Indiana Arts Commission and funding is available, a second grant contract may be issued for FY2015. The RAP/IAC will **not** accept new FY2015 applications in the spring of 2014.

Who Can Apply?

Applicant requirements and restrictions:

- Arts programming and/or service must be stated in the organization's primary mission;
- Must have an annual **cash operating income and expenses of \$250,000 or more** over a three-year average as supported by most recent Financial Statement;
- Must have more than a one year history of providing similar services being requested;
- Must have operated for at least one year according to a strategic or long range plan adopted by the organization's governing body;
- Must have a paid staff person who reports to the governing body;
- Must have an Indiana address in the region in which organization is based;
- Must annually implement program planning and evaluation processes with input from the community being served; and
- Must have a governing body that is representative of the organization's service area.

General applicant requirements and restrictions:

- 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, 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;
- Entities that receive state operating support directly from the Indiana general assembly are **NOT** eligible for operating support from the RAP/ IAC; and
- Must not have any outstanding Final Grant Reports due to the RAP/ Indiana Arts Commission.

Grant Amount

For FY2014-FY2015 cycle, AOS II applicants will not request a grant amount. Grant awards will be determined by the RAP/IAC based on the dollars allocated to the Regional Arts Partner and an average of the organization's last three years of total cash income. Organizations will not be awarded more than 20% of the three year average. These completed cash financial statements must have been approved by the organization's Board of Directors.

The AOS II budget breakdowns are:

- \$250,000 to \$499,999
- \$500,000 to \$749,999
- \$750,000 to \$999,999
- \$1M or greater

The average FY2013 AOS II grant in Region 7 was \$12,730.

Grant Period

The grant period for the AOS II program is July 1 – June 30. Applications are submitted and paneled for two years: FY2014 and FY2015. However, only yearly contracts will be issued. To be considered for FY2015 funding, FY2014 grantees will submit a Final Grant Report/Second Year Update form that will be made available in 2014. If this update is deemed acceptable by the RAP/IAC and funding is available, a second grant contract may be issued for FY2015. Grantees will be notified after the June/July IAC Commission meeting on the status of their second year funding. The RAP/IAC will not accept new FY2015 applications in the spring of 2014.

Match Requirement

AOS II grantees must match every dollar provided by the RAP/IAC with one dollar of the organization's own funds. Match may be a combination of cash and in-kind (verifiable value of necessary donated goods and services). At least 50% of the local match must be cash.

Application Criteria

Administration and Organizational Excellence – 25 points; Arts Programming and Artistic Quality – 25 points; Audience Development and Visibility Efforts – 25 points; and Arts Education/Community Outreach Efforts to Underserved Populations – 25 points. A minimum score of 80 out of 100 is required to be eligible to receive a grant. See page six (6) for more details.

Application Deadline

Friday, March 1, 2013 4:30p.m. (EST) for Regions 1, 2, 4, 6, 9 and 12 or Monday, March 4, 2013 4:30p.m. (EST) for Regions 3, 5, 7, 8 and 10.

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; 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.
- ◆ 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/get-a-duns-number.html> 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.
- ◆ Per the requirements of the Federal Funding Accountability and Transparency Act (FFATA), applicants that receive awards of \$25,000 or more must have an active Central Contractor Registration (CCR) and may be required to report executive compensation.
 - ◆ If you receive a grant, a record of your active CCR account will be requested with your contract. The registration must remain active throughout the grant period. Central Contractor Registration is an online service that can be accessed at www.sam.gov.
 - ◆ If executive compensation data is required, the IAC will provide further details to each grantee during the grant period.

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
- ◆ RAP/IAC staff cannot provide advanced technical help for computer or software-related problems.
- ◆ **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** program expenses:
 - ◆ Salaries; administrative fees; artistic fees; staff development and training; space and equipment rental, promotional costs; and production costs, supplies, etc., needed to support the project activities.

- **Unacceptable** program 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; and
 - Activities that are solely for the purpose of fundraising, private functions, religious services, lobbying activities, or any non-public activity.

- **Financial/Official form requirements:** Grant recipients are required to complete a grant agreement as well as additional paperwork associated with state and federal grant processes/requirements. Forms required by all grantees include E-1 Entity Annual Report Form and letters to legislators. Organizations (or individuals accepting grants under a business tax identification) may also be required to register in E-Verify and/or update their Business Entity Report with the Secretary of the State. More information on these requirements is listed at <http://www.in.gov/arts/2387.htm>. A Vendor Form will also be required from grantees paid directly by the IAC before payment is issued. Contact the RAP/ IAC if you have additional questions.

- **(For all regions managed directly by the IAC ONLY)** 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:** Grantees are required to write at least four letters 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 project that was funded or the organization's impact in their community. This is an opportunity to educate public officials on the valuable work that arts organizations do and the importance of public funding for the arts. 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 July 7, 2014 for Regions 1, 2, 4, 6, 9 and 12 or July 11, 2014 for Regions 3, 5, 7, 8 and 10](#). 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 for credit on any and all printed documents related to the funded project. Examples of credit usage will be required in the Final Grant Report.

- **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 Regional Arts Partner/ 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 \$2,500 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. RAP/IAC staff will review the changes before giving written approval. *Grantees may be required to return grant money to the RAP/IAC if this procedure is not followed.*

- ◆ **Final report/Second Year Update:** Deadline for regions 1, 2, 4, 6, 9 and 12 is Monday, July 7, 2014 by 4:30p.m. (EDT). Regions 3, 5, 7, 8 and 10's reports are due Friday, July 11, 2014 by 4:30p.m. (EDT). All grantees must submit a completed Final Report/Second Year Update and copies of the third and fourth letters sent to the legislators by the Regional deadline date. The Final Report is accessible through the [IAC online grants system](#).
- ◆ **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 RAP/ 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

- ◆ 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.
- ◆ 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.
- ◆ 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.
- **Your online submission indicates your agreement with, and adherence to, this entire document, including its embedded website links.**
- Upload any artistic documentation (check with your Regional Arts Partner to see if the artistic documentation will be accepted in your Region. It is optional.)
Optional artistic documentation for Region 1; Region 2; Region 4 and Region 6

*****Region 7 does not accept artistic documentation.*****

Any documentation submitted will be removed from the application.

Applicants may submit one of the following:

- one (1) to five (5) still images (JPEG, RGB, 1920 x 1920 pixels, 72 dpi) or
- one (1) to five (5) document pages (PDF, DOC (Word 97-2003 only) or
- one (1) music files (WMA or MP3 format and under 4MB) or
- one (1) video files (DVD or YouTube).

Images and audio files must be uploaded online; video samples must be mailed to the RAP. Music or video files may not exceed five (5) minutes in length. If you upload to YouTube you must provide a direct link in the application. Attach the YouTube link in the space provided. Applicant assumes full responsibility. The RAP cannot be responsible for technical problems on 3rd party sites.

Application Review Process

- After receipt of completed application, RAP/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 RAP/ IAC in its evaluation of grant applications. The panel meeting time and location will be posted on the RAP website or 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 or address the panel on behalf of their applications before, during, or after the panel meeting.
- 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.

- The following criteria will be used in assessment of each application:
 - On a 100-point scale, information in the applications will be reviewed by a conflict-free panel according to the four major category evaluation criteria (25-point maximum for each). It takes a score of 80 or greater to receive an AOS II grant. If an applicant receives a score between 75 and 79 they will receive a grant comparable to AOS I.
 - In each of the four scoring criteria, reviewers will provide a score from 1-25 (25 is the highest score in any one category) for a total of 100 points. As a general rule of thumb:
 - If the panelist scores an application in the 1-10 range, the organization has exhibited a severe deficiency in this area; if the panelist scores an application in the 11-20 range, the organization has achieved an acceptable level of proficiency in this area; and if the panelist scores an application in the 21-25 range, the organization has achieved an exceptional level of proficiency in this area.

- **Administration and organizational excellence (25 pts.)**

✓ Application Summary	✓ Demographic information
✓ Organizational Budget	✓ Submitted Financials
✓ Narrative, Part 1	✓ Strategic Plan
✓ Season Brochure/Marketing Material	✓ Board Roster

- **Arts Programming and artistic quality (25 pts.)**

✓ Applicant Summary	✓ Strategic Plan
✓ Narrative, Part II	✓ Season Brochure/Marketing Material

- **Audience development and visibility efforts (25 pts.)**

✓ Demographic Information
✓ Narrative, Part III
✓ Marketing Material/Season Brochure

- **Arts education/community outreach efforts to underserved populations (25 pts.)**

✓ Applicant Summary	✓ Narrative, Part IV
✓ Demographic Information	✓ Strategic Plan

- Following the panel meeting, RAP/ IAC staff will use a Commission-approved funding formula that takes into consideration the panel's ratings, an average of the organization's last three years of total cash income and available funds to determine specific grant recommendations.
- The IAC will review and ratify the FY2014 recommendations at its June/July 2013 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 in July by email of grant decisions after the Commission meets in June/July and approves the grants. **If funded, the organization will receive copies of its award letter, grant agreement, and instructions for completing other pertinent materials. All requirements associated with accepting the grant award must be completed and all paperwork must be returned to the Regional Arts Partner or Indiana Arts Commission no later than September 30. Failure to meet this deadline will result in the loss of the grant award.** Once the RAP/IAC receives the completed signed forms and copies of the first two thank-you letters, the contract process will start. It takes at least three months to receive payment after the IAC begins this process for those organizations receiving direct grants from the IAC. 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 sent to the grantee or transferred to the grantee's bank account after the grant agreement and aforementioned documents have been approved. **It generally takes at least three months from the time the correctly completed forms are submitted until the recipient receives the first payment if funding is directly from the Indiana Arts Commission.** The second and final grant payment will be for 25% of the total award will be sent to the grantee or transferred to the grantee's bank account after the final grant report and remaining legislator letters have been submitted and approved.
- Due to the approval process and oversight in place by various agencies in state government, payment may be delayed. **It generally takes approximately three months from the time the correctly completed forms are submitted until the recipient receives the first payment. BE PREPARED TO WAIT LONGER IN SOME CASES.** Due to this delay, grantees are **STRONGLY** encouraged to consider the possible deposit delay in their timeline. Grantees should plan to reimburse themselves for any expenses incurred before deposit is received.
- If the grantee fails to comply with the contract, reporting, logo, or the letter to elected officials requirement, the RAP/IAC may rescind the entire grant amount and this may jeopardize future grants from the Regional Arts Partner/ Indiana Arts Commission.

Need Additional Help?

Application Content and Program Questions:

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Online Grants and Payment Info:

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