



**INDIANA ARTS  
COMMISSION**  
MAKING THE ARTS HAPPEN

# AOS I Regional Initiative Grant FY2016 Region 7 Guidelines

## GRANT PERIOD:

July 1<sup>st</sup>, 2015 – June 30<sup>th</sup>, 2016

## PROGRAM DATES:

### Notice of Intent due:

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

### Application due:

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

### Panel review on:

May 7, 2015

### Final report due:

July 15, 2016 4:30 p.m. (EST)

### Grant information workshop:

to be posted online -

<http://www.in.gov/arts/2659.htm>

## MATCH REQUIREMENT:

1:1



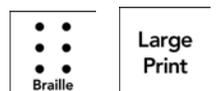
Image provided by Big Car

The Regional Initiative Grant (RIG) application must be completed in the Indiana Arts Commission's online grant system for applicants in Region 7 (Boone, Hamilton, Hancock, Hendricks, Johnson, Marion, and 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.

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Updated 1.6.2015



## 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.

## REGIONAL ARTS PARTNERSHIP

Established in 1997 and working in collaboration with the IAC, the [Regional Arts Partnership \(RAP\)](#) exists to promote and expand participation in the arts in Indiana. The RAP structure provides broad local access to arts services and funding opportunities throughout the State of Indiana. Services include, but are not limited to, information and referral, technical assistance, and regranting of state and federal funds through the [Regional Initiative Grant Program \(RIG\)](#). The RIG program was developed to help provide Indiana citizens access to quality arts and cultural activities, with special attention to underserved communities. RIG programs include Arts Project Support (APS) and Mini grants, Arts Operating Support I (AOS I), and Arts Operating Support II (AOS II).

## ABOUT THE AOS I PROGRAM

### Description

The Regional Initiative Grant (RIG) Arts Operating Support I program 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. 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 cycle, AOS I applicants are required to submit a [Notice of Intent to Apply](#) form by January 9, 2015 4:30 p.m. (EST). The IAC will contact your organization to confirm eligibility/ineligibility to apply.

### Grant Period

Applications are submitted and paneled for FY2016 (July 1, 2015 – June 30, 2016). A yearly contract will be issued for grant recipients. Awardees are required to submit a Final Grant Report at the end of the first grant year. The Final Grant Report form will be made available in 2016.

## 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 4, 2015 by 4:30 PM (EST)	Application due
May 7, 2015	Grant review panel
Early July 2015	Award notification
Sept-Oct 2015	First payment – 75%
July 15, 2016 by 4:30 PM (EST)	Final grant report due
Sept-Oct 2016	Second payment – 25%

## 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 educational arts component to programs and services;
12. Must have an annual **cash operating income and expenses of \$50,000 or more** over a three-year average, as supported by the most recent Financial Statement. Eligible arts organizations with a three-year budget average of \$250,000 or more may qualify for the AOS II program.

## RESTRICTIONS/INELIGIBLE APPLICANTS

Funding in the AOS I 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 Report 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

Application deadline for this Region is March 4, 2015 4:30 PM (EST). After receipt of completed application, the Regional Arts Partner 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 will take place in the May 7, 2015 and 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. The panel meeting and location will be posted on the RAP website and/or [IAC website](#).

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 of 75 and over will be eligible for funding. Evaluation criteria details can be found on the [IAC website](#). Information submitted in the application will be reviewed according to the following evaluation criteria:

- Administration and Organizational Excellence (25 points)
- Arts Programming and Artistic Quality (25 points)
- Audience/Community and Visibility Efforts (25 points)
- Arts Education/Community Outreach (25 points)

## MATCHING REQUIREMENTS

All grant recipients must provide a match for every dollar provided by the Indiana Arts Commission with one dollar of the organization's own funds. The match may be a combination of in-kind – at least 50% must be cash. 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 to determine the specific grant recommendations. The applicant does not request a grant amount. The grant amount is based on the average of the applicant's last three years of total cash income, panel's ratings, number of eligible applicants in the Region, and the dollars allocated to the Region.

The grant award cannot be more than 20% of the applicant's three year cash operating income average. These completed cash financial statements must have been approved by the organization's Board of Directors. The AOS I budget breakdowns are:

\$50,000 to \$99,999 (Average FY2015 grant for this Region was \$5,319)

\$100,000 to \$174,999 (Average FY2015 grant for this Region was \$6,304)

\$175,000 to \$249,999 (Average FY2015 grant for this Region was \$7,289)

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:** Only **DIRECT** IAC grantees are required to file an [Entity Annual Report \(Form E-1\)](#) with the State Board of Accounts (organizations and individuals), maintain an active [Business Entity Report](#) with the Indiana Secretary of State (not individuals), 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:** [An annual independent financial audit](#) conducted by a CPA (not a review or compilation) for the last fiscal year **is only required** for AOS I grant recipients if they meet the public disbursement/expenditure guidance provided at the link above (**including past recipients**). The audit must clearly state the yearly income, expenses and net assets of the applicant organization.
- **Clearance check requirements (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:** 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 grant report:** All grantees must submit a completed Final Grant Report due July 11, 2016 at 4:30 PM (EST). The Final Report is accessible through the [IAC online grants system](#). 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.

## **ACKNOWLEDGMENTS & RECOGNITION REQUIREMENTS**

Grant recipients must use the IAC logo for acknowledgment and credit. 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](mailto: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. For grant recipients awarded directly through IAC, 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. The RAP/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.

### Artistic documentation

Artistic documentation is not accepted for this Region.

### Submission confirmation

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/Accessibility\\_Checklist.pdf](http://www.in.gov/arts/files/Accessibility_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 Region 7 RIG AOS I FY16 program and application development please contact:

Becca Hopson  
Community Development | Accessibility Coordinator  
Indiana Arts Commission  
Phone: 317.232.1283  
Email: rhopson@iac.in.gov

If you have a question concerning the Region 7 RIG AOS I FY16 online application, contract and payment information, please contact:

Grant, Research and Information Technology manager  
Indiana Arts Commission  
Phone: 317-232-1278  
Email: grantsadmin@iac.in.gov