



ACCELERATOR + SUSTAINABILITY GRANT APPLICATION GUIDELINES

**CLASS OF 2016
FISCAL YEAR 2015**

Table of Contents

| | |
|--|----|
| CAPACITY BUILDING INITIATIVE OVERVIEW | 4 |
| Capacity Building Initiative (CBI) Goals | 5 |
| ACCELERATOR + SUSTAINABILITY PROGRAMS | 6 |
| Eligibility At-a-Glance | 6 |
| Important Dates | 7 |
| Purpose of the Accelerator + Sustainability Programs | 8 |
| Accelerator + Sustainability Program Design | 8 |
| Accelerator + Sustainability Program Components | 9 |
| ACCELERATOR + SUSTAINABILITY APPLICATION OVERVIEW | 10 |
| Detailed Eligibility | 10 |
| How to Apply | 11 |
| Cultural Data Project Requirement | 12 |
| Required Support Materials | 13 |
| Review Process | 14 |
| After Receiving the Grant | 15 |
| ADDITIONAL INFORMATION | 17 |
| Helpful Hints | 17 |
| Application Assistance | 17 |

HOUSTON ARTS ALLIANCE BOARD OF DIRECTORS

Marc Melcher, Chairman of the Board

Philamena Baird, Vice Chair

Suresh Raghavan, Treasurer

Leigh Smith, Secretary

Nancy Allen

Laura Bellows

Minnette Boesel

Brad Bucher*

Shannon Buggs*

Michael Cordúa

M. Kaye DeWalt

Denise DuBard

Diedra Fontaine

Regina Garcia

Roland Garcia

John Guess Jr.

Karen Harnett

Scott Hill

Janet McDonald Hobby

David LaDuca*

Craig Massey

Fatima Mawji

Richard McGee

Gigi Myung*

Judy Nyquist

John Rolfe

Randhir Sahni

Richard Schechter

Lynda Transier

J. Michael Treviño

Louise Upshaw-McClenny

Fabene J. Welch, Emeritus

David Ashley White*

David Wuthrich

Partner Liaisons:

Laurette Cañizares - Houston Museum District

Cissy Segall Davis - Miller Outdoor Theatre

Kathryn Chase McNeil – Houston Theater District

Dawn Ullrich – Houston First Corporation

***Mayoral Appointees**

HOUSTON ARTS ALLIANCE STAFF

Administration

Jonathon Glus, President + CEO

Dean McGee, Chief Operating Officer

Kathryn Lanning, Executive Assistant to Jonathon Glus, President
+ CEO

Jenna Whyte, Office Manager

Vicki Rosborough, Finance Manager

Debbie Kam-Belhaj, Staff Accountant

Civic Art & Design

Sara Kellner, Director of Civic Art + Design

Jimmy Castillo, Civic Art + Design Collection/Project Manager

Mat Kubo, Civic Art + Design Project Manager

Jade Abner, Civic Art + Design Assistant

Advancement

Kate Ostrow Yadan, Director of Development

Marie Jacinto, Director of Communications

Karen Ross, Communications Manager

Kenneth Franco, Advancement + Digital Marketing Manager

Folklife + Traditional Arts

Pat Jasper, Director of Folklife + Traditional Arts

Angel Quesada, Folklife + Traditional Arts Manager

Grants, Programs & Services

Richard Graber, Director of Grants, Programs + Services

Amy Gibbs, Manager, Capacity Building Initiatives

Carolyn Hays, Manager, Arts & Business Council of Greater Houston

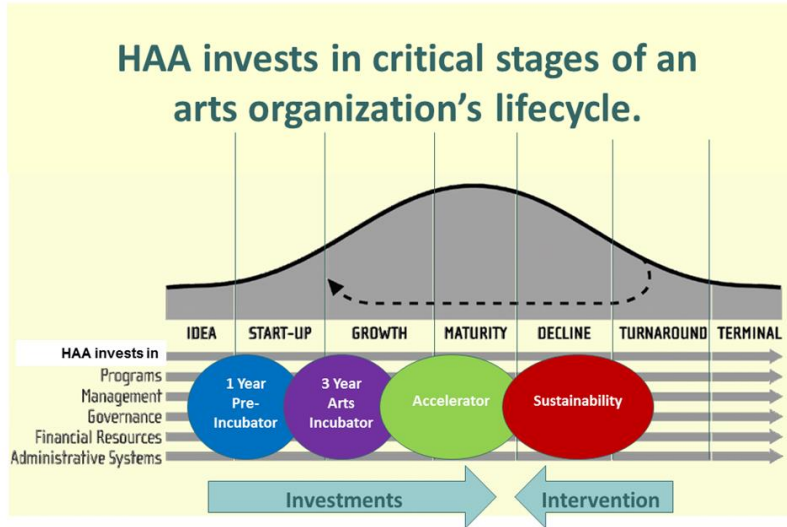
Kristen Flack, Grants, Programs + Services Coordinator

Shannon Teasley, Grants Manager

Dominique Estevez, Grants Coordinator

CAPACITY BUILDING INITIATIVE OVERVIEW

Our mission is to impact, inform, and invest in the administrative capacity of arts organizations towards artistic excellence.



COMPARISON BY PROGRAM

| PROGRAM: | Pre-Incubator | Incubator | Accelerator | Sustainability |
|---|--|---|--|---|
| Goal | Develop orgs from idea to start-up | Incubate orgs from start-up to growth | Accelerate orgs from growth to maturity | Sustain mature orgs through decline & turnaround |
| Partnership Term | 12 months | 36 months | 12 months | 12 months |
| Investment | Limited awards of \$5,000 - \$7,500 | \$15,000/year for three years | Up to \$10,000 - \$20,000 | Up to \$20,000 |
| Services | Management services & capacity funding | Client residency, management services, & capacity funding | Technical funding for multiyear strategic planning or implementation | Technical funding for multiyear strategic planning or implementation |
| Client budget size | 10K - 75K | 75K - 200K | 100K - 750K | 750K+ |
| Client staff size (Full Time Equivalent) | 0 – .5 FTE | 0.5 – 2 FTE | 2 – 4 FTE | Staff > 3 FTE |
| 22 Current Participants | <u>Class of 2015</u> 14 Pews Cypress Symphony Magpies & Peacocks Public Poetry Silambam Houston The Landing Theatre Company The Piping Rock Singers Wordsymth Theater Company | <u>Class of 2016</u> Karen Stokes Dance Houston Boychoir Mildred’s Umbrella Theater Company NobleMotion Dance Stark Naked Theatre Company | <u>Class of 2015</u> Brazilian Arts Foundation Musiqa Inc. Southwest Alternate Media Project | <u>Class of 2015</u> Asia Society Texas Center Diverse Works Artspace Houston Center for Contemporary Craft Main Street Theater Mercury Baroque Ensemble Writers in the Schools |

Capacity Building Initiative (CBI) Goals

- To facilitate delivery of effective assistance through coordination, collaboration and networking.
- To create a culture of learning by demystifying management tools, techniques and approaches so that they are understood, accepted, and appropriately and effectively integrated into operations of service recipients.
- To ensure long-term viability of arts organizations as channels for diverse cultural expression.

Since 1993, HAA's Capacity Building Initiative (formerly the Management Assistance & Development Enterprise Program) has received local and national acclaim for its documented ability to increase the organizational capacity of arts organizations. The Initiative was cited as one of eight capacity building programs across the country in the discussion draft, "*Rethinking Sustainability: Strengthening Arts Organizations during Times of Change*," prepared by Strategic Grantmaker Services for The Ford Foundation.¹

Through the CBI, HAA provides investments in organizational infrastructure through five (5) service areas:

General Services: The Initiative collaborates with other area service providers to leverage community resources. The Initiative also develops its own projects to meet the needs of arts organizations and artists. General services include: capacity building workshops, networking meetings, onsite Resource Library, and online organizational learning database.

Pre-Incubator Program develops organizations from idea to start-up **by establishing critical infrastructure (i.e. management, governance, financial resources, and administrative systems).**

Residency Incubator Program strengthens the capacity of start-up organizations towards growth (total revenues of \$50,000 to \$200,000) through management services, co-workspace, and capacity funding (up to \$15,000 per year). For thirty six (36) months, participating organizations will receive in depth training, diagnostics, and resources to address critical competencies.

Accelerator Program strategically advances organizations from growth to maturity by investing in critical infrastructure. Specifically, the Initiative invests between \$10,000 - \$20,000 in growth organizations (total revenues of \$100,000 to \$750,000) through the creation of board adopted strategic plans and funding for strategic plan implementation.

Sustainability Program strategically reinforces mature organizations through decline and turnaround by investing in critical infrastructure. Specifically, the Initiative invests up to \$20,000 in mature organizations (total revenues over \$750,000) through the creation of board adopted strategic plans and funding for strategic plan implementation.

¹Thomas Wolf, ed., *Rethinking Sustainability Strengthening Arts Organizations during Times of Change*, Strategic Grantmaker Services, May, 1995.

ACCELERATOR + SUSTAINABILITY PROGRAMS

Eligibility At-a-Glance

All organizations applying for Houston Arts Alliance grants must be 501(c)(3) non-profit, public charity organizations (or the equivalent) in good standing with the Internal Revenue Service and received their IRS recognition at least one year prior to application date.

Grant categories are open to specific types of organizations. Not all grant programs are open to all types of organizations. Please read the appropriate sections carefully for complete information on eligibility.

| Type of Organization | Eligibility (see page 10 for more details) |
|---|--|
| Arts & Cultural Organizations Multicultural Arts Organizations | <ul style="list-style-type: none"> • Applicant must be an eligible arts/cultural or multicultural arts grantee since the FY11 Grant cycle (July 1, 2010 to current). • For ACCELERATOR Applicants - the applicant organization's annual revenues are between \$100,000.00 and \$750,000.00. • For SUSTAINABILITY Applicants - the applicant organization's annual revenues are above \$750,000+. • The applicant must employ at least one (1) full-time employee that acts at the chief executive officer or executive director equivalent for the organization. • Beginning September 1, 2010, all applicants are eligible to receive within the lifetime of the organization up to: <ul style="list-style-type: none"> ○ Five (5) ACCELERATOR grants = up to two (2) Phase I and three (3) Phase II ○ Two (2) SUSTAINABILITY grants = combination of Phase I and/or Phase II • Organizations currently participating in the Resident Incubator Program are eligible to apply. <p><i>For All Phase I: Strategic Plan Applicants:</i></p> <ul style="list-style-type: none"> • Applicant must wait a minimum of two (2) grant Fiscal Years before submitting another Phase I application. Ex.) If your organization was awarded an FY2014 CBI Phase I grant, you can re-apply for the FY2017 cycle, but NOT the FY2015 or FY2016 cycle. <p><i>For All Phase II: Implementation Applicants:</i></p> <ul style="list-style-type: none"> • Phase II applicants must submit their current multi-year strategic plan adopted by its board of directors that is no more than three (3) years old at the time of application deadline. • Applicant must wait a minimum one (1) grant Fiscal Year before submitting another Phase II application. Ex.) If your organization was awarded an FY2014 CBI Phase II grant, you can re-apply for the FY2016 cycle, but NOT the FY2015 cycle. |
| University/Education Agencies, Departments, & Organizations | Ineligible to apply |
| Other Nonprofit Organizations | Ineligible to apply. Must be a recipient of HAA funding since FY10 Grant Cycle. |
| Other Notes: | Organizations currently receiving City of Houston Hotel Occupancy Tax funds directly from the Museum or Theatre District are ineligible to apply to this program. |

Important Dates

Capacity Building Initiative (CBI) Accelerator + Sustainability Program

- **Grant Term:** October 1, 2015 to September 30, 2016
- **Application Workshop:** Wednesday, April 8, 2015 11:30am to 12:30pm in the Houston Arts Alliance Gallery located at 3201 Allen Parkway, Houston, TX 77019
- **Application Open (Available online):** Tuesday, April, 2015
- **Application Deadline:** Tuesday, May 12 2015, 5:30pm (online)*
- **Required Supplemental Materials Deadline:** Tuesday, May 12 2015, 5:30pm (online)*

Applicants are encouraged to become familiar with the program requirements and criteria before beginning the application process. To speak to or make an appointment with Amy Gibbs, Capacity Building Initiatives Manager, please call 713.581.6122 or email amy@haatx.com

| CBI Accelerator + Sustainability Program Calendar | |
|---|---|
| April 2015 | CBI Guidelines published on HAA Website |
| April 8, 2015 9:30am | Peer Learning Session – Learn best practices from Accelerator + Sustainability Participants |
| April 8, 2015 11:30am | Accelerator + Sustainability Grant Application Workshop |
| April 2015 | Accelerator + Sustainability Online Application Open |
| April 2015 | Logic Model Review for Phase II Applicants (by appointment only) |
| April 16, 2015 9:30am | Making Strategic Plans Work for You and Your Organization: A Strategic Planning Workshop |
| April 29, 2015 9:30am | Peer Learning Session – Learn best practices from Accelerator + Sustainability Participants |
| May 12, 2015 5:30pm* | Application Materials Due |
| June 2015 | Accelerator + Sustainability Panel Review |
| September 2015 | Board Approval & Award Notifications |
| September/October 2015 | Program Orientation |
| October 1, 2015 | Grant cycle begins |
| October 2015 | 1st Quarter Payment |
| December 2015 | Q1 Report Due |
| January 2016 | 2 nd Quarter Payment Disbursed upon receipt of Quarterly Progress Report |
| March 2016 | Q2 Report Due |
| April 2016 | 3 rd Quarter Payment Disbursed upon receipt of Quarterly Progress Report |
| June 2016 | Q3 Report Due |
| September 30, 2016 | Grant cycle ends for Accelerator & Sustainability |
| November 15, 2016 | Final Report Due (Final Report Payment) |
| Spring 2017 | Peer Learning Sessions by Participants at Houston Arts Alliance (Date/Time TBA) |

*Schedule is subject to change. The deadline for applications will not be any earlier than Tuesday, May 12th. Please check the HAA website frequently for updates regarding the online application opening and closing.

Purpose of the Accelerator + Sustainability Programs

Houston's attractiveness as a cultural tourism destination requires public and private investment in the health and vibrancy of its nonprofit arts sector. With this in mind, in the mid-1990s the Houston Arts Alliance began the **Capacity Building Initiative (CBI)**, formerly the Management & Organizational Development Enterprise, to provide specialized investments to organizations' critical infrastructure.

The **Accelerator & Sustainability Programs strategically advance organizations** from growth to maturity, and reinforce mature organizations through decline and turnaround.

To be eligible for the *Accelerator Program* organizations must have annual revenues of \$100,000 - \$750,000. To be eligible for the *Sustainability Program* organizations must annual revenues over \$750,000.

Working with Houston Arts Alliance staff and specialized arts consultants, leadership teams from each participating organization will engage in a process to develop integrated strategies that enhance the organization's infrastructure in areas such as staff management, board governance, financial resources, and administrative systems. The end goal of the CBI is to strengthen the nonprofit arts sector's ability to present and produce exciting and innovative programs for residents and visitors of Houston.

Accelerator + Sustainability Program Design

Accelerator & Sustainability are designed to identify and address barriers of growth and mature stage organizations that are grantees of the Houston Arts Alliance. We are interested in funding critical investments in organizational infrastructure, including but not limited to:

- Governance and Leadership
- Risk Management
- Change / Succession Management of Critical Staff
- Resource Development and Fundraising
- Marketing
- Arts and Cultural Tourism
- Financial and Technology Management
- Strategic Planning

The CBI does not provide funding to support artistic programming. For more information on program related grants, please review the Arts Project Grant (APG), General Operating Support (GOS), General Operating Support Expansion (GOSE), and City Initiatives (CI) through the HAA Grants Department.

Qualifying organizations in both the Accelerator & Sustainability program may apply for funds in one of two phases:

PHASE I – STRATEGIC PLAN

Organizations selected for Phase I will receive up between \$10,000 and \$20,000 in Strategic Plan Funding to facilitate the creation and adoption of a multi-year strategic plan through the contracting of outside consultant(s). The plan should address and identify core strengths and weaknesses in areas such as (but not limited to) governance, human resources, financial systems, marketing, and artistic programs.

PHASE II - IMPLEMENTATION

In order to qualify for Phase II funding, an organization must submit a current multi-year strategic plan, which has been adopted by its board of directors. The plan must be no more than three (3) years old at the time of application deadline. Organizations selected for Phase II Funding will receive up to \$20,000 to fund the implementation of specific strategic plan objectives identified during the application process.

Accelerator + Sustainability Program Components

ALL PARTICIPANTS:

- Program Orientation.
- A professional organizational assessment and multi-year financial history profile.
- Ongoing communication between Houston Arts Alliance and the program Participant.
- Quarterly and Final Reports

FOR PHASE I – STRATEGIC PLAN PARTICIPANTS:

- Development of a written multi-year strategic plan by an outside consultant with prioritized, measurable objectives, action steps, and milestones that indicate assigned responsibilities, as well as an implementation schedule up to 36 months or more.
- OUTCOMES PRESENTATION (Spring 2017): To encourage a culture of learning, all Participants will present their multi-year strategic plan to HAA grantees, including best practices and lessons learned from the strategic planning process. HAA will organize “Peer Learning Sessions” (specific dates are TBD).

FOR PHASE II – IMPLEMENTATION PARTICIPANTS:

- Grant funds for individualized consultancies from arts management experts, staff hire, or new/updated administrative systems that can provide the capacity necessary to move ahead with its multi-year strategic plan.
- OUTCOMES PRESENTATION (Spring 2017): To encourage a culture of learning, all Participants will present their best practices and lessons learned from the implementation process. HAA will organize “Peer Learning Sessions” (specific dates are TBD).

LEADERSHIP TEAM

Houston Arts Alliance will monitor Accelerator & Sustainability Participants through scheduled meetings and quarterly progress reports. HAA staff and the organization’s Leadership Team will meet periodically to assess the progress of the grant and, when necessary, amend the work plan or re-direct grant resources.

A Leadership Team must be established for each Participant organization. At a minimum, the Leadership Team will consist of non-paid senior-level board members and the Executive or Artistic Director. ***The Leadership Team may not be comprised of more than 50% staff.***

To avoid the appearance of a conflict of interest, Leadership Team members may not concurrently serve on the Houston Arts Alliance’s Board of Directors or its Committees (i.e. Grants or Capacity Building Initiatives). Houston Arts Alliance will designate a staff person to assist and monitor program engagement. Any changes in Leadership Team members must meet with the approval of Houston Arts Alliance.

ACCELERATOR + SUSTAINABILITY APPLICATION OVERVIEW

Detailed Eligibility

The following are general eligibility requirements to apply for the Accelerator & Sustainability Programs:

- The organization's **primary mission**, as described in its mission statement and approved by its board of directors, **is the production or presentation of a regular season of arts and cultural programming throughout the year.**
- The arts organization is at least 3 years old (the age of the organization to be determined from the date it received the IRS 501(c)(3) letter of determination or preliminary ruling letter).
- The applicant must be an eligible HAA grantee organization since the FY11 Grant cycle (July 1, 2010 – current). HAA funding includes General Operating Support, General Operating Support Expansion, Arts Project, Touring & Neighborhood Arts Project, and City's Initiative (Mayor's) Grant Program.
- The applicant must currently employ at least one (1) full-time paid employee that acts as the Chief Executive Officer / Executive Director or equivalent.
- The organization has current tax-exempt status under Section 501(c)(3) (or the equivalent) of the Internal Revenue Service as a public charity. The tax-exempt status must have been granted by the IRS at least three years prior to the grant application deadline. Organizations with lapsed IRS 501(c)(3) status are not eligible to apply.
- The organization has produced or presented throughout the year, a season of arts or cultural programming open to the general public for at least one year prior to the grant application deadline.
- The organization is physically based within the incorporated limits of the City of Houston.
- The applicant organization's board of directors has at least three independent board members who meet regularly to conduct the business of the organization.
- The majority of the organization's programs and events are advertised and open to the general public.
- The majority of the organization's programs and events attract visitors and tourists to Houston.
- The organization does not have any outstanding Final Reports due to Houston Arts Alliance including General Operating Support, General Operating Support Expansion, Arts Project, Touring & Neighborhood Arts Project, City's Initiative (Mayor's) Grant Program, and any pre-FY15 grant programs.
- Organizations currently participating in the Resident Incubator Program are eligible to apply.

FOR ACCELERATOR APPLICANTS:

- The applicant organization's annual revenues are between \$100,000.00 and \$750,000.00.
- Phase II applicants must submit a current multi-year strategic plan, which has been adopted by its board of directors and is no more than three (3) years old at the time of the application deadline.
- Applicants are eligible to receive **up to 5 total Accelerator Grants** within the lifetime of the organization:
 - two (2) Accelerator: Phase I and
 - three (3) Accelerator: Phase II grants
- Applicant must wait a minimum of two (2) grant Fiscal Years before submitting another Phase I application. For example, if your organization was awarded an FY2014/Class Year 2015 CBI Phase I grant, you can re-apply for the FY2017/Class Year 2018 cycle, but not the FY2015/Class Year 2016 or FY2016/Class Year 2017 cycle.
- Applicant must wait a minimum one (1) grant Fiscal Year before submitting another Phase II application. For example, if your organization was awarded an FY2014/Class Year 2015 CBI Phase II grant, you can re-apply for the FY2016/Class Year 2017 cycle, but not the FY2015/Class Year 2016 cycle.

FOR SUSTAINABILITY APPLICANTS:

- The applicant organization's annual revenues are above \$750,000+
- Phase II applicants must submit a current multi-year strategic plan, which has been adopted by its board of directors and is no more than three (3) years old at the time of the application deadline.
- Applicants are eligible to receive **up to two (2) Sustainability grants** within the lifetime of the organization

- Applicant must wait a minimum of two (2) grant Fiscal Years before submitting another Phase I application. For example, if your organization was awarded an FY2014/Class Year 2015 CBI Phase I grant, you can re-apply for the FY2017/Class Year 2018 cycle, but not the FY2015/Class Year 2016 or FY2016/Class Year 2017 cycle.
- Applicant must wait a minimum one (1) grant Fiscal Year before submitting another Phase II application. For example, if your organization was awarded an FY2014/Class Year 2015 CBI Phase II grant, you can re-apply for the FY2016/Class Year 2017 cycle, but not the FY2015/Class Year 2016 cycle.

Please note: Organizations that do not meet the Accelerator or Sustainability criteria but who are interested in technical assistance for organizational development should contact HAA Programs & Services staff to discuss other options that may be available, like the Business Volunteer for the Arts, Pre-Incubator and Residency Incubator Programs. Organizations currently receiving City of Houston Hotel Occupancy Tax funds directly from the Museum or Theatre District are ineligible to apply to this program.

The general policies of the Houston Arts Alliance's Fiscal Year 2015 Grants for Organizations Program apply, including the 50% Rule.

How to Apply

All grant applications to Houston Arts Alliance grants programs must be completed through the Online Grants Application Portal.

The application portal will be open for 30 days and will close at 5:30 P.M. on the announced deadline date.

An Application Workshop will be held Friday, April 8, 2015, from 11:30am to 12:30pm at HAA for those seeking assistance. A Learning Session will be held directly before the application workshop (9:30am to 11:30am) to share best practices and lessons learned from recent Participants.

We encourage you to review the instructions for using the online application portal before beginning the application process. If you have any questions regarding the portal, please feel free to contact a grants staff member by emailing grants@haatx.com or calling 713.527.9330.

Cultural Data Project Requirement

Applicants are **required** to submit a Cultural Data Project Funder Report for the 2013 Fiscal Year (FY 2013). Applicants are *strongly recommended* to submit a Funder Report for the 2014 Fiscal Year (FY 2014) as well.

CULTURAL DATA PROJECT INSTRUCTIONS

- If you have not done so already, register the organization and create an account with the Texas Cultural Data Project at www.txculturaldata.org
 - You will create one account, login, and password for the organization. If more than one person is responsible for entering data this login and password will be shared among all users.
- Complete, *at minimum*, one Data Profile for FY 2013
 - After you have finished entering in all in to a Data Profile you will submit the Data Profile to the CDP by clicking on the 'Check & Submit' button. This will take you through an automated error check. Once you have corrected all errors you will be able submit the Data Profile to the CDP. (At this time the Data Profile will be closed for editing, but if a change needs to be made to any of the data the CDP Support Center will be able to re-open it.)
- Once you have submitted the Data Profile on the 'My CDP' page click on the button on the left-hand side of the screen that reads 'Funder Reports.' This will take you to a new page. In the middle of the page you will see a drop-down menu to select the Fiscal year-end for which you want to include in the Funder Report.
 - If you are only submitting data for FY 2013, select the date that corresponds with the end of your organization's fiscal year end for 2013.
 - If you are submitting data for FY 2013 **and** FY 2014, select the date that corresponds with the end of your organization's fiscal year end for 2014, *this will automatically pull data from both the FY 2013 and FY 2014 Data Profiles into the same report.*
 - NOTE: Regardless of how many years of data you are submitting you only need to submit **ONE** (1) Funder Report.
 - Under the list of Funders click on Houston Arts Alliance's name and it will display the report options. Click on the 'View Report' button for the Accelerator/Sustainability Grant. This will open the report as a PDF document, save this document to your computer
- Include a copy of the Funder Report as part of the Required Support Materials

Note: The Funder Report will be available for download on the Cultural Data Project website on May 1, 2015. However, you do not need to wait to enter your data into the Data Profile. It is strongly recommended that you allow yourself plenty of time in advance to complete the data entry portion.

For more help or any question regarding the CDP please contact the Support Center at 877.707.DATA (877.707.3282) or help@culturaldata.org. You can find helpful tips to get you started here: <http://www.txculturaldata.org/private/gettingstarted.aspx>.

Required Support Materials

The online application will include required support materials that must be uploaded to the Grants Application Portal. Any support materials that are unable to be uploaded **MUST** be communicated to Amy Gibbs, Capacity Building Initiatives Manager by phone at 713.581.6122 or by email at amy@haatx.com and arrangements should be made for materials to be received at Houston Arts Alliance's office no later than 5:30 P.M. on May 11, 2015. **Your application will not be complete unless you submit the required documents through the portal.**

| Required Support Materials for Upload | | | |
|---------------------------------------|--|--|-------------|
| Doc. # | Document Name | Instructions | Doc. Format |
| 1. | Signed Assurances Page | Obtain the template through the Application Portal | PDF |
| 2. | Organizational Assessment Survey | Must be completed by full Leadership Team. You may access the survey here: https://www.surveymonkey.com/r/FY15CY16ACCSUS . You will not need to upload anything into the application portal, but all members of the Leadership Team must complete the survey. | Online |
| 3. | Board Composition Matrix | Obtain the template through the Application Portal | Excel |
| 4. | Cultural Data Project Funder Report | Complete a Data Profile for the 2013 Fiscal Year and download the Funder Report for the Cultural Data Project website (available May 1 st) | PDF |
| 5. | History of the Organization | 1-2 pages, including its board & staff management history. | PDF |
| 6. | Executive Director Resume & Job Description | Up-to-date resume and current job description for the organization's Executive Director (or equivalent) | PDF |
| 7. | Organizational Chart | Includes hierarch and positions of staff and board (officers, committee chair) designations | PDF |
| 8. | Organization Bylaws | Complete copy of most recent version of board approved bylaws | PDF |
| 9. | Board Agendas & Minutes | Include agenda and approved minutes from the 3 most recent Board meetings | PDF |
| 10. | Current Season | An outline of your current programmatic season, artistic product, or artistic support materials | PDF |
| 11. | Prior Year Statement of Activities | A Statement of Activities (or Profit & Loss) for the most recently completed fiscal year | PDF |
| 12. | Year to Date Statement of Activities | A Statement of Activities (or Profit & Loss) for the current fiscal year to date | PDF |
| 13. | Prior Year Statement of Financial Position | A Statement of Financial Position (or Balance Sheet) for the most recently completed fiscal year | PDF |
| 14. | Year to Date Statement of Financial Position | A Statement of Financial Position (or Balance Sheet) for the current fiscal year to date | PDF |
| 15. | IRS Form 990 | If not posted on Guidestar, include the IRS Form 990 or 990EZ for the most recently completed fiscal year. <i>If all recent 990s are Guidestar upload a blank document with the corresponding title using the naming conventions below.</i> | PDF |
| 16. | Current Year Operating Budget | Complete revenue & expense budget for the current fiscal year including all planned programs and operations | PDF |
| 17. | Current Strategic Plan | Phase II Applicants Only: Latest copy of organization Strategic Plan adopted by the Board of Directors. Indicate the date (mm/yyyy) the plan was approved/adopted by the Board of Directors. Plan must be less than three (3) years old at the time of application deadline. Attach board minutes that reflect approval or adoption of strategic plan by board of directors. Phase I Applicants Only: Upload a blank document with the corresponding title using the naming conventions below. A current strategic plan is <i>not</i> required for your application. | PDF |

All attachments MUST be titled with the following naming convention

Doc #_Document_Title_Organization Name (For example: 1_Signed Assurances Page_ABCDNonprofit)

Review Process

Organizations chosen to participate in the Accelerator & Sustainability Programs will be selected through a competitive panel review process. The panel consists of a diverse group of professionals in arts management, nonprofit and business management. The panel will review and evaluate the applications and make a recommendation to the Houston Arts Alliance Board of Directors.

REVIEW CRITERIA

The panel's evaluation will be based on "core competencies" to participate in a capacity building program as demonstrated using the following criteria weighted on a rating scale:

| Competency | Phase I | Phase II |
|--|--------------------|---|
| Mission (i.e. artistic merit) | 250 points | 0 points |
| Money (i.e. finances & fundraising) | 200 points | 200 points |
| Management: Board | 200 points | 200points |
| Management: Staff | 150 points | 100 points |
| Realistic & Achievable Goals | 100 points | 250 points <i>(by way of submitted logic model diagram)</i> |
| Existing Strategic Plan Document (Phase II only) | 0 points | 250 points |
| TOTAL | 1000 points | 1000 points |

Applicants should address specific criteria when answering the narrative questions in the grant application. The criteria are the grant review panelists' guide in rating the grant applications. The criteria, which have been developed over a period of time and with input from Houston Arts Alliance constituents, represent the qualities that are considered important for a well-run arts/cultural organization.

The criteria are intended to set standards; therefore, not every applicant will meet the criteria in exactly the same way. The size, mission and other characteristics of an organization are relevant to an organization's evaluation.

As they review your organization's application, panelists will consider the following:

1. Organization has a clear mission and artistic goals that correlate with objectives of the Hotel Occupancy Tax.
2. Organization displays understanding of their need for change & the role CBI program can play to assist them.
3. The organization's programs provide evidence of artistic merit and commitment to advancing the specific art form or cultural expression. When evaluating the artistic merit, the panel will consider the following factors:
 - Activities that are of high artistic quality or exemplary of the organization's discipline;
 - Quality of the artists or experts involved in performances, works, and/or activities;
 - Involvement of artists or experts that are knowledgeable of their discipline;
 - Innovative and creative programming and artist selection;
 - Artistic or curatorial staff that shows vision and leadership; and,
 - Effective use of artistic resources of the community.
4. Evidence of the organization's ability to benefit from a capacity building program as demonstrated by board & staff commitment.
5. Evidence of an active board of directors.
6. Realistic and achievable artistic and organizational goals as identified in the application.
7. Evidence of administrative capability to manage a growing arts/cultural organization.
8. Impact of program participation for long-term growth and stability of the organization and the Houston nonprofit arts industry. Organizations accepted into the program should demonstrate viable organizational capacity and characteristics for success.

STAFF REVIEW

Upon receipt of the applications, staff reviews applications for completeness, eligibility and verification of the 501(c)(3) status. When necessary, applicants are asked to revise proposals or supply additional information. Incomplete applications or those that do not meet eligibility requirements cannot be considered. Applicants that do not submit all of the required support materials by the appropriate deadlines will not be eligible for consideration. Please note that Houston Arts Alliance grants are funded from public tax dollars and, as such, grant records may be subject to the Texas Open Records Act. Applications submitted to Houston Arts Alliance become the property of Houston Arts Alliance and are subject to review by members of the public upon request.

PEER PANEL REVIEW

Peer panels - consisting of objective and knowledgeable arts professionals, artists, community and corporate volunteers and others with arts expertise - evaluate each application using the published funding criteria. Panelists meet to discuss and score each eligible application; their scores are totaled and averaged for each application following the panel meetings.

- Panel meetings are open to the public for observation only. Members of the public that are interested in attending a panel meeting and need special accommodations are asked to notify Houston Arts Alliance grants staff one week prior to the panel meeting when possible.
- Addressing the Panel: An interview with key staff and board of the organization is a vital part of this application process. All grant applicants are given an equal and set time to respond to questions from the panel or to clarify any comments made by the panel during the review process. **All applicants are required to have up to four (4) informed representatives attend their review time. If representatives cannot be present, they must make arrangements with HAA at least 24 hours in advance to be available by phone during the panel meeting.** The representative(s) must be able to answer questions about the organization's operations and programs, budget and finances, and the specifics of the application. HAA strongly encourages the Executive Director or CEO to be the designated representative. No new materials may be distributed to the panel at this time.
- An organization's application should stand on its own. Site visits are not a part of the review process. Any previous grant file documentation, such as quarterly and/or final reports, may be reviewed at the panel's request. It is the primary responsibility of the applicant to inform the panel about its activities and programs through a high quality submission of the online application and support materials.
- Houston Arts Alliance has a Conflict of Interest Policy for panelists. Panelists must declare their conflicts of interest regarding the organizations being reviewed by their specific panel. Panelists may neither review nor score applicants with whom they have a fiduciary, personal or adversarial relationship currently, in the past twelve months or in the projected grant term. Panelists who have a conflict of interest with an applicant must leave the panel meeting during the discussion of that application.

BOARD REVIEW

Grant recommendations from panels are forwarded to the Houston Arts Alliance Grants Committee for review. The committee, in turn, forwards its recommendations to Houston Arts Alliance Board of Directors for final approval. These recommendations are subject to organizations meeting all requirements prior to issuing a grant agreement. Organizations that are not funded might be asked to attend HAA workshops or other training for further assistance.

After Receiving the Grant

Organization awarded a CBI grant by Houston Arts Alliance are required to attend an Orientation Meeting as scheduled by Manager of Capacity Building Initiatives. The grantee will enter into a grant agreement that clearly states the scope of services and outlines the requirements of the grant. All grant funds are to be used for the stated activities as a requirement of the grant agreement.

SIGNING THE GRANT AGREEMENT

Houston Arts Alliance requires two authorized officials from the awarded organization sign the agreement. One of these officials must be the CEO, executive director, president or board chair of the organization. If the CEO and

board president or chairman is the same person, then another non-related officer must sign as second signature. The grant agreement will outline the terms of the grant, scope of services, reporting requirements and legal issues applicable to the funding. Houston Arts Alliance reserves the right to make changes to the grant program policies, schedule or guidelines. If any changes are made, grantees will be notified in writing within 30 days of the change.

INSURANCE

Grantees that are awarded over \$30,000 in funding from the City of Houston from its various grant programs must provide Houston Arts Alliance with proof of the following types of insurance (see below).

1. Worker's Compensation (statutory amounts);
2. Employer's Liability (\$500,000, \$500,000, \$500,000);
3. Commercial General Liability including Contractual Liability to cover Houston Arts Alliance and the City of Houston for the Indemnification (\$500,000/\$1,000,000);
4. Automobile Liability, where appropriate (\$500,000/\$1,000,000); and
5. Copyright Protection (\$500,000/\$1,000,000)—where appropriate.

All insurance must be on an occurrence basis. All grantees must include Houston Arts Alliance and the City of Houston as additional insured's and provides Houston Arts Alliance with certificates of insurance. It is the responsibility of the grantee to provide updated insurance to HAA throughout the grant term should it lapse. Grantees receiving less than \$30,000 are required to maintain the necessary insurance to conduct their business but do not have to provide proof of insurance to Houston Arts Alliance.

CREDIT SUPPORT OF THE CITY OF HOUSTON AND HOUSTON ARTS ALLIANCE

Grantees are required to acknowledge the support of the City of Houston and Houston Arts Alliance through the use of logos and credit lines on all marketing and promotional materials. Houston Arts Alliance and City of Houston logos can be found on the Houston Arts Alliance website (www.houstonartsalliance.com/news/haa-logo-usage-guidelines/), the credit line is: *"[Organization Name] is a Participant of the Capacity Building Initiative by grants from the City of Houston through Houston Arts Alliance."*

GRANT PAYMENT

Grant payments are made in quarterly installments, following the distribution of Hotel Occupancy Tax funds to Houston Arts Alliance from the City of Houston. The initial payment will be made after execution of the grant agreement. As a requirement of the grant agreement there are two quarterly reports, called 2nd and 3rd quarter reports, to be submitted by the grantee. A payment will be provided after each quarterly report has been submitted and approved. The final payment is dispersed after submission and approval of the final report. (Please see the reporting requirements section below.) Grantees with outstanding reports from previous years are not eligible to receive any payments until the previous grants are closed out. Grantees are ineligible for any future grants if they are in default of a previous grant.

REPORTING REQUIREMENTS

- **CBI** Participants receiving funding from Houston Arts Alliance are required to submit, via email, a Quarterly Report, from which the scope of services will be created for the agreement. Each Quarterly Report must be received prior to the issuance of the second and third payments. Additionally, grantees are asked to immediately notify Houston Arts Alliance of changes to the activities proposed in the application. If changes have been made after receipt of an award and occurs prior to submission of the 2nd quarterly report, please request to update the changes immediately with the P&S staff. Information on logging into the grants management portal and reporting will be provided along with your initial grants agreement and requirements package.
- **FINAL REPORT** is required after the completion of the scope of services and activities specified within the grant agreement. The final report includes information and documentation on completed activities, outcomes achieved, as well as income and expenses for the grant. Documentation for how grant funds were used **must** include copies of every invoice/receipt **and** check written for grant expenses paid for with Houston Arts Alliance funds. Every check copy and receipt/ invoice copy provided Houston Arts Alliance should be dated during the grant term (between October 1, 2015, and September 30, 2016).

ADDITIONAL INFORMATION

Helpful Hints

- Read the guidelines, criteria and grant application instructions before beginning the application process.
- Plan your narrative following the questions and funding criteria. Plan your answers carefully to avoid repetition.
- Write to the funding criteria. Keep the funding criteria in front of you when preparing your proposal. Remember all applications are reviewed and scored based on how well the applicant meets the funding criteria.
- Don't assume. The panelists who review your proposal may have no knowledge of your organization or its programming. Make sure you describe existing and proposed programs in detail. The application should stand on its own merits. You will be notified of panel review date and required to send a qualified representative(s) who can discuss the budget and program proposed.
- Avoid generalizations. Rather than stating, "We have operated a successful series of concerts for the last four years," use numbers to prove your case. For example, "We have produced six plays with 10-performance runs for the last four years to audiences ranging from 75 to 100 for each performance."
- Proofread. Before submitting your application, have at least one person in addition to yourself proofread your application. If the reader has questions, it is likely the panel will as well. You are advised to create your narrative in Microsoft Word, or comparable software program, utilizing the spell-check, grammar check, and word count features, and then to cut and paste it into the online application. Applications that contain frequent typographical errors, poor grammar or misspelled words do not give a positive impression of the organization and rarely score well. If your narrative doesn't fit into the allowed word limit, it is your responsibility to edit it to fit.
- Balance your budget for the projected grant period (projected income and expenses must balance). Previous years may show deficits or surpluses, since these are actual numbers and not projections.
- Review the Learning Sessions posted on HAA website (www.houstonartsalliance.com). Read the best practices and lessons learned from previous Participant's use of funds through the Capacity Building Initiative.

Application Assistance

Applicants are encouraged to become familiar with the program requirements and criteria before beginning the application process. To speak to or make an appointment with Amy Gibbs, Capacity Building Initiatives Manager, please call 713.581.6122 or email amy@haatx.com