



COMMUNITY ARTS DEVELOPMENT PROGRAM  
**COMMUNITY ARTS LEADERSHIP**  
FY2015

## PROPOSAL GUIDELINES

### Overview

*Community Arts Leadership* (CAL) is a year-long capacity-building program, managed by DCA's Community Arts Development Program (CADP), whose purpose is to fortify small community-based arts organizations by ensuring that their leadership has the skills and capacities to successfully run a New York City non-profit cultural organization. Specifically, CAL takes the position that managing and working in a constantly changing environment is the norm, and that knowledgeable broad-based leadership is critical for ensuring alignment between vital programming for the community and effective operations to sustain it. Furthermore the program recognizes that investment in leadership and planning capacities can have positive long-term results. And that once core capacities are in place, groups are better equipped to address programmatic, operational, and financial issues as well as function as a stable and vital presence in their communities.

*Community Arts Leadership's* practical approach provides participants with opportunities to gain knowledge through interactive workshops, one-on-one technical assistance, and presentations from the field. The program's twelve-month curriculum focuses on three core capacity areas: governance, strategic planning, and financial management. Additional presentations and panels will address some of the critical challenges and prospects facing today's nonprofit cultural leaders.

As a result of their participation, groups will be expected to achieve measurable results such as a viable strategic plan, tools for developing a well-functioning and strategically recruited board, and a budgeting framework that supports fiscal responsibility and mission adherence. Upon successful completion of program deliverables, participants will receive additional coaching to address implementation challenges associated with their individual capacity-building efforts.

### Eligibility – Legal and Programmatic Requirements

The Community Arts Development Program re-grants funds the City receives through the U.S. Department of Housing and Urban Development's Community Development Block Grant (CDBG) Program. In order to meet the primary objectives of the CDBG and CADP programs each applicant must comply with specific federal regulations and meet any local requirements as well. Thus, each *Community Arts Leadership* applicant must meet the following minimum qualifications:

- Have an operating budget of \$500,000 or less in both FY13 and FY14;
- Serve either a community where at least 51% of the residents are low- or moderate-income persons (L/M), or provides programs where at least 51% of the program beneficiaries are L/M persons (see pages 8-9 for a list of eligible neighborhoods and eligible beneficiaries);
- Have received DCA Cultural Development Fund support in FY14;
- Have at least one full-time staff member;
- Be incorporated in New York State and compliant with annual State and Federal filing requirements for nonprofit organizations;
- Be certified tax exempt under Internal Revenue Service Code Section 501(c)(3); and
- Commit to participating in all program activities.

## Program Design

All applicants must demonstrate a readiness and commitment to engage in the following elements of the *Community Arts Leadership* program:

**A. Nonprofit Organizational Capacity Assessment:** As part of the application process, groups will first complete an in-depth organizational assessment, to be submitted with the application. Formed from diverse stakeholder perspectives, the tool provides a valuable and realistic analysis of the organization's existing capabilities as well as identifies critical areas in need of improvement.

**B. Community Arts Leadership**

The yearlong program features multi-session interactive workshops, presentations from the field, and best practices (**see CAL Program Calendar**). The three required courses outlined below focus on *governance*, *strategic planning*, and *financial management*. Additionally, DCA will invite field experts and experienced peers to discuss various issues critical to nonprofit leadership.

### Core Courses

1. **Governance (Instructor: [Cause Effective](#))**

The series introduces participants to the fundamental tenets of good governance, including board roles and responsibilities, board composition and recruitment, board member engagement, and board performance in fundraising. The workshops will introduce the topics, teach best practices including real-world examples of peer nonprofits, and provide the templates and tools needed to implement those practices. Every session focuses on helping each organization personalize and apply the material to its unique situation. Participants will also get the chance to work 1-1 with the facilitators, and participate in additional small-group "homework help" sessions. By the end of the series, participants will be able to:

- Identify key strategies for motivating, managing and monitoring their board's performance;
- Help individual board members understand their own responsibilities and expectations, including structures for ensuring board member accountability;
- Develop a board recruitment profile that will attract high-quality candidates;
- Plan board meetings that are engaging, participatory, well-attended and productive;
- Nurture board and committee leadership that is dynamic, strategic and collaborative; and
- Become more confident fundraisers on behalf of their organizations

2. **Strategic Planning (Instructor: [Community Resource Exchange](#))**

In this component of the CAL program, participants will learn how to create and implement a successful strategic plan and planning process. They will achieve the following results:

- Mission and Vision are relevant, clear and up-to-date; and there is a set of commonly understood and relevant organizational goals among Management Team, Board, and staff.
- The organization is ready to use data about their issue, community, population and the funding/policy context in which they operate to make decisions about their future direction.
- The organization's leadership is far-sighted and future-oriented, and has translated its vision into practical plans and practices to guide near term and ongoing operations. The organization is positioned to regularly monitor its progress in implementing plans.
- The organization has processes and systems in place that will enable it to periodically review and evaluate progress toward organizational and program goals and to measure the quality of its programs and services.

- The organization has ready mechanisms at the management and Board levels that support planning around critical issues and unexpected events including contingency planning.

3. **Financial Management (Instructor: [Management Solutions for Nonprofit Organizations](#))**

The series introduces participants to core concepts and practices related to budgeting, accounting, reporting, compliance and internal controls. Each session includes a presentation of the concepts, illustrated with arts-specific examples. In-class and homework assignments give participants the opportunity to practice the ideas presented. Instructor will help groups tailor the material to their specific organizational needs. By the end of the series participants will have the tools and concepts needed to:

- Develop realistic program and organizational budgets that incorporate indirect costs and in kind contributions;
- Generate useful budget to actual reports and the ability to make adjustments to the budget as the fiscal year unfolds;
- Create cash flow budgets and strategies for addressing cash flow shortfalls throughout the year;
- Comply with reporting requirements related to IRS, the New York State Office of the Attorney General and Department of Labor;
- Structure a chart of accounts to produce useful financial statements, including reports to the Cultural Data Project; and
- Institute core internal practices that ensure financial integrity.

**Attendance and Assignments**

At least two representatives must attend each session. One representative must be a staff member (Executive Director and/or other senior staff). The second representative may be either a Board member or a senior staff member. At a minimum, a board member who is not the Executive Director must attend at least 50% of the sessions, including all governance sessions. Participants must complete all course homework in a timely fashion.

- C. Coaching assistance:** Upon successful attendance and completion of all required program deliverables, each group will receive approximately 15 hours of individual coaching from course instructors. The additional support is designed to provide participants with follow-up assistance in addressing program implementation.
- D. DCA assistance:** DCA staff will help advance the overall program by providing both ongoing technical assistance as well as a supportive environment for learning and improvement.

## Grant Awards

Grantees will not receive funding directly, but will participate in all program activities free of charge.

All awards are contingent upon receipt of sufficient funds from the U.S. Department of Housing and Urban Development's Community Development Block Grant Program.

## Application Process

April 10, 2014* April 14, 2014* April 17, 2014* April 21, 2014*	1. Application Seminars	All interested applicants must attend one Application Seminar
April 24, 2014*	2. Pre-Application DEADLINE	Limited to Application Seminar attendees
May 21, 2014*	3. Proposal DEADLINE	Limited to Eligible applicants only

\* See **Timeline** for times and locations.

### 1. Application Seminar

Organizations that are interested in applying for the *Community Arts Leadership* program are required to attend one of four Application Seminars. Issues to be covered in detail include: program goals, expectations, and deliverables; understanding and meeting eligibility requirements; and reporting requirements. Additionally, DCA staff will answer questions about the application process.

### 2. Pre-Application Submission – Eligibility Determination

Organizations that have attended one of the application seminars and want to apply for the *Community Arts Leadership* program are required to submit a Pre-Application. Staff from both DCA and the City's Office of Management and Budget (OMB) will review and act upon each Pre-Application on a rolling basis. Applicants will receive their eligibility determination within two weeks of submission. Only applicants meeting program eligibility requirements will be invited to submit full proposals. Organizations that do not qualify will not be considered further. **We strongly encourage you to submit your Pre-Application immediately following your attendance at an Application Seminar since a favorable notification enables you to proceed with your full proposal.**

### Understanding CDBG Eligibility Requirements

CADP's *Community Arts Leadership* is a re-grant program of the U.S. Department of Housing and Urban Development's Community Development Block Grant (CDBG) Program. The purpose of the Pre-Application guidelines is to define the criteria which must be met in order for an activity to have satisfied the eligibility requirements of the CDBG program. Please read the following carefully.

The CDBG Program rules state that in order for an organization to be eligible for technical assistance support, its activities must **benefit low- and moderate-income persons (L/M)**. An organization may qualify under one of two subcategories, Area Benefit or Limited Clientele.

- **Area Benefit:** In this case, the organization's regular activities are available to persons residing in an area where at least 51% of the residents are L/M income persons. In order to make the determination, the organization begins by defining its service area in a manner that is broad enough to encompass the area where the majority of the individuals served reside. If the applicant draws a predominance of its constituency from beyond the local community, as reasonably defined, the organization would not qualify as meeting an Area Benefit. The largest acceptable service area is a NYC borough. *(See Page 8 for eligible Area Benefit neighborhoods)*
- **Limited Clientele:** In this case, the organization's regular activities benefit a specific group of persons rather than everyone in an area. However, at least 51% of the program beneficiaries must be L/M income persons. The organization may define its service population either
  - as a particularly defined target group without regard to the area in which they reside (e.g., senior citizens who live anywhere in NYC); or
  - as limited to only a specific subgroup of persons who reside in a defined area (e.g., students who attend a Title 1 school in a particular neighborhood).*(See Page 9 for sample Limited Clientele populations.)*

## Determining CDBG Eligibility

**Step 1. Submit CAL Pre-Application.** The organization must establish that it meets all eligibility requirements. Submission should include either a self-defined service area or self-defined target population. Please keep in mind that this information should be in sync with the organization's mission and principle program activities.

**Step 2. Receipt of Eligibility Determination.** In compliance with CDBG requirements, staff from both DCA and the OMB will analyze the applicant's self-defined service area or target population and determine whether it qualifies for support. Applicants will receive a copy of the complete analysis with their eligibility determination letter.

## 3. Proposal Submission

DCA will notify organizations that have demonstrated their eligibility in the Pre-Application process, and request the submission of proposals.

### Review and Evaluation Procedures

DCA will convene a panel in early June. The panel will review each proposal and score it based on the Evaluation Criteria below. The total possible number of points is 100. The panel members' individual ratings will be averaged to determine a score for the proposal. Proposals must receive a minimum average score of 70 to be considered for funding. Following panel review, applicants will be notified in writing of the outcome.

### Evaluation Criteria

The application asks a series of questions specifically designed to provide panelists with information that is pertinent to the established evaluation criteria. Thus, the overall proposal should effectively address the following:

<b>Understanding of capacity building need and its impact on the organization</b>	<b>25%</b>
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- Organization has demonstrated the need and rationale for the proposed assistance and adequately described how its involvement in the program will enhance the organization's health, stability, and vitality.

<b>Practical ability to participate and benefit</b>	<b>50%</b>
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- Board and staff members are open to in-depth organizational assessment.
- Key Board and staff understand time commitment and have sufficient time available to devote to all workshops and all homework assignments.
- Board and staff leaders have designated a project team to engage in the capacity building efforts; the Executive Director and/or senior staff can attend 100% of the sessions and a Board member can attend at least 50% of the sessions.
- Board and staff leaders have a shared commitment to addressing governance and management deficiencies.

<b>Public service commitment and community connectedness</b>	<b>25%</b>
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- Organization demonstrates significant value to community; provides unique and important services.
- Organization provides opportunities for free or reduced admission, especially for persons of low- and moderate-income.
- Organization is engaged in its community and receives support through dedicated attendance, contributions, volunteers, collaborations, etc.

## Appeal Process

Any organization considered for CADP support is free to contact CADP staff for an explanation of how selections were made or to find out why a proposal was declined. If, thereafter, an organization believes it has been rejected unfairly, the organization is entitled to submit a written appeal no later than 21 days from the date of DCA's written notification. The organization's appeal must set forth reasons why the organization believes reconsideration is appropriate. Specific deadlines established for the appeals process will be adhered to, and failure to respond in accordance with those deadlines will invalidate the appeal. The grounds for reconsideration are either:

- Non presentation of information: Information available in the proposal prior to the panel review was not presented and might have altered the outcome of the decision; or
- Misrepresentation of information: Information known prior to the panel review was not appropriately interpreted and, if presented differently, might have altered the outcome of the decision.

Once an appeal is received, it will be reviewed by the Commissioner and sent to the Director of CADP for comments and recommended action. The Commissioner will consider these recommendations and render a final decision within 30 business days. The Commissioner's written determination is final and will be sent to the appellant.

Appeals are limited to CDBG eligible applicants, applications, and activities.

## Grant Administration and Legal Requirements

When an organization is allocated funds, DCA prepares a Grantee Agreement with the organization. A person with signatory authority then signs the Grant Agreement. All groups receiving DCA support must comply with all pertinent City, State and Federal legal requirements. We will notify organizations separately of particular applicable regulations. Every applicant should be aware of the following:

*CDBG reporting requirements: Every funded organization must provide the status of their program work each January for insertion into the City's CDBG Annual Performance Report. In addition, groups must provide a follow-up report six-months after completion of the capacity-building program.*

Acknowledgement of local and federal support: Proper public acknowledgement of DCA and HUD funds is essential in informing the community that public funds are used to support local cultural institutions. Therefore, it is required as part of the Grantee Agreement that grantees credit DCA and HUD in all printed matter and electronic media that describe the funded project (including press releases), as well as advertisements that acknowledge other funding sources. Suggested language: "Participation in Community Arts Leadership" is made possible in part by public funds provided through the New York City Department of Cultural Affairs and the U.S. Department of Housing and Urban Development."

Where possible, the DCA logo is also required to appear on these materials. Groups will be informed about how to obtain the agency's logo upon notification of award. In addition to the logo and credit line stipulated, any printed list of contributors to a project funded by DCA, either alphabetical or by contributory category, is required to include the New York City Department of Cultural Affairs and the U.S. Department of Housing and Urban Development.

Challenge to Presumption of Eligibility – Federal regulations provide that "in any case where there is substantial evidence that an activity might not principally benefit L/M income persons, even though the activity conforms to a literal reading of the L/M Income Benefit criteria, the presumption that the

activity meets the national objective may be rebutted.” That is, reasonable fees may be charged for activities assisted with CDBG funds, but charges that have the effect of precluding L/M income persons from participating in activities (such as excessive tuition or admission fees) are not permitted.

## Questions

For all inquires about the *Community Arts Leadership* application process contact DCA staff at:

CADPinfo@culture.nyc.gov

Perian Carson - Director, Community Arts Development (212) 513-9361

Pamela Epstein - Assistant Director, Community Arts Development (212) 513-9326

## **FY2015 - CAL eligible neighborhoods (Area Basis)**

The New York City neighborhoods listed below have primarily low- and moderate-income populations. To see detailed borough maps of CDBG eligible census tracts go to <http://www.nyc.gov/html/dcp/html/resource/comdevmaps.shtml> For more inquiries regarding your organization's ability to meet *Community Arts Leadership* eligibility requirements, contact DCA at [CADPinfo@culture.nyc.gov](mailto:CADPinfo@culture.nyc.gov) or (212) 513-9361 or (212) 513-9326.

### **BRONX**

Bedford Park  
Belmont  
Claremont Village  
Concourse  
Concourse Village  
East Tremont  
Edenwald  
Fordham  
High Bridge  
Hunts Point  
Kingsbridge  
Longwood  
Marble Hill  
Melrose  
Morris Heights  
Morris Park  
Morrisania  
Mott Haven  
Mount Eden  
Mount Hope  
Norwood  
Olinville  
Parkchester  
Pelham Bay  
Pelham Parkway  
Port Morris  
Unionport  
University Heights  
Van Nest  
Wakefield  
West Farms  
Westchester Square  
Williamsbridge

### **BROOKLYN**

Bedford Stuyvesant  
Bensonhurst  
Borough Park  
Brighton Beach  
Brownsville  
Bushwick  
Canarsie  
Coney Island  
Crown Heights  
Flatbush  
Gravesend  
Greenpoint  
Kensington  
Prospect Lefferts Gardens  
Red Hook  
Sunset Park  
Williamsburg  
Wingate

### **MANHATTAN**

Chinatown  
East Harlem  
Harlem  
Lower East Side  
Washington Heights

### **QUEENS**

Astoria  
Corona  
Elmhurst  
Flushing  
Jackson Heights  
Jamaica  
Long Island City  
Newtown  
Ravenswood  
Richmond Hill  
Ridgewood  
Rockaways  
Steinway  
Woodhaven  
Woodside

### **STATEN ISLAND**

Clifton  
Fort Wadsworth  
New Brighton  
Port Richmond  
St George  
Stapleton  
Thompkinsville



### **FY2015 – CAL eligible populations (Limited Clientele)**

To qualify under the L/M Limited Clientele subcategory, your organization's program activity must meet one of the following tests:

- ❖ Exclusively benefits one of the following groups who are presumed by HUD's CDBG program to be L/M income persons:
  - abused children
  - elderly persons
  - battered spouses
  - homeless persons
  - adults meeting Bureau of Census definition of severely disabled persons
  - illiterate adults
  - persons living with AIDS, and
  - migrant farm workers

OR

- ❖ Require information of family size and income so that it is evident that at least 51% of the clientele are persons whose family income does not exceed the L/M income limits (e.g., Arts organization that hangs permanent exhibits in social service organizations serving populations pre-qualifying as predominantly L/M persons).

OR

- ❖ Be of such nature and in such location that it may reasonably be concluded that the activity's clientele will primarily be L/M income persons. (e.g., Cultural group provides dance classes in a community center that is designed to serve residents of a public housing complex.)

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