

# Small Capital Improvements Grant

## General Instructions

All applicants must first submit a Pre-Application. Only those organizations who qualify under the program eligibility requirements will be invited to submit a full Proposal. Application forms and instructions can be downloaded and completed from DCA's website at [www.nyc.gov/culture](http://www.nyc.gov/culture).

When completing your Pre-Application and full Proposal keep in mind the following:

- All submitted materials must be typed; use 10pt font or larger. No handwritten forms or attachments.
- Provide your organization's legal name in the upper right hand corner of each page, including all attachments and supplemental materials.
- If additional space is necessary to answer a question, clearly identify answer by corresponding section number and question.
- Do not leave any request for information unanswered. If you think a question does not apply, explain why.

## Pre-Application Instructions

**Deadline August 24, 2006**

### Line-by-Line Instructions

The detailed instructions below are keyed to the numbered sections of the Pre-Application Form.

#### I. Applicant Organization

- a. The name provided must be identical to that in the IRS determination letter for tax-exempt status.
- b. If your organization regularly operates under a name other than the legal name listed in Section (a), please indicate that name.
- c. Provide your organization's website address, if applicable.
- d. Provide your organization's mailing address.
- e-h. Provide the address of the proposed project. Indicate the council district and community board in which the site is located.
- i-l. Indicate name, title, telephone number (including extension) and e-mail address of the Chief Administrative Officer. This person must also sign both the Pre-Application and Proposal Form.
- m-p. Indicate name, title, telephone number (including extension) and e-mail address of the person who will be responsible for answering questions about the submitted application.
- q. Indicate the month and year that your organization was incorporated
- r. Indicate the day and month your organization's fiscal year begins. This date should correspond to all fiscal information reported in the proposal and to audited statements being submitted.
- s. Enter your 9-digit federal Employer Identification Number.
- t. Provide a fax number where the Chief Administrative Officer can be reached.
- u-z. Complete as requested.

#### II. CADP/CDBG Eligibility Analysis

Complete as requested. (See Guidelines, pages 6-7)

#### III. Certification and Release

This is the signature page certifying that all information within the application and accompanying materials is true and correct, and that the organization will comply with the provisions of the Grant Award Agreement should the application be funded. The signers must be those with official authority within the organization. The Chief Administrative Officer and the Board Chairperson are required to sign the Pre-Application.

## Proposal Instructions

Deadline September 12, 2006

### Line-by-Line Instructions

The detailed instructions below are keyed to the numbered sections of the Proposal Form.

#### I. Applicant General Information

- a. The name provided must be identical to that in the IRS determination letter for tax-exempt status.
- b. If your organization regularly operates under a name other than the legal name listed in Section (a), please indicate that name.
- c. Provide your organization's website address, if applicable.
- d. Provide your organization's mailing address.
- e-h. Provide the address of the proposed project. Indicate the council district and community board in which the site is located.
- i-l. Indicate name, title, telephone number (including extension) and e-mail address of the Chief Administrative Officer. This person must also sign both the Pre-Application and Proposal Form.
- m-p. Indicate name, title, telephone number (including extension) and e-mail address of the person who will be responsible for answering questions about the submitted application.
- q. Indicate the month and year that your organization was incorporated
- r. Indicate the day and month your organization's fiscal year begins. This date should correspond to all fiscal information reported in the proposal and to audited statements being submitted.
- s. Enter your 9-digit federal Employer Identification Number.
- t. Provide a fax number where the Chief Administrative Officer can be reached.
- u-v. Complete as requested.

#### II. Project Analysis

Project analysis is based in part on the level of detail for your project and its beneficiaries, as well as critical evaluation of your organization's realistic and well-informed assessment of cost, time and personnel needs.

Since, grant recipients are expected to complete funded projects within a 12-month grant period, applicants should be well along in project's process at the time of application. Your comprehensive Project Timeline should include such items as fundraising, design, and construction. Be aware that all funded projects require approval by the City's Landmarks Preservation Commission, which minimally is a 4-8 week process.

#### Project Budget Definitions

##### Expenses

General Requirements (Division 1): Cost may include the following contractor services: field engineering, shop drawings, allowances, construction photographs quality control and contract.

Site Construction (Division 2): May include building demolition, site clearing, sewerage and drainage, underground ducts and utility structures, termite control, irrigation systems, earthwork, and landscaping.

Hazardous Materials Removal: May include asbestos, lead, gasoline, oil or any other hazardous materials removal. Note: CADP does not pay for hazardous material removal.

Concrete (Division 3): May include cast-in-place concrete, architectural cast-in-place concrete formwork, structural pre-cast concrete, and special concrete toppings and finishes.

Masonry (Division 4): May include unit Masonry; stone masonry veneer, restoration, and cleaning; and glass masonry assemblies.

Metals (Division 5): May include structural steel, metal fabrication, metal stairs, pipe and tube railings, gratings, and ornamental metalwork.

Wood and Plastic (Division 6): May include rough carpentry, finish carpentry, interior and exterior architectural woodwork, panel work, and plastic fabrications.

Thermal and Moisture Protection (Division 7): May include waterproofing, fireproofing, shingles, and roofing, siding, and sealants.

Doors and Windows (Division 8): May include steel, wood, glass, and aluminum doors; frames; automatic or revolving doors; steel, wood, glass and aluminum windows; decorative or mirrored glass, and door and window hardware.

Finishes (Division 9): May include plaster, sheathing, ceramic tile, wood or brick flooring, carpet, painting, and wall coverings. Acoustical treatments such as pane or tile ceilings will apply only to theatres, performing art centers, auditoriums, or science centers.

Specialties (Division 10): May include louvers and vents, signs, lockers, metal storage shelving, partitions, and mobile storage units.

Equipment (Division 11): May include such items as theatre and stage equipment (i.e., fly systems, lighting systems, etc.). Note: CADP grant money may not be used for office equipment.

Special Construction (Division 13): May include X-ray protection and metal building systems.

Conveying Systems (Division 14): May include elevators, moving walkways, wheelchair lifts, and vertical conveyors.

Mechanical (Division 15): May include pumps, motors, sprinkler systems, plumbing fixtures, water heaters, HVAC pumps and controls, boilers, furnaces, liquid coolers and evaporators, humidifiers, fans, metal ductwork, and air filters.

### III. **Organization General Information**

Complete as requested.

### IV. **Community Access and Participation**

Complete as requested.

### V. **Operating Budget**

Provide your organization's board approved operating budget for the most recently completed year, the current year, as well as the period for which support is requested. Before you begin: If you already prepared operating budgets that include all of the relevant revenue and expense categories detailed in the given budget form, you may submit them in their original form. However, please provide budget notes as required.

Earned income:

- Admissions/Box Office – Income derived only from admission to events, exhibitions and performances.
- Tuition/Class/Workshop Fees – Income derived from fees charged for classes, registration, workshops and seminars.
- Concessions – Income derived from concession sales at program events.
- Fundraising Events – Income derived from special events. Amount should be the *gross* income received before expenses.
- Rental Fees – Income derived from leasing space or equipment to another entity.
- Other – All other sources of earned income not included in other categories. Include any membership income under individual contributions.

Unearned/Non-Government:

- Corporate Support – Cash support derived from contributions given by businesses, corporations, and corporate foundations. Also include employee matching gift programs.
- Foundation Support – Cash support derived from private foundations.
- Individual Support – Support from private individuals, member support from “friends” organizations. Do not include corporation, foundation or government contributions and grants.

- Other Unearned Income – Include and specify any other contributions and grants not included above.

Unearned/Government:

- NEA – National Endowment for the Arts
- NYSCA – New York State Council on the Arts
- Other Federal and State – Include and specify any other grants derived from federal and state sources (e.g., National Endowment for the Humanities, Institute of Museum Services, Community Development Block Grants, Urban Development Action Grants, Department of Education, NYS Natural Heritage Trust, or NYS Department of Education).
- DCA – New York City Department of Cultural Affairs. Identify and itemize funds derived from other DCA sources (e.g., Cultural Challenge Initiative, Public Service Award)
- Other City – Include and specify funds anticipated from any other division of New York City Government (e.g., Departments of Education, Aging, or Youth and Community Development, direct funding from Borough Presidents, Councilmembers).
- Local Arts Councils - Specify the arts council (e.g., Brooklyn Arts Council, Chinese-American Arts Council), and include here any DCA regrant funds as well as NYSCA decentralization funds received.

Expenses:

- Personnel – This item should include those staff members who are on salary and for whom you make withholding deductions. Figures should include gross salaries and fringe benefits such as health insurance. Social security, pension fund payments and payments to retirees should be included within each category of personnel.
  - Administrative: Executive and supervisory administrative staff, program directors, business managers, press agents, development staff, clerical staff, ushers and other front-of-the-house and box office staff, librarians, maintenance and security staff, etc.
  - Artistic: Artistic directors, conductors, musicians, curators, composers, poets, dance masters, choreographers, designers, video artists, filmmakers, painters, authors, sculptors, graphic artists, actors, dancers, singers, teachers, instructors, etc.
  - Technical/Production: Technical management and staff, such as technical directors, wardrobe, lighting and sound crew, stage managers, stagehands, video and film technicians, exhibition installation staff, conservators, etc.
- Equipment Rental/Supplies – Rental charges for equipment on a per-use basis (e.g., lighting, sound). Equipments and supplies purchased costing less than \$500 with an estimated useful life of less than two years. Such items are considered consumables required for daily operations (e.g., paper, photocopying, soap, toe shoes, pencils, paint brushes).
- Outside Professional Services – Payments to firms or persons on a fee-for-service basis including consultant fees, honoraria, stipends for nonstaff, public relations, fundraising, outside security, instructors, choreographers, curators, conductors, designers, video artists, etc.
- Space Rentals/Utilities – Payments for rental of office, rehearsal, theater hall, gallery, and other such spaces, and utilities such as electricity, water, gas, etc.
- Insurance – Payments for indemnity coverage against loss by specified contingency or peril.
- Travel/Transportation – Costs associated with trucking, shipping, and hauling of equipment, costumes and sets. Also travel costs for an individual including fares, hotel, and other lodging expenses, food, taxis, gratuities, per diem payments, toll charges, mileage allowances on personal vehicles, gas, car rental.
- Advertising/Promotion/Marketing – All costs for advertising, marketing, publicity and/or promotion. Do not include payment to individuals or firms that belong under “Personnel” or “Outside Professional Services.” Include costs of newspaper, radio and television advertising, printing and mailing of brochures, flyers and posters, and space rental when directly connected to promotion, publicity or advertising.
- Other Expenses – All expenses not entered in other categories. Include fundraising expenses, scripts and scores, lumber and nails, storage, postage, telephone, interest

charges, photographic supplies, publication purchases, sets and props, insurance fees, nonstructural renovations or improvements, etc.

Surplus/ (Deficit):

Indicate as appropriate.

In-Kind Support:

Should reflect the fair market value of volunteered services or essential items. Include donations from DCA's Materials for the Arts Program. The value of any item noted as in-kind support must also be included in the appropriate portion of the operating budget. Total income plus total in-kind support should equal total expenses. Itemize in-kind support on your Budget Notes.

**VI. Capital Budget**

Provide your organization's board approved capital budget.

**VII. Supplemental Information and Requirements**

Submit as requested.

**VIII. Certification of Information and Compliance**

This is the signature page certifying that all information within the application and accompanying materials is true and correct, and that the organization will comply with the provisions of the Grant Award Agreement should the application be funded. The signers must be those with official authority within the organization. Both the Chief Administrative Officer and the Board Chairperson are required to sign the proposal. In instances when the same person holds both of these positions, please have the Board Treasurer sign in place of the Board Chairperson.