



CITY OF DUBUQUE &  
NATIONAL ENDOWMENT FOR THE ARTS  
AMERICAN RESCUE PLAN ACT  
ARTS OPERATING RECOVERY  
SUBGRANT PROGRAM



## NOTICE OF FUNDING OPPORTUNITY & REQUIREMENTS

### OVERVIEW

The City of Dubuque is pleased to announce the Arts Operating Recovery subgrant program, a one-time limited funding opportunity made possible through the National Endowment for the Arts (NEA) via American Rescue Plan Act (ARPA) resources. The City of Dubuque is serving as a Local Arts Agency (LAA) to subgrant \$435,000 in federally awarded funds. Funds will be distributed to support day-to-day operating costs of arts, arts education, arts activities and/or artistic experiences facilitated by eligible nonprofit organizations operating within Dubuque city limits.

### FUNDING FOCUS & PRIORITIES

The Arts Operating Recovery subgrant program aims to assist Dubuque’s non-profit arts activities in response to economic and community impacts of the COVID-19 pandemic. Funds can only be used to support day-to-day arts operations that increase the community’s access to a wide range of diverse arts experiences which broadly foster economic activity, promote citizen engagement, and cultivate an equitable community of choice.

***As this program differs from the City of Dubuque’s annual Arts & Culture Operating Support program, there are additional requirements to receive this federal funding. Carefully review the eligibility, allowable costs, reporting requirements, and [TERMS & CONDITIONS](#) before completing the application.***

### TIMELINE

Application Open: ( <a href="#">Application is available on SlideRoom</a> )	Friday, November 11, 2022
Informational Webinar: <a href="#">GoToWebinar</a>   Registration is free.	Friday, November 18, 2022 @ 2:00 PM
Office Hours:	See <a href="#">schedule</a> of virtual office hours.
Application Deadline:	Friday, December 16, 2022 by 11:59 PM
Award Notification:	February 2023
Disbursement of Funds ( <i>anticipated</i> ):	March 2023
Funding Cycle / Period of Performance:	January 1, 2023 – December 31, 2023

## APPLICATION SUBMISSION

General information regarding the Arts Operating Recovery subgrant is available at the [City of Dubuque's website](#). The application is available via [Slideroom](#), an online application portal; there are no fees to apply or setup a Slideroom applicant account. Applications must be [submitted online](#) no later than **11:59 PM on Friday, December 16, 2022**. The applicant is solely responsible for the content and timely submission of the application.

Include only the materials requested in the online application. Late, incomplete or ineligible applications **WILL NOT** be accepted. Likewise, changes or the addition of materials to an application after the submission deadline **WILL NOT** be accepted, unless requested by Staff.

## ELIGIBILITY CRITERIA

Dubuque-based nonprofit organizations that provide the general public with programs or activities in areas directly concerned with the arts (music, theater, dance, visual arts...), arts education, art activities, or arts experiences are eligible to apply if the organization meets the following criteria:

- Headquartered and/or operating within the city limits of Dubuque since March 17, 2020, or earlier.
- Is recognized as a tax-exempt 501(c)3 with ongoing public facing arts programs/departments/sections/offices or arts-related activities that is either:
  - A non-profit organization with dedicated arts programs as all or part of their mission
  - Standalone non-academic units/venues within institutions of higher education
- Has a Unique Entity Identifier (UEI): Organizations **MUST** have a valid UEI to receive federal funding (previously a DUNS number). Learn more [here](#).

### Additional considerations

- Current recipients of a City of Dubuque Arts & Culture Operating Support, Special Project grant, and/or other arts and culture grant funding, and applicants that will apply for the 2024 grant cycle, are eligible to apply for this one-time NEA-funded program.
- If receiving ARPA funds from other sources, the applicant may apply **ONLY** for specific general operating support not already covered by other federal funds. *\*Expenses to be covered by this program may NOT overlap with any other ARPA or federal funds.*
- Applicants must verify that they are not excluded or disqualified from doing business with the federal government. Each applicant will be required to complete a self-certification that participants in the award are not disbarred, suspended, or have any other exclusions or disqualifications. Click [here](#) to learn more.
- Applicants must agree to abide by the NEA's Nondiscrimination, Environmental and Preservation, and Other National Policies ([Appendix C](#)).
- Applicants must meet or be willing to meet accessibility requirements by having a section 504 accessible workbook on file. ([Section 504 Self Evaluation Workbook](#))

## INELIGIBLE APPLICANTS

- Individuals
- For-profit organizations or businesses
- Nonprofit organizations whose primary mission is focused on religious, political, or athletic activities
- Public and private schools that serve grades pre-K through 12
- Academic departments or non-arts units within institutions of higher education
- Organization that uses a fiscal agent or the nonprofit, tax-exempt status of another organization
- An organization with an outstanding final report associated with previous grant awards from FY22 or prior Office of Arts & Cultural Affairs funding opportunities

## FUNDING GUIDELINES

The total funds to be subgranted through the Arts Operating Recovery subgrant program is \$435,000. No match is required. Funding requests are capped at 50% of the organization's arts operations budget, not to exceed \$25,000.

Funding levels will be impacted by the number of eligible applicants and how applications score. While applicants may request the maximum award amount, final awards may be less than requested. Applications with the lowest scores may not be recommended for funding.

## ARTS OPERATING RECOVERY FUNDS CAN ONLY COVER ALLOWABLE EXPENSES INCURRED DURING THE PERIOD OF PERFORMANCE (January 1, 2023 – December 31, 2023).

Operating expenses related to public art must comply and be approved by the City of Dubuque and the National Endowment for the Arts for its potential impact on historic properties/districts/sites and the environment to fulfill responsibilities and obligations under the National Historic Preservation Act (NHPA) and the National Environment Policy Act (NEPA), respectively. Subgrants for public art projects will be considered pending until all parties have fully approved the specific operations.

## ALLOWABLE COSTS

Funds are intended to support day-to-day general business expenses/operating costs for arts, arts education, arts activities, and/or artistic experiences. Allowable costs are limited to any or all of the following costs:

- Salary support, full or partial, for one or more staff positions.
  - \* Subgrant funds may be used to support salaries or wages for one or more jobs, including existing and new jobs, or restoring jobs that were furloughed or eliminated due to the pandemic that are dedicated to the general operations of the arts activities of the organization. Institutions of higher education are only eligible to apply to support jobs whose main function is providing or supporting public programming. Funds cannot be used to support academic positions.*
- Fees/stipends for artists and/or contractual personnel for services they provide for specific activities in support of the organization's general operations.
  - \*Services must be part of the organization's regular, day-to-day work in support of the organizational mission and cannot be for a new or special project or program.*
- Costs associated with health and safety supplies for staff and/or visitors/audiences (e.g., personal protective equipment, cleaning supplies, hand sanitizer, etc.).
  - \*These are the only supplies that can be funded through this subgrant.*
- Facilities costs such as rent and utilities (e.g., electric, phone, gas bills).
  - \*Costs related to home offices, upgrades to HVAC/ventilation systems, and other capital improvements are unallowable.*
- Marketing and promotion costs.
- Indirect costs. An approved indirect cost rate negotiated with the Federal government may be used, or if no rate exists, a de minimis indirect cost rate of up to 10% of modified total direct costs.
  - \*For example, overhead, administrative, or general operating expenses that are not readily identifiable with, or are difficult to assign to, a specific project, but nevertheless are necessary to the operation of the organization, the performance of its activities, and the execution of its projects.*

### Examples of Allowable Costs

- A museum contracts with security guards for ongoing protection of the collection (a regular function of the museum's operations).
- An organization hires/contracts with IT experts to address its website as part of ongoing marketing and promotion (an allowable cost), or to upgrade technology to improve virtual engagement.
- An arts education organization whose day-to-day work is developing and presenting educational programs contracts with a teaching artist to design or deliver a program.
- An organization hires/contracts tech support to carry out its ongoing virtual activities in response to COVID-19, including individuals to provide expertise in the areas of staging, lighting, or sound.

### **UNALLOWABLE COSTS**

- Alcoholic beverages.
- Commercial (for-profit) enterprises or activities, including concessions, food/drink, clothing, artwork, or other items for resale, including online or virtual sales/shops.
- Construction, purchase, or renovation of facilities.
- Costs supported by any other federal funding ("double dipping"), including funds received directly from a federal agency or indirectly from a pass-through organization.
- Expenses related to compensation to foreign nationals when those expenditures are not in compliance with regulations issued by the U.S. Treasury Department of Foreign Assets Control.
- General fundraising.
- General miscellaneous or contingency costs.
- Land purchase costs.
- Lobbying, including activities intended to influence the outcome of elections or influence government officials regarding pending legislation either directly or through specific lobbying appeals to the public.
- Rental costs for home office workspace owned by individuals or entities affiliated with the applicant organization.
- Social activities such as receptions, parties or galas.
- Subgrants to replace lost revenue.
- Travel costs.
- Vehicle purchases.
- Visa costs paid to the U.S. government.
- Voter registration drives and related activities.
- All other costs that are unallowable per 2 CFR 200 and other laws.

### **SUBGRANT REVIEW PROCESS**

Eligibility Review: The City of Dubuque's Arts and Culture staff will initially review each application for completeness and compliance with eligibility requirements.

Competitive Panel Review: Eligible applications are reviewed and scored by a panel composed of representatives independent of the Arts and Cultural Affairs Advisory Commission and City staff. Scoring and allocation recommendations are presented, reviewed, and voted on by the Arts and Cultural Affairs Advisory Commission before advancing to City Council for approval.

Scoring: Applications are reviewed and scored on a weighted scale. The scoring criteria and matrix is available [here](#). **IMPORTANT NOTE:** Applications will be reviewed for "Artistic Merit" and "Artistic Excellence" as a requirement of the NEA (20 USC Sec. 951 et seq.).

Review of Risk: Each applicant's risk of noncompliance with federal statutes, regulations, and the terms and conditions of the subgrant will be evaluated. This may include past performance on subgrants, meeting reporting deadlines, compliance with terms and conditions, audit findings, etc. Specific subgrant conditions to mitigate risk, if appropriate, will be imposed (2 CFR 200.332(b), (c), and (e)).

## **NOTIFICATIONS, AGREEMENT AND PAYMENT**

Letters of notification will be sent to all applicants in February 2023, accompanied by an agreement if subgranted funds are recommended. Appropriate stipulations will be established in each subgrantee's agreement, as needed. The agreement must be signed to assure compliance with the Arts Operations Recovery subgrant and returned by the deadline communicated in the award notification. Organizations subgranted funding will have their names publicized.

Subgrants will be paid in full (100%) upon execution of the subgrant agreement, receipt of an invoice, and additional documentation as needed (e.g., Vendor Setup Form, W-9). Subgrant funds must be used **ONLY** for the purpose described in the proposal and incurred during the period of performance. Any changes or modifications to the purpose must be reported to the City of Dubuque in advance.

## **MONITORING**

Activities of subgrantee will be monitored as necessary to ensure that subgrants are used for authorized purposes, in compliance with federal statutes, regulations, and the terms and conditions of the subgrant; and that subgrant performance goals are achieved (2CFR 200.332(d -h)). This includes the review of financial and performance reports.

## **REPORTING**

Each subgrantee is required to submit a final report providing a detailed description of the funded activities, participation statistics and demographics, sample marketing and program materials, and an accurately documented fund expenditure budget that aligns with the submitted budget. A sample final report will be provided with the subgrant announcement, and a notification will be sent to subgrantees when the final report form is available online.

## **RECORD RETENTION & ACCESS**

The applicant, if subgranted funds, agrees to retain all financial records, supporting documents, statistical records and all other non-Federal entity records pertinent to the Arts Operating Recovery federal subgrant for a period of three years beyond the end date of the City of Dubuque's period of performance (05/2024) as an LAA (2 CFR 200.344). Subgrantees must permit the City of Dubuque and its auditors access to records and financial statements, as necessary, to ensure compliance with federal award requirements (2 CFR 200.332 (a)(5), .334 and .337).

## **CLOSEOUT**

Applicants, if subgranted funds, must submit a final report within 30 days after the end of period of performance ends -- no later than Wednesday, January 31, 2024. If funds are not used, or funds are used for unauthorized/unallowable costs or activities, the subgrantee must return the funds to the City of Dubuque.

## **ACKNOWLEDGEMENT**

Art Operating Recovery subgrants are funded by a National Endowment for the Arts' American Rescue Plan Plan grant to Local Arts Agencies. Subgrantees must clearly acknowledge support from the National Endowment for the Arts **AND** the City of Dubuque on all materials (printed or electronic) associated with the funded activities, such as programs, press releases, social media posts, promotions, etc. Such acknowledgment should noticeably indicate that funds were provided for arts

operating support and should not be used to show support for a project or activity outside the scope of funding. Access acknowledgment resources [here](#).

## **TERMS AND CONDITIONS**

Applicants must be prepared to comply with flow-down federal regulations and policy requirements, as outlined by the NEA's Specific Terms and Conditions, [Appendix C](#). Compliance includes but is not limited to prohibiting discrimination, ensuring accessibility, and protecting environmental and historical resources.

Review the full [Terms and Conditions](#) carefully to ensure the organization can implement the subgrant in full accordance with all federal regulations and policy requirements.

## **ACCESSIBILITY, TECHNICAL ASSISTANCE AND QUESTIONS**

We are committed to making our programs and services accessible to everyone. Please contact Laura Merrick, the Communications and Grants Administration Assistant with the Office of Arts and Cultural Affairs, at 563.581.4666 or [lmerrick@cityofdubuque.org](mailto:lmerrick@cityofdubuque.org) to request accommodations, translation, interpretation, or other assistance, including technical support or questions to complete the application. Requests for accommodations made after the subgrant deadline cannot be honored.