INFORMATIONAL WEBINAR

ARTS OPERATING RECOVERY SUBGRANT PROGRAM

THE CITY OF DUBUQUE
Masterpiece on the Mississippi

NATIONAL ENDOWMENT FOR THE ARTS
WEBINAR AGENDA

- Purpose & Important Dates
- Eligibility Requirements
- Funding Guidelines
- Rating Criteria & Scoring
- Application Steps
- Review & Awards Process
- Helpful Contacts & Resources
- Questions
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.

The purpose of the Arts Operating Recovery subgrant program is to assist Dubuque’s non-profit arts activities in response to economic and community impacts of the COVID-19 pandemic.

Funds will be distributed only to support day-to-day operating costs of arts, arts education, arts activities and/or artistic experiences facilitated by eligible organizations.

An intention of this opportunity is to broaden the investment in Dubuque's arts sector by engaging with vital community organizations that the Office of Arts and Cultural Affairs historically hasn't done due to funding restrictions.
Friday, December 16

Arts Operating Recovery applications due online via Slideroom by 11:59 PM

Jan - Feb

Funding recommendations flow from A&C Commission to City Manager to City Council for approval

March

• Remit signed agreements
• Submit invoices for payment
• Funding disbursed (100%)

January 2023

Applications are reviewed by a Volunteer Panel

February

Award notifications are sent followed by the release of the award agreement

Jan 31, 2024

Final reports due online via Slideroom

Period of Performance = Jan 1, 2023 – December 31, 2023
IS MY ORGANIZATION ELIGIBLE?

- Eligibility -

- • Dubuque-based nonprofit organization (Headquartered and/or operating within the city limits of Dubuque) since at least March 17, 2020
  
  • Has a Unique Entity Identifier (UEI): Organizations MUST have a valid UEI to receive federal funding (previously a DUNS number). *If the organization doesn’t have a UEI the organization can still apply but must have UEI before funds disbursed.*

- • 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:
  
  o A non-profit organization with dedicated arts programs as all or part of their mission
  
  o Standalone non-academic units/venues within institutions of higher education
• Current awardees of a City of Dubuque’s Operations Support and/or Special Project grant, and applicants that will apply for the FY24 grant cycle, are eligible to apply.

• Applicants receiving American Rescue Plan (ARP) funds from other sources may apply ONLY for specific operating support not already covered by other federal funds. *Expenses and timeline may NOT overlap with any other ARP or federal funds provided by an agency other than the City of Dubuque.

• All applicants must verify that they are not excluded or disqualified from doing business with the federal government. *Complete a self-certification that participants in the award are not disbarred, suspended, or have any other exclusions or disqualifications.

• Agree to abide by the NEA’s Nondiscrimination, Environmental and Preservation, and Other National Policies.

• Meet or be willing to meet accessibility requirements by having a section 504 accessible workbook on file.
IS MY ORGANIZATION ELIGIBLE?

- Ineligible -

- 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 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
- Overview -

Total of $435,000 to be distributed.

Requests are capped at 50% of the organization’s arts operations budget, not to exceed $25,000.

No match required.

Funds only cover allowable expenses incurred during the period of performance (January 1, 2023 – December 31, 2023).
FUNDING GUIDELINES
- Allowable 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.
FUNDING GUIDELINES
- 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.
• 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.
The volunteer grants reviewer committee will use this matrix as a guide to score the Arts Operating Recovery applications. Applicants are encouraged to factor in the reviewer prompts, category weight, and scoring criteria to create a strong application.

<table>
<thead>
<tr>
<th>SCORING CATEGORY</th>
<th>STATEMENT OF NEED</th>
<th>ARTISTIC EXCELLENCE</th>
<th>ARTISTIC MERIT</th>
<th>ORGANIZATIONAL OVERSIGHT &amp; FISCAL COMPETENCE</th>
<th>DIVERSITY, EQUITY, INCLUSION &amp; ACCESSIBILITY (DEIA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Points (1 low – 3 high)</td>
<td>3 points (max)</td>
<td>3 points (max)</td>
<td>3 points (max)</td>
<td>3 points (max)</td>
<td>3 points (max)</td>
</tr>
<tr>
<td>Weight</td>
<td>10%</td>
<td>25%</td>
<td>25%</td>
<td>20%</td>
<td>20%</td>
</tr>
<tr>
<td>Weighted Score Range</td>
<td>10 – 30 points</td>
<td>25 – 75 points</td>
<td>25 – 75 points</td>
<td>20 – 60 points</td>
<td>20 – 60 points</td>
</tr>
</tbody>
</table>

**TOTAL POINTS = 300**
**RATING CRITERIA**

### STATEMENT OF NEED (10%)

**Question 1:** Describe the need for the Arts Operations Recovery funding related to the organization's arts activities.

**Question 2:** Discuss how the proposed use of funds will mitigate COVID-19’s impact on the organization and drive anticipated future outcomes related to the organization’s arts activities. For example, describe how the subgrant funds will be used to support jobs and/or sustain arts operations.

**REVIEWER PROMPT**

*Does the organization present a clear case for need as to how the funds will support day-to-day arts focused operating expenses? Is the proposed use of funds evident and appropriate?*

<table>
<thead>
<tr>
<th></th>
<th>3</th>
<th>2</th>
<th>1</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Statement of need is fully communicated and supported.</td>
<td>Statement of need is moderately supported.</td>
<td>The need for funds is not very well demonstrated.</td>
</tr>
<tr>
<td></td>
<td>Plans to utilize funds are very strongly presented and proposed use of funds fall within allowable expenses.</td>
<td>Plans to utilize funds are sufficiently presented.</td>
<td>Plans to utilize funds are not clearly presented. Funds are proposed for application to unallowable expenses.</td>
</tr>
</tbody>
</table>
**ARTISTIC EXCELLENCE (25%)**

**Question 3:** Describe the programs produced by the organization that serves the community through arts, arts education, and/or artistic experiences during the period of performance. Share how the programs represent high-quality, innovative, and meaningful experiences and details on the populations served.

**Questions 4:** How will the organization ensure that those delivering ongoing programs create meaningful arts experiences of the highest caliber? If available provide details about the artistic qualifications of the individuals and/or groups involved in the planning and artistic processes.

**REVIEWER PROMPT**

*Does the organization deliver high-quality, innovative, and meaningful arts focused activities/experiences? Is the delivery of such activities/experiences being led by experts in their field?*

<table>
<thead>
<tr>
<th></th>
<th>3</th>
<th>2</th>
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</thead>
<tbody>
<tr>
<td>Activities show significant creativity or innovation with considerable potential for broad, long-term impact to positively impact quality of life and equity indicators for Dubuque residents and beyond.</td>
<td>Activities demonstrate conventional arts activities and experiences with limited potential to positively impact quality of life for the local community and beyond.</td>
<td>Activities show minimal creativity and innovation or are not arts focused. The local community impact of the arts activities and experiences offered by the applicant is ambiguous or nonexistent.</td>
<td></td>
</tr>
<tr>
<td>Expertise and backgrounds of individuals and/or groups involved in the planning and delivery of activities likely to facilitate high caliber execution of activities and experiences.</td>
<td>Artistic backgrounds of individuals and/or groups involved in the planning and delivery of activities have moderate potential for supporting high caliber execution of activities and experiences.</td>
<td>The artistic backgrounds of the individuals and/or groups involved in the planning and delivery, or the processes for identifying those persons, do not support artistic excellence.</td>
<td></td>
</tr>
</tbody>
</table>
ARTISTIC MERIT (25%)

**Question 5:** How do the arts, arts activities, arts education, and/or artistic experiences offered by the organization benefit the populations previously identified? The organization might touch the lives of thousands, or it might follow and transform the lives of a few. Tell us about it.

**Question 6:** How does the community demonstrate support and investment in the organization and its work in the fields of arts, arts activities, arts education, and/or artistic experiences?

**REVIEWER PROMPT**
*Does the organization communicate and apply the value and benefits of their arts focused work for maximum community impact? Does the community demonstrate buy-in for the organization’s work?*

<table>
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<tr>
<td>The organization maximizes its potential to address specific community needs through diverse activities aligned with its mission and capacity.</td>
<td>Community needs are identified but planned work lacks in specificity in how mission and activities address those needs.</td>
<td>Community needs are not clearly identified and planned work is ambiguous or mismatched to mission and resources.</td>
</tr>
<tr>
<td>Broad and diverse community support is evident.</td>
<td>Community support is limited or selective.</td>
<td>Community support outside of the organizational structure is minimal.</td>
</tr>
</tbody>
</table>
**RATING CRITERIA**

**ORGANIZATION OVERSIGHT & FISCAL COMPETENCE (20%)**

**Question 7:** How has the organization addressed current challenges to its mission work and fiscal health as a result of the pandemic? How is the organization planning for the future (strategic planning or long-range goal efforts) operationally and financially?

Also considers the following uploads: Arts Operating Recovery Request Form and Arts Operating Budget History Form.

**REVIEWER PROMPT**

*Does the organization demonstrate effective oversight to advance the mission and the capacity to apply the funds effectively? Do the budget history, current financial position, and future planning demonstrate fiscal competence?*

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<tr>
<td>Applicant exhibits sustainable management that advances or meets the programmatic needs of the organization’s mission and scope.</td>
<td>The applicant’s management structure falls short of programmatic or operational scope and mission.</td>
<td>Organizational management appears inconsistent or ineffectual for the stated scope and mission.</td>
<td></td>
</tr>
<tr>
<td>The financial health has been coherently expressed and exhibits a strong standing with no potential concerns.</td>
<td>Financial health as communicated is stable with some areas of concern.</td>
<td>The applicant leans toward poor financial health, or the fiscal position cannot be clearly determined.</td>
<td></td>
</tr>
</tbody>
</table>
DIVERSITY, EQUITY, INCLUSION, & ACCESSIBILITY (20%)

Question 8: Describe ways in which the organization’s arts activities are diverse, equitable, inclusive, and accessible. How does the organization work with underserved communities that have been historically marginalized?

The answer should not focus exclusively on giving away tickets or using an ADA-accessible facility. For example, in addition to utilizing a physically accessible venue, how will the organization ensure that people with disabilities can participate in and benefit from your programming? This might include providing ASL interpretation, captions, and/or audio descriptions for events/performances, visual/audio descriptions, or tactile models of artwork.

REVIEWER PROMPT
Does the organization demonstrate diverse, equitable, inclusive, and accessible practices through sufficient examples of how DEIA is incorporated into its activities and outreach?

<table>
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<th>1</th>
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<tbody>
<tr>
<td>The applicant provides comprehensive examples of integrating DEIA practices into the planning and delivery of its activities and outreach to underserved populations.</td>
<td>Applicant offers limited examples of integrating DEI practices into the planning and delivery of its activities and outreach to underserved populations.</td>
<td>The applicant fails to provide supportive examples of DEIA practices in either planning or engagement aspects of its activities and outreach to underserved populations.</td>
</tr>
</tbody>
</table>
• Applications must be submitted (strictly enforced) no later than 11:59 PM on Friday, December 16, 2022.

• Applications must be submitted online via SlideRoom at cityofdubuque.slideroom.com

• 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 City staff.

• The applicant, not City staff, is solely responsible for the content and timely submission of this subgrant.

• As there are many additional requirements to receive this federal funding, please carefully review the eligibility, allowable costs, reporting requirements, and TERMS & CONDITIONS before completing the application.
SUBMITTING AN APPLICATION

- Tips & Support -

• Downloadable PDF of application questions available at cityofdubuque.org/artsgrants as well as preview on Slideroom and in the Handouts.

• Answers limited to maximum character counts which include spaces.

• Attach only the requested attachments being mindful of requested document length.

• Keep the artistic excellence and artist merit as well as community outcomes and impact of art activities front and center.

Accommodations or Questions:
We are committed to making our programs and services accessible to everyone. To request accommodations, translation, interpretation, or other assistance, including technical support or questions to complete the application contact:

Laura Merrick
lmerrick@cityofdubuque.org or 563-690-6059

Will reply within 48 hours Monday – Friday.

Scheduled Office Hours | Or contact to arrange.

SlideRoom Technical Support:
support@slideroom.com
www.cityofdubuque.org

or

www.cityofdubuque.org/artsandculture
This program differs from the City of Dubuque’s annual Arts & Culture Operating Support program, there are additional requirements to receive this federal funding.

- Notice of Funding
- Terms & Conditions
- Application Questions
- Download the Arts Operating Recovery Request Form (Excel)
- Download the Arts Operating Budget History Form (Excel)
- Scoring Matrix

Informational Webinar

Office Hours

How to Apply

The application for the Arts Operating Recovery subgrant is 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.
City of Dubuque Arts & Cultural Affairs

The City of Dubuque’s Office of Arts & Cultural Affairs is an activity of the City's Economic Development Department and exists to foster diverse arts and culture experiences that improve the social and cultural vibrancy and cultivate help to create an equitable community of choice. The Office of Arts & Cultural Affairs administers arts and cultural grant programs and city-issued calls for art.

Applicants are required to use this online system to apply for open Office of Arts & Cultural Affairs administered programs.

Learn more about the City of Dubuque's Arts & Culture programs.

Apply Now

AVAILABLE PROGRAMS

- Arts Operating Recovery Subgrant
  Deadline: December 16, 2022

READY TO APPLY?
Evidence of 501(c)3 status *

Proof of approved indirect cost rate *

List of current paid staff and/or key volunteers *

List of current Board of Directors *


Submit a high-quality media sample, such as a musical recording, image of artwork, testimonial, short video clip, etc. Examples should demonstrate the kind of arts programming the organization does and/or its impact on the community. These items may be used by the City for promotional purposes. It is understood that appropriate releases have been secured in providing these items, and the copyright is waived. If credit is required for any of the uploaded items, please provide that in the media description. Ensure that appropriate viewing permissions are given. Several options can be found online if you need to reduce your file size.
Finances - NEA ORG

⚠️ Four questions on this form need attention.
Some required questions are incomplete: 2, 5, 6, and 7

1. What is the organization's annual current operating budget for arts activities? *

2. Upload the completed Operating Budget History Form.

The form can be downloaded at https://www.cityofdebug.com/DocumentCenter/View/53111/COD_NEA_Arts-Operating-Budget-History.

Save and Exit
Almost there!!

You are ready to submit.

Once you submit, City of Dubuque will be able to view your application in.

Click here to review your application before submitting.

NOTE: Once your application has been submitted, you will NOT be able to make any edits.
SUCCESS!

Congratulations, you successfully submitted to City of Dubuque on November 9, 2022. Your confirmation number is #22016039629.

Print confirmation  Print a copy of your application

Arts Operating Recovery Subgrant

You may return to the Dashboard to view your completed application(s).
**Arts Operating Recovery Request Form**

**Instructions:** Complete the form with the most eligible expenses the requested Arts Operating Recovery subfund will cover. Include a brief description of each expense, current expenses for the position, anticipated expenses, and the amount being requested for the Arts Operating Recovery subfund. Add more rows under eligible expenses as needed.

**ARTS OPERATING RECOVERY REQUEST FORM**

**Position/Category**
- **Description:**
  - Current Expenses
  - Proprietary Expenses
  - Long-term Operating Recovery funding (if any)

**Salary Support, Full or Part-time, for one or more Staff Positions:**
- Include support for salaries or wages for one or more jobs, including contingent and/or part-time positions, for staff or volunteers. The amount should reflect the equivalent of full-time employment and must be documented in the job description.

**Marketing & Promotion Costs**
- Include costs associated with marketing and promotion efforts.

**Facilities Costs**
- Include costs associated with maintaining and operating facilities.

**Total Costs**
- Include all costs associated with the request.

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**Health & Safety Supplies For Staff and/or Visitors/Audiences:**
- Include costs for personal protective equipment, cleaning supplies, hand sanitizer, etc.

**Indirect Costs:**
- Include expenses that are not directly tied to the specific project or program, such as facility costs, administrative expenses, and other costs that support the organization as a whole.

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**Total Costs:**
- Include all costs associated with the request.
# Arts Operating Budget History Form

**Name of Organization:**
(this should be the same as on the application)

## Arts Operating Budget History Form

**Instructions:** List the organization's arts operating budget figures from the fiscal year 2020 and most recently completed fiscal year. Fill in the line items only for Total Income and Total Expenses for each year. The Surplus/Deficit line will autocalculate.

<table>
<thead>
<tr>
<th></th>
<th>Fiscal Year 2020</th>
<th>Most Recent Completed Fiscal Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Income:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Expenses:</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Surplus/Deficit:</strong></td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>
**Competitive Panel Review**

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

### STAFF
- Receives applications and reviews each for completeness and compliance with eligibility requirements
- Provides updates to applicants & reviewers

### REVIEW PANEL*
- Review and score applications
- Scores* compiled by Staff and forwarded to Commission with funding options

### A&C COMMISSION
- Reviews ranking and funding options
- Recommendations funding levels to City Manager and City Council

### CITY MANAGER/CITY COUNCIL
- Review and approve / adjust the A&C’s Commission’s funding recommendation

### STAFF
- Send award notifications in February 2023 with request for signed agreement and invoice.*
- Receives and forwards agreements for execution
- Receives and forwards award invoices for fund distribution*
- Manages public announcements and media related to subgrant awards
Accommodations or Questions:
We are committed to making our programs and services accessible to everyone. To request accommodations, translation, interpretation, or other assistance, including technical support or questions to complete the application contact:

Laura Merrick
Communications & Grants Administration Assistant
lmerrick@cityofdubuque.org
563-690-6059
Will reply within 48 hours Monday – Friday.

Scheduled Office Hours | Or contact to arrange.

Jenni Petersen-Brant
Arts & Cultural Affairs Manager
jbrant@cityofdubuque.org
563-690-6059 or 563-513-5636

SlideRoom Technical Support:
support@slideroom.com

Resources:
Notice of Funding
Terms & Conditions
Acknowledgement
UEI Registration
504 Accessibility Form
Disbarred Information
Appendix C