



DC Commission on the Arts and Humanities

FY2013

UPSTART

Program Guidelines

Organizations may apply for up to \$100,000, average FY12 grant size was \$50,000

Deadline: Thursday, June 14, 2012 by 6:00 PM

Applicants may submit one UPSTART application per fiscal year

UPSTART Program Description

The UPSTART Program is the signature capacity building program of the DC Commission on the Arts and Humanities. UPSTART assists established arts and humanities nonprofit organizations with significant programmatic functions that face operational and infrastructure challenges and financial limitations that prevent organizational and programmatic sustainability.

UPSTART is designed to support arts organizations with intensive technical assistance through consulting and funding for core administrative systems, leadership development and operating reserves. Projects funded through UPSTART may include consulting services for information technology, communications or fundraising strategy, organizational development, executive coaching, financial management, strategic planning, and governance.

Organizations with current budgets between \$100,000 and \$1.5 million are eligible to apply. In addition, past recipients of UPSTART grants are eligible to reapply. A maximum of six applicants will be selected.

The UPSTART Program has the following components:

- An organizational assessment by UPSTART program consultants;
- Development and implementation of an organizational work plan with goals and milestones to be approved by DCCAH;
- Expenditure of funds based on meeting milestones and work plan objectives;
- Establishment or expansion of an operating reserve fund;
- Peer networking meetings;
- Preparation of interim and final work plan updates reports, and
- Preparation of a final report by completing forms 804 and 805

UPSTART Program Goals

- Provide access to high-quality arts and humanities experiences for all District of Columbia residents;
- Stimulate the creative economy through investments in local arts organizations; and
- Ensure organizational sustainability for arts and humanities organizations so that they may contribute to the District of Columbia's diverse cultural landscape.



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UPSTART Program Funding Amounts and Special Requirements

The grant awards for UPSTART participants will be determined after an organizational assessment conducted by the UPSTART consultants has been completed and work plans and budgets are submitted to DCAH. DCAH staff members, in consultation with the UPSTART program consultants, will make a recommendation for a final project amount.

Funding may only be used to cover costs associated with capacity building projects or new programming efforts that directly relate to the work plan developed in collaboration with the UPSTART consultants. Funds may not be used to support: salaries for new or existing permanent staff positions; general operating expenses; purchase of land or property; funding of pre-existing debts, expenses or obligations incurred by the organization. More information about allowable costs is in "Funding Restrictions".

Part of the total grant award may be used to support the establishment or expansion of an operating reserve fund for purposes related to the long-term sustainability of the organization. This amount may not exceed 30% of the total of the non-reserve project components. The reserve fund portion of the grant requires a 1:1 match. The match requirement is designed to help grantees leverage UPSTART funds to attract new donors and increase giving levels of current donors. Neither in-kind nor other DCAH funding may be used to satisfy the matching requirement. Organizations requesting reserve funds must present evidence of clearly articulated policies about the management of the reserve that have been formulated and ratified by the organization's Board of Directors and staff by the end of the UPSTART grant period. The UPSTART consultants provide assistance with the development of these policies.

All funds must be spent or committed within the DC Commission's FY2013, which begins on October 1, 2012 and ends on September 30, 2013.

To be eligible to apply, the executive director or designated representative must attend one of the following grant preparation workshops. If an applicant does not attend, the application will be deemed ineligible and will not be considered.

Wednesday, May 9th from 6:00 – 7:30 pm
DC Commission on the Arts and Humanities
1371 Harvard St., NW
Washington, DC 20009

Friday, June 1st from 1:00 – 2:30
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Eligibility Requirements



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Organizations may apply if they meet all of the following eligibility requirements at the time of application:

- Operate with a budget of between \$100,000 and \$1.5 million, as evidenced on the organization's most recent 990.
- Employ at least one full-time, salaried staff member;
- Attend one UPSTART workshop on either May 9th or June 1st, 2012;
- Incorporated as a nonprofit, with a designated tax exempt status under section 501(c)(3) of the United States Internal Revenue Code, as well as in the District of Columbia;
- Be incorporated as an arts or cultural organization, with exhibition, presentation or training in the arts as its primary function, as documented within its mission;
- Principal offices are located in the District of Columbia, as demonstrated by the address on the organization's official 990 document. PO Boxes may not be used as a primary business address. Please do not use the address of a board member or volunteer;
- A demonstrated commitment to provide arts and humanities to the residents of Washington, DC. At least fifty-one percent (51%) of scheduled arts activities occur within the District of Columbia;
- Applicants must be in good standing with DCCAH. Applicants with incomplete or delinquent reports, in any funding program, as of October 15, 2012, are ineligible to receive an additional award from DCCAH in FY2013;
- Fiscal agents are prohibited; and
- Colleges, universities, service organizations, foreign governments or other DC government agencies, including DC Public Schools, are prohibited from applying for any DCCAH grants.

Additionally, each applicant must:

- **Have the capacity to absorb additional responsibilities from UPSTART project implementation.** For this reason, applicants **MUST** employ one or more full-time paid professional staff, compensated at levels consistent with position responsibilities throughout their participation with UPSTART. There should be appropriate staffing to manage administrative responsibilities.
- **Ensure active participation from its Board of Directors.** The Board of Directors must be engaged, committed and appropriate to the organization's size, focus and mission, reflective of the audience diversity, and knowledgeable about the community being served. The Board Chair must attend the kickoff meeting of the new cohort after the start of the program.

DC Cultural Data Project (DC CDP)

Beginning in 2012, DCCAH will require **Grants-In-Aid, Arts Education Program, UPSTART, Cultural Facilities Projects and City Arts Projects** applicants to complete the DC Cultural Data Project (DC CDP) Data Profile.

The DC CDP is a District-wide, collaborative effort of public and private funders and consists of an online system for collecting and standardizing historical, financial and organizational data. The DC CDP will provide the cultural community with comprehensive data on arts and culture in DC, and enable



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organizations to view trends in their data, benchmark themselves against peer organizations, and enhance their financial management capacity.

The DC CDP Data Profile is an annual requirement completed through the CDP website www.DCulturaldata.org. The information entered into the Data Profile will be used to generate application and report materials for the DCCA and other funders.

Complete instructions for getting started with the DC CDP are available here: <http://www.DCulturaldata.org/orientation.aspx>. Further instructions on how to use the DC Cultural Data Project are below.

Instructions for the use of the DC CDP:

1. Go to www.DCulturaldata.org and click on “New User Registration.”
2. Create new Data Profile. **Complete a Data Profile for each of the TWO most recently completed fiscal years; start with the earliest year.**
3. Enter data using your board-approved financial audit/review or year-end financial statements.
 - a. If your organization is not audited/reviewed, enter data based on board-approved year-end financial statements.
 - b. If your organization is an arts program/department within a larger institution, enter data based on internal financial statements of the arts program/department and indicate that you have a parent organization in Section 1.
 - c. DO NOT enter project budgets, budgets for future years, or data from incomplete or not-yet-approved audits/reviews/financial statements.
4. When finished entering data, click on Submit/Error Check; address any errors and call the Help Desk if you have questions.
5. On My CDP, go to the Funders Reports section, select the fiscal year for the report and click on “GO.” Click on the link for the DC Commission on the Arts and Humanities to generate the report and print.
6. **Review your Funder Report;** if you need to make changes, call the Help Desk.
7. Attach the Funder Report along with your DCCA application materials.

Please Note: As part of the effort to ensure the accuracy of your data, throughout the year the DC CDP Help Desk will review each of your submitted Data Profile(s) and contact you with suggested revisions. **It is your responsibility to respond to the Help Desk and to make any necessary changes to the submitted Cultural Data Profile(s).** This process **will not interfere** with your ability to run Funder Reports and apply for grants.

Online training is also available here: <http://www.DCulturaldata.org/training.aspx>.

Please direct questions concerning the Cultural Data Profile to:

DC CDP Help Desk:

Toll Free: 1-855-223-2237 (1-855-22-DCCDP)



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Email: help@DCculturaldata.org

The DC CDP Help Desk is available Monday – Friday from 9:00am – 5:00pm EST.

DC CDP website: <http://www.DCculturaldata.org>

DCCAH Application Process

DCCAH utilizes an online grant application website called [Zoom Grants](#). All applicants **MUST SUBMIT** the application online via Zoom Grants by 6:00PM on the deadline date. **DCCAH will not accept mailed, emailed or hand-delivered copies of grant applications. Late applications will not be accepted.**

Grant Application Procedure

1. Download the [Classification Sheet](#) on the DCCAH website. For each of the five (5) classification categories, select one classification that best describes the applicant and the grant request(s):
 - a) Institution Type;
 - b) Applicant Discipline;
 - c) Project Discipline;
 - d) Artist Type;
 - e) and Type of Activity.
2. Review the FY13 Guide to Grants and the grant guidelines thoroughly and determine eligibility of the applicant, project and project activities;
3. Go to the [Apply for Grants](#) page and register with Zoom Grants, DCCAH's online grant application website. Zoom Grants provides a step-by-step tutorial on how to submit the application [here](#);
4. Once fully registered, select the desired grant program(s) and complete the application questions and budget/budget narrative data;
5. Upload all required documents and supplementary material;
6. Upload the required work sample. Please note that work samples must speak to the artistic content of the applicant as it relates to the grant request;
7. Submit the application by 6:00pm on the grant program's deadline date;

For technical assistance, contact Zoom Grants toll free at 866-323-5404.

The application process is competitive and subject to the availability of funds. Applicants may not request or receive funding for the same project activities through more than one Commission grant program or grant category.



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Applicants are fully responsible for the content of their application packages. An automated confirmation of an application's submission does not guarantee an application's eligibility nor recommendation for funding by the Advisory Review Panel. DCCAH staff cannot make corrections to applications on behalf of applicants nor can Zoom Grants' staff. DCCAH staff will review applications for completeness and contact applicants for any missing documents within 5 business days of the deadline. Applicants are responsible for adding missing documents within 5 business days of DCCAH's notification. Incomplete applications may not be forwarded to the Advisory Review Panel for review.

Technical Assistance and Workshops

DCCAH staff members are available to help develop grant applications through group and individual technical assistance. Between May and June 2012, the DCCAH will conduct free workshops for participants to learn useful information about the agency's funding opportunities and how to submit a successful grant application. More information about the dates and times of these workshops can be found on our website (www.dcartс.dc.gov) under [Grant Writing Assistance](#). In addition, DCCAH staff members are available for individual, pre-scheduled 30-minute appointments, up to one week before the deadline. Contact information for the DCCAH staff members is available at www.dcartс.dc.gov under [Who We Are – DCCAH Staff](#).

Workshops will take place at the offices of the DC Commission on the Arts and Humanities and the Dorothy I. Height Benning Library. **Workshop dates, times and locations listed below are subject to change.**

Wednesday, May 9th from 6:00 – 7:30 pm
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Review Process

All applications are scored according to four categories: Artistic Content, Community Impact and Engagement, Sustainability and Capacity, and Overall. These evaluation criteria are specific to each grant program and explained on page 9. A volunteer Advisory Review Panel is comprised of arts and humanities professionals independent of the DCCAH. The panel scores applications using the criteria and makes funding recommendations to the Commission Board. The Commission Board reviews panel recommendations and makes all final funding determinations. Funding decisions are not determined by DCCAH staff.



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For more information regarding the grant review process please visit the [Guide to Grants](#). To nominate a person(s) to serve on DCCAH Advisory Review Panels, complete an [Advisory Panelist Nomination](#) form and submit it by June 1, 2012.

The evaluation process will also take into consideration general standards of decency and respect for the diverse beliefs and values of the American public consistent with The National Foundation on the Arts and Humanities Act, as amended in 1990.

Funding Restrictions

As a District of Columbia agency, the DCCAH must ensure that all grant funds are expended in a fiscally responsible manner. Allowable costs are those that District government and the DCCAH have determined as valid expenditures.

Examples of allowable costs for UPSTART:

- Consultants;
- Hardware and software;
- Professional development trainings; and
- Operating Reserves.

Examples of unallowable costs for UPSTART:

- Salaries for permanent positions;
- Artistic Expenses;
- Overhead and maintenance;
- Food and beverages;
- Tuition and scholarships;
- Costs related to fundraisers and special events;
- Travel not directly related to the execution of the project;
- College tuition or to fund universities, service organizations, foreign governments, or DC government agencies, including DC Public Schools.

All expenses will be approved by the grant program manager before the grant agreement is processed for payment.

Please refer to the Guide to Grants for detailed information regarding funding restrictions.

Notification and Payment

Applicants will be notified in writing of their application status after October 1, 2012. This notification may consist of a grant package, letter of ineligibility, or letter of denial. More information about grant notification may be found in the FY2013 Guide to Grants.



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Please note that the date of payment disbursement is subject to change depending on the availability of funds. The date eligible for payment does not ensure the date of payment; it provides a general timeframe. DCCAH works with other DC government agencies to pay grant recipients in a timely manner but DCCAH does not create or distribute payments onsite. To expedite the payment process, DCCAH **strongly** recommends FY13 grant recipients to register for direct deposit. For more information on direct deposit, visit [Manage Grant Award](#) on our website.

DCCAH reserves the right to rescind any and all grant awards for non-compliance with grant guidelines, policies and regulations. FY2012 grantees with unfulfilled reporting, in any funding program, as of October 15, 2012, are ineligible to receive any additional awards from DCCAH.

Risk Management and Performance Monitoring

All grant recipients are subject to risk assessments and monitoring requirements as outlined in the [City-Wide Grants Manual and Sourcebook](#) from the Office of the City Administrator (OCA). OCA requires the DCCAH to establish standards for grantees in making determinations of demonstrated performance prior to the award of all grants.

All UPSTART activities funded by DCCAH will be monitored and evaluated by the UPSTART consultants to assure compliance with all aspects of the District of Columbia's requirements, which may include evaluating allowable costs, meeting project benchmarks, providing proof of expenditures, etc.

UPSTART participants must complete interim and final work plan and budget updates and participate in periodic email correspondence and phone calls to keep the UPSTART consultants informed about the status of project implementation through the grant period.

All FY13 grant recipients must complete final reports by October 15, 2013. Grantees are required to document payment of all expenses paid by grant funds as well as the required match. Interim and final report forms are available online through the [Manage Grant Award](#) link on the DCCAH's website. All grantees are responsible for reporting grant awards as income on federal and local tax returns and are strongly encouraged to consult with the tax professionals and the IRS.

Contact Information

For more information regarding DCCAH's grant programs, or clarification about accessibility requirements, work sample submissions and the grant making process, please refer to the [Guide to Grants](#). Additional questions about the UPSTART Program can be referred to Carlyn Madden, Arts Education Manager, at carlyn.madden@dc.gov or 202-724-5613.



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Review Criteria

Artistic Content 30%

- The applicant meets the requirement of having the arts as its primary function;
- The applicant's work sample and support materials (brochures, articles, letters of support, etc.) demonstrate high standards of artistic excellence within the chosen discipline(s).

Community Engagement and Impact 20%

- The applicant provides a substantial level of artistic activities to DC-based audiences; and
- The applicant demonstrates it can measure levels of outreach and impact for DC-based audiences; and
- The applicant's arts activities and services are available to people with disabilities.

Organizational Capacity and Sustainability 30%

- The organization employs at least one full-time paid professional staff member, compensated at levels consistent with position responsibilities;
- The organization has made efforts to conduct a strategic plan, or if not, understands the benefits of strategic planning;
- The organization demonstrates proper oversight with a committed Board of Directors with well-rounded expertise;
- The applicant is sufficiently stable, in terms of arts expertise, organizational capacity, financial status, to implement the proposed request;
- The applicant demonstrates the internal capacity to administer the grant and has appropriate financial monitoring systems in place to track expenditures;
- The applicant's budget information is detailed, accurate, feasible, and directly related to the grant request. All proposed items are eligible expenses under the grant;
- The applicant clearly demonstrates ability to attract the financial support necessary to sustain the activities and match required funds, if applicable.

Overall 20%

- The applicant provides a clear explanation of the grant request and intended outcomes;
- The grant request aligns with and supports the applicant's mission;
- The organization's employees and Board of Directors' had candid and clear feedback regarding the organization's strengths and challenges;
- The organization's employees and Board of Directors clearly described possible outcomes from the UPSTART process; and
- The application, grant request and intended outcomes support the goals of the UPSTART program.



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UPSTART Program

Checklist

The following is a checklist for all mandatory and supplementary documents required to submit the UPSTART application. Documents must be uploaded through Zoom Grants prior to the application deadline. These documents are in addition to the required narrative questions.

MANDATORY DOCUMENTS

- Completed application, submitted on Zoom Grants
- Signed W-9 (Request for Taxpayer Identification and Certificate)
- Resume(s) of key personnel involved in the project, such as artistic staff and educators
- One-page Organizational Chart
- Work Sample(s) – see Guide to Grants for more information on Work Sample Requirements. *Flyers and brochures DO NOT count as work samples.*
- Support Material – up to six additional items, e.g., publicity, letters of support, programs, brochures, evaluations, strategic plans, etc.
- IRS Letter of Determination
- District of Columbia Certificate of Incorporation
- List of current board of directors, including officers, occupations and term limits
- Current FY Organizational Budget with Year-To-Date Income and Expenses
- Current FY Balance Sheet from within the last financial quarter
- 2011 CDP Funders Report