

## FY18 APPLICATION GUIDELINES

### Phase I: Discovery and Visioning

**Pre-Application Due Date: Monday, November 6, 2017, 4:30PM**

**Application Due Date: Wednesday, November 22, 2017, 4:30PM**

### Program Overview

The New York City Department of Cultural Affairs' (DCLA) community arts development program, Building Community Capacity (BCC), takes a collaborative and comprehensive approach to building cultural capacity in targeted low-income neighborhoods. This multi-year program strives to ensure both that culture is included as part of the City's interagency efforts around neighborhood planning, affordable housing, and economic development; and that local cultural stakeholders have ownership and voice in their own community's development efforts.

The goal of community arts development is not simply to provide more art for more people. Rather, it seeks to enable community members to create a vision of what a meaningful, equitable, healthy community for all people could be, and how the arts can help make that so. Accordingly, BCC acknowledges that a strong cultural ecosystem of individuals, organizations, businesses, and City agencies are essential to identify and address community level issues. Ultimately, this multi-year program enables neighborhood members to create a shared vision and a shared strategic framework to support it. Since community level transformation takes time, energy, and commitment, it is anticipated that DCLA's BCC program will provide support to selected applicants from January 2018 through June 2020.

During the first phase of the program, DCLA will support up to three applicant teams to engage eligible neighborhoods in a collective process of discovery and visioning (Phase I). Eligibility criteria for applicant teams and neighborhoods are detailed in the following section. The purpose of Phase I is to provide participant neighborhoods with a stronger understanding of who is present in their neighborhoods, as well as their motivations, key challenges, capacities, and resources. As a result, each participating neighborhood will be better positioned to create a shared vision for an equitable and vibrant future.

Phase I will occur between January and June 2018. It is anticipated that DCLA will award three grants of up to \$85,000 each to eligible applicant teams. The deadline for applications for Phase I is **Wednesday, November 22**.

Participants who successfully complete Phase I will be eligible to apply for Phase II. It is anticipated that Phase II will occur September 2018 through June 2020, subject to available funding. The purpose of Phase II will be to realize goals identified in Phase I.

### Eligibility

Applicants must meet the following criteria:

#### Neighborhood

- Must have been the subject of a community development planning initiative led by the City of New York, or have recently completed such an initiative in the last two years. Eligible neighborhoods are listed in the attached [Exhibit A](#);

- Community members must have identified 'arts and culture' as a significant issue area during a planning process listed in [Exhibit A](#);
- Population must be at least 51% low- or moderate-income; and
- Geographic area must be primarily residential
- Neighborhoods that participated in a BCC-funded program in FY17 or FY18 (namely, the South Bronx, East Brooklyn, Northern Manhattan and Jamaica) are not eligible for this program.

### **Applicant Team**

Applicant teams shall consist of a Community Based Development Organization ("CBDO") (as defined by the U.S. Department of Housing and Urban Development) and a nonprofit arts organization ("Cultural Partner"). The criteria for each are as follows:

(1) CBDO (lead applicant):

- Must have been engaged in a planning initiative led by the City of New York for one of the eligible neighborhoods listed in [Exhibit A](#);
- Meets the requirements for CBDOs established by the U.S. Department of Housing and Urban Development. For reference, more information regarding CBDOs is included in the attached [Exhibit B](#);
- Must be incorporated as a nonprofit organization in New York State and compliant with annual State and Federal filing requirements for nonprofit organizations;
- Certified tax exempt under Internal Revenue Code Section 501(c)(3); and
- Must commit to participating in all required Technical Assistance, Training, and Peer Exchange sessions described in the Program Design section, below.
- Please note that preference will be given to organizations with at least two full-time staff members.

(2) Cultural Partner

- Must be incorporated as a nonprofit organization in New York State and compliant with annual State and Federal filing requirements for nonprofit organizations;
- Must be certified tax exempt under Internal Revenue Code Section 501(c)(3);
- Must serve an eligible neighborhood listed in [Exhibit A](#) as its primary constituency; and
- Must commit to participating in all required Technical Assistance, Training, and Peer Exchange sessions described in the Program Design section, below.
- Please note that preference will be given to organizations with at least one full-time staff member

## **Program Design**

### **FY18 Grant: Phase I: Discovery and Visioning**

DCLA seeks to partner with up to three CBDOs, each working in tandem with a local nonprofit arts organization in eligible neighborhoods, to create and publish a Neighborhood Arts & Cultural Inventory, in order to develop a shared community vision for arts and culture, and to identify actionable initiatives to address priorities.

#### **Phase I**

Phase I of the program will occur from January to June 2018, and will begin with a highly participatory assessment of where the participating neighborhood is today, the environment in which it functions, and where it wants to be in the future. During Phase I: Discovery and Visioning, selected teams will (a) produce a Neighborhood Arts and Cultural Inventory; and (b) engage the local

community in creating a community cultural vision. Throughout Phase I, DCLA will provide the neighborhood teams with interactive workshops, technical assistance, and access to City resources in order to enhance the work of the program.

The Neighborhood Arts & Cultural Inventory will examine the existing arts and cultural ecosystem of each participating neighborhood and include analysis of existing assets, needs, and opportunities. The Neighborhood Arts & Cultural Inventory will be created by the selected teams through a combination of research, asset mapping, and community engagement. Preliminary research will inform community visioning, to identify agreed upon priorities and potential initiatives for future implementation. The final Neighborhood Arts & Cultural Inventory report will highlight research findings and community input, present an analysis of findings, outline priorities and potential projects, make suggestions on how to align new initiatives and incorporate arts and culture into recent, ongoing or future neighborhood planning, and suggest a supporting infrastructure for implementing and advocating for this work. A general timeline for grantees will be established at the program's kick-off.

An important goal of Phase I is to position the community for successful participation in Phase II, described in more detail below.

**Phase I Components:**

All applicants must demonstrate a readiness and commitment to engage in the following components of the BCC program:

**1. Neighborhood Arts & Cultural Inventory:**

Create a report that examines the existing arts and cultural ecosystem of the relevant neighborhood, including, but not limited to, the following elements:

- a. Neighborhood Context
  - History and Evolution
  - Population Research
  - Recent / upcoming community planning efforts
  - Elected officials and City agencies engaging in relevant initiatives in the neighborhood
  
- b. Asset Inventory
  - Institutions that are, or could be, a cultural asset
  - Other Arts and Culture Program Providers
  - Artists
  - Coalitions / Partnerships / Networks
  - Audiences
  - Spaces
  - Businesses
  - Resources
  - Programming
  - Communications
  
- c. Community Engagement in the Neighborhood
  - Input collected from neighborhood stakeholders (including residents) reflecting diverse perspectives collected through public engagement such as:
    - Surveys
    - Interviews
    - Discussion groups

- d. Analysis / Key findings
  - Forces & Trends
  - Strengths
  - Challenges
  - Opportunities

## **2. Community Visioning:**

Informed by preliminary research, the participants will:

- Convene cross-sector stakeholder groups that represent diverse perspectives;
- Develop a shared vision for arts and culture; and
- Identify priorities, actionable goals, and potential future initiatives.

## **3. Creation of Deliverables / Public Engagement of Findings:**

- Publish Neighborhood Arts & Cultural Inventory, in partnership with DCLA, including:
  - Research and discovery;
  - Results of community visioning;
  - Preliminary recommendations for implementation;
- Create an interim working group to position the neighborhood for participation in Phase II;
- Distribute findings through public engagement; and
- Contribute to City-wide analysis of research and engagement, in partnership with DCLA.

## **4. Technical Assistance, Trainings, and Peer Exchanges**

DCLA will help advance the overall program by providing ongoing technical assistance as well as organizing sessions designed to:

- Train for processes and best practices for executing program components;
- Foster exchange and sharing of resources between participating neighborhoods;
- Inform analysis of broader City-wide trends; and
- Create consistency across neighborhoods for reporting and publication of deliverables.

## **Phase II**

It is anticipated that the second phase of the program will occur September 2018 through June 2020 (subject to available funding), and will move the participating neighborhood towards its articulated shared vision, providing support for coalition building, implementation of priority goals, and resource development. Participation in Phase II is subject to satisfactory completion of Phase I, submission of required application materials, and selection by DCLA, in its sole discretion.

## **Grant Awards**

DCLA estimates that the cost of participating in Phase I will be between \$60,000 and \$85,000 per neighborhood. DCLA will allocate an amount not to exceed \$85,000 to each selected applicant team. Selected teams will be expected to complete the services associated with Phase I between January and June 2018.

The final amount of funding awarded by DCLA will be based on the quality of each application, the applicants' proposed budget, and available funding, in DCLA's sole discretion.

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.

DCLA will provide all technical assistance and training sessions free of charge to program participants.

**Payment Structure:** DCLA will provide funding to the CBDO of each selected applicant team, who in turn will be responsible for the administration of funds for Phase I. A payment schedule will be included in a grant agreement provided by DCLA. Following completion of all City requirements, in DCLA's sole discretion, selected CBDOs will receive an initial payment amount of up to 80% of the total award. Final payment will be provided following successful submission of the remaining required deliverables, in DCLA's sole discretion.

## Application Process

Tuesday, October 24 Thursday, October 26 Monday, October 30 Wednesday, November 1	1. Application Seminars	All interested applicants must attend one Application Seminar
Monday, November 6	2. Pre-Application DEADLINE	Limited to Application Seminar attendees
Wednesday, November 22	3. Proposal DEADLINE	Limited to eligible applicants only

### 1. Application Seminar

Applicants that are interested in applying to receive funding for Phase I of this BCC program are required to attend an application seminar. A list of scheduled application seminars will be available on DCLA’s website at <http://www1.nyc.gov/site/dcla/programs/community-capacity.page>. Issues to be covered in the application seminars include: program goals, expectations, and deliverables; understanding and meeting eligibility requirements; and reporting requirements. Additionally, DCLA staff will answer questions about the application process.

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

Applicants that have attended one of the application seminars and want to apply for Phase I of this BCC program are required to submit a pre-application form. Staff from DCLA and the City’s Office of Management and Budget (OMB) will review each pre-application form on a rolling basis. Applicants will receive their eligibility determination within approximately one week of submission. Only applicants meeting program eligibility requirements will be invited to submit full proposals. Applicants that do not meet program eligibility requirements will not be considered further. **We strongly encourage you to submit your pre-application form immediately following your attendance at an application seminar, since you will not be able to submit a full application unless you are notified of pre-qualification.**

### CDBG Eligibility Requirements

The BCC program is supported by City tax levy funds as well as federal funds through the U.S. Department of Housing and Urban Development’s (HUD) Community Development Block Grant (CDBG) program. An activity may only be assisted in whole or in part with CDBG funds if it meets explicit eligibility requirements set by HUD. BCC program activities satisfy such requirements through CDBG categorization as a “special activity by community based development organizations (CBDOs),” and an “area benefit activity.” In order to understand whether your neighborhood may qualify, please consult [Exhibit B](#)

### Determining CDBG and BCC Eligibility

**Step 1. Submit Pre-Application Form.** The applicant must establish that it meets all eligibility requirements. The pre-application form should include a self-defined service area which aligns with a neighborhood described in [Exhibit A](#). Please keep in mind that this information should be in sync with the service area and location of the organizations participating in each applicant team.

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

### 3. Application Submission

DCLA will notify organizations that have demonstrated their eligibility in the pre-application process, and request the submission of applications.

#### Review and Evaluation Procedures

DCLA anticipates convening an evaluation panel in early December. The panel will score applications based on the evaluation criteria below. Following panel review, applicants will be notified in writing of the outcome.

#### Evaluation Criteria

Panelists will evaluate each application to determine whether it effectively addresses the following criteria:

**Need 20%**

Applicant has clearly identified desired benefits (both specific and general) with regard to an eligible neighborhood's engagement in the program.

**Project leadership 30%**

- CBDO has experience with community engagement, community planning, and community organizing.
- CBDO has capacity to manage program components, and has designated a specific individual for managerial oversight role.
- Cultural Partner is knowledgeable of, has relationships with, and has access to a broad range of local arts stakeholders (organizations, artists, educational institutions, etc.)
- Proposed budget will satisfy program expectations and deliverables.

**Team capacity, experience, and community knowledge 30%**

- CBDO and Cultural Partner have designated a project team that has the ability to execute program components.
- CBDO and Cultural Partner have broad-based knowledge of the eligible neighborhood, with access to local cross-sector stakeholders.
- Team members can communicate in the most commonly spoken languages used in the neighborhood.
- Team members understand the time commitment and have sufficient time available to meet program expectations.

**Community interest and support 20%**

- Supporting materials demonstrate that neighborhood stakeholders have shown a willingness to engage in both Phase I and Phase II of this BCC program.
- Community planning process and documents reveal that culture is meaningful to local stakeholders, and was identified as priority in such planning process.

#### Appeal Process

Any eligible applicant considered for competitive support may contact DCLA for an explanation of funding awarded, or to find out why an application was declined. Applicants may request a copy of the BCC Program Appeals Process by contacting Perian Carson, the Director of Community Arts Development at DCLA, by email at [pcarson@culture.nyc.gov](mailto:pcarson@culture.nyc.gov) or by mail at 31 Chambers Street, 2nd Floor, New York, NY 10007.

## Grant Administration and Legal Requirements

When an applicant team is allocated funds, DCLA will prepare a Grant Agreement that will be entered into by the CBDO. A representative from the CBDO with signatory authority then signs the Grant Agreement. All groups receiving DCLA support must comply with all pertinent City, State and Federal legal requirements. We will notify organizations separately of particular applicable regulations. In addition, every funded applicant must comply with the following requirements:

### **Insurance:**

Organizations that receive grants of \$50,000 or more from DCLA are required to carry Commercial General Liability (“CGL”), Workers Compensation, and Disability Benefits insurance, and to name “the City of New York, including its officials and employees” as an additional insured (CGL policy only). Such organizations are required to submit upon request certificates of insurance for such policies, a certification of insurance broker or agent (CGL policy only), and an additional insured endorsement (CGL policy only). Note: The CGL policy naming the City, including its officials and employees, as an additional insured must be in effect for the entire grant term described in the applicable Grant Agreement. By submitting an application for a BCC grant, the applicant, if funded by a grant of \$50,000 or more, agrees to comply with this requirement, unless a written waiver is provided by the DCLA Commissioner.

### **Americans with Disabilities Act Compliance:**

Every organization funded by DCLA through the BCC program is expected to comply with the Americans with Disabilities Act (ADA), passed in 1990.

### **Credit:**

All programs, brochures, flyers, posters, announcements or similar matter relating to services funded by DCLA are also required to include, in a legible manner, in appropriate type size and without abbreviation, the following statement: “Participation in Building Community Capacity is supported, in part, by public funds from the New York City Department of Cultural Affairs and the U.S. Department of Housing and Urban Development.”

All funded organizations are required to use DCLA’s logo. In addition to the logo and credit line stipulated, any printed list of contributors to a program or service funded by DCLA is required to include the “New York City Department of Cultural Affairs” in the appropriate alphabetical and/or contribution category list.

## Questions

For all inquiries about the Building Community Capacity application process, contact DCLA staff at:

BCCinfo@culture.nyc.gov

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

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

David Mandel - Associate Director, Community Arts Development (212) 513-9342

## Exhibit A

### Eligible Neighborhoods

Neighborhood boundaries must align with a City-led community development planning initiative, but they can encompass a larger or smaller area, as appropriate. The following neighborhoods are eligible to participate in Phase I of the BCC program in Fiscal Year 2018.

#### **Bronx**

East Crotona Park  
Harding Park  
Highbridge  
Morris Heights  
Morrisania  
Mount Hope

#### **Brooklyn**

Bushwick  
Coney Island  
Red Hook  
Sunset Park

#### **Manhattan**

East Harlem  
Lower East Side

#### **Queens**

Corona  
Edgemere-Arverne  
Far Rockaway  
Flushing

#### **Staten Island**

St. George  
Stapleton  
Tompkinsville

If your neighborhood is not listed above and you believe it meets the eligibility criteria for this BCC program, please complete a Pre-Application so that DCLA staff may determine eligibility.

To learn about City-led planning initiatives in your neighborhood, refer to the following agency websites:

- NYC Department of City Planning: [www.nyc.gov/planning](http://www.nyc.gov/planning)
- NYC Economic Development Corporation: [www.nycedc.com](http://www.nycedc.com)
- NYC Housing and Preservation Development: [www.nyc.gov/hpd](http://www.nyc.gov/hpd)
- Building Healthy Communities: <http://www1.nyc.gov/nyc-resources/building-healthy-communities.page>

If your neighborhood is undergoing or recently completed an interagency initiative not included in the above, please cite the program in the Pre-Application to determine eligibility.

Resources for determining neighborhood boundaries:

- NYC Census Fact Finder Neighborhood Tabulation Areas: <http://maps.nyc.gov/census/>
- NYC Community Districts: <https://www1.nyc.gov/site/planning/community/community-portal.page>
- To see detailed borough maps of CDBG-eligible census tracts go to <https://www1.nyc.gov/site/planning/data-maps/community-development-block-grant.page>

## **Exhibit B**

### **Qualifying Community Based Development Organizations (CBDOs)**

Organizations participating in this BCC program must comply with federal requirements set forth by the U.S. Department of Housing and Urban Development's Community Development Block Grant Program, under Title 24 of the Code of Federal Regulations (CFR), Part 570.

#### **CDBO Eligibility**

Organizations must meet all the components listed below in order to be considered an eligible Community-Based Development Organization (CDBO), pursuant to 24 CFR 570.204(c):

- Is an association or corporation organized under State or local law to engage in community development activities (which may include housing and economic development activities) primarily within an identified geographic area of operation within Bronx County (Bronx), Kings County (Brooklyn), New York County (Manhattan), Richmond County (Staten Island), or Queens County (Queens);
- Has as its primary purpose the improvement of the physical, economic, or social environment of its geographic area of operation by addressing one or more critical problems of the area, with particular attention to the needs of persons of low- and moderate-income;
- The governing body's membership is comprised of at least 51% of the following:
  - Low- and moderate-income residents of its geographic area of operation;
  - Owners or officers of private establishments and other institutions located in and serving its geographic area of operation; and/or
  - Representatives of low- and moderate-income neighborhood organizations located in its geographic area of operation.
- Is not an agency or instrumentality of the City of New York and does not permit more than one-third of the membership of its governing body to be appointed by, or to consist of, elected or other public officials or employees or officials of an ineligible entity;
- Requires the members of its governing body to be nominated and approved by the general membership of the organization, or by its permanent governing body;
- Is not subject to requirements under which its assets revert to the City of New York upon dissolution; and
- Is free to contract for goods and services from vendors of its own choosing.

**Note:** It is possible that an organization, by virtue of its make-up or corporate function, would not necessarily meet the requirements of a CBDO stated above, but that the need for investment in the community could outweigh the need for standard CBDO certification. Decisions regarding these organizations will be made on a case-by-case basis at the discretion of DCLA, NYC OMB, and HUD.

#### **Area Benefit Activities**

Phase I activities must comply with the requirements for "area benefit activities" under 24 CFR 570.208(a)(1)(ii). Specifically, the activities must be available to all persons residing in an area where at least 51% of the residents are low to moderate income persons and the geographic area is primarily residential.

In order to ensure that these requirements will be met, each applicant must define their service area (i.e., neighborhood boundaries) in the Pre-Application form in a manner that is broad enough to encompass the area where its constituency resides.

**Additional Information**

To learn more about U.S. Department of Housing and Urban Development's Community Development Block Grant Program, please visit [https://www.hud.gov/program\\_offices/comm\\_planning/communitydevelopment/programs](https://www.hud.gov/program_offices/comm_planning/communitydevelopment/programs)

For inquiries regarding your organization's ability to meet Building Community Capacity eligibility requirements, contact DCLA at [BCCinfo@culture.nyc.gov](mailto:BCCinfo@culture.nyc.gov) or (212) 513-9361 or (212) 513-9326.