

Thank you for joining the NYSCA Capital Projects Webinar. The session will begin momentarily. You may wish to reference the Capital Guidelines during this webinar. The link to the guidelines is available in the Zoom chat now.



Photo Courtesy of the George Eastman Museum in Rochester, NY

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**Council on
the Arts**

FY2022 Capital Projects Webinar

November 10, 2021

Hosted by David Huff, Mara Manus, and Katie Steger

Important Reminders:

Key Dates

- Guidelines posted: November 1, 2021
- Application portal opens: November 22, 2021
- Application portal closes: January 14, 2022, at 4PM

The FY2022 **guidelines** and **application manual** can be found on the FY2022 Opportunities Page on the NYSCA website:

<https://arts.ny.gov/FY2022FundingOpportunities>

Prequalification

- To be eligible for FY2022 funding from NYSCA, you must be Prequalified in the Grants Gateway by January 14, 2021 – the application deadline.
- For more information, please visit our FAQ for Applicants and or section 8 of the Application Manual.
- Start this process as soon as possible.

Eligibility

- The applicant must be Prequalified to do business with New York State in the Grants Gateway online portal by the application deadline.
- The applicant must be a non-profit arts organization, incorporated or registered to do business in New York State. Arts organizations with their own facilities that are embedded in larger organizations (e.g. private or public universities) located in New York State may contact NYSCA to determine whether they are eligible to apply.

Eligibility

- Requests for Capital Project support must prove site control:
 - Ownership of the facility
 - Either **a)** a lease agreement with a state or municipal entity with guaranteed rights of renewal, or **b)** a commercial lease agreement with at least 10 years remaining. (A renewal option contained in the current lease will be considered, provided such renewal does not require landlord approval).
- Organizations must own their facility to apply for any exterior rehabilitation projects, such as roof replacement and façade restoration.

Eligibility

- Organizations who have not received prior NYSCA support are eligible to apply for the Capital Projects Fund.
- We are prioritizing organizations who have not received a single large capital grant (more than \$50,000) from NYSCA in FY2018-FY2020.

Project Financing

As the majority of funding is awarded on a reimbursement basis, the applicant must demonstrate the capacity to manage financing for the project through completion.

This includes:

- Fundraising
- Financing
- Cash management

Awards

Total Funding Available: Up to \$20 million

Grant Sizes:

- \$10,000 (flat amount, can fund up to 100% of project cost, organizations <\$1,000,000)
- \$49,500 - \$1,000,000 (max 50% of total project cost, all organization sizes)

Award Announcement: No later than April 2022

Grant Term: July 1, 2022 – June 30, 2025 (3 years, 2 year extension will be considered.)



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Awards

- Applicants do not have to demonstrate a secured match.
- Organizations applying for grants of \$49,500 - \$1 million may only finance a maximum of 50% of the overall project with state funds.
- There is no maximum financing requirement for \$10,000 grants.

What kinds of projects are eligible?

There are two funding categories:

1. Capital Equipment
2. Capital Construction

Applications may request funds in one or both categories

Funding can support:

- New construction, renovations and/or expansions of publicly accessible arts space(s)
- Modifications to improve sustainability and energy efficiency
- Renovations to improve accessibility or make physical health and safety upgrades
- Technology and/or equipment systems that would improve public access & experience

Payment schedule for awarded grants

- Majority of the payment is on a reimbursement basis
- Applicants must present a detailed financing/fundraising/cash management plan
- First 25% paid after contract is executed (grant period being July 1, 2022)
- Next 35% paid after interim report demonstrating 60% total project completion
- Final 40% paid after final report demonstrating 95% total project completion

Defining the scope of your “Total Project”

“Phasing” for larger capital projects:

- Project must buy, build or improve an asset
- You must be able to complete within the grant term.
- Remember: 95% of the Total Project must be complete before the final payment will be approved.

Completing your Application

- You will be asked to select the categories for amount size and which funding type
- Your application will include narrative responses, attachments, and budgets
- All application details - including narrative questions and downloadable budget forms - are available to you now beginning on page 9 of the Guidelines

Completing your Application

Project Type	Narrative Questions	Uploads	Budget
Capital Equipment Projects (No Construction)	Standard Project Questions Design/Technical Review Questions (Equipment) Managerial/Fiscal Questions (Equipment) Community Access/Relevance (Equipment)	Site control documents Equipment brochures or URL links. At least two comparable contractors' estimates Contractor's estimate summary form. Useful Life Documentation Up to 20 images	For Grant Requests of \$10,000: Short Form Budget
			For Grant Requests of \$49,500 - \$1,000,000: Short Form Budget
Capital Construction Projects (No Equipment)	Standard Project Questions Design/Technical Review Questions (Construction) Managerial/Fiscal Questions (Construction) Community Access/Relevance (Construction)	Site control documents Bidding, permitting, and construction documents (work scopes, drawings and technical specifications) At least two comparable contractors' estimates Contractor's estimate summary form. Useful Life Documentation Up to 20 images	For Grant Requests of \$10,000: Short Form Budget
			For Grant Requests of \$49,500 - \$1,000,000: Full Budget
Hybrid Capital Projects with Equipment and Construction	Standard Project Questions Design/Technical Review Questions (Hybrid Projects) Managerial/Fiscal Questions (Hybrid Projects) Community Access/Relevance (Hybrid Projects)	Site control documents Bidding, permitting, and construction documents (work scopes, drawings and technical specifications) Equipment brochures or URL links. Contractors' estimates (both equipment and construction) Contractor's estimate summary form (both equipment and construction) Useful Life Documentation (both equipment and construction) Up to 20 images	For Grant Requests of \$10,000: Short Form Budget
			For Grant Requests of \$49,500 - \$1,000,000: Full Budget

- **The Application Checklist to the left appears on page 8 of the Capital Project Guidelines**

Completing the budget

- All applicants must provide an **Itemized Project Budget** (forms provided in the guidelines on page 14) detailing anticipated grant expenditures, use and source of financing for the remainder of the project, and breakdown of soft versus hard costs.
- Short-form v. Long-form – which one do you need to fill out?
 - Please view the “Application at-a-glance” to determine whether you should complete the short-form or full budget).

Long-form Budget – Instructions Tab

NYSCA_Itemized_Capital_Budget_Form_and_Reporting_Sheet_211029

Home Insert Page Layout Formulas Data Review View

Paste Tms Rmn 10 A A = = Wrap Text Number Conditional Formatting Format as Table Cell Styles Insert Delete Format

E9 fx





	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	1. Itemized Budget Form in PDF Format														
2	Please note that this form is designed to serve as a budget for the application as well as for the contracting process for awarded grants.														
3	It is also intended to serve as a template for grantees to report on the progress of their grants and request payments as their projects progress.														
4	As such, you will only be required to complete a portion of the fields in the form for the purposes of submitting this budget with your application.														
5	FOR YOUR APPLICATION - PLEASE ONLY FILL IN ORGANIZATION NAME AND PROJECT TITLE, AND ONLY USE CELLS F23 and F26 ON BUDGET SUMMARY TAB,														
6	AND COLUMNS A-F ON ITEMIZED BUDGET TAB (COLUMNS G-O SHOULD REMAIN BLANK).														
7															
8	Applicants that are awarded grants should retain copies of their completed budget forms which they will be asked to update with additional														
9	instructions that will be provided after the award is announced for the purpose of contract execution. Instructions for completing the fields														
10	required for the application are as follows:														
11	a. Complete the required fields in both worksheets in second and third tabs in this workbook														
12	• Start on Itemized Budget Tab														
13	o Complete the fields for "Applicant/Grantee Name" and "Project Title" in the top left corner. Leave the other fields blank.														
14	o Fill in Columns C, D, E, and F with the funding source for the expense, the status of that funding, the itemized total project cost, and the proposed grant allocation, respectively.														
15	o For the purposes of the application, leave columns G-M blank. These will be used for contracting and reporting in the event an award is made.														
16	o The grey columns are locked for editing, and will automatically calculate as needed.														
17	• Then move to Budget Summary Tab														
18	o Complete the fields for "APPLICANT/GRANTEE CONTRACTOR SFS PAYEE NAME", "PROJECT NAME" and "CONTRACT PERIOD" in the top section. Leave "PAYMENT REQUEST NO" blank.														
19	o In the lower section, fill in the two cells for Total Project Cost (F23), Program Grant Sum (F26) ONLY.														
20	o Cells F23 and F26 on Budget Summary Tab should match the total project cost and NYSCA request amounts entered in the application portal.														
21	o Cell F23 on Budget Summary Tab should match Cell E45 on Itemized Budget Tab. If these do not match, please review the document for errors and revise as needed.														
22	o Cell F26 on Budget Summary Tab should match Cell F45 on Itemized Budget Tab. If these do not match, please review the document for errors and revise as needed.														
23	o You do not need to sign or notarize the form for the purposes of the application.														
24	• Convert both sheets into a single PDF before uploading to the Application portal.														
25															
26															

Instructions - Read First Itemized Budget Budget Summary +

Long-form Budget – Itemized Budget

NYSCA Itemized Budget Sheet

APPLICANT GRANTEE CONTRACTOR SFS PAYEE NAME: 
 PAYMENT NO:
 PAYMENT REQUEST DATE:
 CONTRACT PERIOD: 
 PROJECT NAME:

 APPLICATION  APPLICATION  APPLICATION  APPLICATION

A	B	C	D	E	F	G	H	I	J
ITEM NO.	DESCRIPTION OF WORK	FUNDING SOURCE	STATUS (SECURED, IN-PROGRESS, ANTICIPATED)	APPLICATION TOTAL PROJECT BUDGET	NYSCA PROPOSED GRANT BUDGET	SCOPE CHANGES	REVISED CONTRACT BUDGET (GRANT ONLY)	REVISED TOTAL PROJECT BUDGET	TOT/ PROJE ACTU
CONSTRUCTION:									
	GENERAL CONSTRUCTION								
	MASONRY								
	LANDSCAPING								
	MECHANICAL / HVAC								
	ELECTRICAL								
	PLUMBING								
	VERTICAL TRANSPORTATION								
OTHER:									
	CAPITALLY ELIGIBLE SYSTEMS (a/v, computer, etc.)								
	FURNITURE, FIXTURES & EQUIPMENT								
	CM/ GENERAL CONDITIONS								
	CONTINGENCY								
	SUBTOTAL								
NON-CONSTRUCTION BASED ELIGIBLE EXPENSES									
	ARCHITECT & ENGINEERING DESIGN SERVICES								
OTHER:									
	SUBTOTAL								
<small>Note: Please list budget breakdown to the space provided above. Further line item detail beyond that for which space is provided is not required.</small>									
	BUDGET TOTAL								





Instructions - Read first **Itemized Budget** Budget Summary +

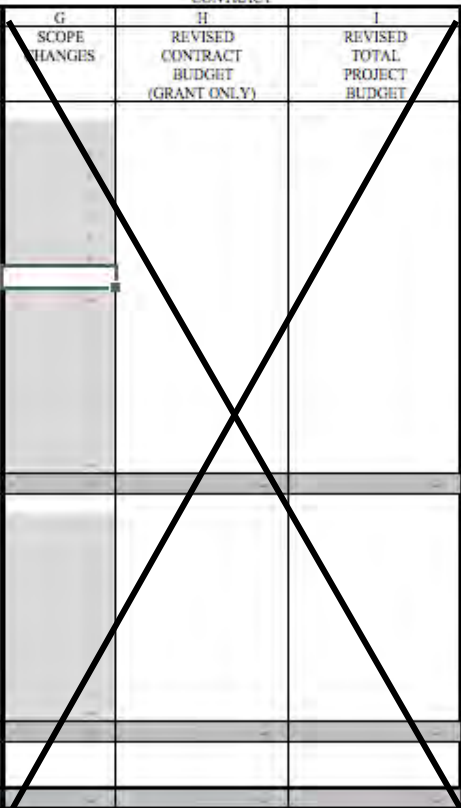


Long-form Budget – Itemized Budget

NYSCA Itemized Budget Sheet

APPLICANT/GRANTEE/CONTRACTOR/SFS/PAYEE NAME: 
 PAYMENT NO:
 PAYMENT REQUEST DATE:
 CONTRACT PERIOD: 
 PROJECT NAME:

 APPLICATION  APPLICATION  APPLICATION  APPLICATION

A	B	C	D	E	F	G	H	I	J
ITEM NO.	DESCRIPTION OF WORK	FUNDING SOURCE	STATUS (SECURED, IN-PROGRESS, ANTICIPATED)	APPLICATION TOTAL PROJECT BUDGET	NYSCA PROPOSED GRANT BUDGET	SCOPE CHANGES	REVISOR CONTRACT BUDGET (GRANT ONLY)	REVISOR TOTAL PROJECT BUDGET	TOTAL PROJECT ACTUAL
CONSTRUCTION:									
	GENERAL CONSTRUCTION								
	MASONRY								
	LANDSCAPING								
	MECHANICAL / HVAC								
	ELECTRICAL								
	PLUMBING								
	VERTICAL TRANSPORTATION								
	OTHER:								
	CAPITALLY ELIGIBLE SYSTEMS (a/v, computer, etc.)								
	FURNITURE, FIXTURES & EQUIPMENT								
	CM/ GENERAL CONDITIONS								
	CONTINGENCY								
	SUBTOTAL								
NON-CONSTRUCTION BASED ELIGIBLE EXPENSES									
	ARCHITECT & ENGINEERING DESIGN SERVICES								
	OTHER:								
	SUBTOTAL								
<small>Note: Please list budget breakdown to the space provided above. Further line item detail beyond that for which space is provided is not required.</small>									
	BUDGET TOTAL								



Long-form Budget – Budget Summary

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P		
NYS CA CAPITAL BUDGET SUMMARY AND CERTIFICATION FOR PAYMENT																	
STATE AGENCY: COUNCIL ON THE ARTS 300 Park Ave South New York, NY 10010			PROJECT NAME: ←			PAYMENT REQUEST NO:											
APPLICANT/GRANTEE CONTRACTOR SFS PAYEE NAME: ←						CONTRACT PERIOD: ←											
GRANTEE/CONTRACTOR'S APPLICATION FOR PAYMENT *																	
Application is made for payment, as shown below, in connection with the Contract. Capital Based Budget Continuation Sheet is attached.																	
TOTAL PROJECT COST <small>(Total Project Cost from application)</small>			→			[]											
PROGRAM GRANT SUM <small>(Grant sum for this award only)</small>			→			[]											
1. REVISED BUDGET TOTAL <small>(Column E on sheet 2)</small>			\$			0.00											
2. TOTAL COMPLETED & STORED TO DATE <small>(Column H on sheet 2)</small>			\$			0.00											
3. PROJECT PERCENTAGE COMPLETION <small>(Column I on sheet 2)</small>			\$			[]											
4. PREVIOUS APPLICATION PAYMENTS <small>(Line 4 from prior application)</small>			\$			[]											
5. BALANCE TO FINISH <small>(Line 1 less line 4, this application)</small>			\$			0.00											
6. CURRENT PAYMENT DUE <small>(% due per Capital Grant Payment terms and Reporting requirements)</small>			\$			[]											
GRANTEE/CONTRACTOR'S CERTIFICATE FOR PAYMENT																	
The undersigned Contractor certifies that to the best of the Contractor's knowledge, information, and belief, this Application for Payment has been filed in accordance with the Contract Documents, and is now due.																	
GRANTEE/CONTRACTOR:																	
By: _____ (Title: Executive Director or CFO)																	
(Print name)																	
Date: _____																	
(Signature)																	
Notary:																	
State of: _____ County of: _____ day of _____																	
Subscribed and sworn to before me this _____																	
Notary Public: _____																	
My Commission expires: _____																	
Instructions - Read First Itemized Budget Budget Summary																	



Long-form Budget – Budget Summary

NYS CA CAPITAL BUDGET SUMMARY AND CERTIFICATION FOR PAYMENT

STATE AGENCY: PROJECT NAME: PAYMENT REQUEST NO:
 COUNCIL ON THE ARTS
 300 Park Ave South
 New York, NY 10010

APPLICANT/GRANTEE CONTRACTOR SFS PAYEE NAME: CONTRACT PERIOD:

GRANTEE/CONTRACTOR'S APPLICATION FOR PAYMENT *
 Application is made for payment, as shown below, in connection with the Contract.
 Capital Based Budget Continuation Sheet is attached.

TOTAL PROJECT COST (Total Project Cost from application)

PROGRAM GRANT SUM (Grant sum for this award only)

1. REVISED BUDGET TOTAL (Column E on sheet 2)	\$	\$0.00
2. TOTAL COMPLETED & STORED TO DATE (Column H on sheet 2)	\$	\$0.00
3. PROJECT PERCENTAGE COMPLETION (Column I on sheet 2)	\$	
4. PREVIOUS APPLICATION PAYMENTS (Line 4 from prior applications)	\$	
5. BALANCE TO FINISH (Line 1 less line 4, this application)	\$	\$0.00
6. CURRENT PAYMENT DUE (% due per Capital Grant Payment terms and Reporting requirements)	\$	

GRANTEE/CONTRACTOR'S CERTIFICATE FOR PAYMENT
 The undersigned Contractor certifies that to the best of the Contractor's knowledge, information and belief, this Application for Payment has been filed in accordance with the Contract Documents, and is now due.

GRANTEE/CONTRACTOR:

By: (Print name) (Title: Executive Director or CFO)
 (Signature) Date:

Notary:
 State of: County of: day of
 Subscribed and sworn to before me this
 Notary Public:
 My Commission expires:

Instructions - Read First | Itemized Budget | **Budget Summary**



Panel Evaluation

- Panel of experts, including architects, engineers, technical professionals, and arts administrators with experience leading capital projects
- Panelists will strongly consider design elements, value to community, and overall project feasibility (including capacity to finance, fundraise, and maintain the facility after completion).

Scored Criteria

Design & Technical Review (0-5)	Managerial & Fiscal (0-5)	Community Relevance/Access (0-5)
<p>- Applicant has identified a problem or need that the project is likely to address.</p> <p>- Project is well designed excellence, as reflected in construction documents, specifications, drawings, equipment selections and other technical information and/or the selection of consultants appropriate to the project.</p> <p>- Bids demonstrate the information given to contractors is complete and thorough.</p> <p>- For Capital Projects: passes engineering review.</p>	<p>- Applicant demonstrates the ability to finance, fundraise, and manage cash flow through the duration of the project.</p> <p>- Staff, consultants and contractors have the expertise and capacity to manage this project.</p> <p>- Timeline, Project Plan, and Fundraising and Financing plan demonstrate capacity to fund and support the project through completion.</p> <p>- Organization has the capacity to operate and manage these improvements after project is complete.</p> <p>- Applicant has met all other requirements of the application – eligibility, support material, etc.</p>	<p>- Project is likely to improve the organization's ability to serve its audience and community.</p> <p>- Demonstrates engagement with the relevant communities that informs project decision-making.</p> <p>- Project will improve or maintain safety and accessibility within the facility in ways that make it more useable by a diverse set of participants.</p> <p>- Organization is contracting with, or has made good-faith effort to contract with MWBE businesses as part of this project.</p>

Three criteria:

- Design & Technical Review
 - Managerial & Fiscal
 - Community Relevance/Access
- A copy of the table to the left is available for reference on page 17 of the Capital Guidelines.

Scored Criteria

Category Score	Scoring Guide
5	Meets or exceeds all benchmarks.
4	Meets most benchmarks.
3	Meets some benchmarks.
2	Meets few benchmarks.
1	Does not meet any benchmarks.
0	Question left unanswered, activities not arts/culture, response provides insufficient detail to understand programming.

- Each criterion (Design & Technical Review, Managerial & Fiscal, Community Relevance/Access) will be given a rating from 5-0.
- The application will receive an overall score which averages all three criteria. However, any application that receives an average score of 2 and below in any criterion will not be eligible for support.
- A copy of the table to the left is available on page 18 of the Capital Guidelines.

Priorities for Funding

You can find all priorities listed on page two of the guidelines.

- Projects that improve, expand, or rehabilitate existing buildings to provide access for all
- Projects that address known health and safety deficiencies
- Projects that address issues of building stabilization
- Projects from organizations that further cultural development in rural or underserved communities
- Projects that reduce an organization's operating costs
- Projects that demonstrate environmental stewardship and/or sustainable building practices
- Organizations that have not received recent significant NYSCA or NYSCA-REDC capital funding (FY2018–FY 2020)
- Projects that improve buildings that currently house NYSCA-funded programs

Contact Information

- Applicants who still have questions should contact NYSCA Capital Fund staff at capitalprojects@arts.ny.gov.
- Plan to contact staff by **January 4, 2022**, to schedule time to discuss their proposals. *Beyond this date, we cannot guarantee that staff will be able to respond to inquiries before the application deadline. All inquiries should reference the applicant organization's name in the subject.*
- For technical questions on submitting online applications or Prequalification, contact help@arts.ny.gov.
- **A reminder all applicants must Prequalify in the Grants Gateway by the application deadline. This is a separate portal from SmartSimple.**

Q+A

Before we move to our Q+A portion here are a few important reminders:

- Start the Prequalification process immediately.
- If you think your organization is already Prequalified, please verify for your Prequalification status.
- Application portal opens: November 22, 2021
- Application portal closes: January 14, 2022, at 4PM
- We may not be able to answer all questions today, however, you are always welcome to reach the NYSCA Capital team here: capitalprojects@arts.ny.gov.