



**Council on
the Arts**

Capital Projects Fund: Small and Midsized Capital Improvement Grants for Arts and Culture

FY2023
arts.ny.gov



NYSCA SMALL AND MIDSIZED CAPITAL IMPROVEMENT GRANTS FOR ARTS AND CULTURE

Application Deadline: January 12, 2023 at 4PM

The NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture strives to make investments of public funds that serve all communities and people that comprise New York State's residents and visitors. Strong projects combine excellence in design with informed decisions about organizational capacity and community needs that will positively affect the future of arts and cultural organizations across the state.

Small and Midsized Capital Improvement Grants for Arts and Culture Program Overview

Arts and cultural organizations that own or lease buildings face myriad challenges in managing those structures. Through its Small and Midsized Capital Improvement Grants for Arts and Culture, NYSCA makes strategic investments in those facilities to:

- Ensure that all people in New York have access to vibrant arts experiences
- Sustain and grow the arts' role as a critical sector of New York's economy
- Provide the necessary capital investments to maintain New York's globally recognized role as a creative engine

Program Priorities

Applicants must demonstrate how the project will support program priorities, including, but not limited to, any of the following goals:

- **ACCESSIBILITY.** Make arts facilities accessible for a diverse set of artists and participants.
- **ARTISTRY.** Enable arts and cultural programming that is more creatively compelling for artists and audiences alike.
- **CULTURAL DEVELOPMENT.** Provide further access to cultural offerings in rural areas or communities that have historically been underserved.
- **ENVIRONMENTAL SUSTAINABILITY.** Demonstrate environmental stewardship and/or sustainable building practices, improve energy efficiency, and mitigate the negative effects of climate change on the organization's ability to operate.
- **HEALTH AND SAFETY.** Address known health and safety deficiencies and adhere to new public health guidelines and requirements.

- **ORGANIZATIONAL HEALTH.** Make capital investments that reduce operating costs and/or provide new opportunities for revenue generation that will improve the health of the organization.
- **STRUCTURAL AND HISTORICAL IMPROVEMENTS.** Address issues of building stabilization and historic preservation.
- **DIVERSITY.** Make plans to diversity organizational leadership at the executive and board level.

Potential applicants are encouraged to watch the program webinar available to help determine the appropriate scope of their projects. All NYSCA Webinars are posted [here](#). Those with further questions should contact NYSCA Capital Fund staff at capitalprojects@arts.ny.gov by January 6, 2023, to schedule time to discuss their proposals. Please note that attending or watching a webinar has no bearing on your application.

NYSCA SMALL AND MIDSIZED CAPITAL IMPROVEMENT GRANTS FOR ARTS AND CULTURE AT-A-GLANCE

Total Funding Available: Up to \$50 million

Grant Sizes:

- **NO MATCH REQUIREMENT**

Flat grants, only available to applicants with budgets < \$2 million

Amounts:

- \$10,000
- \$25,000
- \$50,000

- **1:1 MATCH REQUIREMENT**

Applicant requests a specific amount within the range, max 50% of total project cost, any size organization may apply (including organizations with budgets < \$2 million)

Amounts:

- \$50,001 - \$2,000,000

Award Announcement: April 2023

Grant Term: July 1, 2023 – June 30, 2026 (3 years, extensions of up to 2 years considered)

Funding Categories:

- Capital Equipment
- Capital Construction
- Hybrid: Capital Equipment and Construction

Funding Supports:

- New construction, renovations and/or expansions of publicly accessible arts space(s)
- Purchase and installation of complete capital equipment systems

NYSCA will prioritize the following in its evaluation:

- **PRIORITY-ALIGNED PROJECTS.** Projects that align with one or more of the program priorities listed on Page 1.
- **UNDERSERVED AREAS.** Applications from communities or regions with lower concentrations of arts organizations or cultural offerings.
- **NEW GRANTEEES.** Organizations that have not received significant NYSCA or NYSCA-REDC capital funding (FY2018–FY 2022)
- **SMALL AND MIDSIZE ORGANIZATIONS.** Organizations with average annual operating expenses under \$5 million.

For applicants with prior NYSCA Capital Grants:

- While applicants are not required to have completed previously supported capital projects before applying for a new project, organizations that have significant, ongoing NYSCA-funded projects are less likely to receive FY23 Capital funding.
- Applicants that received NYSCA Capital funding in FY2022 may re-apply in FY2023, but the combined total of their FY22 grant and FY23 request may not exceed \$2 million.

PROGRAM PREREQUISITES

To be eligible to apply for the NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture, an applicant organization must meet the following minimum criteria:

- **BE PREQUALIFIED WITH NY STATE IN GRANTS GATEWAY.** The applicant must be prequalified to do business with New York State in the Grants Gateway online portal by the application deadline. For more information, see <https://arts.ny.gov/FAQforApplicants#2A> or section 8 of the [FY23 Application Manual](#).
- **BE A NONPROFIT 501c3 ARTS ORGANIZATION.** The applicant must be a non-profit arts organization, incorporated or registered to do business in New York State. Arts organizations that operate autonomously (with their own boards, funding and facility that is dedicated to arts programming), but are embedded in private universities or other non-arts 501c3s located in New York State may contact NYSCA to determine whether they are eligible to apply.
- **HAVE DEVELOPED PLANS FOR A PROJECT THAT QUALIFIES AS “CAPITAL.”**
 - *What is Capital?* Applicants must propose projects that represent eligible capital improvements, in advanced stages of development. To qualify as a “Capital Improvement”, a project must be a permanent alteration or installation that increases the value and extends the IRS-estimated useful life of a piece of real property. This can include the construction of new facilities, and the renovation or restoration of existing buildings, as well as the permanent installation of complete equipment systems that carry an IRS useful life estimate of at least 10 years.
 - *Maintenance, Repairs, and Other Types of Equipment.* While they may be extremely important to preserving the integrity of a facility and the quality of the programming housed within it, regular building maintenance, general repairs, and the purchase of individual pieces of equipment or equipment that can be easily transported outside the building are considered operating expenses, and do not qualify as “capital.” Such projects cannot receive support through the NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture (though applicants may wish to consider applying for a grant through NYSCA’s Support for Organizations category to cover such expenses). If you are unsure about whether your proposal qualifies as capital, please join our webinars or office hours, or contact program staff directly to discuss the eligibility of your project.
 - *Appropriate Stages of Development.* Proposals to the NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture should be sufficiently developed such that they are able to substantiate detailed estimates from contractors or vendors that could reasonably be engaged to undertake the work. Construction proposals must be able to provide a set of design documents sufficiently detailed for bidding, permitting, and construction. These materials must be prepared by New York State licensed architects or engineers and shall be the basis for all contractor bids submitted with the application. Roofing, HVAC, boilers, wheelchair lifts and similar projects may or may not require review by an architect or engineer. At minimum such proposals must include a scope of work, and drawings and specifications adequate for panel review. Equipment requests should be prepared to supply price lists and specifications for the systems the applicant expects to purchase. We encourage applicants to contact program staff to discuss

whether the current stage of your project is appropriate for this program.

- **ADHERE TO DEED/LEASE REQUIREMENTS BASED ON THEIR PROJECT.**

- *General Site Control Requirements.* Requests to the NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture must provide a deed to prove ownership of the facility or provide a copy of their long-term lease agreement demonstrating a remaining term that is equal to or greater than the IRS Useful Life estimate of the capital asset that would result from the proposed project. (For shorter leases, a renewal option contained in the current lease will be considered, provided such renewal does not require landlord approval).
- *Requirements for Exterior Improvements.* To apply for any exterior rehabilitation projects, such as roof replacement and façade restoration, organizations must own their facility or provide a letter of approval to undertake the work from their landlord.
- *Exception for \$10,000 and \$25,000 Equipment Requests:* Organizations applying for \$10,000 or \$25,000 Equipment grants who are ONLY seeking equipment that could be uninstalled and reinstalled in a different space may apply with a minimum lease of 2 years, regardless of the estimated useful life of the project. (If this applies to your organization, please consult program staff to confirm eligibility before submitting an application.)

- **HAVE VIABLE FINANCING FOR THE DURATION OF THE PROJECT.** The applicant must demonstrate the capacity to manage financing for the project through completion, as most of the funding is awarded on a reimbursement basis.

PLEASE NOTE

Organizations do not need to have received prior NYSCA support to be eligible for the NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture.

Organizations may only apply for one grant and may only apply to one NYSCA Capital opportunity in FY23 (applicants may not apply to both the Large Capital Improvement Grants AND the Small and Midsized Capital Improvement Grants.)

Request Amounts

The program offers two grant request amounts, with the following eligibility requirements:

\$10,000, \$25,000, or \$50,000 NO MATCH grants:

- Flat amount
- Can fund up to 100% of project costs
- Available to organizations with annual operating expenses of <\$2,000,000 on their IRS form 990 in any fiscal year ending on or after January 1, 2019

\$50,001-\$2,000,000 MATCHING grants:

- Applicant requests a specific amount between \$50,001 and \$2,000,000, supported by application documentation
- Applicant may not finance more than 50% of the total project from state sources.
- No operating budget size restriction

Eligible Costs

The general purpose of this program is to fund capital expenditures which are defined as: funds spent to acquire/upgrade physical non-consumable fixed assets in order to maintain or increase the scope of operations. These include:

- New construction
- Renovation or expansion of leasehold improvements
- Acquisition of fixed capital equipment/capitally eligible equipment systems
- Soft costs of up to 15% of total grant amount
- Furniture, fixtures, equipment, and initial outfitting
- Design services which result in construction documents
- Construction manager
- General conditions (indirect costs of construction manager, contract staff associated with the project)

Ineligible Costs

- Grant-related expenses incurred *prior* to the grant period start date of July 1, 2023
- Maintenance/repairs that do not qualify as capital improvements
- Partial equipment systems, or individual pieces of equipment that are not part of a system
- Developer fees
- Recapitalization/refinancing
- Conceptual design services that do not result in construction documents
- Design studies
- Staff salaries (even if associated with the furtherance of the capital project)
- Operational/overhead expenditures (e.g., rent, utilities, etc.)
- Fringe benefits (e.g., health insurance, retirement, and other non-mandated benefits)
- Wayfinding signage (permanent signage produced for city, county, state roads)
- Residential development (although program funds may be used for the commercial component of a mixed-use project)
- Training
- Expenses reimbursed from any other source or agency
- Food and/or beverages for consumption, including alcoholic beverages
- Legal fees, insurance/liability insurances and / or membership fees
- Competition prizes, prize money and monies paid to participants
- In-kind, donated, volunteer services

Ineligible Organizations

- Religious institutions
- Public school districts, public universities, or state agencies, or arts organizations leasing their facility from such an entity
- Municipalities (501(c)3 organizations that lease from municipalities may apply, but the municipalities themselves may not)
- Sponsored groups or projects that do not have their own 501(c)3 tax-exempt status; fiscal sponsors are not accepted in this opportunity.
- Limited liability companies (LLC), limited liability partnerships, business corporations and other for-profit business incorporation types.

The FY2023 NYSCA [Application Manual](#) (pdf):

[The Application Manual](#) explains how to:

1. Review NYSCA's general requirements
2. Become Prequalified in the Grants Gateway

The FY2023 NYSCA Application Portal for this opportunity is now open. See here for Technical Instructions on submitting an online application through the FY2023 NYSCA Application Portal: <https://arts.ny.gov/FAQforApplicants>.

TYPES OF CAPITAL SUPPORT

The NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture

includes support for: 1) the acquisition and installation of capitalequipment, and/or 2) the construction and renovation elements of capital projects. Applicants may opt to apply funds to one or both categories by selecting the relevant use of funds in the application portal.

Applicants will be prompted to provide the necessary information and materials for each type of support they are requesting.

Note: Construction projects that include the purchase and installation of one or more capital equipment systems should select the "Hybrid" category at the time of application and will be prompted to answer both construction and equipment questions.

Capital Construction

Support is available for renovation, expansion, or restoration projects for eligible buildings, or new construction projects.

Capital projects submitted for consideration must be sufficiently developed and be able to secure all required permits and approvals. Construction must be able to occur during the NYSCA contract period in order to be eligible. Additionally, applicants requesting support for installation of stage rigging, elevators, wheelchair lifts, boilers, stage rigging, and HVAC systems should apply under this category. All applications in this category are reviewed by New York State licensed engineers and architects.

Projects that are comprised of activities that are designated as "operating" costs cannot be considered for support. Examples of common projects that are considered operating rather than capital expenses include but are not limited to:

- Interior and exterior painting (except in the following cases: the initial paint application after new construction or renovation, specialty paint applied for the purposes of weatherization, or paint as part of a complete building envelope restoration)
- Carpeting or other soft floor covering material (except in the case of initial outfitting after new construction)
- Landscaping (except in cases where planting complies with local mandates as part of construction)

- Minor repairs that do not extend the IRS estimated useful life of the building.

Capital Equipment

If your request includes the acquisition of capitolly-eligible equipment systems, we will require specific information to evaluate your application.

Support may be requested for the purchase of major equipment, to be used on the premises of the applicants' facility, that is essential to the production and/or presentation of an art form. Examples include theatrical lighting or sound systems, gallery lighting, sprung flooring, assisted listening systems, large-type and Braille printers, theatre seats, projectors, and fire curtains. Museum collections storage systems are also eligible. Such professional equipment may also be requested for programs focused on professional training/rehearsal as well as arts education. For example, sprung flooring might be requested for a rehearsal space for professional dancers or dance education programs.

Applications for the following equipment should only be made through the Construction category (as they will require construction elements to make them capitolly eligible):

- Stage rigging
- Wheelchair lifts
- HVAC systems
- Elevators
- Boilers

Examples of ineligible equipment requests include:

- Vehicles
- Generators
- Office furniture
- Office shelving
- Stackable chairs
- Office computers and software
- Distance learning equipment
- Food service equipment
- Telephones
- Musical instruments

Recognizing that the latest technology may need to be run with computers, applicants may only include computers if the applicant can clearly make the case that the equipment is part of a capitolly-eligible system and is critical to producing an art form or making a space publicly accessible (e.g., as part of a projection system, security system, or building management system) and is not for daily, office/administrative use.

COMPLETING YOUR APPLICATION

Application Requirements

Applicants must complete and submit an application through the NYSCA FY23 Application Portal by the application deadline. [Click here](#) for the Technical Instructions to register and submit an application on the NYSCA FY23 Application Portal. The application will be reviewed by NYSCA staff and a panel of professionals with relevant expertise.

Applicants will be required to respond to a series of questions in the application and upload support materials:

- Detailing the project activities
- Demonstrating how arts and culture is a central component of the project and the mission of the applicant organization
- Addressing how the project aligns with the program goals
- Making the case for whether the applicant has the capacity to undertake the work
- Outlining the potential benefit that will be derived for the organization, its audience, and the broader community.

Full lists of questions and required supplemental materials by request type are listed below.

Financing Requirements (For Grants Of \$50,001 - \$2,000,000 Only)

- The combination of NYSCA and other state funds can support no more than 50% of overall project costs.
- Applicants must be able to demonstrate how they will finance the remainder of the overall project (and the most competitive applications will be those that have already raised the majority of that financing).

Tips for Completing Your Application

- **Do not assume reviewers have familiarity with your organization, project, or region.** Panelists come from many areas across the state and from a variety of professional backgrounds. Make your case thoroughly and concisely for a diverse audience; be specific about your needs, goals, capacity, proposed activities, and composition of your community. Be as detailed as possible in the space provided and avoid redundancy.
- **Demonstrate alignment with program priorities.** Make sure your responses in the questionnaire collectively explain how your project aligns with the goals of the program.
- **Adhere to eligibility requirements.** Read program guidelines carefully to ensure your application is not disqualified. Common eligibility issues include lacking prequalified status in Grants Gateway at the time of the application deadline; requesting an amount outside the range for the program; proposing ineligible activities; and sourcing more than 50% of the financing for a project from state funds (for matching grants).
- **Double check your budget totals.** Make sure itemized costs add up to your request and overall project totals, and that proposed costs adhere to eligibility requirements.
- **Specify expense allocations.** Explain the itemized costs in your budget in the space

available. Be sure to indicate how funds will be expended specifically, and how your costs were calculated.

- **Explain organizational financial statements.** If there are abnormalities in your operating budgets or other financial materials (e.g., large deficits, endowment principal depletions, significant increases in expenses), add budget notes to explain them.
- **Provide letters of support.** These are not required but demonstrated support from a diversity of stakeholders in your community will strengthen your application. Please include no more than three.

APPLICATION CHECKLIST SUMMARY

Project Type	Narrative Questions	Uploads – All Applicants	Uploads by Grant Amount
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. Up to 20 images	For Grant Requests of \$10K, \$25K, \$50K: -Short Form Budget -2-Year Operating Budget
			For Grant Requests of \$50,001 - \$2,000,000: -Full Budget -4-Year Operating Budget -Fundraising/Cash Management Plan -Useful Life Documentation
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. -Up to 20 images	For Grant Requests of \$10K, \$25K, \$50K: -Short Form Budget -2-Year Operating Budget
			For Grant Requests of \$50,001 - \$2,000,000: -Full Budget -4-Year Operating Budget -Fundraising/Cash Management Plan -Useful Life Documentation
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) -Up to 20 images	For Grant Requests of \$10K, \$25K, \$50K: -Short Form Budget -2-Year Operating Budget
			For Grant Requests of \$50,001 - \$2,000,000: -Full Budget -4-Year Operating Budget -Fundraising/Cash Management Plan -Useful Life Documentation <i>(both equipment and construction)</i>

APPLICATION DETAILS

While the application portal is now open, we are including all narrative application questions within these guidelines to assist with your preparation.

STANDARD BACKGROUND QUESTIONS (ALL APPLICANTS)

(STANDARD) What is the grant type you are seeking?

- NO MATCH - \$10,000, \$25,000, \$50,000 (for organizations with budgets under \$2 million)
- MATCHING - \$50,001-\$2,000,000 (for all organization sizes)

(STANDARD) State your request amount: \$_____

(STANDARD) State your total project cost (for matching grants, this must be at least 2 times the amount of your request from NYSCA): \$_____

(STANDARD) Select the funding category for which you are seeking support:

- Capital Construction Only
- Capital Equipment Only
- Hybrid (Equipment and Construction)

(STANDARD) What were your organization's total operating expenses in its most recently completed fiscal year? \$ _____

(STANDARD) Indicate whether you own or lease the facility for which you are seeking capital support (documentation must be provided in the Uploads section of this application) (check one):

- Own
- Lease

(STANDARD) If you answered "Lease" in the last question, indicate the number of years remaining on your lease at the time of the application deadline. _____ years

(STANDARD) State the IRS estimated useful life of the capital project for which you are seeking support (of the project includes multiple elements with different estimates, please list the longest one to which you would apply NYSCA funds): _____ years

(STANDARD) Please list the anticipated start and end dates for the project:

- Construction/installation start date or anticipated date of equipment purchase: _____
- Anticipated project end date: _____

(STANDARD) Please indicate which of the program priorities the project aligns with, if any (check all that apply):

- **ACCESSIBILITY.** Make arts facilities accessible for a diverse set of artists and participants.
- **ARTISTRY.** Enable arts and cultural programming that is more creatively compelling for artists and audiences alike.
- **CULTURAL DEVELOPMENT.** Provide further access to cultural offerings in rural areas or

communities that have historically been underserved.

- **ENVIRONMENTAL SUSTAINABILITY.** Demonstrate environmental stewardship and/or sustainable building practices, improve energy efficiency, and mitigate the negative effects of climate change on the organization's ability to operate.
- **HEALTH AND SAFETY.** Address known health and safety deficiencies and adhere to new public health guidelines and requirements.
- **ORGANIZATIONAL HEALTH.** Make capital investments that reduce operating costs and/or provide new opportunities for revenue generation that will improve the health of the organization.
- **STRUCTURAL AND HISTORICAL IMPROVEMENTS.** Address issues of building stabilization and historic preservation.
- **DIVERSITY.** Make plans to diversity organizational leadership at the executive and board level.

STANDARD NARRATIVE QUESTIONS (ALL APPLICANTS)

All responses will have a maximum of 2,000 characters in the portal, unless noted.

(STANDARD) ORGANIZATIONAL BACKGROUND: Tell us about your organization, including its history and cultural and community context. Include your organization's mission and artistic/cultural vision. Describe your organization's staff, governance, and community. Contextualize it with demographic data. (up to 3,000 characters)

(STANDARD) PROJECT DESCRIPTION: Describe the project, including a clear description of the anticipated finished product, and an overview of the overall scope of work you plan to undertake to achieve that outcome. If you are proposing a "total project" that is a phase of a larger capital project, please explain the scope of the phase for which you are seeking support and explain how it fits into the larger project.

(STANDARD) ALLOCATION OF NYSCA FUNDS: Explain which elements of the project NYSCA funds would support.

(STANDARD) ALIGNMENT WITH PROGRAM PRIORITIES: Explain how the project aligns with one or more of the program priorities listed in the guidelines. Please specify which improvements would achieve these goals, and make sure your response relates to each of the priorities you checked earlier in this application.

(STANDARD) STATEMENT OF NEED: Address why this project is a good fit for your organization, and why this is a good fit for your community *at this point in time*. What will these funds enable you to accomplish that you wouldn't otherwise be able to? If this work is an expansion of some kind, indicate why you believe there is a need for the increased capacity you are proposing. If this project will help your organization better conform to local/state/federal guidelines or requirements (such as the Americans with Disabilities Act (ADA) or safety recommendations related to COVID-19, please explain in your response.

(STANDARD) FACILITY USE AND IMPACT: Describe the programming that will take place in the facility after the work is complete, who you expect to utilize the space, and how this may differ from your current programming or participation. What do you expect the impact of this work to be on your organization's artistic/cultural work and capacity to fulfill its mission?

(STANDARD) SITE CONTROL: Briefly describe the building. If you lease the building, please confirm that the time remaining on the lease is at least as long as the IRS estimated useful life of the proposed project. If the unexpired period of the lease is less than the useful life, the project is not eligible (unless you are applying for a \$10,000 or \$25,000 grant for equipment only, as noted in the guidelines). If there is a renewal option, not requiring landlord approval, please note. For any other arrangements or anomalies, please explain.

(STANDARD) BUILDINGS OF 50 YEARS OR OLDER: If the facility is 50 years or older, please note. Additionally, if the building is on the National or State Registry, please identify when it was approved and the registry number. If the facility is currently in the nomination stage, please indicate. (Max 2,000 characters)

(STANDARD) PROJECT MANAGEMENT: Detail who will manage this project, whether someone on staff or an outside consultant, and their relevant qualifications.

(STANDARD) PROJECT FINANCING: Since NYSCA can only support up to 50% of any project's total cost (except in the case of groups applying for no-match grants), briefly describe how the organization will raise the funds necessary to complete the project. This should build on the financing, fundraising, and cash management plan included in your uploaded materials, and list what resources are available, and whether they are confirmed or projected (including in-kind support).

(STANDARD) ORGANIZATIONAL CAPACITY AND LONG-RANGE PLANS: Explain your organization's current financial position, discuss historical obstacles that your organization has faced, and detail plans, opportunities, and challenges you anticipate in the future. Explain why you feel the organization has the capacity to take on the proposed project and explain how the finished project will impact the organization's financials. Please also indicate any other facility-related projects planned for the next three to five years. Note any capital campaign goals and discuss how these capital projects will be supported by the board and your broader institutional plans.

(STANDARD) CERTIFIED MINORITY AND WOMEN-OWNED CONTRACTORS: Describe efforts made to obtain estimates from certified minority-and/or women-owned vendors. Will the project contract with a New York State-certified minority or women-owned business? (Please visit the directory of NY State Certified MWBE contractors to assess availability of firms here: <https://ny.newnycontracts.com/>)

(STANDARD) PRIOR CAPITAL SUPPORT FROM NYSCA: If you have had NYSCA Capital or Facilities support since FY18, please note the status of each grant (open/closed) and provide a brief update on the progress of the project.

EQUIPMENT ONLY NARRATIVE QUESTIONS

Each question in each section will have its own text box in the application portal, max 2,000 characters.

Please note: Requests for funds to support stage rigging, wheelchair lifts, boilers, and elevators should be made in the Capital Construction or Hybrid category and may be included as a construction expense, as these items cannot be obtained as standalone units ready-for-use without professional installation by a contractor.

(EQUIPMENT) EQUIPMENT DESCRIPTION: Describe the equipment to be purchased. Confirm that the equipment constitutes a complete capital equipment system (not individual pieces of equipment). Establish the need for this equipment, why the particular equipment was chosen, and how this equipment will enhance the activities for which it is intended. Describe how it will supplement, complement, or replace current systems.

(EQUIPMENT) CONSULTANT QUALIFICATIONS: If applicable, briefly describe the consultant's qualifications as they relate to this request.

(EQUIPMENT) MAINTENANCE AND OPERATION: Discuss the ability of the organization to maintain and operate the equipment after purchase and installation. If the equipment is highly specialized, explain whether staff will require special training to use it, if it will limit who can use or access it (why or why not), whether it will require maintenance or repairs that are particularly costly or difficult to undertake, and how the organization will accommodate these additional needs.

CONSTRUCTION-ONLY NARRATIVE QUESTIONS

Each question in each section will have its own text box in the application portal, max 2,000 characters.

(CONSTRUCTION) PROJECT PLANNING: Establish the need for the project by detailing how you determined that this solution was the best means of addressing the problem and why it must be done now.

(CONSTRUCTION) CODES AND PERMITS: Please identify any local codes or state compliance (including SHPO) your project must adhere to and you will meet them that you will follow/obey. Additionally, identify any required permits including building permits and certificates of appropriateness.

(CONSTRUCTION) SCOPE OF WORK: Provide a detailed description of the work to be performed by the contractors. If this request is part of a larger capital project, briefly describe the full construction project to provide context as to how this request will fit in and be coordinated with the entire construction project.

(CONSTRUCTION) CONSULTANT QUALIFICATIONS: Briefly describe qualifications for the architect, engineer, and other lead contractors that have been hired for the project. List some similar projects that they have recently completed. Why are these consultants the right ones for this project?

(CONSTRUCTION) MAINTENANCE: Describe the ability of the organization to operate and maintain the facility after improvements are made, particularly as related to the organization's business plan.

HYBRID PROJECTS (EQUIPMENT AND CONSTRUCTION) NARRATIVE QUESTIONS

Each question in each section will have its own text box, max 2,000 characters.

(HYBRID) PROJECT PLANNING: Establish the need for the project by detailing how you determined that this solution was the best means of addressing the problem and why it must be done now.

(HYBRID) CODES AND PERMITS: Please identify any local codes or state compliance (including SHPO) your project must adhere to and you will meet them follow. Additionally, identify any required permits including building permits and certificates of appropriateness.

(HYBRID) SCOPE OF WORK: Provide a detailed description of the work to be performed by the contractors. If this request is part of a larger capital project, briefly describe the full construction project to provide context as to how this request will fit in and be coordinated with the entire construction project.

(HYBRID) EQUIPMENT DESCRIPTION: Describe the equipment to be purchased. Confirm that the equipment constitutes a complete capital equipment system (not individual pieces of equipment). Establish the need for this equipment, why the particular equipment was chosen, and how this equipment will enhance the activities for which it is intended. Describe how it will supplement, complement, or replace current systems.

(HYBRID) CONSULTANT QUALIFICATIONS: Briefly describe qualifications for the architect, engineer, and other lead contractors that have been hired for the project. List some similar projects that they have recently completed. Why are these consultants the right ones for this project?

(HYBRID) MAINTENANCE: Describe the ability of the organization to operate and maintain the facility and equipment after improvements are made, particularly as related to the organization's business plan. If the equipment is highly specialized, explain whether staff will require special training to use it, if it will limit who can use or access it (why or why not), whether it will require maintenance or repairs that are particularly costly or difficult to undertake, and how the organization will accommodate these additional needs.

APPLICATION UPLOADS

STANDARD UPLOADS (ALL APPLICANTS)

All Applicants must upload the following materials:

1. **Timeline:** a detailed project timeline (and construction schedule, if applicable, in Gantt Chart format, if possible). Include a description of the project's timeline as it relates to the NYSCA contract period. Include provisions for securing all applicable local and state compliance approvals (including SHPO).
2. **CVs:** CVs/bios for key staff and consultants.
3. **Site Control Documents:** copy of the deed or lease agreement. a) *Requests must provide a deed to prove ownership of the facility or provide a copy of their long-term lease agreement demonstrating a remaining term that is equal to or greater than the IRS Useful Life estimate of the capital asset that would result from the proposed project. (For shorter leases, a renewal option contained in the current lease will be considered, provided such renewal does not require landlord approval).* b) *To apply for any exterior rehabilitation projects organizations must own their facility or provide a letter of approval to undertake the work from their landlord.* c) *Organizations applying for \$10,000 or \$25,000 Equipment grants who are ONLY seeking equipment that could be uninstalled and reinstalled in a different space may apply with a minimum lease of 2 years, regardless of the estimated useful life of the project. (If this applies to your organization, please consult program staff to confirm eligibility before submitting an application.)*
4. **Itemized Project Budget** (form provided) detailing anticipated grant expenditures, use and source of financing for the remainder of the project, and breakdown of soft versus hard costs (\$10,000, \$25,000 or \$50,000 requests may submit a short form budget).
 - [click here](#) to view the full budget (requests of \$50,001 - \$2 million)
 - [click here](#) to view the short-form budget (requests of \$10,000, \$25,000, or \$50,000)
5. **A four-year operating income and expense comparison**, including your two most

recently completed fiscal years (audited or finalized) and your current and next fiscal years (projected). (\$10,000, \$25,000, and \$50,000 requests only need to supply a two-year comparison: current- and next-year projections.) For each year, comparisons should:

- a. detail types and amounts of earned and contributed income, and high-level expense categories
 - b. indicate both annual and accumulated surpluses/deficits below the operating lines
 - c. list the balances of any designated reserve or endowment funds below the operating lines
6. **Budget notes** to accompany both the itemized budget form and operating financials with explanations for each line item.
7. **A fundraising/financing/cash management plan (for matching requests of \$50,001 to \$2,000,000 only)** that details the following:
- a. The amount and sources of funding already secured for the project (and whether that funding is already in hand or an anticipated date of receipt).
 - b. A detailed list of potential sources of funding for the remainder of the project, including the status of any discussions/applications/proposals, expected amount and likelihood for successfully obtaining funds (with rationale for this expectation), and timeline for award/donation decisions.
 - c. A cultivation plan for identifying and approaching donors or funders that have not yet been engaged (if applicable).
 - d. A detailed financing and cash management plan for bridging the time between cash outlays and actual receipt of project-restricted funds (*including a portion of this grant, which, if awarded, would not be paid until majority completion of the project*). Please include:
 - i. A list of sources, confirmation of whether or not financing has been secured, or a plan for doing so.
 - ii. Cash flow projections for the duration of the project
8. Letters of Support (Optional) from key partners, stakeholders, and/or members of the community or elected officials.

CAPITAL EQUIPMENT UPLOADS

All applicants to CAPITAL EQUIPMENT must also submit the following support materials:

1. Equipment brochures or URL links.
2. At least two comparable contractors' written estimates or purchase orders for the equipment described in the application. Components should be listed separately.
3. Contractor's estimate summary form. Download the form [here](#).
4. Useful Life Documentation: Letter from an appropriate individual who can state the useful life of the proposed equipment.
5. Up to 20 images or website reference of the facility and area which is part of this request.

CAPITAL CONSTRUCTION UPLOADS

All applicants to CAPITAL CONSTRUCTION must also submit the following support materials.

1. One set of documents sufficiently detailed for bidding, permitting, and construction. These materials must be prepared by New York State licensed architects or engineers and shall be the basis for all contractor bids submitted with the application. Roofing, HVAC, boilers, and wheelchair lift projects may also require review by an architect or engineer. At minimum such projects must submit work scopes, drawings, and

- technical specifications for adequate panel review.
2. At least two comparable contractors' written estimates based on the construction documents.
 3. Contractor's estimate summary form. Download the form [here](#).
 4. Useful Life Documentation: Letter from an architect, engineer, or contractor stating the useful life of the proposed capital project.
 5. Up to 20 images or website reference of the facility and area which is part of this request, and up to 5 images of the consultant's work with descriptive text, for a maximum of 25 images.

HYBRID CAPITAL PROJECTS (EQUIPMENT AND CONSTRUCTION) UPLOADS

All applicants to CAPITAL EQUIPMENT AND CONSTRUCTION must also submit the following support materials:

Equipment

1. Equipment brochures or URL links.
2. At least two comparable contractors' written estimates or purchase orders for the equipment described in the application. Components should be listed separately.
3. Contractor's estimate summary form. Download the form [here](#).
4. Useful Life Documentation: Letter from an appropriate individual who can state the useful life of the proposed equipment.
5. Up to 20 images or website reference of the facility and area which is part of this request (max 20 images in combination with construction images).

Construction:

1. One set of documents sufficiently detailed for bidding, permitting, and construction. These materials must be prepared by New York State licensed architects or engineers and shall be the basis for all contractor bids submitted with the application. Roofing, HVAC, boilers, and wheelchair lift projects may also require review by an architect or engineer. At minimum such projects must submit work scopes, drawings, and technical specifications for adequate panel review.
2. At least two comparable contractors' written estimates based on the construction documents.
3. Contractor's estimate summary form. Download the form [here](#).
4. Useful Life Documentation: Letter from an architect, engineer, or contractor stating the useful life of the proposed capital project.
5. Up to 20 images or website reference of the facility and area which is part of this request (max 20 images in combination with equipment images), and up to 5 images of the consultant's work with descriptive text, for a maximum of 25 images.

Reminder: In addition to submitting a completed application in the NYSCA FY2023 Application Portal, applicants must also be Prequalified to do business with New York State in the separate Grants Gateway online portal by the application deadline. For more information, see <https://arts.ny.gov/FAQforApplicants#2A> or section 8 of the [Application Manual](#).

EVALUATION CRITERIA:

The following rubric explains three overarching criteria that will be considered in evaluating your application. Each criterion will be given a rating from 5-0. The application will receive an overall score which averages all three criteria. However, any application scoring 2 and below in any criterion will not be eligible for support.

Design & Technical Review (0-5)	Managerial & Fiscal (0-5)	Community Relevance/Access (0-5)
<ul style="list-style-type: none"> - Applicant has identified a problem or need that the project is likely to address. - 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. - Bids demonstrate the information given to contractors are complete and thorough. - For Capital Projects passes engineering review. 	<ul style="list-style-type: none"> - Applicant demonstrates the ability to finance, fundraise, and manage cash flow through the duration of the project. - Staff, consultants, and contractors have the expertise and capacity to manage this project. - Timeline, Project Plan, and Fundraising and Financing plan demonstrate capacity to fund and support the project through completion. - Organization has the capacity to operate and manage these improvements after project is complete. - Applicant has met all other requirements of the application – eligibility, support material, etc. 	<ul style="list-style-type: none"> - Project is likely to improve the organization’s ability to serve its audience and community. - Demonstrates engagement with the relevant communities that informs project decision-making. - Project will improve or maintain safety and accessibility within the facility in ways that make it more useable by a diverse set of participants. - Organization is contracting with or has made good-faith effort to contract with MWBE businesses as part of this project.

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.

FISCAL REVIEW

NYSCA will review the basic financial information in your recent IRS Form 990s as well as your submitted application. If your IRS Forms 990 between FY2019-2021 show consecutive years of more than 10% decline in net assets, we may require additional information to determine your eligibility for funding.

POST-AWARD PROCESS

Applicants granted awards under this program will receive an Award Letter detailing grant amount, terms, and requirements. If the grantee accepts the award, the grantee will be required to enter into a grant services contract with New York State.

Grantees must meet the following requirements prior to approval and execution of a contract with New York State and disbursement of funds:

1. Continue to be Prequalified in the New York State Grants Gateway online portal.
2. Be registered and up to date with filings with the New York State Office of the Attorney General's Charities Bureau.
3. Be enrolled in ePayments, New York State's electronic payment program.

For information on the NYSCA contract forms required for grants of different award amounts, see <https://arts.ny.gov/manage-your-grant#2>.

NYSCA FY2023 Capital Fund Payment Terms and Reporting Requirements

For Grants of \$10,000 and \$25,000: NYSCA will make a payment to the grantee in the amount of 100% of the grant following contract execution. Grantees will be required to submit a final report no later than 60 days after the completion of the project and prior to the end date of the contract.

For Grants of \$50,000 - \$2,000,000: The following payment and reporting terms will apply:

Payment 1:

NYSCA will make one initial payment to the grantee in the amount of 25% of the grant following contract execution.

The following additional documents are required to complete contract execution:

- a) Completed Contract Forms in the New York State online contracting portal.
- b) Notarized Project Budget form showing itemized hard and soft costs.
- c) MWBE Utilization Plan.
- d) Facility Use Affidavit.
- e) Subcontractor Identification Form.
- f) Submit executed copies of all sub-contractor contracts valued above \$100K.
- g) Adherence to other NYSCA requirements, including New York State Vendor Responsibility review and up-to-date proof of NYS workers compensation and disability insurance. For more information on Vendor Responsibility, see <https://arts.ny.gov/manage-your-grant#7>.

Payment 2:

An additional 35% of the grant will be payable upon submission and approval of a progress report demonstrating completion of at least 60% of the total project, and containing the following:

- a) Updated Project Summary and Performance Measures.
- b) Completed NYSCA Reporting Affidavit–Second and Third Claim for Payment and Interim/Final Reporting form, including: Project Narrative (summary outlining progress of scope completed to date, including any material changes to design or scope objectives, anticipated costs, and expenditures); MWBE utilization progress report; list of sub-contractor contracts valued above \$100K; and confirmation of fundraising toward the total project to-date. (Must be notarized.)
- c) Updated notarized Project Budget form showing progress payments of at least 60% of project cost, including backup – bills of sale, photos of work in place and stored materials.
- d) Subcontractors' backup – bills of sale, photos of work in place and stored materials, and copies subcontracts valued over \$100K executed after execution of the NYSCA contract.

Payment 3:

The remaining 40% of the grant will be payable upon submission and approval of a final progress report demonstrating substantial completion of at least 95% of the total project, and containing the following:

- a) Updated Project Summary and Performance Measures.
- b) Completed NYSCA Reporting Affidavit–Second and Third Claim for Payment and Interim/Final Reporting form, including: Project Narrative (summary outlining progress of scope completed to date, including any material changes to design or scope objectives, anticipated costs, and expenditures); MWBE utilization progress report; list of sub-contractor contracts valued above \$100K; and confirmation of fundraising toward the total project to-date. (Must be notarized.)
- c) Updated notarized Project Budget form showing progress payments of at least 95% of project cost, including backup – bills of sale, photos of work in place and stored materials.
- d) Subcontractors backup – bills of sale, photos of work in place and stored materials, and copies subcontracts valued over \$100K executed after submission of the interim report.
- e) Evidence of Project Substantial Completion as certified by Grantee CFO and CEO (for construction projects only).

**All three payments will be reconciled upon submission and approval of the final progress report.*

Participation by Minority Group Members and Women with Respect to State Contracts:

In accordance with the requirements of Article 15-A of the New York State Executive Law: Participation by Minority Group Members and Women with Respect to State Contracts, projects awarded funding shall be reviewed by the agency that may set business and participation goals for minorities and women. Established goals for awarded projects will be designated in the contract.

Please note that NYSCA's agency-wide MWBE utilization goal is 30 percent (30%). Projects may be assigned an individual contract-specific goal, which may be **higher or lower** than 30 percent (30%). Should an applicant receive a funding award, the applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project. Applicants must maintain records and take the necessary actions to demonstrate such compliance, which includes, but is not limited to updating compliance and utilization records in the New York State online contracting portal. Failure to comply with MWBE requirements may result in award reductions.

Additional Information:*Covenants*

If awarded a grant, NYSCA will require that the grantee execute a certification agreeing that the funded project facility will be used primarily for the arts and cultural uses described in the application for at least ten years from the completion of the funded project.

Deferred Maintenance

NYSCA is unlikely to fund maintenance projects and capital projects that have resulted from deferred maintenance. Examples may include roof repair, servicing of HVAC equipment, and painting.

Americans with Disabilities Act and Section 504

NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture support is particularly concerned with ensuring access to cultural events and services for all New Yorkers. Applicants whose facilities are not fully accessible to both audience members and artists with disabilities are urged to learn about and work toward compliance with the Americans with Disabilities Act of 1990 and Section 504 of the Rehabilitation Act of 1973.

Dormitory Authority Review

Projects of proposing budgets of \$1 million or greater must be referred to the Dormitory Authority of the State of New York for technical review and recommendations. This review typically takes 30 days. If the Dormitory Authority determines that a project is technically flawed, it may recommend to NYSCA that funding be denied. In such an event, it is highly unlikely that the project would be funded by NYSCA.

State Historic Preservation Office Review

Per Section 14.09 of the New York State Preservation Act, New York State's Historic Preservation Office (SHPO) must review capital projects funded by New York State to "ensure that the effects or impacts on eligible or listed properties are considered and avoided or mitigated during the project planning process." Organizations must go to: <https://parks.ny.gov/shpo/> to get more information and request a SHPO consultation

Technical Support

The Preservation League of New York State administers two grant programs on behalf of NYSCA. Technical Assistance Grants provide support for modest projects including buildings conditions assessments and structural analyses. Additionally, within the Preserve New York program, Building Condition Reports are now available.

Information on the application guidelines and deadlines can be found at Preservation League of New York State: www.preservenys.org

For All Applicants Who Apply for Funds Under This Program:

- Awarded grants are not transferable.
- All project expenditures must be demonstrated to have been expended from Grantees accounts.
- Expenditures made by partners and/or consultants are not eligible unless the grantee can demonstrate that the partner and/or consultant was directly reimbursed for the expenses and/or services rendered.
- Grant award payments may only be made to the awardee.
- Being awarded a grant does not imply automatic approval of elements in the submitted project plan if they do not comply with local/state/federal laws and/or regulations, including the requirements of the NYSCA Small and Midsized Capital Improvement Grants for Arts and Culture grant program itself.
- All grantees will be required to adhere to the terms outlined in the award letter and contract, including all requested documentation, including interim and final reports.
- All grantees are fully responsible for being aware of any taxes required to be paid as apart of accepting an awarded grant. NYSCA is not able to provide assistance on tax reporting status.
- Major changes to the scope of the project may cause a proportional reduction of award amount or termination of the awarded grant. All grantees have an obligation to promptly notify NYSCA of such changes.
- There are no fees associated with this program.

CONTACT/ADDITIONAL PROGRAM INFORMATION:

For more information, applicants should contact NYSCA at 212-459-8800 or email capitalprojects@arts.ny.gov

Potential applicants are encouraged to watch the program webinar to help determine the appropriate scope of their projects. Those who still have questions should contact NYSCA Capital Fund staff at capitalprojects@arts.ny.gov by January 6, 2023, 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.

NYSCA's appeals process set forth in the Application Manual will apply if NYSCA's State Fiscal Year 2023-2024 budget appropriation includes additional funds for capital grants.

Cover Photos (Top to Bottom): Mark Morris Dance Group; the George Eastman Museum; *Anathema* by the Otolith Group. Light Work's Urban Video Project at Everson Museum of Art; Fort Ticonderoga.