

***Indiana Arts
Commission***

***Grants Making
Handbook
for
Regional Partner
Organizations***

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***For the Indiana Arts Commission
Indianapolis, Indiana***

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INTRODUCTION

The information and materials in this handbook were compiled to provide the Indiana Arts Commission's Regional Partner Organizations with assistance in developing and implementing their regional grants making programs for allocating Regional Partnership Initiative block grant funding.

Information in this handbook is based on the Indiana Arts Commission's past grants making policies and practices.

Except where noted, specific policies, practices, and forms are optional.

All information and materials may be modified to meet the specific needs of the Regional Partner Organization.

How to use this Handbook

This handbook is divided into sections, each of which describes discrete but related tasks that make up the grants making process. See "Key Steps in the Grants Making Process" for an overview.

Each section contains a "purpose" statement and a description of related activities. Most sections also contain one or more samples of key related documents.

Read through this entire handbook from start to finish before you begin. An overview of the entire process will help you determine how best to adapt the process and materials to your own needs.

You may want to insert your own materials at the end of each related section.

ACKNOWLEDGEMENTS

The Indiana Arts Commission and the Indiana Regional Partnership Initiative are supported with funds from the Indiana General Assembly and the National Endowment for the Arts.

KEY STEPS IN THE GRANTS MAKING PROCESS

1. Develop grant guidelines and application
2. Identify desired characteristics of panelists
3. Gather names of prospective panelists
4. Develop panelist database
5. Board approves grant guidelines
6. Determine number, date, time, and location for panel
7. Develop volunteer recruitment materials
8. Gather names of prospective panelists
9. Distribute draft guidelines to field; revise
10. Board approves guidelines
11. Distribute grant guidelines
12. Distribute panelist recruitment materials
13. Conduct grants information sessions
14. Provide individualized technical assistance for application development
15. Receive panelist applications
16. Select panelists
17. Compose panels
18. Confirm panelists and chair
19. Grant application deadline
20. Check-in applications and determine eligibility
21. Finalize panelist training format and materials
22. Prepare training materials
23. Train panelists and chair
24. Distribute panelist materials
25. Send panel meeting notice letters to applicants
26. Prepare for panel meeting
27. Conduct panel meeting and tabulate ratings
28. Send panelist thank you letter from chair
29. Finalize budget modification report and instructions
30. Finalize final grant report and instructions
31. Prepare contract
32. Prepare contract notification materials and packets
33. Convert ratings to award amounts
34. Approve grant awards
35. Send grant notification packets
36. Press and media announcements
37. Send panelist certificates of appreciation
38. Set up grants files and process contract materials
39. Process payments
40. Tabulate and analyze all evaluations; evaluate process

SECTION 1

GRANT GUIDELINES

PURPOSE

Grant guidelines contain the policies, procedures, and standardized application forms for the award and utilization of financial support for arts activities.

Development

Staff develops Grant guidelines with advice from the governing board committee responsible for the agency's programs and services.

Public Review and Comment

New or substantially revised guidelines should be made available to the field and community for review and comment (through direct mailings, web site posting, public hearings, etc.). Guidelines may be modified to reflect public suggestions.

Adoption

Following review and discussion, the governing board or its designee should officially adopt the final grant guidelines.

Distribution

Grant guidelines should be distributed to prospective applicants no less than three (3) months prior to the application deadline date. Guidelines should be made available in Braille, large print, and other formats, as requested by persons with special needs.

SECTION 2

RECRUITING PANELISTS

PURPOSE

The advisory panel process provides a vehicle for broad citizen involvement in the distribution of public funding for the arts. Advisory panelists are charged with the responsibility of making objective judgements and recommendations concerning the merits of applications for state and federal arts funding.

Panelist Characteristics

Panelists should reflect a broad-based regional representation, with attention to characteristics such as gender, age, race/ethnicity, and disability. Panelists should be chosen from a wide spectrum of artistic disciplines and interests, community leadership positions, and should have experience or knowledge of public and private nonprofit agencies. Panels should contain “veteran” members to provide to provide continuity as well as new members to provide fresh viewpoints.

The Panel Chairperson

The President of the governing board, or his designee, appoints the Chairperson. Generally, the best panel chairs are those persons who have experience as panelists and as leaders of some type of volunteer committee or task force. Current governing board members may have the desired skills and can provide a direct link to the board.

Sources for Panelists

- Nominations from previous panelists, staff, board and committee members.
- “Call for nominations” through press releases and web site postings.

- Board and staff rosters from community organizations such as schools, libraries, chambers of commerce, united way organizations, health care institutions, religious organizations, community foundations, arts and other community based organizations.
- Business owners, accountants, attorneys, local elected and appointed officials.

Recruitment Materials

In order to develop recruitment materials, staff determines panelist training and panel meeting dates. Recruitment materials include recruitment letters, volunteer application, grants making process timetable, and volunteer job description. (Samples included in this section).

The governing board, or its designee, may wish to approve the final "recruitment pool" (the list of person to be invited to apply for appointment as a panelist) and recruitment materials that will be sent to prospects.

Panelist Data Base

Staff will develop a database of panelist information and regularly update information. (A list of suggested data elements is included in this section.)

The database enables staff to easily manipulate panelist information when composing panels, creating personalized panelist materials for the training session and the panel meeting, and evaluating panelist performance.

Samples in this Section

Panelist Data Base Fields

Recruitment letters (n=3)

Volunteer Application Form

Volunteer Job Description

Grants Making Timetable

SAMPLE Panelist Data Base Fields

Identification Number	Address 1
Salutation	Address 2
Last Name	City
First Name	State
Middle Initial	Zip+4
Job Title	Telephone Number
Organization	Fax Number
Panelist	E-Mail Address
Characteristics:	Special Needs:
Gender	Accessibility – P
Age	Accessibility – W
Race/Ethnicity	Accessibility – A
Hispanic Origin	Accessibility – B
County of Residence	Accessibility – L
Experience:	Accessibility – S
Experience – AE	Accessibility – SA
Experience – CD	Accessibility – Other
Experience – FR	Panelist Materials Mailed
Experience – BF	Training Attended
Experience – APE	Panel Attended
Experience – AM	Chair Letter Sent
Experience – GB	Performance Evaluation:
Conflict of Interest (COI)	Prepared
COI Organization(s)	Relevant comments
Training Exempt	Tactful
Training Choice – Training 1	Focused
Training Choice – Training 2	Team player
Panel Choice – Panel 1	Followed procedure
Panel Choice – Panel 2	Punctual
Panel Choice – Panel 3	Entire meeting
Panel Choice – Panel 4	Re-appoint?
Status (selected, rejected)	Other volunteer position?
Action:	Comments
Rejection Letter Sent	Ask Again?
Training Assigned	Final Thank you Letter Sent
Training Confirmed	Certificate of Appreciation Sent
Panel Assigned	
Panel Confirmed	

SAMPLE Recruitment Letter #1 (Volunteers who could not serve)

Dear (First Name):

Thank you for your interest in representing your community as a volunteer in the (previous year) grants review advisory panel process. We are sorry that you did not have the opportunity to participate. However, we are now recruiting panelists for the (year) process and hope that you will be able to serve this year.

As you know, the (RPO name) is a steward of the public's investment in the arts. An important part of our stewardship responsibility is assuring that representatives of the community -- people like you -- help make decisions about how your federal and state tax dollars will be used to support the arts in Region (#).

For your information, we have enclosed some information about the (year) process and volunteer responsibilities, as well as an application form. If you would like to serve in the citizen review process, please complete the form and return it to me **by (date)**. Panel appointments will be confirmed by (date).

Please feel free to contact (name) at (telephone) with any questions regarding this material.

Thank you for supporting the arts in Indiana!

Sincerely,

Name

Title

Enclosures: Application
Volunteer Job Description
Grants Making Process Timetable
Regional Map
RPO Information

SAMPLE Recruitment Letter #2 (Veteran panelist)

Dear (First Name):

Thank you for representing your community as a volunteer in the (year) grants review advisory panel process. Your involvement helped to make the review process a real success!

At this time, we are again recruiting panelists for the (year) process and hope that you will be able to serve this year. Your “veteran” status will lend consistency to the process and new panelists will be supported by the presence of “seasoned” members such as yourself.

As you know, the (RPO name) strives to be a good steward of the public's investment in the arts. An important part of our stewardship responsibility is assuring that knowledgeable representatives of communities within Region (#) -- people like you -- continue to help make decisions about how your federal and state tax dollars will be used to support the arts in this part of Indiana.

For your information, we have enclosed some information about the (year) process and volunteer responsibilities, as well as an application form. If you would like to serve in the citizen review process, please complete the form and return it to me **by (date)**. Panel appointments will be confirmed by (date).

Please feel free to contact (name) at (telephone) with any questions regarding this material.

Thank you for supporting the arts in Indiana!

Sincerely,

Name
Title

Enclosures: Application
 Volunteer Job Description
 Grants Making Process Timetable
 Regional Map
 RPO Information

SAMPLE Recruitment Letter #3

(First-time recruit)

Dear (Full Name):

Your name has been submitted to the (RPO name) as a person who would be qualified for and may be interested in representing your community as a volunteer in the (year) grants review advisory panel process.

The (RPO name) is a steward of the public's investment in the arts. An important part of our stewardship responsibility is assuring that representatives of the community in Region (#) -- people like you -- help make decisions about how your federal and state tax dollars will be used to support the arts in this part of Indiana.

For your information, we have enclosed some information about the (year) process and volunteer responsibilities. An application form is also enclosed. If you would like to serve in the citizen review process, please complete the form and return it to me **by (date)**. Panel appointments will be confirmed by (date).

Please feel free to contact (name) at (telephone) with any questions regarding this material.

Thank you for supporting the arts in Indiana!

Sincerely,

Name
Title

Enclosures: Application
 Volunteer Job Description
 Grants Making Process Timetable
 Regional Map
 RPO Information

SAMPLE Volunteer Application

Please return this form by (date). For more information, call (name) at (telephone).

1. _____ **YES** I would like to serve as an Advisory Panelist.
 _____ **NO** I cannot serve as an Advisory Panelist. Ask again next year. **(Please complete #1- #15 only.)**

2. Circle one: Mr. Ms. Mrs. Rev. Dr. Other: _____

3. LAST NAME: _____ FIRST NAME: _____ MI: _____

4. MAILING ADDRESS: _____

_____ Include Street, City, and Zip Code + 4 **(Please, no P.O. Box info.)**

5. TELEPHONE: (_____) _____ Extension: _____

6. FAX: (_____) _____

7. E-MAIL: _____

8. JOB TITLE: _____

9. ORGANIZATION/COMPANY NAME: _____

10. GENDER: _____ Female _____ Male

11. AGE: _____ Under age 55 _____ Age 55 and above

12. RACE/ETHNICITY:
 _____ American Indian/Alaskan Native; or
 _____ Asian/Pacific Islander; or
 _____ Black/African-American; or
 _____ White/Caucasian; or
 _____ Multiracial (two or more of the above)

13. _____ Hispanic decent/origin

14. COUNTY OF RESIDENCE: _____

15. **EXPERIENCE** (Check all applicable):
 _____ Artist/Arts Educator
 _____ Community Development
 _____ Fundraising
 _____ Budgeting/Finance
 _____ Needs Assessment/Program Planning/Program Evaluation
 _____ Nonprofit or Public Agency Administration/Management
 _____ Nonprofit or Public Agency Governing Board or Committee
 -more-

SAMPLE Volunteer Application, continued

16. **CONFLICT OF INTEREST**

A person having a special relationship with an organization seeking funding from the IAC may not serve on the advisory panel that reviews the organization's application. Please identify any nonprofit organization where any of the following relationship(s) currently exists for you and/or a family member:

- A.** Member of governing board or policy making committee
- B.** Has significant business relationship with the organization
- C.** Conducts an annual independent audit of the organization
- D.** Employee or paid consultant of the organization

Name of Organization	Type of Conflict (A-D)

17. **ADVISORY PANEL OPTIONS** **[Use this if you have more than one panel]**

All panels begin at (time) and generally last no later than (time), depending on the number of applications to be reviewed.

All panel meetings will be held in (city). Complementary lunch will be provided.

The advisory panel will review grant applications submitted by a variety of arts agencies and other community-based organizations located within a specific geographic region of Indiana (see enclosed map).

Please make a record of your selected panel date. We will confirm your panel assignment by (date).

I would like to serve on this ADVISORY PANEL (You may enter more than one date.):

[Example of types of panels]

- | | | |
|-------|--------------------|--|
| _____ | Tuesday, March 24 | Operating Support for Arts Organizations |
| _____ | Thursday, March 26 | Project Support for Arts and Other Community-based Organizations |
| _____ | Tuesday, March 31 | Mini-Grants Support for Arts and Other Community-based Organizations |
| _____ | Thursday, April 3 | Technical Assistance Grants for Arts Organizations |

-more-

SAMPLE Volunteer Application, continued

18. **NEW PANELIST TRAINING**

Persons who did not serve on a panel last year **MUST** attend a training session prior to their assigned panel meeting. Training is **OPTIONAL** for persons who served on a (year) panel.

All training sessions will be held in (city).

• **I will attend this TRAINING SESSION: (check one)**

_____ Thursday, March 5 10:00 a.m. until noon, EST

_____ Friday, March 6 2:00 p.m. until 4:00 p.m., EST

_____ Not Applicable; I served on an advisory panel in (year)

19. **ACCESSIBILITY ACCOMMODATIONS for Training and Panel Meetings**

Note: All training and meeting facilities are fully accessible.

I will require:

_____ Special parking arrangements

_____ Wheelchair user

_____ Attendant will accompany me

_____ Braille materials

_____ Large print materials

_____ Sign language interpreter

_____ Sound amplifying device

_____ Other: _____

Thank you for supporting the *Arts in Indiana!*

Please return this form by (date).

Please call (name) at (telephone) with questions.

SAMPLE Volunteer Job Description

GENERAL DUTIES

Volunteer advisory panelists review and evaluate applications for funding submitted by community-based nonprofit organizations and advise the (RPO name) about the adequacy of project quality, community impact, and project management of proposals.

TERM OF SERVICE

Each panel member will be appointed annually for a one-year term and will be eligible for re-appointment.

Each panel member will participate in at least one panel meeting each term (year). Panel members may elect to serve on more than one panel per term.

ORIENTATION AND TRAINING

All new panelists will attend a training session annually prior to participation on his/her assigned panel. Orientation will include an overview of specific program goals, grant application review policies, review and rating procedure, role and responsibilities of panelists, format of the panel meeting and decision-making process. *Applications to be reviewed by each new panelist will be distributed at the training session. Applications will be mailed to veteran panelists who elect not to attend training.*

PUBLIC MEETING

All advisory panel meetings are open to the public and are recorded. Grant applicants are invited to observe panel meetings but may not interact with panelists.

CONFLICT OF INTEREST

Panelists will identify applications that may pose a conflict of interest and will be excused from the panel meeting during the discussion and rating of applications where a conflict has been determined to exist.

SAMPLE

Overview of Grants Making Process

- RPO provides grants information sessions.
- Applicants consult with RPO staff to discuss project ideas and application process.
- Applications received and reviewed by staff for eligibility.
- Panelist orientation session; panelists receive eligible applications.
- Panelists review applications and assign initial ratings.
- Advisory panel meets for public review of each application.
- Final ratings assigned.
- Advisory panel ratings used to determine funding recommendations.
- RPO board review and action.
- Notification of award or denial to all applicants.
- Notification of grant awards to panelists and media.
- Grantees receive contracts and other materials.
- Appeals made within 30 days of notification of action.
- Grantees return signed contracts, vouchers, and other pertinent material.
- Contracts processed.
- First payments processed and issued. (Generally 90%)
- Grant activities take place.
- Final Grant Report Due. (Generally 30 days after project ends.)
- Final Grant Report reviewed by RPO staff.
- Final payments processed and issued. (10%)

SECTION 3

GRANTS INFORMATION SESSIONS

PURPOSE

Grants information sessions are held to explain available grant programs, guidelines, application forms and processes to prospective applicants. The session may include special one-on-one consultations following a group session.

Content

The agenda should include information about the Regional Partner Organization and the Indiana Arts Commission, the goals of the grant programs, program revisions and changes, sufficient time for questions, and an evaluation of the session.

Accessibility

The availability of information sessions should be widely publicized. Information sessions should be held at convenient times and locations within the region. All materials and facilities should be fully accessible to persons with special needs.

Samples in this Section

Press Release
Agenda
Evaluation Form

SAMPLE Information Session Press Release

DATE:

RELEASE: Immediate

CONTACT:

TITLE:

TELEPHONE:

FAX:

E-MAIL:

Indianapolis - The Indiana Arts Commission (IAC) will conduct a series of 12 information sessions throughout the state to educate schools, nonprofit arts organizations and arts providers about upcoming changes to the commission's grant programs and guidelines.

The information sessions begin November 4, in Indianapolis and conclude November 21, in Bloomington. (See page 2 for dates and locations.)

The information sessions last approximately one hour. Community development specialists from the IAC will be available for individual consultations on grant applications. These sessions will last approximately 30 minutes each, and may be scheduled through the host agency. (Also listed on page 2.). No consultation sessions will be held following the Indianapolis session. Organizations attending this session may schedule their consultations directly through the IAC office by calling 317/232-1268.

Persons requiring special accommodations should notify the IAC office by November 3, 1997.

The IAC is a state agency funded by the Indiana General Assembly and the National Endowment for the Arts. During 1997 the IAC awarded in excess of \$2.7 million in matching grants to more than 270 schools, not-for-profit community organizations, and other public agencies throughout Indiana.

The goals of the IAC are to increase access, awareness, education, and support for the arts. The commission serves the citizens of Indiana by funding, encouraging, promoting and expanding all of the arts.

SAMPLE Information Session Agenda

1. WELCOME & INTRODUCTIONS
 - Introduce ourselves and thank host
 - Ask attendees to introduce themselves; tell if they are first-time applicants
2. PURPOSE OF WORKSHOP
 - To provide quick overview of the grant program changes from last year
 - To encourage consultation after the session; today or call for appointment
 - To encourage reading the guidelines
 - To step through packet, present changes and implications
3. GENERAL BACKGROUND OF RPO
 - General mission and structure
 - Relationship to IAC
4. OVERVIEW OF GRANT PROGRAMS
 - Grant categories
 - Request amounts
 - Deadlines
5. GENERAL INFORMATION
 - General Eligibility
 - General Restrictions
 - Touring and Presenting Limitations
 - Evaluation Criteria and Panel Process
 - Support Documentation
 - What to Submit
6. APPLICATION FORM
 - Walk through forms; On disk for MS Word 6.0
7. Q&A
8. CONSULTATIONS
 - If there are consultation sessions slots available, tell them about the opportunity
9. REGIONAL PARTNERSHIP INITIATIVE
 - Invite the Regional Partner to come forward along with IAC representative to discuss the Regional Partnership Initiative. Ask for topics to be included in upcoming "Get Acquainted" meeting.
10. MEETING EVALUATION
11. ADJOURN

SECTION 4

TECHNICAL ASSISTANCE

PURPOSE

Staff provides individualized technical assistance to help arts providers to conceptualize, develop, finance, implement, and evaluate arts programs and services.

Before the Panel Meeting: Program and Proposal Development

Staff works with prospective applicants to develop their program ideas, understand the program's relationship to the grant program goals, and convey their written ideas in the required grant application format.

Following the Panel Meeting or Grant Notification

Staff will discuss the panel review, rating, and panelists' rationale with the applicant. Upon request, staff will also prepare the panel audiotape and all panel review materials for applicant inspection. Staff will provide suggestions for strengthening the next application. And if indicated, staff will explain the appeals process.

During the Grant Year

Throughout the grant year, staff is available to explain reporting requirements and address other questions. In some cases, staff will make site visits to view funded activities and discuss progress. (Also see "Contract Monitoring".)

SECTION 5

COMPOSING ADVISORY PANELS

PURPOSE

Staff will receive volunteer panelist applications, compose panels, advise applicants of their rejection, and advise panelists of their appointments, including meeting dates and times.

Panelist Data Base

Following confirmation of appointments, staff will update information. (See “Recruiting Panelists”, for data fields.).

Samples in this Section

Panelist Appointment Notification Letter

Panelist Confirmation Card

Panelist Rejection Notification Letter

SAMPLE Panelist Notification Letter

Dear (First Name):

I am pleased to inform you that you have been selected to participate as an Advisory Panelist in the (insert year) grants review process for Region (insert #). Your assignment is as follows:

Orientation and Training
(insert date, time, location)
Map and parking instructions enclosed

Panel Meeting
(insert date, time, location)

Please complete the enclosed card and return it to us by (date) to confirm your acceptance or rejection of the panel appointment.

Your attendance at the orientation session is important. At that time, you will meet your fellow panelists, the panel chairperson, and receive all applications and review materials.

Please contact (name) at (telephone, etc) with any questions about this letter.

We are looking forward to working with you!

Thank you again for your interest in the programs of the (insert RPO name) and for supporting the arts in Indiana!

Sincerely,

Name

Title

Enclosures: Confirmation Card
Map to Training

SAMPLE Panelist Confirmation Card

Side 1:

REGION (#)	
<u>ADVISORY PANELIST APPOINTMENT CONFIRMATION</u>	
_____	I ACCEPT the appointment.
_____	I DECLINE the appointment. _____ Ask me again next year.
NAME: _____	
TELEPHONE: _____	
Please return this card by (date).	

Side 2:

(Return address)	(Affix Postage)
 RPO name Attention: (staff name) Address City, State ZIP+4	

SAMPLE Panelist Rejection Letter

Dear (Full Name):

Thank you for your willingness to serve as a PANELIST in the (year) Region (#) grants application review process. Based on the number of applications received at the (date) deadline, we find that we have more volunteer panelists than necessary. I am sorry to inform you that we will not need your services this year.

However, with your permission, we will keep your application on file and will contact you again for next year's process. Also, we have added your name to our mailing list so we can keep in touch.

Thank you again for your interest in the programs of the (insert RPO name) and for supporting the arts in Indiana!

Sincerely,

Name

Title

SECTION 6

GRANTS DATA BASE

PURPOSE

The grants database enables staff to easily manipulate application and grants information when composing panels, creating personalized panelist materials for training sessions and panel meetings, contract monitoring, evaluating grants outcomes, and analyzing data and information for reporting, marketing, and fund raising activities.

Staff will develop a database of information about each application/grant and its disposition and will regularly update information.

Samples in this Section

Grants Data Base Fields

Demographic Data – Estimated

Demographic Data – Actual

SAMPLE Grants Data Base Fields

(*) IAC requires this item

Identification Number *	SE Address 2	Project Description ("for statement") *
Applicant Legal Name *	SE City	Date Notification Sent
Address 1 *	SE State	BMR Required
Address 2 *	SE Zip+4	BMR Received
City *	SE County	BMR Approved
State *	SE Telephone	Estimated Cash Match
Zip + 4 *	SE FAX	Estimated In Kind Match
County *	SE NP Status Verified	Total Estimated Expense
Region *	Project Begins *	Total Estimated Income
Township *	Project Ends *	
Telephone *	Project Activity Code *	Signed Contract Received
FAX *	Project Discipline Code *	Claim Vouchers Received
E-mai *l		
Contact Person Sal	Grant Category *	Date First Voucher
CP First Name *	Underserved *	Date FPayment Mailed
CP Last Name *	Arts Education *	FP Amount
CP Telephone	Presenting/Touring *	
CP FAX	Est'd Demographic Info *	Final Grant Report Due
CP E-mail	(See next page)	FGR Notice Sent
Authorizing Official Sal	Amount Requested *	FGR Received
AO First Name	Est Cash	Total Cash Match *
AO Last Name	Est In Kind	Total In-Kind Match *
Applicant Institution Code *	Est Cash Revenue	Total Expense *
Applicant Status Code *	Est In Kind Revenue	Total Income *
State House District *	Panel Rating *	Actual Demographic Info *
State Senate District *	Amount Granted *	FGR Approved
Congressional District *		Outcomes *
NP Status Verified		Amount Turnback
Tax Exempt Verified		Date Turnback Received
IRS W-9		
Fiscal Sponsor		Date Final Voucher
Sponsored Entity Name *		Date FPayment Mailed
SE Address 1		FP Amount
Tax ID Number Verified		

SAMPLE Demographic Data Fields – Estimated (from Application)

ESTIMATED
PERSONS

Estimated # Persons
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
Total #

Estimated % Persons
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
100%

Estimated # Persons by Age
Total under age 18
Total over 65

Estimated % Persons by Age
% under age 18
% over 65

Estimated # Persons
w/Disability
Total w/Mental
Total w/Sensory
Total w/Physical

Estimated % Persons
w/Disability
% w/Mental
% w/Sensory
% w/Physical

ESTIMATED
GOVERNING BOARD

Estimated # Board
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
Total #

Estimated % Board
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
100%

Estimated # Board by Age
Total under age 18
Total over 65

Estimated % Board by Age
%total under age 18
% over 65

Estimated # Board
w/Disability
Total w/Mental
Total w/Sensory
Total w/Physical

Estimated % Board
W/Disability
% w/Mental
% w/Sensory
% w/Physical

ESTIMATED
STAFF

Estimated # Staff
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
Total #

Estimated % Staff
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
100%

Estimated # Staff by Age
Total under age 18
Total over 65

Estimated % Staff by Age
% under 18
% over 65

Estimated # Staff
W/Disability
Total w/Mental
Total w/Sensory
Total w/Physical

Estimated % Staff
w/Disability
% w/Mental
% w/Sensory
% w/Physical

SAMPLE Demographic Data Fields – Actual (from Final Report)

ACTUAL ALL PERSONS SERVED

Actual Persons Served
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
Total #

Actual % Persons
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
100%

Actual # Persons by Age
Total under age 18
Total over 65

Actual % Persons by Age
% under age 18
% over 65

Actual # Persons w/Disability
Total w/Mental
Total w/Sensory
Total w/Physical

Actual % Persons w/Disability
% w/Mental
% w/Sensory
% w/Physical

ACTUAL ARTISTS SERVED

Actual Artists Served
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
Total #

Actual % Artists
American Indian/Alaskan
Asian/Pacific Islander
Black/African American
Hispanic/Hispanic American
White/Caucasian
Multi-racial
100%

Actual # Artists by Age
Total under age 18
Total over 65

Actual % Artists by Age
%total under age 18
% over 65

Actual # Artists w/Disability
Total w/Mental
Total w/Sensory
Total w/Physical

Actual % Artists w/Disability
% w/Mental
% w/Sensory
% w/Physical

SECTION 7

CHECK-IN AND ELIGIBILITY REVIEW

PURPOSE

Staff will utilize a standard review process to evaluate all applications for completeness, accuracy, and availability of support materials, and determine if they are eligible for panel review. Findings and eligibility status will be recorded on a check-in sheet that becomes a part of the official file.

Grants Data Base

Following eligibility determination, staff will update the grants database. (See “Recruiting Panelists” for data fields.)

Samples in this Section

Eligibility Review Process

Check-in Sheet

Regional Report Format

Application Summary Sheet with Panelist Names

Criteria Rating Sheet

SAMPLE Eligibility Review Process

Record findings on Check-in Sheet

CHECK – IN:

1. Applications are due by (time) on deadline date. Application packets are received at the front desk (mail or hand-delivered) by the receptionist or other designated staff.
 - "On time" applications will proceed from # 2., below.

Date stamp late applications. Do not label. Give late applications to (name) for disposition.

 - Late applications will receive a letter of ineligibility from (name) to the "authorizing official" of the applicant. Late applications will be retained for 30 days after notice and then disposed of, if not claimed by applicant. Retain the ORIGINAL application and copy of letter for fiscal file.
2. There should be one ORIGINAL copy (original signatures in Section C. and Section J.). Locate the copy with an original signature and stamp "ORIGINAL" on first page and date stamp the ORIGINAL on first page.
3. There should be (#) sets of the application. If insufficient copies, note # provided.
4. Refer to 'delinquent FGR report' prepared by IAC. Circle "Y" if there are no outstanding reports. If there is an outstanding report, circle 'N' and reference which report(s) and due dates.
5. Place a numerical label on the checklist (001, 002, etc.), first page of ORIGINAL and one copy, manila file folder, and accordion folder. Put remaining labels and extra applications sets inside accordion folder.
6. Place labeled checklist, ORIGINAL, and copy in manila file folder. Place labeled file folder accordion folder and give everything to (name) who will enter pertinent information in the grants database, and forward the accordion folder to (name).
7. After all preliminary application information is entered, print a preliminary report of all eligible applications.

FILING:

8. Place accordion folders in designated section of the holding area according to program category. Within sections, place folders in numeric order (left to right) according to label number.

SAMPLE Review Process, continued

ELIGIBILITY DETERMINATION:

Do not use the ORIGINAL copy in the manila folder for your review. Use another copy. Make as few marks as possible; clearly indicate errors, questions.

9. Review all application materials and complete checklist items #5. - #16. to determine if application is eligible for panel review.
 - For each item, circle Y or N to indicate if material is provided and correct. If the item is not required, circle NA.
10. After reading Narrative, at top right of first page of ORIGINAL copy, enter “U” if application involves an underserved group or area, and/or “E” if application involves arts education.

FINDINGS AND ACTION:

11. Following review and evaluation, indicate application status in #17.
 - **If NOT ELIGIBLE** -- Check “Not eligible for review”, enter your initials and the date. If ineligible for reason that is not correctable, enter reason, mark "INELIGIBLE" on outside of folder, and give entire accordion folder contents to (name). A letter of ineligibility signed by (name) will be sent to the "authorizing official" of applicant. Ineligible applications will be retained for 30 days after notice and then disposed of, if not claimed by the applicant. (Name) will give original checklist, ORIGINAL application, and copy of letter to (name) for file.
 - **If ELIGIBLE AS IS** -- Check 'Eligible for review', enter your initials and the date. Retain the staff copy of the application and a 2-sided copy of checklist for staff use at panel. (These may be placed in the accordion folder or maintained in staff's office.)
 - Give original checklist, ORIGINAL application and attachments, and one clean copy of application to (name). Note any changes to application information by highlighting the item number on the ORIGINAL. Also add a post-it note to advise (name) to look for changes. (Name) will enter “U” and “E” field codes (and minor corrections, as needed).
 - Give accordion folder to (name). (Name) will place labels on first page of all applications. Retain extra labels in accordion folder. Return accordion folder to holding area.
 - **If CORRECTIONS NEEDED** – List needed corrections. Contact applicant by phone and explain what changes are needed. Explain that applicant has five (5) days from the call to make corrections. Send/fax written notice of actions needed. Note action taken, date, and due date on Checklist. Set accordion folder aside pending applicant action.

SAMPLE Review Process, continued

APPLICANT RESPONSE AND RPO ACTION

13. When necessary corrections have been made OR deadline has passed without corrections, indicate application status in #18.
 - **If ELIGIBLE** – Check “Appropriate corrections made by deadline”, enter your initials and the date. Retain the staff copy of the application and a 2-sided copy of checklist for staff use at panel. (These may be placed in the accordion folder or maintained in staff’s office.)
 - Give original checklist, ORIGINAL application and attachments, and one clean copy of application to (name). Note any changes to application information by highlighting the item number on the ORIGINAL. Also add a post-it note to advise (name) to look for changes. (Name) will enter “U” and “E” field codes (and minor corrections, as needed).
 - Give accordion folder to (name). (Name) will place labels on first page of all applications. Retain extra labels in accordion folder. Return accordion folder to holding area.
 - **If NOT ELIGIBLE** – Check “Appropriate corrections not made”, enter your initials and the date. Enter reason, mark ‘INELIGIBLE’ on outside of folder, and give entire accordion folder contents to (name). A letter of ineligibility signed by (name) will be sent to the “authorizing official” of applicant. Ineligible applications will be retained for 30 days after notice and then disposed of, if not claimed by the applicant.) (Name) will give original checklist, ORIGINAL application, and copy of letter to (name) for file.
14. After all application information is entered, print a revised regional report of all eligible applications with changes reflected.
15. Following eligibility determination and data entry, transfer selected grants data to an Excel file to generate Application Summary Sheets (SS).
16. Using transferred grants data, create in Excel an Applicant Summary Sheet (SS) for each panel. Enter the names of first and second speakers on the Summary Sheets and make personalized copies (with highlighting) for inclusion in panelist notebooks. (See sample.)
17. Create an **initial** Criteria Rating Sheet (CRS) for each application. Prepare 1 set (in SS order) for each panelist, panel staff, and panel chair (pale yellow paper). Place each corresponding CRS on top of its application when compiling applications for review. (See sample.)
18. Create a **final** CRS for each application. Prepare 1 set (in SS order) for each panelist, panel staff, and panel chair (pale green paper). Distribute sets at panel meeting.

SAMPLE Check-In Sheet

(Place label with name and number here)

- | | | |
|--------|-----|--|
| Y N | 1. | Application received on time |
| Y N | 2. | One copy has original signature by authorizing official |
| Y N | 3. | Correct number of copies |
| Y N | 4. | Applicant has no overdue RPO or IAC final grant report. If Yes, specify: |
| Y N | 5. | Project beginning and ending dates are appropriate |
| Y N | 6. | Applicant is IN public agency or IN tax exempt nonprofit |
| Y N NA | 7. | Applicant is a fiscal sponsor |
| Y N NA | 8. | Sponsored entity is an Indiana nonprofit |
| | 9. | “Original” set includes 1 copy of each: |
| Y N NA | a. | Annual financial audit (AOS/II) |
| Y N NA | b. | Annual compliance audit (as applicable) |
| Y N NA | c. | Fiscal sponsorship agreement (as applicable) |
| Y N NA | d. | Articles of Incorporation (new or revised) |
| Y N NA | e. | Enabling legislation/statute (new or revised) |
| Y N NA | g. | IRS Tax exempt letter (new or revised) |
| Y N NA | h. | Long range plan (new or revised) |
| | 10. | AOS applicants meet additional eligibility requirements: |
| Y N | a. | Primary arts mission (all) |
| Y N | b. | At least one year of arts programming or services (I) |
| Y N NA | c. | One or more years of arts programming or services (II) |
| Y N NA | d. | One or more year’s operation under strategic plan (II) |
| Y N NA | e. | Annual independent financial review/audit or compilation (I) |
| Y N NA | f. | Annual independent financial audit (II) |
| Y N NA | g. | Annual independent compliance audit (as applicable) |
| Y N NA | h. | Paid administrative staff (II) |
| | 11. | Narrative Responses (section F) |
| Y N NA | a. | Project is arts related and consistent with guidelines |
| Y N NA | b. | Project will occur in the RPO’s service area |
| Y N NA | 12. | Project timetable appropriate (section G) (APS only) |
| | 13. | Budget Summary (section H) |
| Y N NA | a. | Projected budget is mathematically correct |
| Y N NA | b. | Request is at least \$1000 |
| Y N NA | c. | Request does not exceed allowable maximum |
| Y N NA | d. | Funds to be used for allowable expenses |
| Y N NA | e. | Applicant provides adequate local match |
| Y N NA | f. | Applicant provides adequate amount of cash match |
| Y N NA | g. | If state college/agency, 100% non-state \$ cash match |
| Y N | 14. | Budget Line Item Detail (section I) is correct and has sufficient detail |
| | 15. | Other required materials: |
| Y N | a. | Accessibility Statement (section J) |
| Y N | b. | Current Governing Body Roster |
| Y N | c. | Financial Statement - unaudited |
| Y N | d. | CEO Resume |

- more -

SAMPLE Check-In Sheet, continued

16. Optional materials:

Y N NA

a. Project manager resume, if not CEO

Y N NA

b. Printed promotional materials (optional)

17. Findings and Action (*check one; enter staff initials and date*)

____ Not eligible for review. Reason:
Rejection letter sent: __/__/99 (Attach copy)

____ Eligible for review as is.

____ Corrections needed, as noted below. Applicant contacted: __/__/99.
Corrections due: __/__/99

18. Applicant Response and RPO Action (*check one; enter staff initials and date*)

____ Appropriate corrections made by deadline. Eligible for review.

____ Appropriate corrections NOT made. Not eligible for review.
Rejection letter sent: __/__/99 (Attach copy)

SAMPLE Regional Report

REGION 1

Total AOS/I	\$ 32,700
--------------------	------------------

70	Association of Artists and Craftsmen of Porter County	\$ 20,000
192	Porter County Children's Choir	\$ 5,200
50	Southlake Children's Choir	\$ 7,500

Total AOS/II	\$200,000
---------------------	------------------

210	Northwest Indiana Symphony	\$100,000
213	Ridgewood Arts Foundation, Inc.	\$100,000

Total APS	\$ 64,300
------------------	------------------

184	Gary Community School Corp.	\$ 20,000
187	Joan Martin Elementary School	\$ 4,000
190	La Casa of Northwest Indiana, Inc.	\$ 20,000
188	Tri-Creek School Corp.	\$ 3,800
195	Valparaiso High School	\$ 16,500

REGION TOTAL	\$297,000
---------------------	------------------

COUNT = 10 Applications

SAMPLE Application Summary Sheet w/Panelists Names

SAMPLE Criteria Rating Sheet

CRITERIA RATING SHEET

Initial / Final

APPLICANT: (Affix label with name and application number)

EVALUATION CRITERIA:

1. Quality POINTS
(30 points possible)

Rationale/Comments:

2. Community Impact..... POINTS
(40 points possible)

Rationale/Comments:

3. Management POINTS
(30 points possible)

Rationale/Comments:

4. TOTAL POINTS (100 points possible) POINTS

PANELIST SIGNATURE: _____ DATE: _____

SECTION 8

TRAINING PANELISTS and PANEL CHAIRS

PURPOSE

To assure that each first time panelist understands the panel process a thorough orientation is provided prior to participation on the first panel.

A veteran panelist can elect not to attend if the upcoming process is not substantially different from the one in which he last participated. Personalized materials and applications for review will be distributed at the training session or mailed to veteran panelists.

About the Panel Chair

It is a good idea to meet with panel chairs alone or as a group before the training session, especially if chairs will serve as trainers. A major part of this session should be a discussion of the chair's role as facilitator and how the chair can create an effective working climate for the panel. The chair does not evaluate or vote.

Persons serving as panel chairs should also attend the training to meet panelists and refresh their knowledge of the actual panel process. Provide a panelist notebook and application materials for each chair.

Training Content

Training will be planned and conducted by staff with the assistance of governing board or committee members and veteran panelists whenever possible. Staff will develop training agenda, format, scripts, and prepare all presenters for their roles in the training sessions.

Training will include an overview of the Regional Partner Organization, the grant programs, rating criteria, application review policies and procedures, role and responsibilities of panelists, chairs and staff, format and logistics of the panel meeting, the panel decision making process, conflict of interest policy, open meeting procedure, and the policy on interaction with the audience.

Panelist Notebook and Materials

Panelists will receive a notebook with the following information, at a minimum: RPO information, panel roster, map and parking instructions, conflict of interest policy and form, panelist job description, panelist evaluation form, schematic overview of the grants making process, guidelines for reviewing applications, audience orientation information sheet, application summary sheet in order of panel review with first and second speakers indicated, and applications for review with related rating sheets.

Things to do Before the Training

- Finalize training script
- Design small group exercise
- Prepare slides / visual aids / handouts
- Secure training room and AV equipment
- Research, select lunch vendors; secure menus; prepare lunch order sheets
- Prepare personalized Application Summary Sheets with panelist names
- Prepare and copy all panelist materials: (name tents; name badges; notebook labels)
- Assemble personalized panelist notebooks
- Assemble application materials and initial criteria rating sheets (in SS order)
- Place reminder calls to panelists
- Review personnel assignments
- Meet with panel chair and trainers
- Set-up meeting room
- Prepare sign-in sheet
- Prepare and meeting post signs
- Set up refreshments

After the Training

Staff will conduct "make-up" training session(s) for panelists who could not attend the group training and deliver/mail notebooks and applications. Mail panelist materials to veteran panelists who are exempt from training.

Staff will secure and train alternates to re-place persons who dropped out after training (and other times prior to the panel meeting).

Samples in this Section

Training Agenda

Process for Small Group Session

Notebook Table of Contents

Conflict of Interest Disclosure Statement

Overview of Grants Making Process

Guidelines for Panel Review of Applications

Criteria and Evaluation Indicators

Examples of Evaluative Statements

Training Script and Slides

Hard copies of the script, color slides, and handouts used in the 1998 panelist training sessions are available upon request from the Indiana Arts Commission.

SAMPLE Panelist Training Agenda

1. Welcome and Introductions
 - About this Session
 2. About the RPO
 - Mission and Organization
 - Programs and Services
 - Strategic Plan Initiatives
 3. About the RPI
 - Purpose
 - Programs and Services
 - Relationship to IAC
 4. About the Grantmaking Process
 - The Grant for Organizations Program
 - Citizen Review Process
 5. Review Criteria
 - Project Quality
 - Community Impact/Public Benefit
 - Project Management
 6. Evaluating the Applications
 - Homework
 - Preparing Your Comments for the Panel
 7. The Panel Process
- BREAK [RE-CONVENE IN SMALL GROUPS]
8. Questions about Panelist Role and Review Process
 9. Key Issues/Housekeeping
 10. Small Group Exercise (read/score sample application)/Questions/Discussion
 11. Adjourn

SAMPLE Process for Small Group Training Session

1. Introduce yourself and state the panel's name. Direct panelists to correct room, if necessary.
2. Welcome panelists and thank them for volunteering.
3. Ask each person to introduce him/herself, tell where they are from, and any arts related activities in which they participate.
4. Ask each person to complete the lunch request; be sure to put name on it. Collect and give to (name) for processing.
5. Assure each has the correct panel roster (Tab B). Suggest that panelists may want to consult with each other before the panel and/or car pool if possible. (Note that roster posted day of panel will not contain telephone numbers - to assure no contact with applicants.)
6. Remind about parking arrangements and how to get to panel meeting room. (Tab C)
7. Remind that conflict of interest statement (Tab D) will be collected day of panel. Conflicts, if any, will be announced and persons with conflicts will leave room during discussion and voting.
8. Remind that panelist evaluation form (Tab F) will be collected at the end of the panel meeting. Time will be allotted at end of meeting to complete. Panelist should review before panel begins.
9. Review the application summary sheet (Tab L) and assure everyone knows his or her first and second speaker assignments. Review the responsibilities of first and second speakers.
10. Briefly explain the program objectives, which is eligible, what is eligible, available funding, local match.
11. Distribute and review volunteer time sheet. Important to document the # of hours each person contributed.
12. Briefly review the evaluation and rating process (Tab I).
 - Remind that panel meeting is open to the public. Important that their comments be related to how well the applicant has addressed the three criteria (i.e., is there evidence of organizational capacity, a sound plan, quality artists, specific intended outcomes, community involvement, etc.)

SAMPLE Small Group Process, continued

- Stress this -- Panelists are not asked to be management consultants or to evaluate solely on the basis of the grant writing skills of applicants. This is not the time to give advice, however much it might improve the project. Evaluate the project as it is. Also, do not rate a project based on your own preferences (i.e., a project get high marks just because you love/hate a certain artist's work).
 - Use evaluative, not descriptive, statements. Review evaluation indicators and evaluative statements handouts (Tab I.)
 - Do not describe the project or repeat comments made by others, unless to indicate agreement or another point of view. We work on premise that all panelists have read and rated all applications before panel meeting.
13. Distribute sample application and criteria rating sheet and quickly "walk" panelists through the sample application. Note that the panel may have a mixture of AOS and APS apps. Explain how they are different.
 14. Ask panelists to read the sample application and rate it using the criteria rating sheets provided at the training.
 15. After everyone is done, ask panelists to share their reactions, comments and to ask questions. Emphasize that no question is too basic -- others are probably wondering too but may not ask. Give encouragement and praise when warranted. Just as important -- (nicely) correct their errors and misunderstandings in the procedure by giving the correct procedure and/or an example. Do not gloss over this part just because you may be uncomfortable! Be nice but firm about the importance of following "the rules" (due process, fairness, etc).
 16. Ask panelists to check their applications and assure all applications and initial CRS are present and in the correct order. Remind panelists that all applications meet the basic eligibility standards for review.
 17. Assure that panelists know the date and time of their panel meetings. Please call panel staff person with any questions. Answer remaining questions. Assure they feel prepared to complete their review.
 18. THANK THEM AGAIN!

SAMPLE Panelist Notebook

Table of Contents

Tab A	Information about the Regional Partner Organization
Tab B	Advisory Panel Roster (name, title, county)
Tab C	Map and Parking Information for Panel meeting
Tab D	Conflict of Interest Policy and Panelist Statement
Tab E	Advisory Panelist Job Description
Tab F	Advisory Panelist Evaluation of Process Form
Tab G	Volunteer Time Sheet
Tab H	Overview of Grant Making Process
Tab I	Guidelines for Reviewing Applications Criteria and Evaluation Indicators Examples of Evaluative Statements
Tab J	Grant Guidelines and Blank Application Forms
Tab K	Panel Audience Information Sheet
Tab L	Application Summary Sheet w/Panelist Names
Envelope	Materials for Panel Review. Application sets separated by colored paper. Each set includes: <ul style="list-style-type: none">• Initial Criteria Rating Sheet• One copy of each Application

SAMPLE

Panelist Conflict of Interest Disclosure Statement

Complete this form before the panel meeting begins.

A person having a special relationship with an organization seeking funding may not participate in the advisory panel review and evaluation of that grant application.

Refer to the Application Summary Sheet (in Panelist Notebook) for a list of the organizations seeking funding from your assigned panel. Identify, in the space below, the name(s) of applicant organizations where any of the following relationships currently exist for you, a member of your immediate family, housemate or dependent. If you have no conflicts, check "no conflicts".

- A Member of governing board or policy making committee.
- B Significant business relationship with the organization.
- C Conducts the annual independent audit of the organization.
- D Employee or paid consultant of the organization.

_____ No Conflicts of Interest.

_____ I declare Conflict of Interest with the following applicant organization(s). I understand that I will be excused from the panel meeting during discussion and rating of the organization(s) I list below.

Name of Applicant Organization

Type of Conflict (Specify A-D)

PRINTED NAME: _____

SIGNATURE: _____ DATE: _____

SAMPLE

Overview of Grants Making Process

- RPO provides grants information sessions.
- Applicants consult with RPO staff to discuss project ideas and application process.
- Applications received and reviewed by staff for eligibility.
- Panelist orientation session; panelists receive eligible applications.
- Panelists review applications and assign initial ratings.
- Advisory panel meets for public review of each application.
- Final ratings assigned.
- Advisory panel ratings used to determine funding recommendations.
- RPO board review and action.
- Notification of award or denial to all applicants.
- Notification of grant awards to panelists and media.
- Grantees receive contracts and other materials.
- Appeals made within 30 days of notification of action.
- Grantees return signed contracts, vouchers, and other pertinent material.
- Contracts processed.
- First payments processed and issued. (Generally 90%)
- Grant activities take place.
- Final Grant Report Due. (Generally 30 days after project ends.)
- Final Grant Report reviewed by RPO staff.
- Final payments processed and issued. (10%)

SAMPLE

Guidelines for Reviewing Applications

Before the Panel Meeting

1. Review the **Application Summary Sheet** that provides information about each applicant's request. At the panel meeting, applications will be discussed in the order in which they appear on the summary sheet.
2. Look through the application materials that have been provided to you. Please assure that you have received material for all applications listed on the summary sheet. (If not, please call the staff person for your panel. That person's name and telephone number are on the panel roster in your notebook.)
3. Review ALL applications and assign to each a **preliminary score** in the areas of project quality, community impact and project management. (*Use the initial criteria rating sheets that you received at the training session.*)
4. On each initial **Criteria Rating Sheet**, provide a brief written rationale regarding your score for each application. Sign and date each sheet. Staff will collect initial rating sheets at panel. They will be maintained as a part of the applicant's file.

During the Panel Meeting

5. You have been assigned to serve as "**first speaker**" for one or more of the applications which are highlighted on your application summary sheet.

First speakers will:

- a) Prior to the panel meeting -- complete a thorough review of each application, paying special attention to each highlighted application.
 - b) At the panel meeting -- **begin the panel discussion** on highlighted applications by reporting their assessment of the application (with respect to the three criteria) and rationale for each.
6. You may have also been assigned to serve as "**second speaker**" for one or more applications. These applications are also highlighted on the summary sheet.

Second speakers will perform the duties of the first reader in the event the first speaker is unable to attend the panel meeting. Second speakers will also supplement the first speaker's comments with **new information** or **an opposing**

viewpoint. (First and second speakers are encouraged to consult with each other prior to the panel meeting.)

SAMPLE Review Guidelines, continued

7. Following the first and second speakers' remarks, each panel member will have the opportunity to make additional (new) comments regarding how well the application addressed the three criteria.
8. Following the panel's discussion of each application, panelists will again individually rate each application on the three criteria (project quality, community impact, project management) using the final Criteria Rating Sheet, **provided the day of the meeting**. Panelists are not bound by their initial rating and comments, and may make revisions during this final round.
9. Staff will collect **both** the initial and final rating sheets. They will be maintained as a part of the applicant's file.
10. The scores will be averaged to obtain an overall rating for each application. All overall ratings will be announced and posted at the end of the panel meeting. (Posting at the end is done so as not to influence scoring of subsequent applications.)

After the Panel Meeting

11. Following the panel meeting, the overall rating will be used by staff to determine the grant amount for each applicant (based on the funding formula).. **The panel will not determine grant amounts at the meeting.** All funding decisions will be made after the meeting and are dependent on the availability of funds.
12. Following notification of award, applicants may request a reconsideration of the funding decision, if they can show one of more of the following: the panel used incorrect review criteria, the decision was influenced by a panelist having a conflict of interest, and/or required information submitted by the applicant was withheld from the panel.

Requests for appeal are made to the RPO Executive Director and will be handled by an Appeals Committee appointed by the RPO Chair.

As a general rule, panelists will not be involved in appeals.

SAMPLE

Criteria and Evaluation Indicators

CRITERIA

Each application will be evaluated on a 100-point scale with respect to three criteria.

30 points Quality
40 points Community Impact/Public Benefit
30 points Management

EVALUATION INDICATORS

Panelists should use the following indicators to evaluate how well each application addresses the three criteria. Judge each application on its own merit.

QUALITY (30%)

- The goals and objectives of the proposed activities are clearly explained and are consistent with the organization's mission and long-range plans, and with the RPI goals.
- The artistic goals and program design are consistent with the organization's resources.
- There appear to be a sufficient number of appropriate and qualified personnel (or independent contractors, including artists), paid or volunteer, to carry out the proposed activities.
- The audience has been clearly identified and estimated attendance figures appear reasonable in light of past efforts.
- Proposed program components and activities appear to be appropriate in light of project goals and audience.
- The project design contains and describes educational activities.
- Artists, staff, community members and others have been/will be involved in planning, implementing, and evaluating the project activities.

COMMUNITY IMPACT/PUBLIC BENEFIT (40%)

- The organization's constituent base is clearly defined.
- The manner in which constituents were involved in assessing needs and program planning is clearly described.
- There was an appropriate level of constituent involvement and support.
- The plan for serving traditionally underserved populations in program development, implementation, and evaluation is clearly described and appears adequate.
- Appropriate promotional efforts will be made to inform the general public about activities, including strategies for reaching traditionally underserved populations.
- Proposed activities will be made accessible and marketed to persons with disabilities and other special needs.
- The project will contribute to long-term growth of the arts in the community.

MANAGEMENT (30%)

- There is a person (paid or volunteer) assigned to manage the project operation.
- The manager's qualifications have been clearly explained and appear adequate.
- The implementation timetable or calendar is clearly explained and provides sufficient detail to guide implementation.
- The process that will be used to evaluate project effectiveness is clearly described and measurable.
- Evaluation will include assessment of impact on the people served.
- Audience/participant feedback will be used as one component to evaluate project success in achieving its goals.
- There is evidence of a successful history of providing related arts activities.
- Estimated expenses and budget appear reasonable.
- Projected income will be proportionate and come from a variety of sources.
- There are adequate plans for long-term resource development and deficit reduction (if applicable).
- The applicant's governing body meets on a regular basis and represents the diversity of the applicant's geographic service area with respect to race/ethnicity, gender, age, special needs, and location of residence, etc.

SAMPLE

Examples of Evaluative Statements

"Evidence / no evidence of broad-based community support, as indicated by"

"This is a high / poor quality project, because"...

"Diverse governing board /or board membership does not seem to reflect the community, because"...

"Well / poorly thought-out sequence of events, reflected by"...

"Evidence that thought was/ was not given to the interests of the community in planning the project, as reflected by"...

"Variety of artists and methods will / will not be used, for example"...

"Realistic / unrealistic audience projections based on previous activities, as reflected by"...

"Realistic / unrealistic income or expense projections, because"...

"Evidence / no evidence that program evaluation results have been used to improve the project, as reflected by"...

"Evidence that project will be / will not be accessible to persons with special needs, as reflected by"...

"Evidence of sound / not so sound management, based on"...

SECTION 9

NOTIFYING APPLICANTS ABOUT THE PANEL MEETING

PURPOSE

Applicants should be invited and encouraged to attend panel meetings so they may hear panelists' comments directly.

All panel meetings are open to applicants and the public for observation and may be recorded.

All applications to be reviewed should be displayed for audience reference during the meeting.

A roster of the panelist names should be posted for audience reference. However, audience members may not have contact with the panel during or after the meeting.

Staff should consider audience evaluation remarks when reviewing the effectiveness of the grants making process.

Samples in this Section

Applicant Notification Letter

Audience Information Sheet

Application Summary Sheet

SAMPLE

Applicant Notification Memo

DATE:
TO: All Region (#) Applicants
FROM: (name), (title)
RE: Notice of Regional Advisory Panel Meeting to Review Your Application

Your FY99 application has been reviewed by staff and has been given to the members of your Advisory Panel for their initial review. Please refer to the enclosed materials for information about the date, time, and location of the panel meeting in which your application will be evaluated. Applications will be reviewed in the order shown on the enclosed summary sheet.

All advisory panels evaluate how well applications address the criteria of quality, community impact, and management; however, they do not make specific funding recommendations. Grant awards, based on the panel's ratings will be determined following completion of all panel meetings. The (RPO) board will approve awards on (date).

The amount of each grant will be based on each application's overall score determined by the panel and the amount of available funding. (For example, a score of 80% would receive 80% of the requested amount reduced by the difference between the total amount that could be awarded based on scores alone and the total amount of funding actually available.) Please note: This year, the RPO received () applications requesting a total of approximately (\$)dollars in support. The RPO has about (\$) to award.

We encourage you to attend your panel meeting that is open to the public. Please note that applicants may not advocate for or supplement their applications at the meeting nor contact panelist after the meeting. Qualitative judgments of the panelists are final. Please refer to the additional enclosed materials for more information about the panel process.

Under a separate cover, we are sending you a questionnaire about the FY (year) application process. We will use the results of the survey in developing next year's application guidelines and application process.

Please contact (name) at (telephone) for additional information regarding this notice.

Enclosures: Application Summary Sheet
Map to Panel Meeting
Audience Information Sheet

SAMPLE

Audience Information Sheet

OPEN MEETINGS

Per the Indiana Open Public Meeting Law, IC 5-14-1.5, all (RPO Name) advisory panel sessions, are open to the public for observation and may be recorded. *However, there is no provision for public comment or questions during the advisory panel session.*

The (RPO name) supports the open panel process because it provides all Hoosiers an opportunity to observe the process by which public funds for the arts are distributed. It also allows applicants to directly hear panelists' comments regarding grant proposals, clarifies the review process, provides an opportunity for applicants to learn about proposed projects in other areas of the state and strengthens future projects.

ABOUT THE PANEL AND REVIEW PROCESS

Each advisory panel is composed of community leaders from throughout Region (#) whose credentials have been approved by the (RPO name) and who volunteer their time and expertise. Appointees of the (RPO name) who act as impartial non-voting facilitators chair each panel.

Applications will be reviewed in a predetermined order. A listing of the order of the review will be posted at the meeting site.

Panelists will review and assess each application based on three criteria (project quality, community impact, and project management) and assign numerical points to each based on a 100 point scale. The panel's overall score will be used to determine the amount of funding at a later date. **THE PANEL DOES NOT ASSIGN FUNDING AMOUNTS DURING THE MEETING.** The (RPO name) reviews all ratings and approves all grant awards.

NO CONTACT BETWEEN APPLICANTS AND PANELISTS

Applicants and panelists will have no direct contact or conversation about the evaluation and disposition of applications, before, during, or after the advisory panel meeting. Contact may place any grant award in jeopardy. Please contact the (RPO name) with questions or concerns.

NOTIFICATION

Following review and approval of panel evaluations and funding recommendations by the (RPO name), all applicants will be notified of decisions in writing. Letters of award will contain a contract and other important materials that must be signed and returned to the **BEFORE THE GRANTEE'S FIRST PAYMENT CAN BE RELEASED.**

RECONSIDERATION POLICY AND APPEALS PROCESS

Dissatisfaction with the denial of a grant or the amount of an award alone is not sufficient reasons for an appeal. Applicants may request reconsideration of a funding decision if the applicant can demonstrate one or more of the following: (1) the panel used incorrect review criteria; (2) there

-more-

SAMPLE Audience Info Sheet, continued

was influence of (RPO name) personnel or a panelist having a conflict of interest; and/or (3) required information submitted by the applicant was withheld from the panel.

Applicants must send a letter to the Executive Director of the (RPO name) stating the reason for reconsideration, based on one or more of the three points above, and evidence of the grounds for the appeal. The letter must be received within 30 days after the applicant has received notification of the grant award in question. The Executive Director will determine if there is reasonable basis for appeal. In such cases, an Appeals Committee, appointed by the (RPO name) Chairperson, will review all requests for appeal and make recommendations to the full board of directors at its next business meeting. With one exception, all decisions of the board are final and may not be appealed further.

In some cases, applicants may request a review of the Regional Partner Organization's decision if the applicant can demonstrate that the Regional Partner Organization violated its own appeal process in determining the outcome of the applicant's appeal at the regional level. (The state level review is not available to applicants whose request for appeal was found to have no basis by the Regional Partner Organization Executive Director.) The state level process is limited to a review of the implementation of the Regional Partner Organization's appeal process. The state process is not intended to impose a different judgment over the RPO decision but rather to ascertain if the Partner Organization correctly followed its own appeal process in making a decision. The Applicant must send a formal letter to the Executive Director of the Indiana Arts Commission stating the reason for the appeal and evidence to support the grounds for the appeal. The letter must be received within 10 days of notification of the Regional Partner Organization's decision. The IAC Executive Director will determine if there is reasonable basis for an appeal.

If no basis is found, the IAC will notify the appellant and the RPO of the decision within 10 days of receipt of the Applicant's letter. The IAC Executive Director's decision is final and may not be appealed further. If the IAC Executive Director finds there is basis for an appeal, an appeals committee, appointed by the Chairperson of the Commission, will review the situation and make recommendations to the full Commission at its next business meeting. The investigation will involve consultation with the Regional Partner Organization and other parties as applicable. The IAC will notify the applicant and the Regional Partner Organization of its decision within 10 days. All decisions of the Commission are final, binding on the Regional Partner Organization, and may not be appealed further.

OPEN RECORDS

All application materials, panelist comments, rating sheets, and staff notes will be maintained as a part of the official applicant file. All files are maintained for a period of at least three (3) years. Upon written request, an applicant may make an appointment to view pertinent materials related to the evaluation of their application, including the audio recording of the panel meeting. Upon written request, brief edited written panel comments will be made available to applicants.

SECTION 10

AVAILABLE DOLLARS FOR DISTRIBUTION

PURPOSE

Prior to the panel process, the governing board, or its designee, should determine and approve the amount of available dollars for distribution. Knowledge of the total amount available will be useful to applicants to help them formulate realistic funding requests.

Amounts to Re-grant

In some instances, you may want to target specific amounts to various grant programs (e.g., 25% to operating support; 50% to project support; 10% to technical assistance; 15% to individual artists, etc.). The governing board should also approve this allocation of funds.

Contingency Fund

It is a good idea to hold a specific amount of available funds in reserve in case an appeal results in additional funding. The amount of the reserve might be a percentage of all available funds or based on the amount of an average grant.

Sample in this Section

Allocation Plan

SAMPLE Allocation Plan

SECTION 11

THE FUNDING FORMULA

Note: This section contains information about the FY2000 funding formula that all Regional Partner Organizations will use in 1999 only.

PURPOSE

The funding formula is the standardized process that will be used to assign a numerical rating to reflect the panel's evaluation of each application based on standard criteria.

The funding formula will also be used to convert the panel's scores into grant award amounts or a decision not to fund.

Board Adoption

Prior to the panel process, the governing board, or its designee, should determine and approve the funding formula that will be used.

Samples in this Section

Computing Overall Panel Score for Each Application

The Normalization Process

Converting Final Scores to Grant Amounts

Application Summary Sheet with Final Grant Amounts

Computing Overall Panel Score For Each Application

For each application, calculate the overall score awarded by each panelist, on the Final Criteria Rating Sheet, by adding the points for quality + impact + management.

If there are at least five scores, drop the highest and lowest scores. Divide the sum of the remaining scores by the number of scores. (If there are less than five scores, average all scores.)

In the example below, 85 is the Overall Panel Score for the Application:

Example 1. <u>Five or More Panelists</u>				
PANELIST	QUALITY 30 points	IMPACT 40 points	MANAGEMENT 30 points	OVERALL 100 points
Panelist 1	24	32	22	78
Panelist 2	30	25	20	75 (Drop - lowest)
Panelist 3	28	25	25	78
Panelist 4	30	40	30	100 (Drop - highest)
Panelist 5	29	36	27	92
Panelist 6	30	35	29	94
Formula	$78 + 78 + 92 + 94 = 342 / 4 = 85.5 = 85$			

In the example below, 81 is the Overall Panel Score for the Application:

Example 2. <u>Less than Five Panelists</u>				
PANELIST	QUALITY 30 points	IMPACT 40 points	MANAGEMENT 30 points	OVERALL 100 points
Panelist 1	24	32	22	78
Panelist 2	30	25	20	75
Panelist 3	28	25	25	78
Panelist 4	No scores due to conflict of interest			NA
Panelist 5	29	36	27	92
Formula	$78 + 75 + 78 + 92 = 323 / 4 = 80.75 = 81$			

The Normalization Process for Multiple Panels

Use this process only if you are conducting more than one panel **per grant category** (AOS/I, AOS/II, or APS) for your region. For example, you may receive a large number of APS applications and divide them into two or more panels having different panelists.

The normalization process will eliminate, as much as possible, scoring discrepancies between the different APS panels.

If, on the other hand, you have three panels - one for AOS/I, one for AOS/II, and one for APS – DO NOT use the normalization process. Do not normalize scores across different grant categories if all applications are reviewed by the same panelists.

STEP 1. Assign applications to panels in random order, such as by APP Number

STEP 2. Compute an Overall panel score for each application. See section on “Computing Overall Panel Score”.

STEP 3. Compute an average Overall score for each panel by adding all Overall Panel Scores and dividing the sums by the number of scores

STEP 4. Add the average Overall scores together and divide by the number of panels to get a Mean.

If: the average Overall score for panel 1 is 85 and
The average Overall score for panel 2 is 76.
Then: $85 + 76 = 161 / 2 = 80.5 = 80$. The mean = 80.

STEP 5. Calculate the difference between the mean and each group average.

The difference between Panel 1 Overall and the mean is $80 \text{ minus } 85 = -5$

The difference between Panel 2 Overall and the mean is $80 \text{ minus } 76 = +4$

STEP 6. Add the variance to each applicant's score to determine the “normalized” score.

Add -5 to each individual application score in Panel 1
Add $+4$ to each individual application score in Panel 2

Converting Final Scores to Grant Amounts

Most likely, applicants will request far more dollars than are available. The process below shows how to convert final scores (normalized if necessary) into grant amounts and how to adjust the grant amounts when there is not enough funding available to make awards consistent with the actual scores.

Step 1. Convert the normalized score to a percentage

Divide each normalized score by 100.

Formula: $87 / 100 = 87\%$

Step 2. Multiply each individual application score by the amount of the request.

Example: Score = 97%

Request = \$50,000

Initial Grant Amount = $\$50,000 \times 97\% = \$48,500$

Step 3. Add all initial grants amounts together (all grant categories).

Step 4. Calculate the variance between the total amount available to allocate and the total initial grant amount determined in Step 2.

Example: Total Available = \$100,000

Total Initial Grant Amounts = \$300,000

Variance = $\$100,000 / \$300,000 = 33\%$

Step 5. Reduce each initial grant amount by 33%

Example: Initial Grant Amount = \$10,000

100% minus 33% = 67%

Final Grant Amount = $\$10,000 \times 67\% = \$6,700$

*SAMPLE Application Summary
Sheet w/Final Grant Amounts*

SECTION 12

BEFORE THE THE PANEL MEETING

PURPOSE

Remember that the panel meeting is a complex work session that will be carried out in front of a “live” audience. The panelists want to do a good job. As staff, it is your role to help them by careful planning and attention to logistical details that will impede the meeting if left unattended.

Your attention to detail in preparing for the panel meeting will enable the meeting to flow more smoothly. As a consequence, the panelists can carry out their responsibilities with a minimum of confusion and feel that they have had a rewarding volunteer experience. Volunteers who feel they have been well treated can be some of your best marketing tools and potential donors!

The Details

- Secure meeting room
- Order lunches
- Set-up Excel spreadsheet to tabulate scores
- Review staff assignments with all relevant staff
- Reminder calls to panelists
- Set-up meeting room
 - Refreshments
 - Prepare and post signs
 - Post panelist roster
 - Post application summary sheet
 - Resource table materials
 - Prepare audience sign-in sheet

- Prepare audience notebook
- Prepare audience evaluation sheets
- Audience evaluation drop box

The Details, continued

- Make last minute changes to all panelist materials
- At the panel table
 - Panelist table name tents
 - Tape recorder and blank tapes
 - Final criteria rating sheets (1 set per panelist in summary sheet order)
 - Chair thank you letters for signature
 - Staff/chair note taking sheets (1 set each in summary sheet order)
 - Staff/chair evaluation of panelist performance forms (1 set each in alpha order)

Samples in this Section

Panel Rating Excel Computation Sheet

Administrative Panel Meeting Duties

Agency Receptionist's Panel Meeting Duties

Panel Meeting Note Taking Form

SAMPLE

Panel Rating Computation Sheet

Panel:

Date:

APPLICANT NAME:

APPLICANT NUMBER:

PANELIST NAME	QUALITY 30 possible	IMPACT 40 possible	MGMT 30 possible	OVERALL 100 possible	
Cookerly	24	32	22	78	
Kutak	30	25	20	75	Low Score
Riddle	28	25	25	78	
Stephenson	30	40	30	100	High Score
Wetzstein	29	36	27	92	
Yates	30	35	29	94	
TOTAL	171	193	153	517	
ADJ TOTAL	111	128	103	342	

(Drop High and Low scores)

Overall Rating: $342 / 4 = 85.5 = 85$

(Divide Adjusted Total by adjusted number of panelists)

SAMPLE

Administrative Panel Meeting Duties

1. This is a list of basic tasks. The panel staff person may assign additional tasks.
2. Prepare notebook containing all applications to be reviewed by panel, for audience reference.
3. Reminder calls to panelists. (5 days in advance)
4. Prepare and post meeting notice. (24 hours notice)
5. Set up room. Set out name tents, final review criteria rating sheets, pencils, note pads.
6. Set up and maintain tape recorder. Assure recorder is in working order and a sufficient supply of blank tapes is available for the meeting.
7. Prepare and post panel roster (version w/o telephone #'s).
8. Post application summary sheet.
9. Set up Audience Sign-in/Resource Table. (Sign-in sheet; program guidelines and application, audience information sheets, etc.)
10. Arrange for, set up, and maintain the availability of coffee and water during meeting.
11. Periodically, collect panelist rating forms; calculate and record for each application: overall adjusted rating and average criterion scores. Provide panel staff with final ratings at end of meeting.
12. Notify panel when lunches arrive. Set out lunches in designated location outside conference room. Assure boxes are labeled.
13. Clean up room after panel meeting.
14. Collect panelist notebooks; discard application materials; retain all alpha tab dividers. Return notebooks to designated storage area.
15. Prepare final panelist thank-you letters and certifications for signature at board meeting. Mail after meeting.
16. Tabulate all evaluation forms (panelist, staff, and chair.)

SAMPLE Agency Receptionist's Panel Meeting Duties

1. Greet panelists and direct them to the conference room or other meeting room.
2. Panelist portion of meeting begins at (time). (You will have a roster for each panel.)
3. Greet applicants and other audience. Show them to the meeting room. Ask them to sign-in and take an audience information sheet. Audience may enter at (time) and remain as long as they wish. They may record meeting.
4. Inform them that panel will proceed in order of applications on summary sheet they were mailed. (Also posted on meeting room window with panel roster.)
5. Inform them a notebook with the summary sheet and all applications is located in audience area for their information. 'Do Not Remove.'
6. Confirm number of lunches needed and contact vendor.
7. Take telephone message for Panelists. (Okay to bring urgent messages into meeting.) Panelists can use the telephone located (where).
8. Receive lunches and pay provider.
9. Advise panel staff when lunches arrive. On days with multiple panels, help by taking lunches to other meeting rooms.
10. Give directions to restrooms, public telephones, cafeterias, etc.
11. At the end of the panel meeting, you will be given a summary sheet with the final ratings. You may advise applicants of their scores if they inquire by telephone. Direct them to panel staff with questions.

SAMPLE Panel Meeting Note Taking Form

APPLICANT NAME:

DATE OF REVIEW:

NAME OF NOTE TAKER (STAFF/CHAIR):

1. QUALITY OF THE PROJECT:

2. COMMUNITY IMPACT:

3. PROJECT MANAGEMENT:

SECTION 13

THE PANEL MEETING

PURPOSE

This is it! The day you have worked hard to prepare for. Never fear – your careful preparation will pay off with a smoother and (yes) more enjoyable process.

Because this is a complicated process involving several people and numbers, something will go wrong – it always does! Just take it in stride and trust in the process and your chairperson and panelists. Remember, everyone does want to do a good job but some will do better than others. Be aware of actions which might trigger the appeals process and be sure to intervene when necessary. (It's best that intervention come from the chair.)

Meet with Chairperson

Meet with the Chair at least 30 minutes before the panelists arrive. Discuss any last minutes changes, review meeting logistics and the chair and staff's roles. Develop strategies for necessary intervention in case of procedural errors.

Re-orientation

Panelists should arrive at least 30 minutes before the panel's "official" starting time. Use this time for re-introductions and to introduce newcomers. Re-orient them to the meeting facility and the panel procedure. Address questions. Assure all necessary materials are available. Get coffee, take pictures for the newsletter, etc. Also, the Chair may want to say a few words of encouragement.

Sample in this Section

Re-orientation Process
(See "Training Panelist and Panel Chairs" for panel meeting materials.)

SAMPLE Panel Re-orientation Process

1. Welcome each person as s/he arrives. Introduce them to the chair and other panelists. Thank each for participating. Offer coat rack, coffee, etc. Assure everyone has the notebook, applications and completed/signed initial CRS.
2. Collect Conflict of Interest Statements. (Have extras on hand for those who forget.) Verify/announce conflicts. Remind that conflicts will be announced for audience and person(s) with conflicts) will leave room during discussion and voting.
3. Remind that Panelist Evaluation Forms and Volunteer Timesheets will be collected at end of meeting. Time will be made available for completing the form. Give thought to prospective panelists. (Have extras on hand for those who forget.) Give to (name) after panel.
4. Give directions to restrooms/snack bar. Explain how messages will be delivered and location of telephone panelists may use.
5. Review Application Summary Sheet. Announce changes.
6. Review panel process and rating. Explain implications of 'cut-off' scores. Review panel process. Include breaks and lunch process. Have them locate final CRS at their places. Remind them to hand in both initial and final sheets. SIGN all FINAL SHEETS before meeting begins. (Staff – when collecting CRS's for each application, place final CRS on top. Clip all sets together in alpha order and set aside for pick-up by tabulator.)
7. Remind that this is public meeting and that we will be taping -- so speak up. (Applicants may listen to tape at a later date. Also, applicants might be taping.)
8. Explain that staff and chair will be talking notes (based on panelist comments) that will be added to file w/rating sheets. (Staff -- unless no comment is made in a category don't prompt panelist to say more. Also, it is not essential that staff/chair have notes in each category. Remember, records will contain audio tape, notes and panelist comments/ratings.)
9. We assume everyone has read all applications. No need to describe project or repeat comments made by others unless to give another point of view.
10. Evaluative comments, with rationale please. Review examples. Evaluate proposal as is, on how well it addresses the 3 evaluation criteria; not personal preferences.
11. At (time), notify Front Desk to admit audience. Audience orientation is not needed. Chair should just welcome them and assure everyone has copy of audience information sheet that explains process rules of order. Have extras on sign-in table.
12. Begin taping. Ask Chair to read from Card for the record:
"I am (chair's name and title)."
"I now call to order the public meeting of the (RPO name) grants advisory panel meeting."
"It is (date)."
"We are meeting in (location and city)."
"The time is (time)."
"Panelists please state your name, county, and conflicts (if any) for the record. "

SECTION 14

AFTER THE PANEL MEETING

PURPOSE

Congratulations! The panel has accomplished its objective to evaluate and rate all applications. At this point, the panelists need to relax, eat lunch, and evaluate the process. Staff's objectives are to thank volunteers, collect materials needed for the grants files, and generally pull together all loose ends.

Things to do After the Panel Meeting

- Post results (the final summary sheet with ratings only)
- Chair signs thank you letters; Mail thank you letters
- Panelists evaluate the process; Tabulate panelist evaluations
- Chair and staff evaluate panelists; Tabulate evaluations of panelists
- Collect applications and notebooks and recycle
- Collect audience evaluations; Tabulate audience evaluations
- Enter grant amounts and "for statements" in database
- Compile panel materials to be placed in fiscal files
- Keep panel audience book for one year
- Keep panel audio tapes for one year
- Consult with applicants regarding panel process

"For Statements"

This is the brief description of the funded activity that will be entered into the grants database. Examples: for operating support; for artist residency in paper making; for community theater production; for commission of opera; etc.

SECTION 15

ADOPTION OF FUNDING RECOMMENDATIO NS

PURPOSE

To assure organizational agreement and accountability for all final grant making decisions.

Grant Amounts

The Regional Partner Organization (RPO) governing board, or its designee, will officially review and approve all grant amounts based on panel ratings, including recommendations for zero funding.

Conditions

The governing board, or its designee, will officially review and consider all conditions for the receipt of grant awards and the rationale for conditional awards as suggested by the panel or staff. The board, or its designee, will approve any conditions that are attached.

SECTION 16

IAC NOTIFICATION

PURPOSE

To provide the Indiana Arts Commission with a preliminary information about grants that will be awarded as a result of the most recent grants making process when such information was not included in the Regional Services Plan for the same fiscal period.

Data Items for each Grant

Identification Number
Applicant Legal Name
Address 1
Address 2
City
Township
State
County
Region
Zip + 4
Telephone
FAX
E-mail
Web site Address

Applicant Institution Code
Applicant Status Code
Congressional District
State House District
State Senate District
Program Category
Project Begins
Project Ends
Project Activity Code
Project Discipline Code
Special designations:
 Underserved
 Arts Education
 Presenting/Touring

Is this a first-time applicant?

Demographic Info - estimated
Amount Requested
Rating
Amount Granted
Project Description ("for statement")

SECTION 17

GRANT NOTIFICATION PROCESS

PURPOSE

To advise all applicants individually in writing of the disposition of their requests for funding and to provide funded applicants with a packet of materials related to the contract for services.

Funded applicants must perform the following duties once they have received notification of funding:

- Complete a revised budget form if the amount the grant is less than the amount requested. Grantees must submit revised budgets before funds are issued.
- Sign a contract that states the terms of the funded project. The person in the organization legally designated to enter into a contract on behalf of the funded organization must sign the contract.
- Credit the Regional Partner Organization and the IAC for its support in all publicity and advertising and in printed promotional materials such as programs, catalogs, poster and news releases.
- Complete additional materials, as requested, related to the processing of payments.
- Submit a final report form by the date specified in the contract.
- Keep adequate records and provide access for purposes of a financial review or an authorized professional audit.
- Provide adequate documentation of the project activities and accomplishments, for purposes of a program review.
- Agree to notify the RPO in writing at any point if the program or project budget varies by 10% from the approved proposed budget.

Notification Packet Enclosures

The following items should be included in the notification packet:

- Notification letter
- Contracting instructions *
- Contract *
- Claim vouchers (2) *
- IRS W-9 Form *
- Logo/format sheets *
- List of State and US legislators**
- List of Regional Partner board members
- List of Indiana Arts Commissioners **
- Budget Modification Form *
- Final Grant Report Form *
- Appeals Policy and Process

* *The FY2000 version of this item will be available from the Indiana Arts Commission by May 1, 1999.*

** *Contact the IAC for a copy of this item.*

Sample in this Section

Notification Letter

SAMPLE Grant Notification Letter

Dear (Authorizing Official):

The (RPO name) is pleased to announce a \$4,649 grant to (Applicant) for the period July 1, (year) to June 30, (year).

We received () grant applications totaling () in requested public arts support for fiscal year (year). We had (\$) available for distribution. Your grant amount reflects the quality rating determined by the advisory panel applied to the total amount of available funds. For specific information about how your grant amount was determined, please contact (name) at (telephone).

The grant is made possible through the Indiana Regional Partnership Initiative Program, with assistance from the Indiana General Assembly, the Indiana Arts Commission, and the National Endowment for the Arts. We strongly encourage you to formally thank your state and congressional legislators for this assistance and advise them about your funded project. (Their names and addresses are enclosed in this packet.) Invite them to attend your activities so they can see first-hand the importance of public sector arts support.

Please complete and return the enclosed contract materials as soon as possible.

Instructions for completion are enclosed to help you correctly complete the required paperwork to receive your grant. Your first grant award payment cannot be processed until your grant paperwork is received and found to be complete and accurate.

Return all paperwork no later than (date). Please contact (name) at (telephone) with any questions regarding this matter.

Best wishes for successful implementation of the funded activities!

Sincerely,

Name

Title

Cc: Applicant Executive Director

Enclosures: Instructions; Grant Agreement (Contract); Claim vouchers (2); W-9 Form; Logo/format sheet; List of State and US legislators; List of Indiana Arts Commissioners; Budget Modification Form; Final Grant Report Form; Appeals Policy and Process

SECTION 18

PUBLIC ANNOUNCEMENT OF GRANT AWARDS

PURPOSE

To acquaint the general public with the information about grants awarded in support of arts activities within the region. Announcements can take the form of news releases, press conferences, newsletter articles, web site postings, and other means of communication.

Involving Legislators

Although, there is no guarantee of coverage, it is generally a good idea to involve your local state and federal legislators in the announcement of public arts grants. Whenever possible, coupling the public announcement with a prominent arts event already supported by public funds may be a good way to attract media coverage for the legislator, the Regional Partner, and the funded organization.

Senior-level governance volunteers and staff of all pertinent organizations should be present at such events.

Sample in this Section

Press Release

SAMPLE Grants Awards Press Release

DATE:

CONTACT:

RELEASE: Immediate

Indiana Arts Commission approves \$2.6 million in grants to Hoosier arts providers

Indianapolis - More than 250 arts organizations based in 57 counties across the state of Indiana will share almost \$2.6 million in grants approved during the June 12 quarterly business meeting of the Indiana Arts Commission.

Applications for the IAC grants to organizations program for fiscal year 1999 were evaluated earlier this year by citizen review panels composed of 98 volunteers from throughout the state.

"Nearly 300 grant applications were submitted to the IAC office with funding requests totaling almost \$ 10 Million," said IAC Chair Jeff Gibney. "As in recent years, grant requests exceed available funds with the result being the IAC is unable to fully-fund most requests."

The majority of IAC grant funds for FY 99 will be distributed among 239 arts organizations in smaller and midsize communities throughout Indiana (for grant recipients in your region, see funding list beginning on page two). More than \$500,000 will be distributed among 10 multi-regional arts organizations.

Grants totaling more than \$50,000 will be shared by four statewide arts service organizations which provide training and technical assistance to member artists and arts organizations.

More than \$200,000 will be distributed to 12 regional organizations as part of a two- year capacity building project linked to the IAC Regional Partnership Initiative. The project will help prepare these partner organizations to provide core services to communities in their regions. The Regional Partnership Initiative will help the IAC better address the needs of artists, arts providers and audiences more efficiently by decentralizing service delivery to regional organizations that cover specific multi-county areas. IAC central office services will concentrate on providing technical and development assistance to arts organizations, and encourage public and private support for the arts as an important resource for cultural tourism, lifelong learning and economic development in Indiana.

"The demand is there," Gibney said. "In the past year, grant requests to the IAC have increased by almost \$2 million, or about 19 percent, while available funds have not increased. Based on current trends, we project funding requests from community organizations will exceed \$11 million next year and top \$13 million by FY2001."

SECTION 19

PANELIST NOTIFICATION AND RECOGNITION

PURPOSE

Volunteer advisory panelists will donate hundreds of hours to the evaluation and panel process – for no compensation and often very little recognition. They are making a real contribution to the process and should be thanked at each stage of their work.

Immediately After the Panel

The panel chair should send a brief letter of appreciation for each panelist's efforts. (If these letters are prepared prior to the panel meeting, the chair can sign them at the end of the meeting.)

After Adoption of Grant Awards

Panelists are curious to know the results of their evaluation efforts and deserve formal recognition and gratitude for their work. Enclosing a final report of grant amounts with a certificate of appreciation can combine these two tasks.

If possible, the letter and certificate should be signed by both the board president and the executive director.

Samples in this Section

Panelist Thank you Letter from Panel Chair
Panelist Thank you Letter from President and Executive Director
Certificate of Appreciation

SAMPLE Panelist Thank-you Letter from Panel Chair

Dear (First Name):

I am writing to thank you for your participation in the grants review advisory panel meeting today. It was a real pleasure to work with you and your colleagues. You all were a really enthusiastic and efficient team of people! The perspective and balance you brought to the process will enable the (insert RPO name) to feel secure each application was given through and fair consideration by representatives from throughout Region (insert #).

Final grant award information will be forwarded to you upon approval. I hope we will have the opportunity to work together in the future. On behalf of the (insert RPO name), thank you for supporting the arts in Indiana!

Sincerely,

Name

Title

Advisory Panel Chairperson

SAMPLE Panelist Final Thank-you Letter

Dear (First Name):

On behalf of the board of directors and staff of the (RPO name), thank you for serving as an advisory panelist in the (year) grants making process. Your role as citizen volunteer is vital to the process. We deeply appreciate your donation of time and talent to ensure a thorough review of all the grant proposals.

Enclosed please find a certificate of appreciation for your efforts and the final grant recommendations for your panel, which were approved by the (RPO) at its (date) meeting.

For FY (year), we received (number) applications totaling (\$) in requested public support for the arts. We had (\$) available to distribute - essentially () dollar for every () dollars requested! Consequently, the grant awards were, in most cases, significantly lower than they might have been in light of the panel ratings if adequate funding had been available.

We are currently in the process of notifying applicants about final grant amounts. If by chance an applicant should contact you regarding his/her grant, please be aware that all applicants are prohibited from "lobbying" panelists before, during and **after** the panel meeting. Doing so may place the grant award in jeopardy. In such cases, please do not discuss the grant with the applicant, rather refer the applicant to (name of RPO staff person) directly. We will provide individualized consultation as requested and/or needed.

Again, thank you for your participation in this important process. I hope that during the upcoming year, you will have the opportunity to attend an arts event that you helped to make possible and perhaps to advocate for adequate public funding for the arts. Look for information about arts activities in our newsletter and our web page (provide address, if applicable).

I look forward to working with you again in the future. Thank-you for supporting the arts in Indiana!

Sincerely,

Name

Title

Enclosures: Certificate of Appreciation
Final Application Summary Sheet w/Grant Awards for Region

SAMPLE Panelist Certificate of Appreciation

The Indiana Arts Commission

with gratitude and appreciation recognizes

NAME

for community service on behalf of the arts in Indiana

1998 Grants Advisory Panelist

*“To give away money is an easy matter and in any person’s power.
But to decide to whom to give it and how much and when.
And for what purpose and how,
Is neither in every person’s power nor an easy matter.”*

Aristotle

Name
Title

Date

SECTION 20

APPEALS POLICY AND PROCESS

PURPOSE

The appeals policy provides a vehicle for applicants to request and receive reconsideration of a funding decision when it appears that the decision was a result of a panel decision-making procedural violation. The governing board, or its designee, develops and approves the appeals policy.

Distribution

The appeals policy is included in the grant guidelines and in the grant notification packet.

Sample in this Section

Appeals Policy and Process

SAMPLE Appeals Policy and Process

At the Regional Level

The reconsideration process is designed to review the method and fairness of the Regional Partner Organization (RPO), decision concerning a grant application. This process is not intended to impose a different panel's choices/judgment over the original panel's decision. Dissatisfaction with the denial of a grant or the amount of an award is not sufficient reason for an appeal.

Applicants may request reconsideration of a funding decision if the applicant can demonstrate. 1) the panel or review team used incorrect review criteria; 2) there was influence by a staff person or volunteer panelist having a conflict of interest; or 3) required information submitted by the applicant was withheld from consideration.

Applicants must send a formal letter to the Executive Director of the Regional Partner Organization stating the reason for reconsideration, based on one or more of the three points above, and evidence of the grounds for the appeal. The letter must be received within 30 days of notification from the Regional Partner of the grant award in question. The Regional Partner Organization Executive Director will determine if there is reasonable basis for an appeal.

- If no basis is found, the Regional Partner Organization will notify the appellant of the decision within 10 days of receipt of the Applicant's letter. The Executive Director's decision is final and may not be appealed further.
- If the Director finds there is basis for an appeal, an appeals committee, appointed by the Chairperson of the Board, will review the situation and make recommendations to the full Board of Directors at its next business meeting. The Organization will notify the appellant of the Board's decision within 10 days. With one exception, the Board's decision is final and may not be appealed further. (See below.)

At the State Level

Applicants may request a review of the Regional Partner Organization's decision if the applicant can demonstrate that the Regional Partner Organization violated its own appeal process in determining the outcome of the applicant's appeal at the regional level. (The state level review is not available to applicants whose request for appeal was found to have no basis by the Regional Partner Organization Executive Director.)

The state level process is limited to a review of the implementation of the Regional Partner Organization's appeal process. The state process is not intended to impose a different judgment over the RPO decision but rather to ascertain if the Partner Organization correctly followed its own appeal process in making a decision.

The Applicant must send a formal letter to the Executive Director of the Indiana Arts Commission stating the reason for the appeal and evidence to support the grounds for the appeal. The letter must be received within 10 days of notification of the Regional Partner Organization's decision. The IAC Executive Director will determine if there is reasonable basis for an appeal.

- If no basis is found, the IAC will notify the appellant of the decision within 10 days of receipt of the Applicant's letter. The IAC Executive Director's decision is final and may not be appealed further.
- If the IAC Executive Director finds there is basis for an appeal, an appeals committee, appointed by the Chairperson of the Commission, will review the situation and make recommendations to the full Commission at its next business meeting. The investigation will involve consultation with the Regional Partner Organization and other parties as applicable. The IAC will notify the applicant and the Regional Partner Organization of its decision within 10 days. All decisions of the Commission are final, binding on the Regional Partner Organization, and may not be appealed further.

SECTION 21

GRANTS RECORDS

PURPOSE

A systematic method for maintaining required financial and programmatic information about all agency actions related to each grant application, whether or not funding was awarded.

Records should be kept for at least three (3) years (and then archived) to substantiate all activities related to the grant award and implementation of the funded project.

Samples in this Section

About the Applicant File

About the Fiscal File (Active)

About the Fiscal File (In-active)

About the Applicant File

- Purpose:** A permanent record of information about all individuals and organizations that have applied for RPI funding.
- Location:** Secure, locked cabinets.
- Staff Access:** Open to all RPO staff on a “read only” basis - (do not add, delete, or remove information from file).
- Public Access:** Upon request, in accordance with procedures adopted under Indiana Code 4-1-6-3, applicable materials maintained in the file are open to public inspection during regular office hours, under the supervision of an RPO staff member.
- File Order:** Files will be kept in alpha order by legal name of organization or artist.
- Maintenance:** All items are maintained indefinitely except for archive materials. An assigned staff person will set up files, file, and regularly archive or purge specific items.

Contents:

NO.	DOCUMENT O=original C=copy	APPLICANT FILE	FISCAL FILE		ARCHIVE ORIGINAL AFTER 3 YEARS
			ACTIVE	INACTIVE	
1	IRS letter of TES determination	O			
2	Enabling legislation	O			
3	Articles of incorporation	O			
4	Strategic Plan	O			
5	Accessibility documentation	O			
6	Financial audits	O			X
7	Grant Applications	C	O	O	X
8	Governing Body Rosters	O			
9	Promotional Materials	O			
10	Final Grant Report (FGR)	C	O		X
11a	Correspondence related to grant, contract, or appeal		O		X
11b	General correspondence	O			
12	Artistic documentation	O			
13	Panel score sheets		O	O	X
14	Commissioner/staff notes from panel meeting		O	O	X
15	Letter of Award or Denial	C	O	O	X
16	Budget modification report (BMR)	C	O		X
17	Acknowledgment /thank you letter from grantee		O		X
18	Letter of Appeal		O	O	X
19	Action on Appeal request		O	O	X
20	Contract and amendments		O		X
21	Claim voucher w/check # and date warrant mailed		O		X

About the Fiscal File (Active)

- Purpose:** Documents pertaining to an artist or organization which has been awarded RPI funding in a specific fiscal year.
- Location:** Secure, locked filing cabinets.
- Staff Access:** Limited access by authorized personnel only, who may add or delete file materials. Assigned staff will retrieve and replace files and maintain a sign-in/out sheet for non-authorized personnel who may access fiscal files on a “read only” basis.
- Public Access:** Upon request, in accordance with procedures adopted under Indiana Code 4-1-6-3, applicable materials maintained in the file are open to public inspection during regular office hours, under the supervision of an RPO staff member.
- File Order:** Files will be kept in numeric order by fiscal year.
- Maintenance:** All items are maintained for three years and then archived. Special correspondence may be copied and placed in the permanent section of the “applicant file” when such information may provide important historical perspective.
- Contents:**

NO.	DOCUMENT O=original C=copy	APPLICANT FILE	FISCAL FILE ACTIVE	INACTIVE	ARCHIVE ORIGINAL AFTER 3 YEARS
1	IRS letter of TES determination	O			
2	Enabling legislation	O			
3	Articles of incorporation	O			
4	Strategic Plan	O			
5	Accessibility documentation	O			
6	Financial audits	O			
7	Grant Applications	C	O	O	X
8	Governing Body Rosters	O			X
9	Promotional Materials	O			
10	Final Grant Report (FGR)	C	O		X
11a	Correspondence re: grant, contract, or appeal		O		X
11b	General correspondence	O			
12	Artistic documentation	O			
13	Panel score sheets		O	O	X
14	Commissioner/staff notes from panel meeting		O	O	X
15	Letter of Award or Denial	C	O	O	X
16	Budget modification report (BMR)	C	O		X
17	Acknowledgment /thank you letter from grantee		O		X
18	Letter of Appeal		O	O	X
19	Action on Appeal request		O	O	X
20	Contract and amendments		O		X
21	Claim voucher w/check # and date warrant sent		O		X

About the Fiscal File (In-active)

- Purpose:** Documents pertaining to an artist or organization that applied for but did not receive RPI funding in one fiscal year.
- Location:** Secure, locked filing cabinets.
- Staff Access:** Limited access by authorized personnel only, who may add or delete file materials. Assigned staff will retrieve and replace files and maintain a sign-in/out sheet for non-authorized personnel who may access fiscal files on a “read only” basis.
- Public Access:** Upon request, in accordance with procedures adopted under Indiana Code 4-1-6-3, applicable materials maintained in the file are open to public inspection during regular office hours, under the supervision of an RPO staff member.
- File Order:** Files will be kept in numeric order by fiscal year.
- Maintenance:** All items are maintained for three years and then archived. Special correspondence may be copied and placed in the permanent section of the “applicant file” when such information may provide important historical perspective.
- Contents:**

NO.	DOCUMENT O=original C=copy	APPLICANT FILE	FISCAL FILE ACTIVE	INACTIVE	ARCHIVE ORIGINAL AFTER 3 YEARS
1	IRS letter of TES determination	O			
2	Enabling legislation	O			
3	Articles of incorporation	O			
4	Strategic Plan	O			
5	Accessibility documentation	O			
6	Financial audits	O			X
7	Grant Applications	C	O	O	X
8	Governing Body Rosters	O			
9	Promotional Materials	O			
10	Final Grant Report (FGR)	C	O		X
11a	Correspondence re: grant, contract, or appeal		O		X
11b	General correspondence	O			
12	Artistic documentation	O			
13	Panel score sheets		O	O	X
14	Commissioner/staff notes from panel meeting		O	O	X
15	Letter of Award or Denial	C	O	O	X
16	Budget modification report (BMR)	C	O		X
17	Acknowledgment /thank you letter from grantee		O		X
18	Letter of Appeal		O	O	X
19	Action on Appeal request		O	O	X
20	Contract and amendments		O		X
21	Voucher w/check # and date warrant mailed		O		X

SECTION 22

CONTRACT PROCESSING

PURPOSE

To finalize the legal agreement with each grantee leading to service delivery and release of payments for services.

Review and Approval of Contract Materials

- Assure that all required items have been returned
 - Items Required for **First** Payment:
 - Signed and dated Contract
 - Signed and dated Claim Voucher
 - IRS W-9 Form
 - Budget Modification Form (2) (where applicable)
 - Items Required for **Final** Payment:
 - Signed and dated Claim Voucher
 - If unexpended funds, check for unexpended amount
 - Final Grant Report Form and attachments (2)
- Review each item for correctness. For each item:
 - Assure that item is completed per instructions
 - Assure that appropriate signatures and dates have been affixed
 - If incorrect, contact grantee for correction
 - If correct, enter date received and additional applicable data in grants database (See Section 6)
 - Date stamp and initial contract, W-9, budget modification forms, and final grant report forms as “approved”.
- File all items (original and copy) in appropriate files.

Segregation of Duties

In keeping with sound financial management practices, the same person should not approve claims and process payments. If this is not practical due to a small staff, provide for dual signatures on claims and checks.

SECTION 23

PAYMENT PROCESSING

PURPOSE

To provide payment for contracted services in a systematic and accountable manner.

Segregation of Duties

In keeping with sound financial management practices, the same person should not approve claims and process payments. If this is not practical due to a small staff, provide for dual signatures on claims and checks.

The First Payment

- Receive fiscal file showing authorization to make first payment
- Prepare and send first payment (generally 90%)
- File copy of check with voucher in fiscal file
- Enter dates of transactions in grants data base

The Final Payment

- Receive fiscal file showing authorization to make final payment
- Prepare and send final payment (generally 10%)
- File copy of check with voucher in fiscal file
- If applicable, deposit refund check and file copy of refund check in fiscal file
- Enter dates of transactions in grants data base

SECTION 24

EVALUATING PANELISTS

PURPOSE

To determine the adequacy of each panelist's performance against specific criteria.

Results can be used to decide about the future involvement of panelists, chose panelists for positions as trainers or mentors, and/or whether to refer outstanding volunteers for consideration as members of other agency committees, task forces, or the governing board.

Sample in this Section

Evaluation of Panelist Performance

SAMPLE

Evaluation of Panelist Performance

PANELIST NAME:

PANEL DATE:

Please rate this panelist's performance on a scale of 5-1:

5 = excellent, 4 = very good, 3 = satisfactory, 2 = fair, 1 = poor.

- | | | | | | | |
|-----|---|---|---|---|-----|----|
| 1. | Panelist was prepared | 5 | 4 | 3 | 2 | 1 |
| 2. | Panelist made relevant comments | 5 | 4 | 3 | 2 | 1 |
| 3. | Panelist was tactful | 5 | 4 | 3 | 2 | 1 |
| 4. | Panelist stayed focused | 5 | 4 | 3 | 2 | 1 |
| 5. | Panelist was cooperative and worked well as a team member | 5 | 4 | 3 | 2 | 1 |
| 6. | Panelist adhered to decision-making policies and panel process | 5 | 4 | 3 | 2 | 1 |
| 7. | Panelist was on time | | | | YES | NO |
| 8. | Panelist stayed for entire meeting | | | | YES | NO |
| 9. | Would you recommend panelist for re-appointment? | | | | YES | NO |
| 10. | Would you recommend this panelist for participation on another type of committee? | | | | YES | NO |
| 11. | Comments: | | | | | |

Name/Title of Person Completing Evaluation: _____

SECTION 25

EVALUATING THE GRANTS MAKING PROCESS

PURPOSE

Evaluation of the grants making process with input from applicants, panelists, panel chairs, and staff provides a wealth of information about the successes and problems of the grants making process.

Findings should be shared with all interested parties and used to improve subsequent materials and procedures.

Samples in this Section

Audience Evaluation of Panel Meeting

Panelist Evaluation of the Grants Making Process

Customer Satisfaction Survey Cover memo

Customer Satisfaction Survey Cover

Volunteer Time Sheet

SAMPLE Audience Evaluation of Panel

Panel: _____ Date: _____

The IAC is interested in the impressions of applicants and other audience members about the grants advisory panel meeting process. Your candid feedback is appreciated. All responses will be kept confidential and used only to inform program design.

(Please place completed form in box on table.) Thank-you!

1. Do you represent an FY99 applicant organization? YES NO
 - If NO, please respond ONLY to questions 7. - 10.
 - If YES, please respond to ALL questions.

2. In what county is your organization located? _____

3. Is the primary mission of your organization arts-related? YES NO

4. Did you prepare the FY99 IAC application? YES NO

5. Prior to coming today, did you read the information about the panel process which was contained in the grant guidelines packet? YES NO
 - If NO, why not?

6. Prior to coming today, did you read the Audience Information sheet which the IAC provided to all applicants? YES NO
 - If NO, why not?
 - If YES, did it provide useful information about the panel process? YES NO

7. Why did you decide to attend the panel meeting?

8. Was the meeting process what you expected? YES NO

9. Was attending the meeting a good use of your time? YES NO
Please explain:

10. What would you change about the meeting process? Why?
(Use side 2 if needed)

SAMPLE Panelist Evaluation of Grants Making Process

Please help us improve the grant making process by completing the survey before you leave today:

Panel: _____ Date: _____

Please use the following scale:

5 = strongly agree, 4 = agree, 3 = no opinion, 2 = disagree, 1 = strongly disagree

1. The orientation and training gave me a clear understanding of the mission and objectives of the Regional Partner Organization.
5 4 3 2 1
2. The orientation and training gave me a clear understanding of the purpose and objectives of the RPI Grants for Organizations Program and its role in relation to other RPO programs and services.
5 4 3 2 1
3. The orientation and training gave me a clear understanding of my role and responsibilities as an advisory panelist.
5 4 3 2 1
4. I had adequate time to review applications before the panel meeting.
5 4 3 2 1
5. The review criteria, rating process, and rationale were clearly explained.
5 4 3 2 1
6. I was adequately prepared by the IAC for my role as first reader.
7. Please answer with regard to each item below.

This information was useful to me in evaluating and rating applications:

Mission statement	yes	no
Governance and management	yes	no
Financial status	yes	no
Past programming	yes	no
Goals and activities	yes	no
Educational efforts	yes	no
Personnel	yes	no
Needs assessment	yes	no
Promotion and accessibility	yes	no

SAMPLE Panelist Evaluation, continued

- | | | | |
|--|--|--|--|
| Evaluation
Use of RPO funds and contingency plan
Project Timetable
Budget Summary
Budget Line Item Detail
Accessibility Statement
Governing Body Roster
Financial Statement (unaudited)
Resumes
Promotional materials | yes

yes
yes
yes
yes
yes
yes
yes
yes
yes | no

no
no
no
no
no
no
no
no
no | no

no
no
no
no
no
no
no
no
no |
|--|--|--|--|
8. Which of the items listed above was the MOST useful to you?
9. Which of the items listed above was the LEAST useful to you?
10. What additional information would you like to see? Why?
11. The panel chairperson properly and effectively led the meeting.
 5 4 3 2 1
12. The staff person properly and effectively supported the meeting.
 5 4 3 2 1
13. What did you like most and least about being a panelist?
- MOST:
- LEAST:
14. I nominate these persons who are residents of Region (#) for consideration as advisory panelists:
1. Name:
 Mailing Address:
 Telephone:
2. Name:
 Mailing Address:
 Telephone:
3. Name:
 Mailing Address:
 Telephone:

THANK YOU FOR SUPPORTING THE ARTS!

SAMPLE Customer Satisfaction Survey Cover Memo

DATE:
TO: All FY99 Grants Applicants
FROM:
RE: Questionnaire

The Indiana Arts Commission is very interested in hearing from you regarding your assessment of the grant guidelines and application forms that were used to submit your funding request on January 15, 1998.

We hope that you will take a few minutes to complete the enclosed questionnaire and let us know how the forms and process can be improved.

As you know, in 1999 the IAC Regional Partner Organizations will be managing the grant making process for FY2000 funding to all current AOS/I, AOS/II, and APS applicants. In 1999, the IAC will continue grant making activities for AOS/III, AOS/IV, and AOS/V applicants and all applicants for the Capacity Building and Technical Assistance programs.

Your feedback will enable the IAC and your Regional Partner Organization to develop more accessible application forms and processes in the future.

Please complete and return the questionnaire in the enclosed pre-posted self-addressed envelope by April 10, 1998. All comments are confidential.

Thank you for your help!

Enclosures: Survey Form
Return Envelope

SAMPLE Customer Satisfaction Survey

Please assist the IAC to improve our grants-making process by completing and returning this questionnaire, in the enclosed envelope, by April 10, 1998. All responses will be kept confidential.

1. In what county is your organization located?
2. Is the primary mission of your organization arts-related? Yes No
3. Does your organization have one or more paid staff? Yes No
4. What is the approximate amount of your organization's current annual budget?
\$ _____
5. Was 1998 the first time your organization submitted an application for funding to the IAC? Yes No
6. If 1998, was your first time, why hasn't your organization applied before?
7. Including 1998, about how many times has your organization submitted an application for funding to the IAC? _____ times
8. Does your organization have a professional grant writer? Yes No
9. In which category did your organization submit an application in 1998?
 AOS/I AOS/II APS
10. How far in advance of the application deadline did your organization receive the grant guidelines and application forms? _____ Days
11. In what form(s) did you obtain application information? Hard Copy Diskette
 Other: _____
12. Should the IAC continue to make application materials available on diskette and the Internet, in addition to hard copy? Yes No
13. How far in advance would you like to receive grant guidelines and application forms?
_____ Days
14. Did you attend one of the IAC grants information sessions held in late 1997?
 Yes No
If No, why didn't you attend? _____
If Yes, was the session helpful in preparing the application? Yes No

-more-

SAMPLE Customer Satisfaction Survey, continued

15. Did an IAC staff person provide you with technical assistance in completing your application? Yes No
- If No, why didn't you request assistance? _____
- If Yes, was the assistance helpful in preparing the application? Yes No
16. How could the IAC staff have been more helpful to you in developing your grant application?
17. How much time did it take your organization to prepare the grant application?
_____ Hours
19. Was preparation time more or less than it takes to prepare grant applications for other funders?
 More About the Same Less Have not applied to other funders
20. Was the amount of required supporting information (proof of tax-exempt status, by laws, financial statement, board roster, promotional; materials. etc.) more or less than that required by other funders?
 More About the Same Less Have not applied to other funders
20. Was the guidelines and application packet well organized and easy to follow?
 excellent good adequate fair poor
21. Were the application forms and instructions for completion easy to understand?
 excellent good adequate fair poor
22. Was the information contained in the section "How to Use this Packet" helpful?
 excellent good adequate fair poor
23. Were the following Appendix items helpful? (Please rate each item on a scale of 5 - 1. (5 = excellent; 4 = good; 3 = adequate; 2 = fair; 1 = poor)
- Tips for Working with Consultants 5 4 3 2 1
 - Accessibility Self-Assessment Checklist 5 4 3 2 1
 - Regional Partner Organization Information 5 4 3 2 1
 - Definitions 5 4 3 2 1
 - Sample Line Item Budget Detail 5 4 3 2 1

SAMPLE Customer Satisfaction Survey, continued

- Resource Materials about:

Federal Arts Agencies	5	4	3	2	1
National Arts Service Organizations	5	4	3	2	1
Regional Arts Service Organizations	5	4	3	2	1
Statewide Arts Service Organizations	5	4	3	2	1
Accessibility	5	4	3	2	1
Locating Consultants	5	4	3	2	1
Fundraising and Community Development	5	4	3	2	1

24. What other information would be helpful to have in the Appendix?
25. What was the most difficult part of the grant application process? Why?
26. What was the most helpful part of the grant application process? Why?
27. In general, how would you improve the grant application form and process?

Thank you for sharing your opinions and recommendations!

Please return this questionnaire, in the enclosed envelope, by April 10, 1998. All responses will be kept confidential.

SAMPLE Volunteer Time Sheet

Please use this form to record the amount of time you devoted to your duties as an advisory panelist. We appreciate you! (FYI – Income Tax information: Because this process is designed to be volunteer-based, the value of your time spent in these activities is not tax deductible.)

NAME _____

PANEL _____

Volunteer Activity	Number of Volunteer Hours
--------------------	---------------------------

(include travel time)

PANELIST TRAINING	_____
-------------------	-------

EVALUATING APPLICATIONS	_____
-------------------------	-------

PANEL MEETING	_____
---------------	-------

Please give your completed form to the staff person assisting your panel.

THANK YOU FOR SUPPORTING THE ARTS IN INDIANA!

SECTION 26

CONTRACT MONITORING AND EVALUATION

PURPOSE

There are three equally important reasons for contract monitoring and evaluation:

- To support the grantee organization in its efforts to provide the highest quality arts activities possible.
- To assure that public funds are utilized for the programs and services stated in the contract and in accordance with all conditions of funding.
- To evaluate the accomplishment of the RPO grants making objectives.

Site Visits

In addition to reports, site visits provide a good opportunity for RPO representatives to experience the results of funded applications first-hand. During site visits, staff can learn about project challenges and provide technical assistance.

Informal visits can be made by RPO board members, panelists, or staff who attend an arts event to show RPO support. When funding is conditional on specific grantee actions, a formal site visit by staff is preferred. A brief record of each site visit should be kept in the Applicant File.

Samples in this Section

Budget Modification Form

Final Grant Report Form

SAMPLE Budget Modification Form

Available May 1, 1999

SAMPLE Final Grant Report Form

Available May 1, 1999

SECTION 27

ETHICS POLICY

PURPOSE

Adherence to an ethics policy will provide for the fair and impartial evaluation of applications for support and the award and over site of funding by persons who do not derive a financial or other substantial benefit from such actions.

Sample in this Section

Ethics Policy

SAMPLE Ethics Policy

No member of the (RPO name) board, staff, or member of that person's immediate family, housemate or dependent, shall obtain, or seek to obtain, any financial benefit from a grant, purchase of professional service, or any other activity of the (RPO name) in accordance with IC 35-44-1, as amended July 1, 1995, IC 4-2-6-9, and 40 IAC 2-1-9.

No person shall serve on a panel considering a grant application, the funding of which would result in financial benefit to that person or member of that person's immediate family, a housemate or dependent.

As used in this and other sections of this policy, the term "immediate family" includes any person with whom the person is related as a parent, spouse, sibling, child, stepchild or adopted child, as well as a fiancée. A housemate is any person with whom the member is residing, or has resided during the twelve months preceding the pertinent Commission action. A dependent is any individual more than one-half of whose support is provided during a year by the person.

Each board member, staff, and advisory panelist who is involved in the grant review process shall submit to the Executive Director of the RPO a statement disclosing (i) all affiliations with organizations eligible for RPO support and (ii) any relationship of an immediate family member, housemate or dependent with an individual applicant for a direct grant or fellowship. Each board member, panelist, or staff shall file their statement within 30 days after appointment or employment. The form of the statement shall be determined and supplied by the RPO governing board, and it shall be the responsibility of each person to keep his or her statement current.

An organization for whom an RPO board member, or staff member, or member of that person's immediate family, housemate or dependent serves as an employee or paid consultant, shall be eligible to receive a grant as long as the board member with the conflict excuses himself or herself and the staff member is screened out of any participation in the grants process.

No RPO board member or staff member who serves as a trustee, director, board member or officer of an organization applying for a grant shall participate in any decision affecting that application, nor attempt to exert any influence on the applicant's behalf. No employee, paid consultant, trustee, officer, director or board member of an organization applying for a grant shall serve on an advisory panel selected to review that application. Whenever such a conflict is apparent, the Executive Director, shall have the authority to designate a pre-selected alternate panel member to serve in the affected grant cycle, or if the conflict does not become apparent until the panel meets to review applications, to excuse such panel member from the process.

RPO board members, staff members, and advisory panel members are not prohibited from maintaining general membership in organizations applying for grants, and such membership does not, by itself, preclude service on the board or participation in any of its activities. No board member, staff member or advisory panel member, by reason of his or her relationship to the RPO, may obtain, or seek to obtain complimentary tickets or waiver of admission fees from any cultural organization in Indiana (currently receiving or not receiving a grant), except for use in official site visits.