

Houston Arts Alliance

GRANTS FOR ORGANIZATIONS

Intensive Services Program (ISP) and Stabilization Guidelines FY 2011

September 1, 2010 – August 31, 2011

**3201 Allen Parkway, Suite 250
Houston, TX 77019
(713) 527-9330
www.haatx.com**



Accessibility and Special Needs

Houston Arts Alliance works to make its grant application process, assistance and workshops open to all interested parties. If you would like to attend a Houston Arts Alliance grants workshop and need special accommodations, please contact Houston Arts Alliance staff one week in advance (if possible) at (713) 527-9330.



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Houston Arts Alliance

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IMPORTANT DATES

Intensive Services Program (ISP) and Stabilization

Grant Period or Grant Term	Intensive Services Program: September 1, 2010 –Aug 31, 2011 Stabilization: September 1, 2010 –Aug 31, 2011
Deadline to Apply and submit Required Support Materials	Monday, April 26, 2010 - 5:30 P.M. (RECEIVED IN OUR OFFICES) <u>NOT A POST MARK DEADLINE</u>
Panel Review & Meeting <ul style="list-style-type: none"> • Review of Pending Grants • Funding decisions made 	May - June 2010
Notification letters mailed to applicants	July 2010
ISP & Stabilization Orientation and Contracts Issued for Signature	August 2010
ISP & Stabilization Leadership Team Meeting #1	Before September 30, 2010

ELIGIBILITY AT-A-GLANCE

All organizations applying for Houston Arts Alliance grants must be 501(c)(3) non-profit, public charity organizations (or the equivalent) in good standing with the Internal Revenue Service and received their IRS recognition at least one year prior to application date.

Grant categories are open to specific types of organizations. Not all grant programs are open to all types of organizations. Please read the appropriate sections carefully for complete information on eligibility.

Type of Organization **MODE ISP Eligibility at a Glance (see page 8 for more details)**

Arts and Cultural Organizations Multicultural Arts Organizations	<ul style="list-style-type: none"> • Applicant must be an eligible arts/cultural or multicultural arts grantee since the FY05 Grant cycle (July 1, 2004 to June 30, 2010). • For ISP Applicants - the applicant organization's annual cash revenues (not including any HAA grants) are between \$100,000.00 and \$750,000.00. • For Stabilization Applicants - the applicant organization's annual cash revenues (not including any HAA grants) are above \$750,000+. • The applicant must employ at least one (1) full-time employee that acts at the chief executive officer or executive director of the organization. • Beginning September 1, 2010, all applicants are eligible to receive within the lifetime of the organization up to: <ul style="list-style-type: none"> ○ Four (4) ISP grants = up to two (2) Phase 1 and two (2) Phase 2 grants ○ Two (2) Stabilization grants = up to two (2) Phase 1 or up to two (2) Phase 2 grants <p><i>For All Phase 1: Strategic Plan Applicants:</i></p> <ul style="list-style-type: none"> • Applicant must wait a minimum 36 months after date of signing of a previous ISP Phase 1 – Strategic Plan grant before submitting another application. <p><i>For All Phase 2: Implementation Applicants:</i></p> <ul style="list-style-type: none"> • Phase 2 applicants must submit their current multi-year strategic plan adopted by its board of directors that is no more than two (2) years old at the time of the application deadline. • Applicant must wait a minimum 24 months after date of signing of a previous Phase 2 – Implementation grant before submitting another application.
University/Education Agencies, Departments & Organizations	Ineligible to apply.
Other Nonprofit Orgs.	Ineligible to apply.

Need Assistance?

Houston Arts Alliance staff assists applicants through a series of Application Workshops to answer questions, offer tips for success, and discuss the application process before applications are submitted. To assist both new and renewing applicants, grant workshops are offered in March and April 2010:

Grant Application Workshops Date and Location

Day	Date	Time	Topic	Location
THURSDAY	March 18, 2010	5:00 p.m. to 6:00 p.m.	Intensive Services Program (ISP) & Stabilization Grant Programs	Houston Arts Alliance
THURSDAY	April 1, 2010	5:00 p.m. to 6:00 p.m.	Intensive Services Program (ISP) & Stabilization Grant Programs	Houston Arts Alliance

All applicants are required to read the guidelines and application instructions to become familiar with the program requirements and criteria before beginning the application process. To speak with Program & Services staff at Houston Arts Alliance or to make an appointment, please call (713) 527-9330 or email us at:

Jerome Vielman, Program & Services Manager	jerome@haatx.com
Janel Badrina, Program & Services Coordinator	janel@haatx.com
Richard Graber, Director of Programs & Services	richard@haatx.com

Who Must Attend Workshops

All first time applicant organizations and former applicants who were not approved for funding or have not applied in the past Intensive Services Program cycle are required to attend the application workshop prior to applying. Workshop dates and times listed above. As Guidelines change periodically, all other applicants are strongly encouraged to attend as well.

Management Assistance and Organizational Development Enterprise (MODE)

MODE's Mission is to build the organizational capacity of multicultural, small and mid-sized arts organizations in Houston, facilitating their artistic growth and strengthening them as channels for diverse cultural expression in the community.

MODE Goals:

- To facilitate delivery of effective assistance through coordination, collaboration and networking.
- To demystify management tools, techniques and approaches so that they are understood, accepted, and appropriately and effectively integrated into operations of service recipients.
- To tailor service delivery to reflect and acknowledge the special and diverse character culture and needs of individual participating organizations.
- To ensure long-term viability of arts organizations as channels for diverse cultural expression.

In its nineteenth year existence, MODE has received local and national acclaim for its documented ability to increase the organizational capacity of arts organizations. MODE was cited as one of eight model programs across the country in the discussion draft, "Rethinking Stabilization: Strengthening Arts Organizations During Times of Change," prepared by Strategic Grantmaker Services for The Ford Foundation.¹

In March 2009, Houston Arts Alliance (HAA) conducted an assessment of the Management & Organizational Development Enterprise (MODE) Program. In an eleven (11) year period (1998 - 2008), over \$825,000 in hotel occupancy-tax funding supported the MODE program. The assessment yielded these findings:

- 85%+ of MODE clients (24 of 27 clients) experienced averaged growth in operations and programming.
- Over 60% of MODE clients (17 of 27 clients) experienced consistent growth in Total Net Assets, strong fiscal management, and good cash stability.
- Clients have maintained a "good" level of competency in exercising clarity of mission, effective leadership, and organization continuity / flexibility, and realistic / achievable goals. Clients need continued development in the areas of financial viability and sensitivity to constituencies / markets.

MODE currently offers assistance through four service components: General Assistance, Incubator, Intensive Services Program (ISP), and Stabilization Enterprise.

General Services: MODE collaborates with other area service providers to leverage community resources. MODE also develops its own projects to meet the needs of arts organizations and artists. General services include: technical assistance workshops, publications, networking meetings, and Resource Library.

Arts Incubator: The three (3) year Incubator Program will build organizational capacity for arts/cultural or multicultural grantee organizations (with total revenues from \$50,000 to \$200,000) through management services, incubator residency, and capacity funding (up to \$15,000 per year). For thirty six (36) months, each organization will receive in depth training, diagnostics, planning and resources to address six competencies including 1) clarity about mission, 2) effective leadership, 3) financial viability, 4) organizational continuity and flexibility, 5) sensitivity to constituencies and markets, and 6) realistic and achievable goals.

Intensive Services Program (ISP): The ISP Program will facilitate growth of midsize and/or multicultural arts organizations (with total revenues from \$100,000 to \$750,000) through the creation of board adopted strategic plans and funding for strategic plan implementation. Phase 1 Strategic Plan Funding (up to \$10,000) will support the creation and board adoption a multi-year strategic plan. Phase 2 Implementation Funding (up to \$20,000) will support specific strategic plan objectives for implementation.

Stabilization: The Stabilization Program will facilitate continued growth of midsize arts & cultural and multicultural organizations (with total revenues over \$750,000+) through funding (up to \$20,000) of either a multi-year strategic plan or funding for strategic plan implementation.

¹Thomas Wolf, ed., Rethinking Stabilization Strengthening Arts Organizations During Times of Change, Strategic Grantmaker Services, May, 1995.

MODE - INTENSIVE SERVICES PROGRAM (ISP) AND STABILIZATION

DEADLINE

The downloadable application must be submitted by 5:30 P.M. on Monday, **April 26, 2010**. All supporting documents must be received at the Houston Arts Alliance office no later than 5:30 P.M. on Monday, **April 26, 2010**. This is **not** a postmark deadline. Grant Application Workshop: Thursday, April 22, 2010 at noon for those seeking assistance.

Please type or use a word processor to fill out the form. There is no online application for this program. Do not staple or bind the application or supporting documents. Handwritten materials *will not* be accepted. Please visit our website at <http://www.houstonartsalliance.com/> for a downloadable applications formatted in Microsoft Word©.

PURPOSE

Houston's attractiveness as a cultural tourism destination requires public and private investment in the health and vibrancy of its nonprofit arts sector. With this in mind, Houston Arts Alliance initiated in the mid 1990s its Management Assistance Programs is to provide specialized capacity building services to Houston's arts organizations.

Key services to address these capacity building challenges are the Intensive Services Program (ISP) and Stabilization Program. ISP seeks to build the organizational capacity of small and mid-sized professional arts organizations with program budgets of \$100,000 - \$750,000. In addition, the Stabilization Program seeks to facilitate continued growth of mid-sized arts & cultural and multicultural professional arts organizations in Houston over \$750,000+. Both ISP and Stabilization facilitates these organizations' artistic growth and strengthens them as channels for diverse cultural expression for visitors and area residents.

Working with Houston Arts Alliance staff and specialized arts consultants, leadership teams from each organization will engage in a process to develop integrated strategies that enhance their artistic programs, strengthen governance and management and diversify resources. The end goal is to strengthen the nonprofit arts sector's ability to present and produce exciting and innovative programs for residents and visitors of Houston.

PROGRAM DESIGN

The Intensive Services Program & Stabilization is designed to identify and address barriers that prohibit the growth and stability of small to mid-sized professional arts organizations that are grantees of Houston Arts Alliance. The following concerns are among the topics that may be addressed through the Intensive Services Program:

- Governance and Leadership
- Risk Management
- Change / Succession Management
- Resource Development and Fundraising
- Marketing
- Arts and Cultural Tourism
- Financial and Technology Management
- Strategic Planning
- Program Development

Organizations are selected through an application and panel review process. The maximum number of organizations to be accepted into the ISP and Stabilization during a given fiscal period will depend on the amount of funding available.

For the organizations selected for the program, Houston Arts Alliance will provide funds in one of either two phases:

INTENSIVE SERVICES PROGRAM (ISP)

Phase 1 – Strategic Plan

The organizations selected for ISP Phase 1 will receive (up to \$10,000) in Strategic Plan Funding to contract outside consultant(s) for the creation and adoption of a multi-year strategic plan. The strategic plan should address and identify core strengths and weaknesses in areas such as (but not limited to) governance, human resources, financial systems, marketing, and artistic programs.

Phase 2 - Implementation

Organizations selected for ISP Phase 2 must demonstrate the completion of a current multi-year strategic plan and its official adoption by the board of directors and staff. Phase 2 Funding (up to \$20,000) may be used to fund specific strategic plan objectives for implementation and outcome evaluation.

STABILIZATION

Phase 1 – Strategic Plan

The organizations selected for Stabilization Phase 1 will receive (up to \$20,000) in Strategic Plan Funding to contract outside consultant(s) for the creation and adoption of a multi-year strategic plan. The strategic plan should address and identify core strengths and weaknesses in areas such as (but not limited to) governance, human resources, financial systems, marketing, and artistic programs.

Phase 2 - Implementation

Organizations selected for Stabilization Phase 2 must demonstrate the completion of a current multi-year strategic plan and its official adoption by the board of directors and staff. Phase 2 Funding (up to \$20,000) may be used to fund specific strategic plan objectives for implementation and outcome evaluation.

Houston Arts Alliance will monitor the ISP & Stabilization clients on a regular basis through meetings with the clients and/or consultants and review Quarterly Status Reports. Houston Arts Alliance designated staff and the organization's leadership team will meet quarterly to assess the progress of the grant and, when necessary, amend the work plan or re-direct grant resources.

A Leadership Team is established for each participating organization. At a minimum, the Leadership Team will consist of non-paid senior-level board members and the Executive or Artistic Director. Likewise, the Leadership Team may not be comprised of more than 50% staff.

To avoid the appearance of a conflict of interest, Leadership Team members may not concurrently serve on the Houston Arts Alliance's Board of Directors or its Committees (i.e. Grants or Programs & Services). Houston Arts Alliance will designate a staff person to assist and monitor the ISP grant. Any changes in Leadership Team members must meet with the approval of Houston Arts Alliance.

Once your organization is accepted into the program, below is a summary of ISP & Stabilization Program Components:

All Clients:

- Program Orientation.
- A professional organizational assessment and multi-year financial history profile.
- Ongoing communication between Houston Arts Alliance and the ISP client.

For Phase 1 – Strategic Plan Clients:

- Development of a written multi-year strategic plan by an outside consultant with prioritized, measurable objectives, action steps, and milestones that indicate assigned responsibilities and an implementation schedule up to 36 months or more.

For Phase 2 – Implementation Clients:

- Grant funds for individualized consultancies from arts management experts or other professionals who can provide the expertise necessary to the organization as it moves forth with its multi-year strategic plan.
- Grant funds for invest in capacity building initiatives for the organization as it moves forth with its multi-year strategic plan.

ELIGIBLE ORGANIZATIONS

The following are the eligibility requirements to apply for the Intensive Services Program & Stabilization:

1. The organization's **primary mission**, as described in its mission statement and approved by its board of directors, is **the production or presentation of a regular season of arts and cultural programming through the year.**
2. The arts organization is at least 3 years old (the age of the organization to be determined from the date it received the IRS 501(c)(3) letter of determination or preliminary ruling letter.)
3. The applicant must be an eligible arts/cultural or multicultural arts grantee organization since the FY05 Grant cycle (July 1, 2004 – June 30, 2010). HAA funding includes General Operating Support, General Operating Support Expansion, Arts Project, Touring & Neighborhood Arts Project, and City's Initiative (Mayor's) Grant Program.
4. The applicant must currently employ at least one (1) full-time employee that acts at the chief executive officer or executive director of the organization.
5. The organization has current tax-exempt status under Section 501(c)(3) (or the equivalent) of the Internal Revenue Service as a public charity. The tax-exempt status must have been granted by the IRS at least three years prior to the grant application deadline. Organizations with lapsed IRS 501(c)(3) status are not eligible to apply.
6. The organization has produced or presented through the year, a season of arts or cultural programming open to the general public for at least one year prior to the grant application deadline.
7. The organization is physically based within the incorporated limits of the City of Houston.
8. The applicant organization's board of directors has at least three independent board members who meet regularly to conduct the business of the organization.
9. The majority of the organization's programs and events are advertised and open to the general public.
10. The majority of the organization's programs and events attract visitors and tourists to Houston.
11. The organization does not have any outstanding Final Reports due to Houston Arts Alliance including General Operating Support, General Operating Support Expansion, Arts Project, Touring & Neighborhood Arts Project, City's Initiative (Mayor's) Grant Program, and any pre-FY10 grant programs.

For ISP Applicants

12. The applicant organization's annual cash revenues (not including any HAA grants) are between \$100,000.00 and \$750,000.00.
13. Phase 2 applicants must submit their current multi-year strategic plan adopted by its board of directors that is no more than two (2) years old at the time of the application deadline.
14. Beginning September 1, 2010:
 - all applicants are eligible to receive up to two (2) ISP: Phase 1 and two (2) ISP: Phase 2 grants (i.e. 4 total ISP grants) within the lifetime of the organization.
 - Phase 1 applicants must wait a minimum 36 months after date of signing of a previous ISP Phase 1 – Strategic Plan grant before submitting another Phase 1 application.
 - Phase 2 applicants must wait a minimum 24 months after date of signing of a previous ISP Phase 2 – Implementation grant before submitting another Phase 2 application.

For Stabilization Applicants:

15. The applicant organization's annual cash revenues (not including any HAA grants) are above \$750,000+

16. Beginning September 1, 2010, all applicants are eligible to receive up to two (2) Stabilization grants within the lifetime of the organization.
17. Phase 2 applicants funding must submit their current multi-year strategic plan adopted by its board of directors that is no more than two (2) years old at the time of the application deadline.
18. Applicant must wait a minimum 24 months after date of signing of a previous Stabilization grant before submitting another application.

Please note that nonprofit arts/cultural organizations or multicultural arts grantee organizations funded by HAA grants (General Operating Support, General Operating Support Expansion, Artist Project Grant, or Touring & Neighborhood Arts Program, and City's Initiative (Mayor's) Grant Program) since FY05 Grant Cycle (July 1, 2004 – current) are eligible for the Intensive Services Program and Stabilization Program. For the purpose of these programs:

- **an arts/cultural organization** is defined as a non-profit cultural organization whose primary mission, as described in its mission statement and approved by its board of directors, is the production or presentation of a regular season (year-round) of arts and cultural programming. The chief activity of the organization is the presentation or production of ongoing arts/cultural programs for the public at large, including visitors and tourists. Such organizations include but are not limited to performing arts companies, visual arts organizations, literary organizations, galleries, art centers, artists' associations and arts service organizations.
- **a multicultural arts organization** is an arts organization that is deeply rooted in and reflective of the culture of a minority, inner-city, tribal, or disabled community; is primarily devoted to providing art to their unique community; presents a ongoing season of art or cultural programs that also attracts visitors and tourists to Houston; and has a local board of directors with a majority of members representative of the minority, inner-city, tribal or disabled community served. Applicants for this category must be reviewed by HAA to be accepted into the category. All FY10 Expansion organizations will be reviewed for renewal during FY11 and subject to review every 5 years.

Please note: Small and mid-size organizations that do not meet the ISP criteria but who are interested in technical assistance for organizational development should contact the Houston Arts Alliance Grants & Services staff to discuss other options that may be available. Organizations currently receiving City of Houston Hotel Occupancy Tax funds directly from the Museum or Theatre District are ineligible to apply to this program.

The general policies of the Houston Arts Alliance's FY10-FY11 Grants for Organizations Program apply, including the 50% Rule.

SELECTION CRITERIA

Organizations chosen to participate in the Intensive Services Program will be selected through a competitive panel review process. The panel consists of a diverse group of professionals in arts management, nonprofit and business management. The panel will review and evaluate the applications and make a recommendation to the Houston Arts Alliance Board of Directors.

The panel's evaluation will be based on "core competencies" to participate in a capacity building program as demonstrated using the following criteria weighted on a rating scale:

- Clarity of Program Role = 250 Points
- Effective Leadership = 200 Points
- Financial Viability & Balance = 200 Points
- Organizational Continuity & Flexibility = 150 Points
- Realistic / Achievable Goals = 100 Points
- Sensitivity to Constituencies & Markets = 100 Points

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Applicants should address specific criteria when answering the narrative questions in the downloadable grant application. The criteria are the grant review panelists' guide in rating the grant applications. The criteria, which have been developed over a period of time and with input from Houston Arts Alliance constituents, represent the qualities that are considered important for a well-run arts/cultural organization.

The criteria are intended to set standards; therefore, not every applicant will meet the criteria in exactly the same way. The size, mission and other characteristics of an organization are relevant to an organization's evaluation.

As they review your organization's application, panelists will consider the following:

1. The organization has a clear mission and artistic goals that correlate with the objectives of the Hotel Occupancy Tax.
2. Organization displays an understanding of their need for change & role of the Incubator program in assisting them.
3. The organization's programs provide evidence of artistic merit and commitment to advancing the specific art form or cultural expression. When evaluating the artistic merit of the applicant organization, the panel will consider the following factors:
 - Activities that are of high artistic quality or exemplary of the organization's discipline;
 - Quality of the artists or experts involved in performances, works, and/or activities;
 - Involvement of artists or experts that are knowledgeable of their discipline;
 - Innovative and creative programming and artist selection;
 - Artistic or curatorial staff that shows vision and leadership; and,
 - Effective use of artistic resources of the community.
4. Evidence of the organization's ability to benefit from a capacity building program as demonstrated by board & staff commitment.
5. Evidence of an active board of directors.
6. Realistic and achievable artistic and organizational goals as identified in the application.
7. Evidence of administrative capability to manage a growing arts/cultural organization.
8. Impact of participation in the Intensive Services Program / Stabilization for the long-term growth and stability of the organization and the Houston nonprofit arts industry. Organizations accepted into the program should demonstrate viable organizational capacity and characteristics for success.

IMPORTANCE OF THE APPLICATION AND REQUIRED SUPPORT MATERIALS

An organization's application should stand on its own. Applications and support materials should be prepared and submitted so that peer review panelists will have at hand all the information they will need to make informed decisions about the grant proposal.

Addressing the Panel: An interview with key staff and board of the organization is a vital part of this application process. Each applicant will be required to send up to four representatives of the organization to respond to questions from the panel or to clarify any comments made by the panel during the review process. The representative s must be able to answer questions about the organization's operations and programs, budget and finances, and the specifics of the application. We strongly encourage for the Executive Director or CEO to be one of the designated representatives. No new materials may be distributed to the panel at this time.

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HOW TO APPLY

To apply, please complete the downloadable application and submit with the required support materials, to the Houston Arts Alliance by the **Monday, April 26, 2010** deadline. Interested organizations are encouraged to contact the Houston Arts Alliance staff for additional information or clarifications.

Houston Arts Alliance Grants & Services Staff will screen the applications for eligibility requirements and completeness including all requested attachments and required copies. When necessary, applicants will be notified of missing documentation and given the opportunity to complete the application packet. Incomplete applications will not be forwarded to the panel.

Should you have any questions, please feel free to contact Jerome Vielman, Program & Services Manager, at jerome@haatx.com or (713) 527-9330.