



Connecticut Commission  
on Culture & Tourism

# Preparatory Application Instructions

## FY2010 LOCAL ARTS AGENCY GRANT PROGRAM

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### ELECTRONIC FORMAT

The *Preparatory Application* package is comprised of the following sections:

**Supplied PDF form (pages 1-5):**

- Cover Sheet (Grantee, Contact & Legislative information)
- Organizational Profile (Items 1-13)
- Strengths, Weaknesses, Opportunities & Threats (SWOT)
- Signature

**Your Attachments:**

- Situational Analysis
- Organization Background

**Attachments:** For the two single page attachments, please format as follows: Use a clear and readable font style no smaller than 10 point and set page margins of no less than one inch.

**IMPORTANT:** Please be sure to complete all required information. Applicants submitting incomplete packages will not be able to continue through the grant application and review process.

### How to use CCT Adobe Reader Enabled Forms

**Even if you have completed a digital form for a prior CCT Grant, PLEASE CAREFULLY READ THESE INSTRUCTIONS AS NEW FEATURES HAVE BEEN ADDED.**

**New Adobe Reader Enabled forms will allow the user to save typed information.** This will allow you to work on forms over several sessions and have an electronic copy of the final application or form for your records. **The new forms will also allow the user to copy/paste rich format text & formatting (italics, bullets, etc.) from your word processing software into the Adobe form (see Instruction #5, below).**

**NOTE:** If you do not have Adobe Reader, or if you have a version older than Adobe Reader 5.0, please visit the Adobe web site for the free software download. You WILL NOT be able to use the Reader Enabled forms without the latest software. Free downloads are available at: <http://www.adobe.com/products/acrobat/readstep2.html>

1. If you have an updated version of Adobe Reader, when you click on a form link from CCT's website, the chosen form will launch Reader automatically and appear on your screen. From the top toolbar menu, choose **File**. Scroll down and select **Save As**. This will open a dialogue box asking you choose a destination on your computer to save this file. Choose a place that you will remember later. Once you have selected the desired location, click the **Save** button.
- 1A. If you DO NOT have an updated version of Adobe Reader, you may be asked to **Save or Open** the file when you click on the form link from CCT's website. Save the file in a location you will remember later, and visit the Adobe web site to download an updated version of the software before continuing.

2. Launch Adobe Reader from either your desktop (if you have an icon) or the Start Menu (for PC's). Select **File** from the top toolbar and then choose **Open**. A dialogue box will appear in which you can browse your computer to find where you saved the CCT form.
3. Carefully read over any guidelines or instructions which may be included with the CCT form. Each program is different and may require different information.
4. In the upper right corner of the Adobe form window, note the button labeled **Highlight Fields**. This button will shade all fields in the form which you will need to complete. All applicable fields are required to be filled in accurately for your application to be considered complete. **Incomplete applications will not be reviewed. Note:** Signature Fields will NOT be highlighted, as ORIGINAL signatures are required. You cannot digitally sign any CCT Form.
5. While you cannot bold, italic, bullet, or otherwise apply **Rich Text Formatting** to information you type directly into the PDF form, you have the ability to **Copy/Paste** previously created narrative that will retain most Rich Text (formatting such as bold, italics, bullets, etc.). You can only Copy/Paste Rich Text into the form's narrative section boxes, as applicable. **Formatting from Microsoft Word or other word processing software will be kept intact. This process will work best by selecting the Arial font style (or another simple sans serif font style) and using a font size of 9 or 10 points.**
6. Reader Enabled Forms allow you to save a digital copy of the document with your digitally typed information intact. When you have completed the form, choose File from the top toolbar, and select **Save a Copy**. You can now revisit the document later to complete or revise your submission, print more copies, or simply archive the forms.
7. When you are ready to submit the form to CCT, print out a copy and be sure to sign any Signature Fields on the form. You must sign applications with black, or preferably, blue pen. APPLICATIONS ARE REQUIRED TO HAVE ORIGINAL SIGNATURES TO BE CONSIDERED COMPLETE. Incomplete applications will not be reviewed. You can now mail or hand deliver your form to CCT. ELECTRONIC OR FAX SUBMISSIONS WILL NOT BE ACCEPTED.

### Troubleshooting and FAQ's:

- The most common problems with fill-in forms occur because of inadequate user software. Visit the Adobe web site to download the most recent version of the Adobe Reader software before contacting CCT staff or Adobe Help Desk.
- Program managers are available to answer questions concerning program applications and forms. Please be sure you have read all instructions and guidelines associated with the application or form before you call. If you still need assistance, program manager's contact information can be found on the Program Guidelines or on the CCT website.
- If you have a problem downloading software, launching Adobe Reader, opening, filling out, or saving forms, it is likely a software problem. Contact Adobe for assistance with the software.

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## GRANTEE INFORMATION

**Organization Name:** Use the official name of your organization.

**Organization Legal Status:** If your local arts agency is a **Private Nonprofit**, provide the organization’s Federal Employer Identification (FEI) number in the space provided. If your organization is NOT a **Private Nonprofit** nor an office of **Municipal Government**, please describe how your LAA is organized. For example: “501-c-3 status in process” or “industry cluster within regional chamber,” etc. Please use only the space allotted.

**Contact Information:** If your organization does not have staff, write “No Staff” in the Executive Director line.

**Legislative Information:** This information must be correct or your application may be disqualified. Obtain information from your Town Clerk’s office and/or visit [www.votesmart.org](http://www.votesmart.org) and use the search function on the home page.

## ORGANIZATIONAL PROFILE

**Date of CT Incorporation/Municipal Statute (Item 2):** List the year only.

**Total Board members/Number of Officers (Item 3):** List the total number of board members or other governing representatives that meet regularly to support your organization. Additionally provide the number of officers within the governing body. Example: 12 / 3

**Summarize the Town or Towns/Region Served (Item 5):** Name the specific town or towns that comprise your service area. Furnish town name(s) & provide descriptive demographic information of your choice: population, education, median income, etc. Be concise. The demographic information you provide can help the review panel to better understand your organization, planning, services, etc. You can find demographic information on line at numerous sites, including:

**US Census Bureau** - [http://factfinder.census.gov/home/saff/main.html?\\_lang=en](http://factfinder.census.gov/home/saff/main.html?_lang=en))

**Zip Skinny** - <http://zipskinny.com/>

**ZipWho.com** - <http://zipwho.com/>

**IMPORTANT:** **Formatting:** Copy/Paste previously created narrative in order to retain any Rich Text (formatting such as bold, italics, bullets, etc.). Formatting from Microsoft Word or other word processing software will be kept intact. Once pasted into the chart, however, copy editing is limited. **This process will work best by selecting the Arial font style (or another simple sans serif font style) and using a font size of 9 or 10 points.**

**Total staff / FTE (Item 6):** Arrive at a Full Time Equivalent (FTE) number as follows: Add all paid staff hours worked in a one week period and divide by 40 (the number of hours in a full time work week) to arrive at the full time equivalent number (this can be a whole number or a fraction). Example:

Employee One	40 hours per week
Employee Two	24
Employee Three	30
Employee Four	<u>30</u>
Total Hours	124 ÷ 40 = <b>3.1 FTE</b> (Full time equivalent workers on staff)

If your organization does not have staff, place a zero in the space provided.

**Describe staffing structure (Item 7):** List separate, **PAID** staff positions by Title. Briefly outline the job duties assigned to each position (for example: marketing; development; etc.) and list the number of hours per week allocated to that position. If your organization has more than ten paid employees (ten rows are provided), list key organization positions first and use the bottom line(s) to summarize remaining positions as possible.

**IMPORTANT:** **For organizations with few or no staff**, you may choose to describe the work of key **UNPAID** volunteers. For unpaid positions, use “**Volunteer**” in the Position Title.

**Budget History Summary (Item 9a):** To arrive at budget figures, be sure to include **ONLY** cash income & expenses. **DO NOT** include money from capital campaigns or capital improvements or other construction. **DO NOT** include In-Kind donations of any kind. A decimal tab is provided which will format placement of budget figures. The form will automatically add Earned & Contributed Income to arrive at Total Operating Income. **You must subtract** Operating Expenses from Total Income to arrive at the Net Income/Loss at the bottom of each column. Please double check your math!

**IMPORTANT:** Use actual (audited or corrected & approved) figures for completed fiscal years (FY 2006, FY2007, FY2008). Enter your organization's current approved / projected budget for FY2009.

**Two Year Average Operating Income (Item 9b):** A decimal tab is provided which will format placement of the budget figure. **You must add** FY2007 & FY2008 Total Operating Income and divide by 2 in order to arrive at your organization's Two Year Average Income. Please enter the figure in the box provided and double check your math!

**Accumulated Deficit (Item 10):** If the organization has no accumulated deficit, enter a zero.

**IMPORTANT:** If your organization has produced an operating loss, that loss is retained. It may be referred to as retained losses, accumulated losses or accumulated deficit. Retained earnings and losses are cumulative from year to year with losses offsetting earnings. The accumulated deficit is the sum of losses from prior years.

**Debt Reduction / Elimination (Item 11):** Use the space provided to briefly describe how your organization plans to eliminate any budget shortfall or accumulated deficits. If your organization does not have a shortfall or has not carried forward accumulated deficit, enter "Not Applicable."

**IMPORTANT:** Note that if your Budget History Summary (Item 9a) includes any losses or shortfalls in the Net Income / Loss section (Row E) and/or you show an accumulated deficit in Item 10, then you must provide a brief outline of your organization's strategies to eventually eliminate debt.

**IMPORTANT: Formatting:** Copy/Paste previously created narrative in order to retain any Rich Text (formatting such as bold, italics, bullets, etc.). Formatting from Microsoft Word or other word processing software will be kept intact. Once pasted into the chart, however, copy editing is limited. **This process will work best by selecting the Arial font style (or another simple sans serif font style) and using a font size of 9 or 10 points.**

**Planning Document (Item 12):** Planning is a critical process through which an organization articulates clear direction for what it hopes to accomplish, the needs it hopes to meet, and how it will plan to do so. A formal plan may be referred to as a strategic plan, long-range plan, operating plan, annual work plan, business plan, etc. It is most important that planning be collectively conceived by staff, Board, volunteers, and/or other key (community) stakeholders.

**IMPORTANT:** **Only Answer "Yes"** if your organization has a **collectively conceived** formal plan document. If you have a current plan, enter the plan's start and end dates in the spaces provided. **Only answer "In Process"** if your organization is now conducting or preparing for a collective planning process **that will result in a formal plan document before October 1, 2009.**

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## STRENGTHS, WEAKNESSES, OPPORTUNITIES & THREATS

The SWOT Table on Page 4 of the *Preparatory Application* is pre-formatted.

**IMPORTANT: Formatting:** Copy/Paste previously created narrative in order to retain any Rich Text (formatting such as bold, italics, bullets, etc.). Formatting from Microsoft Word or other word processing software will be kept intact. Once pasted into the chart, however, copy editing is limited. **This process will work best by selecting the Arial font style (or another simple sans serif font style) and using a font size of 9 or 10 points.** If you choose to type your copy directly into the four SWOT boxes, please be sure to **type each entry on a separate line** and use a hyphen (-), asterisk (\*), or other mark to separate and clarify each observation.

The **SWOT analysis** represents:

- Strengths:** catalog the *internal* attributes of your organization that will help to achieve the agency's goals and objectives as an LAA.
- Weaknesses:** catalog the *internal* attributes of your organization that may be detrimental to achieving the agency's goals and objectives as an LAA.
- Opportunities:** catalog the *external* conditions that will be helpful to achieving the agency's goals and objectives as an LAA.
- Threats:** catalog the *external* conditions that may be detrimental to achieving the agency's goals and objectives as an LAA.

**The SWOT analysis process produces the greatest value when a number of key staff and/or Board members participate in the process** of identifying strengths, weaknesses, opportunities and threats facing the organization. A cross-functional team that represents a broad range of perspectives should conduct the SWOT. For example, where possible, a "SWOT team" would include an executive director, board member, program staff, marketing staff, development staff, etc. However organized, a diversity of perspectives will improve your SWOT analysis and support preparation of the required one page Situational Analysis (see Page 6).

Your SWOT analysis may be more effective if focused upon a clearly identified objective(s). Begin your SWOT by generating specific strategies toward advancing the mission of your LAA. **Concentrate upon identifiable objectives that can be realistically attained.** It may be helpful to reflect on the following questions: How can we build on and/or emphasize each Strength? How can we minimize or advance each area of Weakness? How can we benefit from current Opportunities? How can we mitigate or defend against identified Threats?

**Internal & External Factors:** 'Strengths' and 'Weaknesses' are internal to your organization. 'Opportunities' and 'Threats' are presented by the external environment. Internal factors may be perceived as strengths or weaknesses depending upon how they influence a specific objective(s). One factor may represent a strength with respect to one objective and be a weakness in relation to a different objective. External factors may include macroeconomic matters, technological change, legislation, and socio-cultural changes, as well as changes in the marketplace or competitive position. Use the list below to help initiate your own SWOT analysis.

**Strengths and Weaknesses**

- Resources: financial, intellectual, location
- Strong relationships with key stakeholders
- Customer service
- Organizational structure
- Stage of organizational development
- Quality of programming
- Key staff & volunteers
- Management
- Marketing reach
- Price & competitive advantages
- Costs of business
- Capacity to achieve stated goals
- Culture, attitude of the organization
- Philosophy & values
- Operational efficiency
- Experience, knowledge, data
- Innovative aspects
- Accreditations, qualifications
- Processes, systems, IT
- Reputation
- Cash flow
- Continuity
- Reliability

**Opportunities and Threats**

- Political/Legal/Regulatory environments
- Economic conditions
- Expectations of stakeholders
- Technology development
- Public expectations
- Competitors and competitive actions
- Market developments
- Industry trends
- Partners & collaborators
- Social changes
- Customers & constituents
- Global influences
- New markets, niche markets
- Program/product development
- Information & research
- Market demand
- Vital contracts
- Obstacles faced
- Internal capacities
- Insurmountable weaknesses
- Loss of key staff
- Sustainable finances
- Seasonalities

There are many internet sites on which to find additional SWOT information, including:

**Internet Center for Management & Business Administration** - <http://www.netmba.com/strategy/swot/>

**Wikipedia** - [http://en.wikipedia.org/wiki/SWOT\\_analysis](http://en.wikipedia.org/wiki/SWOT_analysis)

**Mind Tools** - [http://www.mindtools.com/pages/article/newTMC\\_05.htm](http://www.mindtools.com/pages/article/newTMC_05.htm)

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## SITUATIONAL ANALYSIS

The Situational Analysis narrative is limited to **one page**. When creating your attachment, please maintain the format requirements listed on page 1 of these Instructions. Clarify and simplify your narrative. Use bulleted information or charts where appropriate.

Your analysis will benefit from the information and knowledge gained by examining your organization's **Strengths, Weaknesses, Opportunities & Threats**. The Situational Analysis is an intrinsic part of the strategic planning process. As local arts agencies exist within complex and changing environments, it is critical to understand the organization's situation in order to design the best response(s), set program priorities, and assure meaningful decision making with respect to limited resources. The more you know about your organization's situation, the more your planning and day-to-day decisions will reflect actual community needs, opportunities and relationships. An accurate Situational Analysis is essential. **In order to maintain objectivity and broaden participation in the Situational Analysis, you may wish to consider opportunities to involve key stakeholders in the process of creating this document.**

Some of the factors to be considered when conducting a Situational Analysis include:

- community/regional demographics
- changing population dynamics
- economic structures of the community/region
- topographical/geographical characteristics of the community/region
- available support systems
- community/regional cultural characteristics, education levels, living standards, income levels
- other distinguishing features of the community/region (attitudes, motivations, etc.)
- your organization's current programs/services (core Vs secondary/supporting)
- inventory of community/regional services available
- competitive situation/advantages
- community/regional/statewide/national trends
- your organization's needs and assets
- diagnosis of current/approaching problems and challenges
- examination of relevant research
- consequences of organizational capacity on past and present goals and objectives

**What are the major factors that shape your organization's current circumstances?** In your narrative, attempt to provide details regarding the opportunities, challenges, and needs that are most relevant to the achievement of your organization's and the Commission's LAA program goals. You may choose to describe your organization's top management challenges, organizational capacity matters, evaluations of existing programs, strategic planning considerations, changes relating to constituents or major stakeholders, and so forth.

**IMPORTANT:** "Current circumstances" should be defined as the situation prevalent at the time of preparing your application, with an emphasis on conditions that are most likely to influence actions and strategies during the time period of this grant (October 1, 2009 through September 30, 2010).

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## ORGANIZATION BACKGROUNDER

The Organization Backgrounder is limited to **one page**. When creating your attachment, please maintain the format requirements listed on page 1 of these Instructions.

**What is an Organization Backgrounder?** A Backgrounder is a document that explains the history of your agency and its services, programs, and products. The Backgrounder for this application is intended to help the grant review team and others to better know the history and accomplishments of your organization. Backgrounders are generally written for the media.

Some of the factors to be considered when preparing your Backgrounder include:

- organization name, location, date started, why started
- the main activities/mission of your organization
- explanation of your services/programs/products
- description of your constituents/customers/market niche
- evidence of expertise & competency, information about key personnel
- description of your organization's financial situation
- pertinent industry information
- any "firsts" your organization has achieved
- the future of your organization

In your narrative, convey main points in a professional and straightforward manner. Focus on clear information and benefits (not the hype of a sales piece). You may wish to support claims through third party endorsement, concrete examples, experts or other resources.

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## SIGNATURE

Your "original" Application must supply an **original** signature (not a signature copy) at bottom of the form (see Assembly, below). The application must be signed by an authorized official, e.g. executive director, board president, or other program official.

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## ASSEMBLY

**Submit one (1) original and four (4) copies of the *Preparatory Application package*.** Please place a post-it note marked "ORIGINAL" on the application containing the original signature. Assemble the **FIVE** complete packages in the following order:

- Cover Sheet** (Application Page 1 - Grantee, Contact & Legislative information)
- Organizational Profile / SWOT** (Application Pages 2/3 & SWOT Page 4)
- Situational Analysis** (your attachment)
- Organization Backgrounder** (your attachment)
- Signature** (Application Page 5)

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## SUBMISSION

Applications must be received (not postmarked) at the Commission's offices

**BY 4:00 PM ON MONDAY, FEBRUARY 23, 2009**

Facsimile or electronic applications will not be accepted.

**Send *Preparatory Application packages* to:**

John Cusano,  
LAA Program Manager  
Connecticut Commission on Culture and Tourism  
One Constitution Plaza  
Second Floor  
Hartford, CT 06103

**Questions and Discussion, contact:**

John Cusano  
(860) 256-2723  
[john.cusano@ct.gov](mailto:john.cusano@ct.gov)