

2013-2016 GRANT APPLICATION FORM

April 1, 2013- March 31st 2016

Zoos, Botanical Gardens and Aquariums

Please Type

I. Applicant Organization

Name of Eligible institution: _____

Street address: _____

City, State, Zip: _____

Legal name of applicant or parent organization: _____

Legal organization street address: _____
(If different from above)

City, State, Zip: _____

County: _____ Charities registration number: _____

Federal employer identification number: _____

State Assembly District: _____ State Senate District: _____

Contact person: _____
(The primary direct contact)

E-mail address: _____

Telephone #: _____ Fax #: _____

Mailing address: _____
(If different than above)

* This is the official address for contacting and payment purposes, e.g. the County or central office.

A program administered by the New York State Office of Parks, Recreation and Historical Preservation
OPRHP is an Equal Opportunity/Affirmative Action Agency.

II. Certification

READ CAREFULLY BEFORE SIGNING.

This certification must be signed by a principal officer of the applicant organization with legal authority to obligate the organization and having knowledge of the matters contained in all parts of the application. This is the same person who is duly authorized to sign contracts, amendments, and final report certifications.

The undersigned certifies that:

1. The applicant is a public not-for-profit cultural organization or municipality offering services to the public of the State of New York; that the organization is not a public school district, or a New York State agency or department.
2. State funds shall not substitute for customary support from sources other than the Zoos, Botanical Gardens and Aquariums Program.
3. To the best of his/her personal knowledge, all information contained herein is accurate or represents a reasonable estimate of future operations based upon information available at this time; and that there are no false statements or misrepresentation in the information submitted herein or as a supplement to this application.

The undersigned hereby releases and holds harmless the Zoos, Botanical Gardens and Aquariums Program, OPRHP and the State of New York, their employees and agents from any liability and/or responsibility concerning damage or loss of materials submitted to the OPRHP and the State of New York and any other liability arising out of this application whether such damage or loss is caused by the negligence of the OPRHP, their officers, directors or employees, the State of New York, or their officers, employees and/or agents.

Signature: _____

Date: _____

Name: _____
(Print or type)

Title: _____
(Print or type)

III. Financial information

All applicants must complete the STATEMENT OF EXPENSES on page
Any items that need to be prorated must be identified. The basis for the pro-ration must be maintained and available for audit for a period of six years after the grant is closed out.

Applicant fiscal years (start and end dates):_____

E-PAY: The state now requires that all grant payments be made electronically. No payment will be processed until the grantee has complied with the State Comptrollers electronic payment procedures. Forms may be obtained at the OSC website, www.osc.state.ny.us/epay/index/htm, by email at epunit@osc.state.ny.us, or by telephone at 518-474-4032. Please note that Substitute Form W-9 must be submitted to OSC with your electronic payments authorization form. Exceptions to the policy due to extenuating circumstances must be approved by the Commissioner of OPRHP.

Not- for Profit Applicants:

All not-for-profit applicants must supply a copy of the organizations most recent:

- Financial statement prepared or audited by an independent certified public accountant.
- Annual statement of income and expenses
- Federal tax return (IRS Form 990) with all itemizations and breakdowns.

NYS Charities registration number:

All not-for-profit organizations must have a NYS charities registration number, a charity registration exemption number, or be chartered by the State Education Department or Department of State. All organizations must be current with all financial filing requirements with the Charities Registration Bureau, Education Department or Department of State before the organization can receive funds.

Please note that the NYS charities registration number is NOT the same number as the NYS sales tax exempt number, or Federal Employer ID number.

Instructions and forms may be found at:

www.oag.state.ny.us/charities/forms/charitiesforms.html

Vendor responsibility questionnaire (VRQ):

All not-for-profit organizations must submit a vendor responsibility questionnaire with the proposal, as mandated by the NYS Office of the State Comptroller. The link to the not-for-profit questionnaire and additional information can be found at

www.osc.state.ny.us/vendrep/templates.htm

For the purpose of these forms, the applicant is considered the vendor.

IV. Organization information- to be completed by all applicants

Please use additional pages if needed.

Type of institution (circle all that apply but indicate which one is primary)

Aquarium

Arboretum

Bird Sanctuary

Botanical Garden

Herbarium

Nature Center

Natural Science

Environmental Education

Zoo

Habitat Preservation

Other: _____

Institutional status (circle)

Public:

A. Municipal

B. County

C. College/University

D. Other _____

Private:

A. Not-for-profit

Institutional Services

A. In what year was the institution organized? _____

B. In what year was the institution legally incorporated? _____

Accreditation

A. Is the organization accredited? _____ By? _____

B. Explain if there has been any change in accreditation status in the last three years: _____

Employment/ Appointment

In what year was the present executive director (or equivalent) appointed? _____

In what year was the previous executive director (or equivalent) appointed? _____

What is the current number of employees?

Paid- full time _____

Paid- part time _____

Unpaid _____

Other _____

What was the number of visitors during last fiscal year? _____

How was this number calculated? _____

Physical facilities

Describe below the physical facilities and real estate used by the institution, and indicate if it is owned, rented, or shared. Also describe any major improvements, changes in ownership or moves that are planned for the next three years.

Accessibility

How many months per year is the institution open to the public? _____

How many days per week is the institution open to the public? _____

How many hours per day is the institution open to the public? _____

What geographic area does the institution serve?

Is the facility available by mass transit? _____

If “yes” please specify: _____

Is the facility accessible to individuals with disabilities? _____

Please list physical or operational actions that facilitate accessibility to individuals with disabilities.

Board of Directors

Does the organization have a Board of Directors or a similar kind of governing body?

Yes _____ No _____

If “yes” how often does this board meet? _____

Please clarify whether this board is a policy-making entity or simply advisory in nature. Please list below names and professions of Board Officers. Please attach a list of all board members.

Please describe the involvement of the board in management and oversight of the organizations programs and budget. _____

Collection

Describe the natural heritage collection, including the quality and importance of the collection and how it is essential to public education. Directly relate this description to the definition of natural heritage collections in the ZBGA guidelines.

Describe any changes to the collection in the past three years.

Programs and Services

Who are the current audiences and communities served by your organization?

What are your organizations programs?

Describe any changes in service to the public in the past three years. Has visitation increased or decreased? Has access for individuals with disabilities been enhanced? Are more programs and services available outside the “borders” of the institution? Have some programs been discontinued or new programs initiated?

Describe any collaborative projects that have supplemented the ZBGA funded programs. What other CLM institutions or not-for-profit organizations have been partners? What were the programs and what was the impact on the collections, services to the public and/or fiscal stability of the organization?

Describe any “non-state-support” for programs and services. What are the sources of support and have those increased? What kind of support is provided; Financial, Volunteer, etc.?

Planning

How do you actively engage the board, staff and public in organizational planning?

How is the current financial landscape affecting your organization? What are your plans for meeting current and future expenses? How is your board involved in these efforts?

Describe any plans for institutional development, including as appropriate any strategic or master plan that is guiding the organization toward the achievement of operational goals. What are the goals articulated in this plan? When was the plan adopted or re-evaluated? What progress has been made to this date?

Describe how your institution has taken steps of plans to incorporate the concepts of sustainability, green design, and improved energy-efficiency into its operations. Describe how you have or plan to interpret these features to visitors and the general public.

ZBGA 2013-15 Awards

For the State fiscal years 2013-2014, 2014-2015, and 2015-2016; All ZBGA eligible applicants will receive funding. Page 2 of the guidelines (funding cycle) details how the funding amounts are determined. Each eligible organization will receive a minimum annual grant award of \$15,000, except in no instance will an award be more than 1/3 or an organizations total eligible expenses. Newly eligible organizations receiving a ZBGA grant in the middle of a funding cycle will receive the minimum annual grant (\$15,000 or 1/3 of total eligible expenses, whichever is lower. In subsequent grant cycles, these organizations grant awards will be based on their pro-rated share of the total annual ZBGA appropriation. In any fiscal year, the Commissioner may elect to retain up to 2% of the annual appropriation for technical assistance to grantees. Please refer to grant guidelines for further details.

STATEMENT OF EXPENSES
To Be Completed By All Applicants

Parent organizations or organizations submitting separate ZBGA applications for more than one facility must complete this statement of expenses for each facility.

Annual expenses for ZBGA eligible collection

Salaries & wages - Direct ZBGA \$ _____
(For personnel whose duties directly relate to the care,
interpretation, and maintenance of the collection.)

Fringe benefits for personnel listed above _____

Educational or interpretive materials _____

Supplies to sustain the ZBGA eligible collection
(e.g., food, forage, nutrients, soil, medical,
water treatment) _____

Contracted services for the care, interpretation,
or maintenance of the collection _____

Equipment purchases, rental and maintenance *
This does not include acquisition of equipment _____

Facility maintenance * _____

Utilities,
Mechanicals
Grounds management,
(for ZBGA collection or interpretation) _____

TOTAL \$ _____

Of the organization's total programs and services budget reported
on IRS 990, the ZBGA natural heritage collection represents this percentage _____ %

* Pro-rate if applicable. Identify any expense categories that include pro-rated figures. The basis for the pro-rated amount must be documented and available for audit for a period of six years after the grant is closed out. Please see Page 4 of the Guidelines (Program Restrictions) for examples of expense that are not eligible.

APPLICATION CHECKLIST
Please enclose with your grant application.

Do	Submit
<u>All Applicants</u>	
Grant Application Form	_____
I. Applicant Organization	_____
II. Certification signed by authorized official, page 2	_____
III. Financial Information	_____
Statement of Expenses, page 9	_____
IV. Organizational Information	_____
Register for electronic payments with the Office of the State Comptroller or request an exception from OPRHP Commissioner	_____
<u>All Not-for-Profits</u>	
Financial Statement prepared or audited by an independent Certified Public Accountant.	_____
Annual Statement of income and expenses.	_____
Federal Tax Return (IRS-Form 990) with all itemizations and breakdowns.	_____
List of Board Members	_____
Vendor Responsibility Questionnaire	_____
Be current with any filings required by the NYS Charities Registration Bureau or NYS Education Dept.	_____
<u>Not-for-Profits, New Applicants Only</u>	
501(c) (3) status determination of the United States Revenue Code or NYS Not-for Profit Corporation (under 216 of the Education Law)	_____
NYS Charities Registration (Article 7A - Executive Law)	_____

ZBGA Allowable Costs

Collections Care Costs (CCC) are expenses directly related to the care, security and interpretation of the collections. Collections Care Costs are defined, in general, as animal or plant food, exhibit maintenance, and payroll expenses for those staff who work directly with the interpretation of the collections for the public.

Funding may be requested for costs incurred in maintaining existing institutional programs and services or for the initiation of new or expanded programs and services, exhibit rehabilitation.

The recipient institution should include specific collections care costs; these costs, as funded, will be restricted contractually and must be accounted for as distinct from all other collections care costs documented by the institution. Reimbursement should NOT be requested to support research activities or activities that solely benefit restricted institutional membership groups or for service outside New York State.

If the need arises during a contract period to shift funds from one contracted collection care cost to another, a request for amendment should be forwarded, prior to being effected, for approval by OPRHP.

The following list includes generally accepted, allowable costs under this program:

- Salaries and benefits for those staff who work directly with the interpretation of the collections for the public, i.e. educators, interpreters, handlers and gardeners.
- Animal and/or plant food
- Exhibit maintenance; for safety of the collection and the public.
- Utility, fuel and general liability insurance costs directly related to the collections
- Costs that are directly related to the care, security and interpretation of the collections.

The following list includes costs NOT funded through ZBGA:

- Salaries and benefits for personnel on pure research projects which do not bear directly on an organizations public programs or which do not bear directly on improving the quality of care of its living collections.
- Administrative staff salaries, except for those who are directly associated with the care of the collection.
- General utility bills (office, administration buildings)
- Costs for social activities and ceremonies
- Program activities solely restricted to or directed towards an organizations membership.
- Interest and other financial costs incurred in relation to borrowed capital or temporary use of endowment funds
- Construction and renovation costs, with the exception of habitat improvements for the living collection.
- The purchase of equipment/ machinery

- Services or programs given outside New York State.
- Acquisition of plants and/or animals for expansion of collection purposes.
 - Salaries for consultants (except for architectural or design services related to the development or rehabilitation of a facility or exhibit.)
 - Overhead and other Indirect costs (costs incurred for common or joint objectives and not readily assignable to the living collection.
 - Travel expenses
 - Staff salaries not directly related to the living collection care.
 - Liability insurance
 - Materials and capital equipment which are not directly related to the living collection.

The following entities, programs and activities are not eligible for funding under the Zoos, Botanical Gardens and Aquariums Program:

- Natural history or history museums or collections.
- Science-technology centers/museum or collections.
- Planetariums.
- Gardens and plantings which are primarily artistic, decorative, ornamental or commercial.
- Programs which deal primarily with interpretation, utilization and/or maintenance of genetically domesticated plants and/or animals.
- Public school districts or their components.
- Archeological or anthropological museums or collections.
- Federal agencies and their programs.
- New York State agencies and departments.
- Research projects.
- Land acquisitions.
- Program activities solely restricted to or directed towards an organization's membership or clients.
- Lobbying or political activities.

- Fundraising activities.
- Food services.
- Overhead and other indirect expenses.