



**Canada Council  
for the Arts**

**Conseil des Arts  
du Canada**

## WRITING AND PUBLISHING SECTION

### Book Publishing Support: Block Grants - Annual Funding

Follow these <b>three steps</b> to apply for this grant.	
<b>Step 1</b>	Read the <b>Program Guidelines</b> for details about the purpose of the program, who and what is eligible, grant amount, assessment process, etc. Also read the <b>Policy on Ownership or Corporate Change, Name Change, Succession and Bankruptcy</b> and the <b>Completing the Application Form</b> sections.
<b>Step 2</b>	Read the <b>Important Information for Applicants</b> section. If you still have questions about the program or the application process, contact the Program Officer indicated below.
<b>Step 3</b>	Complete all sections of the attached <b>application form</b> , and be sure to use the <b>checklist</b> (Part G of the form) to confirm that you have completed all relevant sections of the form and have included all required support material.

**The Canada Council for the Arts is committed to equity and inclusion, and welcomes applications from diverse Aboriginal, cultural and regional communities, including people with disabilities.**

### Deadline

**1 December**

If this date falls on a weekend or statutory holiday, the deadline moves to the next business day.

The Canada Council will not accept applications postmarked after the deadline date, incomplete applications or those submitted by fax or email.

### Further Information

**Elizabeth Eve**

Program Officer

Writing and Publishing Section

Canada Council for the Arts

350 Albert Street, P.O. Box 1047

Ottawa ON K1P 5V8

[elizabeth.eve@canadacouncil.ca](mailto:elizabeth.eve@canadacouncil.ca)

1-800-263-5588 (toll-free) or 613-566-4414, ext. 5576

TTY: 1-866-585-5559

Fax: 613-566-4410

WRG1aE 09-11



## PROGRAM GUIDELINES

<p><b>Program Description</b></p>	<p>As part of fulfilling its mandate to foster the production and enjoyment of the arts in Canada, the Canada Council for the Arts provides financial assistance to Canadian publishers to offset the costs of publishing Canadian trade books that make a significant contribution to the development of Canadian literature. This assistance is made available through Emerging Publisher Grants (for emerging publishers) and Block Grants (for established publishers).</p> <p>Book publishers receiving Block Grants are also eligible to apply for Translation Grants, Author Promotion Tour assistance, grants for the publication of art books and for the Flying Squad grants. Information on these program components is available on the Canada Council's website or from the Writing and Publishing Section.</p>
<p><b>Eligibility of Publishers</b></p>	<p>Note that meeting the eligibility criteria allows you to apply to the program. It does not, however, guarantee that you will receive a grant.</p> <p>Block Grants provide funding to established professional book publishers with an ongoing publishing program that includes at least 16 eligible titles (see Eligibility of Titles.)</p> <p>To be eligible for Block Grant support, a publishing company must:</p> <ul style="list-style-type: none"> <li>• have its head office in Canada, maintain editorial control in Canada and be at least 75 percent Canadian-owned</li> <li>• maintain full control over editorial processes, have editorial independence from any other company receiving Book Publishing Support from the Canada Council for the Arts, and produce separate financial statements</li> <li>• have book publishing as its primary, rather than a peripheral or occasional, activity</li> <li>• have at least 16 eligible titles in print and be committed to a sustained trade book publishing program, consisting of titles by a variety of authors</li> <li>• have published at least four eligible titles between 1 December 2010 and 30 November 2011. Of these four titles, three must be first editions and one can be a new format reprint. Straight reprints do not count towards eligibility.</li> <li>• use appropriate and effective means to market, distribute and create public awareness of its publications, and</li> <li>• issue clear royalty statements on a regular basis and have fulfilled all contractual obligations to writers, illustrators, translators and other copyright licensors; no grants will be issued to publishers that owe payments to writers, illustrators, translators and (or) other copyright licensors as of the application deadline.</li> </ul> <p>To apply to this component, publishers must have been successful in their last application for an Emerging Publisher Grant. (Those that <b>were not</b> successful can apply to the Emerging Publisher Grants component again.)</p> <p><b>First-time applicants to the Book Publishing Support program</b> cannot apply for a Block Grant, regardless of the number of eligible titles the publishing house has produced. They must apply to the Emerging Publisher Grants component instead.</p>

<p><b>Eligibility of Publishers (continued)</b></p>	<p>Publishers that were <b>first-time applicants to the Block Grants component</b> on 1 December 2010 and were unsuccessful must apply to the Block Grants component for the 2011 deadline.</p> <p><b>First-Time Applicants to this Component</b></p> <p>First-time applicants to the Block Grants component who have received three successive years of funding from the Emerging Publisher component immediately prior to this application will be given the same status as publishers already in the Block Grants component who have received three successive years of funding. Thus they will be subject to the Fair Notice policy, as described on page 8.</p> <p><b>Multi-Year Funding</b></p> <p>All applications for this deadline will be for annual funding. There will not be any multi-year grants issued in 2012.</p>
<p><b>Eligibility of Titles</b></p>	<p><b>You must submit only eligible titles with your application for funding.</b></p> <p>To be eligible, a title must:</p> <ul style="list-style-type: none"> <li>• contain at least 50 percent Canadian-authored creative content—text or graphic</li> <li>• have at least 48 printed pages between the covers (with the exception of children’s books, which must contain at least 24 printed pages)</li> <li>• have a print run of at least 350 copies</li> <li>• be published principally in English, French or one of Canada’s Aboriginal languages, and</li> <li>• acknowledge the support of the Canada Council for the Arts, if produced by a publisher receiving Book Publishing Support.</li> </ul> <p>Because the Canada Council’s mandate includes supporting production in the literary arts, and the study of literature and the arts, only titles in the following categories are eligible:</p> <ul style="list-style-type: none"> <li>• fiction</li> <li>• poetry</li> <li>• drama</li> <li>• graphic novels (minimum 48 pages)</li> <li>• publications for children and young adults, except those in ineligible categories (see below), and</li> <li>• literary non-fiction.</li> </ul> <p>The Canada Council defines literary non-fiction as narrative text about real events, people or ideas, where the writer’s voice and opinion are evident and the narrative is set within a context and a critical framework. The work should be accessible to a general reading audience and cannot be intended for a specialized or academic readership. Eligible literary non-fiction titles make a significant contribution to literature, or to information about the arts or to the enjoyment of writing by Canadians. Titles within the following subjects are eligible, if they meet all other eligibility criteria: art, architecture, biography, history, literary criticism, nature, philosophy, politics, reference, social sciences, sports and travel.</p>

<p><b>Eligibility (continued)</b></p>	<p>Audio productions are eligible if they have been previously released as books and if they are professionally produced, by eligible publishers, on CD or DVD.</p> <p>The Section is adding information about <b>eBook formats</b> to its database. Please submit a list of eligible 2011 titles that have also been published in eBook format as a supplement to Part D of the application form. This list must include the title, author, publication date (year and month) and the ISBN for each of these.</p> <p><b>The Canada Council reserves the right to ask for additional information to determine the eligibility of a title.</b></p> <p><b>Reprints</b></p> <p>Reprints, including new format reprints, are eligible if they are reprints of eligible titles and were released <b>at least 12 months after the original edition</b>. Reprints will be supported at 50 percent of the amount for new titles. Straight reprints are limited to two titles in the period 1 December 2010 to 30 November 2011. There is no limit on the number of new format reprint titles.</p> <p>A new format reprint is defined as a title that has appeared in print previously, in Canada or abroad, published by any publisher, in the same language as the new edition. To be considered as an eligible new format reprint, a title must include at least one of the following elements:</p> <ul style="list-style-type: none"> <li>a) significant changes in trim size or binding, or typesetting</li> <li>b) additions or changes to at least 20 percent of the text, and (or)</li> <li>c) significant graphic or illustrative changes, beyond a new cover.</li> </ul> <p>Block Grant publishers may not receive assistance for more than one straight reprint and one new format reprint for the same title, unless the title is a classic of fiction, poetry or drama.</p> <p>A description of the format changes, the release dates and publishers' names for previous editions must be supplied for a new format reprint. If the information is not supplied, the title will be considered ineligible.</p> <p>After December 1, 2011, straight reprints will no longer be eligible and should not be submitted to the Writing and Publishing Section. They will no longer be a component of the Block Grant amount calculation.</p> <p><b>Ineligible Titles</b></p> <p>Titles that are not eligible for support by the Canada Council include:</p> <ul style="list-style-type: none"> <li>• those with a print run of more than 25,000 copies</li> <li>• Titles not printed in Canada, with the following two exceptions: <ul style="list-style-type: none"> <li>(1) International co-editions. To be eligible, the Canadian publisher must be the lead publisher and must undertake substantive editing of the manuscript of the title in question. The co-publishers' names must appear on the title page and/or copyright page of the book. The Council reserves the right to request a copy of the contract between the co-publishers.</li> <li>(2) Eligible titles for which the publisher can demonstrate that printing at a competitive price is not available in Canada. Please submit a written justification and printers' quotations.</li> </ul> </li> </ul>
---------------------------------------	--

<p><b>Eligibility of Titles (continued)</b></p>	<ul style="list-style-type: none"> <li>• saddle-stitched books, except illustrated books for children or books of poetry (but no more than 50 percent of the poetry titles produced by your publishing house per year may be saddle-stitched)</li> <li>• spiral bound books</li> <li>• academic, scholarly or educational publications destined primarily for an educational or scholarly market</li> <li>• catalogues of visual art exhibitions (in other words, a publication of one or more visual artists' work related to a specific exhibition, which includes one or more of the following elements: detailed information regarding the exhibition, a list of works exhibited, an artist's statement and provenance of the works)</li> <li>• reference books, unless they are about the arts</li> <li>• books with text that is a compilation of short captions, quotations, jokes or sayings</li> <li>• calendars, agendas, almanacs and cookbooks</li> <li>• guidebooks, including travel, nature and gastronomy guides</li> <li>• publications that describe how-to techniques, skills or games</li> <li>• books that include instructions for activities, including colouring books</li> <li>• trivia and quiz books</li> <li>• autobiographies that emphasize personal growth (in other words, those that focus on self-actualization, self-improvement, or devotional or spiritual practice)</li> <li>• psychology and self-help books</li> <li>• professional manuals and reference books intended for a specialized audience</li> <li>• illustrated non-fiction publications-that do not include a narrative text with a minimum length of 10,000 words, unless they make a significant contribution to visual arts or literature</li> <li>• publications commissioned or paid for by an individual, group, political party or company where the applicant publisher does not have complete and independent editorial control (if the copyright for an eligible title is held by an organization, a government department or the Crown, you must include contract details in the Title Analysis Report form that you submit with each title)</li> <li>• co-publications with governments, government departments or agencies, except titles that are co-published with museums or art galleries</li> <li>• publications for which the author receives no royalties (royalties must be paid on each copy of a book sold)</li> <li>• books to which the author has contributed financially toward the publication costs (this includes an author's obligation to purchase a given number of copies of his or her book as a condition of publication)</li> </ul>
---	--

<p><b>Eligibility (continued)</b></p>	<ul style="list-style-type: none"> <li>• books for which 50 percent or more of the print run is pre-sold outside normal trade bookselling channels and book clubs</li> <li>• publications written by owners or employees of your publishing house, unless these titles represent less than 25 percent of the house’s program each year</li> <li>• collections of previously published articles, of letters, journal or diary entries, transcripts of broadcasts and conference papers, unless they make a significant literary contribution (as defined above for eligible literary non-fiction)</li> <li>• transcriptions of interviews, unless they make a significant literary contribution (as defined above for eligible literary non-fiction), and</li> <li>• books containing prominently displayed advertising, promotional material and (or) corporate logos.</li> </ul> <p><b>If you wish to obtain a preliminary assessment of a title’s eligibility, send a written request to the Program Officer. You must request assessments of title eligibility on or before 15 October.</b></p>
<p><b>Grant Period and Amount</b></p>	<p><b>Grant Period</b></p> <p>The annual grants are for 12 months, beginning on 1 December of the year that you apply and ending on 30 November of the following year.</p> <p><b>Calculation of Grant Amounts</b></p> <p>Grant amounts are based upon the production in previous years, and are awarded to offset future expenses for the publication of eligible titles.</p> <p>Bonus points are awarded by the peer assessment committee, based on a comparative evaluation of each applicant’s publishing program according to the Block Grant program criteria.</p> <p>Peer assessment is a competitive process within which regular adjustments to grant amounts are made. Funding adjustments, increases or decreases, are based on an organization’s performance according to the program objectives and assessment criteria. Adjustments also reflect the funds available and the number of applicants competing for those funds. In order to provide stability in the final grant amounts from one year to the next, there are limits placed on the amount of fluctuation allowed. A grant can neither increase by more than 22%, nor decrease by more than 18%.</p> <p>If your organization is successful in obtaining Block Grant support, it will be subject to the Fair Notice to Organizations policy.</p>
<p><b>Assessment of Applications</b></p>	<p><b>Assessment Process</b></p> <p>Peer evaluation is fundamental to the Canada Council’s decision-making process. Book Publishing Support applications are reviewed by either an English-language or French-language assessment committee of professionals from the literary community. The committee is made up of publishers and (or) former publishers, writers, booksellers, editors and critics. Members are also chosen with consideration to fair representation of expertise, gender, generations, Aboriginal peoples and the cultural and regional diversity of Canada.</p>

<p><b>Assessment of Applications (continued)</b></p>	<p>New peer assessment committees are formed for each competition.</p> <p><b>Support is not automatic. Book Publishing Grants are not awarded on the basis of the number of eligible titles produced; success depends on the assessment committee’s recommendation.</b></p> <p>For this program, the peer assessment committee’s recommendations are forwarded for approval to the Canada Council’s Board, which meets in the spring.</p> <p>For further information on this subject, please see <i>Peer Assessment: How the Council Makes Its Grant Decisions</i>, posted on the Canada Council’s website.</p> <p><b>Assessment Criteria</b></p> <p>The committee’s recommendations are based on the merit of the applicant’s publishing program, compared with those of the other applicants, and on the budget available for the program. Evaluation is also based on the literary and professional criteria listed below. Also, the Canada Council and the peer assessment committee must have confidence in the ability of your publishing house to remain financially viable over time.</p> <p><b><i>Quality of the Publishing Program, and Clarity and Fulfillment of the Editorial Vision (40 percent)</i></b></p> <ul style="list-style-type: none"> <li>• Overall quality of the publishing program: selection of authors, author development, editorial choices, quality of the writing and editing, and quality of the presentation (cover and page design, binding and overall production quality).</li> </ul> <p><b><i>Contribution to Canadian Literature (30 percent)</i></b></p> <ul style="list-style-type: none"> <li>• Publication of new writers and introduction of new themes or styles that help to develop literature or an appreciation of the arts in Canada.</li> <li>• Special contribution, for example: <ul style="list-style-type: none"> <li>- regional contribution</li> <li>- minority-language contribution</li> <li>- Aboriginal contribution</li> <li>- culturally diverse community contribution, and</li> <li>- arts sector contribution.</li> </ul> </li> <li>• Reprint program (the publishing company’s commitment to keeping culturally significant titles in print).</li> </ul> <p><b><i>Professional Excellence (30 percent)</i></b></p> <p><u>Marketing</u></p> <ul style="list-style-type: none"> <li>• Quality of marketing, and promotional strategies and activities.</li> <li>• Quality of distribution methods.</li> </ul> <p><u>Management</u></p> <ul style="list-style-type: none"> <li>• Sound financial planning and reporting.</li> <li>• Appropriate use of human resources.</li> <li>• Vision for long-term viability.</li> </ul> <p><b>Refer to Part C of the application form for further details about assessment.</b></p>
--	--

<p><b>Fair Notice to Organizations</b></p>	<p>The Canada Council is committed to a transparent process whereby performance concerns and substantial funding reductions are conveyed to organizations in a timely manner. While recognizing the importance of maintaining organizational stability and providing advance notice of substantial funding reductions, the Canada Council has a Fair Notice policy that can be implemented when an organization is assessed very poorly against the program objectives and assessment criteria and/or when an organization's activities change and are no longer consistent with the program objectives.</p> <p>Applicants whose activities repeatedly fail to respond to the objectives of the Book Publishing Support, Block Grants component may be withdrawn from funding after receiving two Fair Notice advisories within four years.</p> <p>These advisories will be issued based on concerns flagged under any one of the following circumstances:</p> <ul style="list-style-type: none"> <li>• Issues raised during the peer assessment committee's evaluation of an application</li> <li>• Issues raised during an interim evaluation by the Section and /or the peer assessment committee</li> <li>• The organization shows a serious degree of financial instability and thus is putting at risk the integrity of the Canada Council's investment</li> </ul> <p>For book publishers, the following circumstances also apply:</p> <ul style="list-style-type: none"> <li>• The organization shows a decline in the quality of their publishing activity and is unable to achieve its announced plan of activity.</li> <li>• The organization demonstrates management practices that do not conform to generally accepted practices in the discipline.</li> </ul> <p>In such cases, the committee will issue an advisory and will recommend a reduction of at least 10% in the grant amount in the first year. All candidates that receive an advisory may submit an application the following year. Their response to the advisory will be evaluated by that year's peer assessment committee.</p> <p>If the organization receives a second unsatisfactory evaluation, the grant amount will be subject to a reduction of at least 15% in the grant amount and a notice that they may be refused funding in the following year. If the organization receives a third unsatisfactory evaluation, they may be refused a grant in that year.</p>
<p><b>Concerned Status</b></p>	<p>An organization may be placed on Concerned Status by the peer assessment committee or by the Section when the organization is experiencing a period of instability. The organization will be notified in writing explaining why the Concerned Status applies and how the organization will be monitored.</p>

## **CANADA COUNCIL FOR THE ARTS POLICY ON OWNERSHIP OR CORPORATE CHANGE, NAME CHANGE, SUCCESSION AND BANKRUPTCY FOR MAGAZINE AND BOOK PUBLISHERS**

The Canada Council for the Arts provides assistance to professional Canadian book and magazine publishers to assist with the development and public enjoyment of Canadian literature. The Canada Council has a responsibility to ensure that the program promotes the development of a diverse infrastructure of well-managed publishers, the interests of professional writers and their readership, and excellence in the publishing of literature.

As such, if a company supported by the Canada Council changes ownership or its name, converts from non-profit to for-profit, has a significant change in corporate structure, or is in real danger of insolvency, bankruptcy, or placed in bankruptcy protection, any approved or future grants are subject to review or suspension as indicated below.

*It is the responsibility of book publishing companies receiving grants through this program to promptly inform the Council, in writing, in all situations where there has been or will be a change in ownership, corporate structure or legal status.*

The staff of the Canada Council for the Arts will review ownership, name or incorporation changes or cases of financial distress, where feasible, and will make a recommendation to the management of the Canada Council who has the discretion to make the final decisions in these matters.

For ownership changes or changes in corporate structure (including converting from non-profit to for-profit status), the Writing and Publishing Section will review the situations on a case-by-case basis to ensure that the new owner intends to continue with the editorial and publishing program for which the company was known and received support from the Canada Council. To continue support when there is a significant change in corporate ownership, the Council requires that all authors' royalties be paid in full, that any outstanding debts be resolved in a manner consistent with professionalism in publishing, and that any previous grants be adequately reported on.

For ownership changes in which a company is bought, or significant equity is acquired, by another company receiving Canada Council support and both apply for separate Council assistance, Canada Council staff will review each situation on a case-by-case basis to ensure that each company maintains a distinct editorial identity and continues in a significant manner with the editorial and publishing program for which the companies were already known. Significant factors that will be considered, in addition to the quality and editorial choices of the publisher's program, are:

- separate financial statements
- separate editorial staff and processes
- separate addresses, and
- financial viability and professional management.

The Canada Council and its peer assessment committees will be conscious of the Council's role to promote a balance between a diversity of editorial programs of literary value in the country and good financial management.

No grants will be committed or provided to an applicant in bankruptcy. Before any grants are considered or paid, the applicant must be clear of any legal bankruptcy obligations and have complied with any laws relating to bankruptcy that it might be subject to.

In cases of bankruptcy or insolvency in which a new company is formed that assumes part or all of the assets of a bankrupt company, the new company is required to meet the minimum eligibility requirements for entry into the program as well as be recommended for admission to the program based on a review of its literary and professional excellence. The review will include the professional capabilities of the publisher, including its ability to financially manage a publishing company. The applicant must provide a complete disclosure of the financial situation of the new company and information it has about the bankrupted company, including any financial obligations or assets related to this company and titles acquired. In addition, the Canada Council requires that for any books controlled by the applicant or for sale by the applicant all royalties to creators have been paid in full and that any previous Canada Council grants to these titles have been accounted for.

If a new or existing publisher buys or acquires some or all of the backlist titles of another publishing company (including in cases of bankruptcy), these backlist titles cannot automatically be used to qualify for admission to Canada Council programs. This is also the case when an existing publisher divides into two; the Council does not normally allow for one house receiving Block Grant support to split into two companies. Admission is based on a case-by-case review of the professionalism of the applicant, its commitment to quality literary publishing and its demonstrated ability to manage a publishing program or business. A newly created company can receive a Block Grant only after it has been assessed by the Emerging Publishers Grant peer assessment committee and received at least one Emerging Publishers Grant.

In addition to providing information to the Canada Council in a timely manner about changes of ownership, corporate change, name change, succession or bankruptcy, publishing companies are also responsible for providing information requested by the Writing and Publishing Section. After becoming aware of the change, the Council will take the following steps:

Situation	Steps in the Analysis
Any change in ownership, corporate structure or legal status	<ol style="list-style-type: none"> <li>1. <i>The Canada Council may request information, including legal documents, from the company (requests for additional information may occur throughout the review process).</i></li> <li>2. <i>The Canada Council will review information at its disposal to ensure that the company continues with the editorial and publishing program for which it was known and received support from the Council. Among the factors examined will be:</i> <ul style="list-style-type: none"> <li>○ <i>continuity in the company's mandate,</i></li> <li>○ <i>continuity in support for the company's backlist,</i></li> <li>○ <i>continuity in the genres published, and</i></li> <li>○ <i>service of a similar readership.</i></li> </ul> </li> </ol>
Change in the majority ownership of a publishing company	<p>Steps 1 and 2 above will be followed, plus the following additional step:</p> <ol style="list-style-type: none"> <li>3. <i>The Council will seek to establish whether:</i> <ul style="list-style-type: none"> <li>○ <i>the company continues to meet program eligibility criteria regarding ownership,</i></li> <li>○ <i>all royalties and payments owed to authors, illustrators, translators and other copyright licensors have been paid,</i></li> <li>○ <i>all outstanding debts have been settled in a professional manner, and</i></li> <li>○ <i>reporting requirements for previous grants awarded to the company have been satisfied.</i></li> </ul> </li> </ol>

Situation	Steps in the Analysis
<p>A company receiving grants through the program is acquired by another company receiving grants through the program, and the owner wishes to continue to apply for separate grants for these publishing companies (the “affiliated companies”)</p>	<p>Each of the affiliated companies must continue to meet the program eligibility criteria requiring applicants to “maintain full control over editorial processes, have editorial independence from any other company receiving Book Publishing Support from the Canada Council for the Arts, and produce separate financial statements.”</p> <p>Steps 1, 2 and 3 above will be followed, plus the following additional steps:</p> <ol style="list-style-type: none"> <li>4. <i>The Council will ensure that separate financial statements are provided for each company, each company is a distinct legal entity, and each company has its own full-time paid publisher, editorial director or equivalent.</i></li> <li>5. <i>The Council and/or an assessment committee will assess whether each company is continuing with a sufficiently distinct editorial mandate and identity.</i></li> </ol> <p>IMPORTANT: Steps 4 and 5 will be applied to all companies that share majority ownership, each year, even if they have received separate grants in the past. Based on its assessment, the Council may merge the applications of the affiliated companies.</p> <p>In situations where a company wishes to split into two or more groups and obtain separate grants for these companies, the Canada Council will not accept separate applications.</p>

Based on the assessment, the Council may maintain, suspend or cancel recommended or approved grants; rule the applicant ineligible; or merge applications. The Council will make the final decisions in these matters. All grants are also subject to the terms and conditions that are outlined on the sheet that accompanies grant notification letters.

## COMPLETING THE APPLICATION FORM

Please ensure that the publishing company is clearly identified on each page of the application form (including attachments).

<p><b>Parts A1 and A2 – Identification and Declaration</b></p>	<p>The application form must be signed by an officer of the company. An original signature is required.</p>
<p><b>Part B – Company Profile</b></p>	<p>Please complete Part B of the application form, and submit your responses to Section 9 on one separate sheet of paper. This profile provides important information about the publishing house to the peer assessment committee.</p>
<p><b>Part C – Report on the Publishing Program</b></p>	<p>Submit this information on separate sheets of paper. This report is the principal tool, along with the books themselves, that the peer assessment committee uses to evaluate your company and its publishing program. It is in your interest to create a positive, clear and well-organized account of your activities.</p>
<p><b>Part D – Current Eligible Titles</b></p>	<p>If you are applying <b>for renewal of your Block Grant</b>, you must list the eligible titles (first editions and new format reprints) published since 1 December 2010, and provide the information requested. Make sure you have sent or included a copy of each title. You must also submit information about each of the eligible titles through the Literature Online (Lili) web system (<a href="https://lili.canadacouncil.ca/Login.aspx">https://lili.canadacouncil.ca/Login.aspx</a>).</p> <p>If you are applying to this component <b>for the first time, or after a period during which you did not participate</b>, you must include in your application a list of the titles contributing to your eligibility, and provide the information requested.</p> <p>For eBooks attach a supplementary list of eBook formats of eligible 2011 new releases. Be sure to include the title, author, release date (year/month) and the ISBN.</p> <p><b>Note: You must submit only eligible titles — those that meet the eligibility criteria. Ineligible titles will not be shown to the peer assessment committee.</b></p>
<p><b>Part E – Forthcoming Eligible Titles</b></p>	<p>List the eligible titles (first editions and new format reprints) in the publishing program planned for next year, and provide the information requested. The information that you provide in this part of the form may be reviewed by future peer assessment committees.</p>

**Part F –  
Financial Summary**

The information that you supply in this part of the form provides the Canada Council and the peer assessment committee members with key financial information and allows them to assess the financial viability and management of your publishing house. **You should make every effort to ensure the accuracy of this information.**

**You must also include financial statements for the most recently completed fiscal year (including a balance sheet and income statement, and conforming to generally accepted accounting principles).**

If you received a contribution from Canada Book Fund in 2010, you should submit the same financial statements that you submitted to Heritage Canada.

Publishers who do not receive funding from Canada Book Fund and who received a Block Grant of more than \$50,000 in 2010 must submit a review engagement. Those who have received \$50,000 or less from the Block Grant should submit a compilation engagement prepared by a qualified accountant.

**Note: The Canada Council reserves the right to require you to submit documentation to confirm the information you provide in the Financial Summary. The Canada Council may also require an audit of your publishing house’s finances, including royalty payments, which will be at your expense.**

## IMPORTANT INFORMATION FOR APPLICANTS

<p><b>Processing the Application</b></p>	<p><b>Acknowledgement of receipt</b></p> <p>The Canada Council will send you, by mail, a notice acknowledging that your application has been received. This notice will be sent out shortly after your application has arrived. It should be noted that the acknowledgement of receipt indicates that the application has been received; it does not confirm that your application is eligible.</p> <p><b>Response time</b></p> <p>Applicants are informed of the competition results by mail approximately <b>four months</b> after the application deadline for this component. The Canada Council does not release results by telephone or email.</p> <p><b>Application preparation</b></p> <p>You are responsible for providing all the information and support material requested to confirm your eligibility for the program. The Canada Council will make eligibility decisions based on the information provided in this application.</p> <p>It is important to inform the Canada Council for the Arts of any change of address.</p> <p>Do not submit originals. The Canada Council is not responsible for the loss or damage of material submitted in support of an application.</p> <p><b>Format and layout</b></p> <p>Where this applies, all the documents requested and the application form must be submitted on separate sheets of white paper (letter format, 8½ x 11 inches) printed on one side. Use a font size of 11 points or larger. These documents must not be bound, placed under plastic or stapled. Paper clips are acceptable.</p> <p>Colour printing on coloured sheets and (or) in an unusual format makes photocopying difficult; it is therefore preferable to avoid using them.</p>
<p><b>Personal Information</b></p>	<p>The <i>Privacy Act</i> gives individuals the right to access and request correction of personal information about themselves. The Canada Council will protect personal information as required by the <i>Privacy Act</i>. The information will be stored in a series of Canada Council data banks described in <i>Info Source</i>, a government publication that is available on the Internet. All other information may be accessible to others under the <i>Access to Information Act</i>.</p> <p>The Canada Council for the Arts may share information related to applications and awards with officials in other arts and cultural industry funding agencies, on a confidential basis, to assist with program planning and evaluation.</p>

<p><b>Grant Terms and Conditions</b></p>	<p><b>If your application is successful</b>, the terms and conditions will be outlined in the grant notification letter. These are some of the conditions:</p> <p><b>Grant payment</b></p> <p>The Canada Council will send you the grant money after it has received your grant acknowledgement form, which will be provided with your grant notification letter.</p> <p><b>Changes to proposed projects or programs of work</b></p> <p>If you cannot use part or all of the grant during the period stated in your application, for any reason, or if you decide not to carry out your proposed project or program of work, you must notify the Canada Council immediately.</p> <p><b>Acknowledgement of Canada Council for the Arts support</b></p> <p>Successful applicants must acknowledge the financial assistance of the Canada Council for the Arts in all their documentation and in their publications and programs related to the grant.</p> <p>The following acknowledgement must appear on the copyright page of each of the eligible titles produced in the year for which funding is granted: “We acknowledge the support of the Canada Council for the Arts for our publishing program.”</p> <p>Use of the Canada Council for the Arts logo, which is available from the Canada Council’s website, is optional.</p> <p><b>Reporting requirements</b></p> <p>You must report each year on the use of funds provided to your company by the previous year’s grant by submitting eligible titles and title information through the Lili online system. All clients will submit titles according to the schedule specified in the Support Material section.</p> <p>All recipients must submit sales reports on eligible titles, using the form supplied to you in May of each year and due on 30 June.</p> <p>Please note that the Canada Council cannot close your organization’s grant file until it has received and approved these reports.</p>
--	---



### Book Publishing Support: Block Grants - Annual Funding

- The Canada Council for the Arts requires only one copy of the application form. Type or print in black ink to make your submission easier to photocopy.
- Do not bind your completed application form (in other words, do not use spiral binding, mount it in plastic, staple it, etc.)
- If you are completing the application on a computer, use the following format.

**PART A1- IDENTIFICATION** (Please inform the Canada Council if your address changes.)

Company name:

Name and Position of Contact person:

Permanent address of the company:

Street address and apartment or suite number

City Province or territory Postal code

Telephone Fax

Email Website

**PART A2 – DECLARATION**

In which language do you prefer to communicate with the Canada Council?  English  French

**To be eligible for consideration, you must sign below to confirm your agreement with all of the following statements:**

As a representative of the organization,

- I have carefully read the eligibility criteria for this program, which are described in the application guidelines, and the company I represent meets these criteria.
- I understand that our organization is not eligible to apply to this program until all of its overdue final reports for Canada Council grants have been submitted and approved.
- I accept the conditions of this program and agree to accept the Canada Council’s decision.
- I am aware that the Canada Council is subject to the Access to Information Act and Privacy Act, as described in the application guidelines.
- I certify that the organization has met all its contractual obligations to writers, illustrators, translators and other copyright licensors. I understand that no grants will be issued to publishers that owe royalty payments to writers, illustrators, translators and (or) other copyright licensors as of the application deadline.
- I agree to provide, if requested to do so, any additional information that the Canada Council requires in order to evaluate this application.

**I confirm that the statements in this application are complete and accurate, to the best of my knowledge.**

Signature of authorized representative (must be an officer of the company)

Date

Name and position

**AN ORIGINAL SIGNATURE IS REQUIRED**

**PART B – COMPANY PROFILE**

**Important:** For sections 1 to 8 below, please print or type your responses **on this page** (if you are using a computer, use this format). Note that only short responses are required. For Section 9, please respond on **one separate page** - do not exceed this limit.)

1. **Type of organization** (for example, non-profit, university press, sole proprietorship, corporation)

---



---

2. **Names of owners or shareholders**


3. **Names of members of the board of directors, if this applies**


4. **Key personnel** (names and titles)


5. **Number of full-time paid staff:** \_\_\_\_\_ **Number of part-time paid staff:** \_\_\_\_\_

6. **Affiliated companies, if this applies** (provide a short description of the relationship)

---



---

7. **Sales representation**

---



---

8. **Distributor(s)**

---



---

9. **Description of your company (maximum of one page)**

- Publishing mandate/objectives
- Brief history and recent principal accomplishments
- Current role in Canadian literary publishing

Please also send eight copies of your publishing house’s catalogues for the past year (spring and fall).

**PART C – REPORT ON THE PUBLISHING PROGRAM**

**Important:** The peer assessment committee’s decision concerning your application will be based on the merit of your company’s publishing program compared with those of the other applicants, and on the artistic goals of the Canada Council for the Arts. The committee will evaluate your program against the criteria listed below. Please describe your recent and current activities in terms of these criteria by responding to the points that follow, and introduce each response with the heading provided below.

Some items have to do with literary merit, while others relate to administration. How much space you give to each point is your decision. The instructions in italics are there to help you. You do not have to respond to any items in italics that do not apply to your situation. **Your submission should be a maximum of 1,500 words or five pages**, whichever is less. To make photocopying easier, please print on one side only of white, 8½ x 11 inch paper, leaving adequate margins.

**Quality of the Publishing Program, and Clarity and Fulfillment of the Editorial Vision (40 percent)**

Overall quality of the writing in and editing of the eligible books, selection of authors and editorial choices

*Give highlights of your current and forthcoming eligible titles, and describe how they relate to your mandate. Indicate recent awards won and critical responses to your books. Describe the efforts you have made to maintain or improve editorial expertise.*

Quality of presentation (for example, page and cover design, and production quality).

*Describe the editorial and production process, from manuscript selection to the release date. Describe the impact of adapting the workflow for eBook formats, if applicable.*

**Contribution to Canadian Literature (30 percent)**

Publication of new writers and introduction of new themes or styles that help to develop literature or an appreciation of the arts in Canada

*Indicate any new writers or Canadian writers in translation you have published, or innovations you have introduced, that you consider significant to the development of Canadian literature or publishing.*

Special contribution of the publishing program, for example, regional, Aboriginal, minority-language or culturally diverse community contribution, and

*Indicate how your organization contributes to the literary or artistic life of a specific region and (or) a specific community.*

Reprint program (your commitment to keeping literary books in print).

*Describe, and give examples of, your organization’s policy on reprinting backlist titles.*

**Professional Excellence (30 percent)**

Marketing

- Quality of marketing, and promotional strategies and activities,
- Quality of distribution methods

*Describe your marketing and promotional strategies and activities for new and backlist titles, with recent examples. Describe your distribution arrangement for printed books and eBooks.*

Management

- Sound financial planning and reporting
- Appropriate use of human resources, and
- Vision for long-term viability.

*Describe the financial planning and budget procedure for your organization. Describe your human resources structure, and outline any specific challenges your organization is facing in this area. Give a brief overview of the two-year and five-year goals of your company.*





<b>PART F – FINANCIAL SUMMARY</b> (Include financial statements for the most recently completed fiscal year)			
<b>Beginning of your company's fiscal year:</b>	<b>20 - 20</b>	<b>20 - 20</b>	<b>20 - 20</b>
_____ (day and month)	Two Years Ago Actual	Last Year Actual	Current Year Projected
<b>Operating revenues:</b>			
1. Net sales of titles eligible for Canada Council funding	\$	\$	\$
2. Net sales of other Canadian-authored titles, own imprint	\$	\$	\$
3. Other net publishing revenues	\$	\$	\$
4. Other revenues, such as interest (provide details)	\$	\$	\$
<b>5. Total operating revenues</b> (add lines 1 to 4)	\$	\$	\$
<b>Grants or non-repayable financial aid from the following sources:</b>			
6. Canada Council for the Arts: Emerging Publisher Grants or Block Grants	\$	\$	\$
7. Canada Council for the Arts: other programs	\$	\$	\$
8. Department of Canadian Heritage: Canada Book Fund	\$	\$	\$
9. Association for the Export of Canadian Books	\$	\$	\$
10. Canadian Federation for the Humanities and Social Sciences: ASPP	\$	\$	\$
11. Other federal sources (provide details)	\$	\$	\$
12. Provincial or territorial governments or arts councils (including those offering tax credits)	\$	\$	\$
13. Other governments (for example, municipalities) and agencies	\$	\$	\$
14. Other sources (provide details)	\$	\$	\$
<b>15. Total grants awarded</b> (add lines 6 to 14)	\$	\$	\$
<b>16. Total net revenues</b> (line 5 plus line 15)	\$	\$	\$
<b>Cost of sales:</b>			
17. Cost of sales of all titles, except royalties (including production, editing, printing and binding costs)	\$	\$	\$
18. Royalties on all titles	\$	\$	\$
<b>19. Total cost of sales</b> (line 17 plus line 18)	\$	\$	\$
<b>20. Gross profit</b> (total net revenues less total cost of sales) (line 16 minus line 19)	\$	\$	\$
<b>Operating expenses:</b>			
21. Marketing and promotion	\$	\$	\$
22. Distribution	\$	\$	\$
23. Other operating expenses	\$	\$	\$
<b>24. Total operating expenses</b> (add lines 21 to 23)	\$	\$	\$
<b>25. Profit (loss)</b> (gross profit less total operating expenses) (line 20 minus line 24)	\$	\$	\$
<b>26. Income tax</b>	\$	\$	\$
<b>27. Extraordinary items</b> (provide details)	\$	\$	\$
<b>Net profit (loss)</b> (line 25 minus lines 26 and 27)	\$	\$	\$
<b>Total assets</b>	\$	\$	
<b>Total equity</b>	\$	\$	
<b>Total short- and long-term liabilities</b>	\$	\$	
<b>Accumulated surplus (deficit)</b>	\$	\$	

**PART G – CHECKLIST**

Use this checklist to confirm that you have completed all relevant sections of the form and have submitted all required support material. **Please check the appropriate boxes to confirm.**

**First-time Applicants**

- A list of all other eligible titles (minimum 16) that contribute to your eligibility to apply to this program (use Part D of the form).

**All Applicants**

- The completed and signed application form (original signature only), including the financial summary (Part F).
- Supplementary sheets containing the information requested in Parts B, C and D.
- Financial statements for the most recently completed fiscal year.
- Eight copies of your publishing house's catalogues for the past year (spring and fall).
- One copy of each **eligible title** published between 1 December 2010 and 30 November 2011.
- Applicants must submit all title information through the Lili online title information system. **The Canada Council must receive this title information and the copy of each eligible title in accordance with this schedule:**

- **30 June** for titles published between 1 December and 15 June
- **15 October** for titles published between 16 June and 30 September, and
- **1 December** for titles published between 1 October and 30 November.

**The Lili online system is located at <https://lili.canadacouncil.ca/Login.aspx>. For your username and password, please contact the Writing and Publishing Section.**

**Send your application to:**

**Writing and Publishing Section**

Canada Council for the Arts  
350 Albert Street, P.O. Box 1047  
Ottawa ON K1P 5V8

**Remember:**

- Keep a copy of your completed application form.
- Your application, with all required support material, must be postmarked on or before the deadline date.
- The Canada Council will not accept applications submitted by fax or email.