

National Assembly of State Arts Agencies

KNOWLEDGE ★ REPRESENTATION ★ COMMUNITY

MEMORANDUM

TO: All State Arts Agency Grants & Fiscal Officers

FR: Kelly Liu, National Standard Associate
National Assembly of State Arts Agencies

Kelly Barsdate, Chief Program and Planning Officer
National Assembly of State Arts Agencies

DA: August 16, 2011

RE: NEA FY 2010 Partnership Agreement Grant Reports (NEA Grant #s 10-6100-XXX) FDR Reporting Requirement Reminders

It's that time of year again! In the next few months, most of you will be reporting on your Partnership Agreement grant activities by submitting Final Descriptive Reports (FDRs) to the NEA. Federal reporting guidelines also require you to send copies of your FDR materials to NASAA at the same time. In cooperation, the Endowment and NASAA use your data to show how Partnership Agreement dollars are spent, to describe your agency's recent achievements, and to demonstrate the effectiveness of the state-federal partnership. Timely reports from your agency help the NEA maintain accountability with Congress, and help NASAA document the public benefits of continued government arts funding.

As you prepare reporting materials for the NEA, send the required copy to NASAA so that we may add your statistical information to the national database of all state and regional grant awards. To keep your state's part of the database in good shape, please prepare your FY 2011 files as soon as possible by using the following guidelines, which summarize the NEA's reporting requirements. Full NEA reporting requirements may be found at <http://www.nea.gov/manageaward/Partnerships.html>. Please review them carefully.

1. Make sure that your FDR report includes **all FY 2011 grants and activities, whether or not they involved federal funds, with the following exception: Do not report on grants or activities funded from an earlier Partnership Agreement grant that has been extended into the current year or on a Recovery Act grant (ARRA) that is still open. Those projects/activities should be reported on the final reports of the respective grants.** Please detail how your agency used state, federal or other dollars to support all programs and services. Examples of how to report special cases (non-grant program activities, regrants and fiscal agents) can be found in [Attachment A](#). If you are not certain how to record an activity in the standard FDR format, contact NASAA.

2. **The most important part of the NASAA package is the exported "data dump" of your grant-making details.** Make sure that your data dump lists all of the required data elements in the correct sequence, as described in [Attachment B](#). The **format** of this data dump is extremely important. Compare your file to the model provided in [Attachment C](#) to confirm that your ASCII delimited data dump has been exported correctly. Pearl users should

consult [Attachment D](#) for special instructions (provided as a courtesy by Bromelkamp). NASAA can also accept .dbf, .mdb and .xls files.

3. Submit your data dump along with a **Data Sequencing Form** (see [Attachment E](#)). This Data Sequencing Form certifies the contents of your data file for the NEA and helps NASAA to map your information into our national database. For those agencies with special permission to submit routine paper reports, please contact NASAA for instructions.

4. The NEA needs to track how your Partnership Agreement dollars are spent. This is done by analyzing information from your NEA Share field as well as the NEA Funding Purpose field. When you award money from your Partnership Agreement record those federal funds in the NEA Share field (no matter which component). Record the appropriate code(s) in the NEA Funding Purpose Field (see [Attachment F](#)).

5. Your report and data dump need not include records for applications that were denied.

6. **You must request and receive NEA Grants Office approval to extend your grant.** States receiving **extensions** on their NEA grants are required to submit interim FDR information, containing all fields and available data, by the original FDR deadline (90 days after the grant end-date). Upon receiving an extension, **send the NEA a completed copy of [Attachment G](#)** after forwarding the following materials to NASAA:

1. A Totals Page,
2. An ASCII dump plus the Data Sequencing Form or the paper detail pages,
3. Answers to the 5 questions found in the interim reporting requirements. (See [Attachment G](#)).

7. Once your Final Descriptive Report is prepared, **send the appropriate materials to the NEA's Grants Office (not the State & Regional Partnerships Office) and to NASAA.**

The NEA package should contain:

one copy of:

...Your FFR (Federal Financial Report), as well as

two collated copies of:

...The Totals Page,

...The Data Sequencing Form,

...A CD containing an ASCII dump,

...The narrative report for Folk Arts Partnership, if applicable.

The NASAA package should be sent to the attention of Kelly Liu at NASAA and needs to include **one of each** of the following:

...An ASCII dump of all FDR data,

...One copy of your paper Totals Page,

...One copy of your Data Sequencing Form,

...A memo indicating if your FDR is an interim or a final and also describing any unique formats or contents.

NASAA can accept all the components of your FDR package via email or you can email us the data dump while faxing to us the Totals Page and Data Sequencing Form at (202) 737-0526. If you have any problems creating your report or dump, please contact Kelly Liu via phone at (202) 347-6352 x101; or email at kliu@nasaa-arts.org. Thank you!

For copies of the Quick and Easy Guide, Technical Implementation Manual or to see examples of how FDR data is used, please consult NASAA's National Standard Reference

Center at <http://www.nasaa-arts.org/Research/Planning-and-Accountability/National-Standard-Reference-Center/>

Reporting Reminders

Reporting regranting activities

Agencies that report on regranting or decentralized grantmaking activity should refer to [Attachment A](#) for details on how to report these records.

Increased federal reporting requirements

The Federal Funding Accountability and Transparency Act requires increased reporting for grantees that receive \$25,000 or more in federal funds. See [Attachment I](#) for further details.

Reporting Programmatic Activities

State arts agencies should record programmatic activities in their FDRs. Although these activities are not grants to other organizations/individuals, reporting this activity allows the NEA and NASAA to better understand the scope of SAA programs and services. Examples of this include artist directories, technical assistance workshops and exhibitions produced by the SAA.

Each activity should be reported as a separate record with Applicant Name listed as “State Arts Agency-Program Description”. All records for these programs and services should be reported with Applicant Status = 05, Applicant Institution = 16 and Applicant Discipline = 14. The financial fields for grant amount and project budget should all equal each other (Amount Requested, Amount Awarded, Amount Spent, Total Project Expenses, Total Project Income). All other fields should be coded to reflect the activity in a manner similar to other grant records. See example below.

Applicant Name		Cong	Type	YthBen	GrRace	Request	Expen	NEA Share	SAA Share
Applicant City	Sta	ADis	PDcpt	Individ	PrjRace	Award	Income		Other Share
Zip Code State	Inst	PDis	ArtsEd	Artists		Spent	In-Kind	NEA Purpose	ID #
<u>SAA-Artist Exhibition</u>		<u>001</u>	<u>06</u>	<u>0</u>	<u>99</u>	<u>4784</u>	<u>4784</u>	<u>0</u>	<u>4784</u>
<u>Capital City</u>	05	14	P	<u>965</u>	<u>99</u>	<u>4784</u>	<u>4784</u>		<u>0</u>
<u>12345-0001 ST</u>	16	<u>05</u>	<u>99</u>	<u>4</u>		<u>4784</u>	<u>0</u>		<u>01-AE300</u>

Contracted services, where the SAA funds a third party to produce programmatic activities, should also be reported as separate records. For these records fields should reflect the organization (or individual) producing the work, not the SAA.

Reporting Regranting Activities

State arts agencies that provide grants to organizations for the purposes of regranting are required to report the initial grants but not the subsequent regrants. These records should be reported with Activity Type = 26. An example of this type of grant record is provided below.

SAA's who wish to include the subsequent regrants in their FDR must provide these records in a **separate data dump**.

Applicant Name		Cong	Type	YthBen	GrRace	Request	Expen	NEA Share	SAA Share
Applicant City	Sta	ADis	PDcpt	Individ	PrjRace	Award	Income		Other Share
Zip Code State	Inst	PDis	ArtsEd	Artists		Spent	In-Kind	NEA Purpose	ID #
<u>Regranting Org</u>		<u>001</u>	26	<u>512</u>	<u>99</u>	<u>81700</u>	<u>74495</u>	<u>6000</u>	<u>68495</u>
<u>Capital City</u>	<u>02</u>	<u>14</u>		<u>15070</u>	<u>99</u>	<u>74495</u>	<u>74495</u>		<u>0</u>
<u>12345-0001 ST</u>	<u>16</u>	<u>14</u>	<u>99</u>	<u>316</u>		<u>74495</u>	<u>250</u>	<u>SAP</u>	<u>01-AE301</u>

Reporting Fiscal Agents

State arts agencies that provide grants to organizations that use fiscal agents are required to report on the fiscal agents in the fields about grantees. In the example below, **bolded fields refer to the fiscal agent** while unbolded fields refer to the project activity.

Applicant Name		Cong	Type	YthBen	GrRace	Request	Expen	NEA Share	SAA Share
Applicant City	Sta	ADis	PDcpt	Individ	PrjRace	Award	Income		Other Share
Zip Code State	Inst	PDis	ArtsEd	Artists		Spent	In-Kind	NEA Purpose	ID #
Fiscal Agent		001	<u>24</u>	<u>512</u>	<u>99</u>	<u>81700</u>	<u>74495</u>	<u>6000</u>	<u>68495</u>
Capital City	02	14		<u>15070</u>	<u>99</u>	<u>74495</u>	<u>74495</u>		<u>0</u>
12345-0001 ST	16	<u>14</u>	<u>99</u>	<u>316</u>		<u>74495</u>	<u>250</u>	<u>SAP</u>	<u>01-AE302</u>

Required Data Fields and Dump Sequence

Field Name and Order	Field Type	Maximum Length
1 Applicant Name	text	50 characters
2 Applicant City	text	16 characters
3 Applicant State	text	2 characters
4 Applicant Zip	text	5 characters
5 Zip + 4	text	5 characters
6 Applicant Status	text	2 characters
7 Applicant Institution	text	2 characters
8 Applicant Discipline	text	3 characters
9 Congressional District	text	3 characters
10 Project Discipline	text	3 characters
11 Activity Type	text	2 characters
12 Project Descriptors ¹	text/logic	5 characters or 5 true/false fields
13 Arts Education	text	3 characters
14 Total Individuals Benefiting	numeric	8 digits
15 Artists Participating	numeric	6 digits
16 Children/Youth Benefiting	numeric	6 digits
17 Grantee Race ²	text	6 characters or 6 true/false fields
18 Project Race	text	2 characters
19 Amount Requested	numeric	8 digits
20 Amount Awarded	numeric	8 digits
21 Amount Spent	numeric	8 digits
22 Total Project Expenses	numeric	8 digits
23 Total Project Income	numeric	8 digits
24 Total Project In-Kind	numeric	8 digits
25 NEA Share	numeric	8 digits
26 SAA Share	numeric	8 digits
27 Other Share	numeric	8 digits
28 NEA Funding Purpose ³	text	18 characters
29 Application Number ⁴	text/numeric	9 characters
30 Constituent ID ⁵	text/numeric	10 characters
31 Custom Project Descriptors ⁶		

Notes

¹ Multiple selections are allowed for this field. Agencies may choose to put the multiple selections in one field or to put each selection in its own logic field. If each code is stored in its own field, the fields must be in the following order [A, I, P, T, Y] and inserted in the data dump after Activity Type and before Arts Education.

² Multiple selections are allowed for this field. Agencies may choose to put the multiple selections in one field or to put each selection in its own logic field. If each code is stored in its own field, the fields must be in the following order [A, B, H, N, P, W] and inserted in the data dump after Youth Benefiting and before Project Race.

³ Although not part of the National Standard, this field is required by the NEA. It contains an abbreviation to reference the kind of funding present in grant records where NEA Share is greater than zero. See [Attachment F](#) for more information.

⁴ Indicates each agency's unique system of grant identification numbers

⁵ Indicates each agency's unique identification number used in its constituent list or mailing list database. A grantee's Dun & Bradstreet DUNS number may be used, if the agency collects these. A grantee's Federal Employer Identification Number (FEIN) may also be used. Although reporting this field to NASAA and the NEA is voluntary, agencies are strongly encouraged to include this information.

⁶ If your agency has added optional codes to the Project Descriptors fields, insert them at location 31 in the data dump. Text codes embedded in a single, consolidated field may be reported in any order. However, if your agency uses separate logic fields the following sequence must be used: [C] Cultural Heritage Tourism, [E] Economic Development, [H] Health/Healing and [O] Older Adults. When including custom codes, your data dump to NASAA must be accompanied by a key that lists all codes used and their definitions.

The ASCII Delimited Data Dump File for Your FDR

An ASCII delimited dump is a text file where each grant record appears on its own single line. Fields are separated by commas, tabs, or spaces. When you have finished saving your FDR data to a disk, check to see that it is in a delimited format and that all information appears in the sequence shown in [Attachment B](#).

You should **export** your FDR data so that the dump looks like this:

In a comma delimited format

```
"Artspace","Anahiem","AK","99072","7175","02","15","14","1","14","11","TY","99",5500,1800,2400,"99","99",1283,3886,3886,13831,15062,3020,3886,0,0,SAP,"855"
"Ctr for Children","Anahiem","AK","99401","9211","02","25","14","1","12","20","P","01A",95,1,49,"NW","99",677,525,525,1554,1810,256,525,0,0,"PAE","1077"
```

In a tab delimited format

```
"Artspace" "Anahiem" "AK" "99072" "7175" "02" "15" "14" "1" "14" "11" "TY" "99" 5500 1800 2400 "99" "99" 1283 3886 3886 13831 15062 3020 3886 0 0 SAP "855"
"Ctr for Children" "Anahiem" "AK" "99401" "9211" "02" "25" "14" "1" "12" "20" "P" "01A" 95 1 49 "NW" "99" 677 525 525 1554 1810 256 0 525 0 0 "PAE" "1077"
```

The delimited formats above are most efficient for our database to import. We also encourage you to include the field names as the first line in the data dump. Field names can help us map each data element into its proper field in the national database of all SAA and RAO grants.

Your file should **NEVER** look like this:

Artspace			1	11	2400		12832	13831	3886	0
Anahiem		02	14	TY	5500	99	3886	15062		0
99072-7175	AK	15	14	99	1800	99	3886	3020	SAP	855
Ctr for Children			1	20	49		677	1554	525	0
Anahiem		02	14	P	95	NW	525	1810		0
99401-9211	AK	25	12	01A	1	99	525	256	PAE	1077

This happens when a report is **saved** to a file instead of **exported** to a file. This format can not be efficiently imported into the national database.

If you have questions regarding these formats or how to export your FDR to file, please contact [Kelly Liu](#) at NASAA for assistance.

Before you begin: Recent changes in reporting requirements regarding ARRA (American Reinvestment and Recovery Act) may necessitate changes to your Pearl database. If you have not already contacted us about these changes, please call 877-767-6703 for help and advice.

A. Printing out the FY11 FDR Report with Pearl Software

1. Open Pearl so that the Pearl Navigator is displayed
2. Click the “Reports” radio button and view the list of available reports. Select the report called “FY11 FDR Report” (or similar)
3. Click once on the report to select it, then click the Print button.

If you can't find this report in your list of reports, or the report you have prints last year's data, please call (877) 767-6701 x3. We can estimate the cost to help you update or configure the basic report.

B. Preparing the FY11 FDR data file with Pearl Software

1. View the Navigation Pane
2. Find the query called “qryFY11 FDR export”
3. Right-click the query, and choose “Export.”
4. Specify the file type (*.txt), location (any) and name (**XXFY11.txt** ... use the two-digit abbreviation for **your state** for XX, such as NYFY11.txt)
5. Use the Export Text Wizard to identify it as a "Delimited" file. "Comma" is the delimiter, and "double quotes" (") are the text qualifiers.
6. Click Finish to save the file. Then attach it to an email and send it to kliu@nasaa-arts.org

If you can't find this query in your list of queries, or the query you have uses last year's data, please call (877) 767-6701 x3. We can estimate the cost to help you update or configure the query.

Final Descriptive Report Part 1: Data Sequencing Form

Point and click or tab to each space and enter data.

SAA: _____

NEA Grant #: 0_ - 6100 - 2____ **Final** or **Interim?** Final to be sent (date) _____.

Total # of grants/records in file: _____

Name of File: _____

Software used to produce the file:

Export Format of File--select one

- ASCII text delimited (preferred)
- ASCII tab delimited
- Access Excel
- Other: _____

List of fields IN THE EXACT ORDER in which they appear in the data dump:

	Field Name	Type*	Max Length
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
16.			
17.			
18.			
19.			
20.			
21.			
22.			
23.			
24.			
25.			
26.			
27.			
28.			
29.			
30.			
31.			

*Text/character, numeric, or logical

Contact information for questions about the content or format of the data file:

Name: _____

Title: _____

Phone: () -

E-mail: _____



Codes for “NEA Funding Purpose” Field

Every grant record using “NEA Share” funds must contain a reference to the purpose(s) being addressed through the use of the NEA funds. Select code(s) from the list provided below and enter in the “NEA Funding Purpose” field to identify the purpose of the award. (If the grant in question addresses more than one purpose, enter all codes in the field.)

List of Valid “NEA Funding Purpose” Codes for State Arts Agencies

Partnership Agreement Grants – State Arts Agencies

- SAP State Arts Plan Priorities
- PAE Arts Education
- PAU Underserved Communities
- FAI Folk Arts Partnership
- POL Poetry Out Loud

INTERIM REPORTING REQUIREMENTS ON EXTENDED GRANTS

(grant numbers beginning 07-6100-2XXX, 08-6100-2XXX, etc.)

As a condition of the grant extension on your NEA Partnership Agreement grant **you must submit an interim descriptive report at the time the original final descriptive report (FDR) would have been due.** The interim data allow us to keep our state/regional grant database current and respond to Congressional and media inquiries with more complete and up-to-date facts while enabling us to approve your request for additional time.

The FDR consists of two parts: Statistical Information and a Narrative Requirement. **Interim reporting is needed for both Parts I and II.**

For Part I: Statistical, i.e., the computer listing of your activities in National Standard format, the interim report should *include all of the fields for which you have data* at the time the interim report is due. The *share field information is critical* because it allows us to document the reach of Federal funds. *In addition, you must answer the five questions on the next page about the status of the data on which you are reporting.* **For Part II: Narrative Requirement.** The interim narrative should respond to the questions posed in the Final Descriptive Report Instructions on our Web site.

STEP 1: Document the contents of your report thoroughly as per NASAA’s annual memo on this subject. **Send the following to NASAA:** (1) a diskette with an ASCII dump of your Statistical information, (2) a Totals Page, (3) Data Sequence Form and (4) answers to the five questions (on the next page) about the status of your data. Send to:

Kelly Liu
National Assembly of State Arts Agencies
1029 Vermont Avenue NW 2nd Floor
Washington, DC 20005
Phone: 202/347-6352 Email: kliu@nasaa-arts.org

STEP 2: Complete the grant number and signature block below and **fax this sheet, the interim narrative, and the answers** to the five questions on the following page to:

Andi Mathis
State & Regional Partnerships
National Endowment for the Arts
Phone: 202/682-5430 Fax: 202/682-5613

The interim descriptive report for the Partnership Agreement grant 0_ - 6 1 0 0 - 2 _ _ _ (please complete 10-digit grant number) has been completed and sent to NASAA at the above address.

Name: _____

Signature: _____ Date: ____ / ____ / ____

Agency: _____

INTERIM REPORTING REQUIREMENTS ON EXTENDED GRANTS (cont.)

(grant numbers beginning 07-6100-2XXX, 08-6100-2XXX, etc.)

In order to measure performance in accordance with the Government Performance and results Act, the Arts Endowment needs extensive and timely information on activities supported by its state and regional partners. Fortunately, the National Standard Final Descriptive reporting fields cover much of the information that is currently needed. However, frequent delays in reporting, due to grant period extensions and reporting deadline extensions, have often made it impossible to get the information when needed. By the time the Arts Endowment is able to provide a complete picture of activities supported in all states, the information may be three or four years old. Such outdated information is not adequate to meet new requirements.

To address this problem while continuing to remain responsive to requests for grant period extensions, State Partnership Agreement awards will be subject to the following reporting policy:

- A An agency that receives a grant period extension or an extension of its final report deadline will be required to submit an interim report no later than 90 days after the original end date of the grant. The interim report must include all available National Standard data on activities supported under the grant. On activities for which grants have been awarded, but not completed, agencies should provide information from fields 1-13, 17-21, and 25-29 (from the list of reporting conventions).
- B An agency submitting an Interim Report must respond to the following questions:
1. What percentage of your total agency program budget (Federal and non-Federal funds) is covered by this Interim Report? This percentage should include all grants for which awards have been made. (This question refers to percent of dollars.)
 2. What percentage of this total is Federal?
 3. Of the total number of grants and funded activities to be included in your FDR, what percentage does this report contain? (This question refers to percent of grant(s) activity.)
 4. How many of the grants and funded activities reported in #3, above, include Federal dollars?
 5. Are there any categories for which data are not yet available and are excluded from this report?

Endowment grants will not be awarded to State Arts Agencies that are delinquent with respect to this interim reporting requirement. Your understanding and cooperation are greatly appreciated.

National Standard “Cheat Sheet”

Applicant Status

- 01 Individual
- 02 Organization - Non-Profit
- 03 Organization - Profit
- 04 Government - Federal
- 05 Government - State
- 06 Government - Regional
- 07 Government - County
- 08 Government - Municipal
- 09 Government - Tribal
- 99 None of the Above

Type of Activity

- 01 Acquisition
- 02 Audience Services
- 03 Fellowships
- 04 Artwork Creation
- 05 Concert/Performance/Reading
- 06 Exhibition
- 07 Facility Construction/Maintenance
- 08 Fair/Festival
- 09 Identification/Documentation
- 10 Organization Establishment
- 11 Operating Support
- 12 Arts Instruction
- 13 Marketing
- 14 Professional Support - Administrative
- 15 Professional Support - Artistic
- 16 Recording/Filming/Taping
- 17 Publication
- 18 Repair/Restoration/Conservation
- 19 Research/Planning
- 20 School Residency
- 21 Other Residency
- 22 Seminar/Conference
- 23 Equipment Acquisition
- 24 Distribution of Art
- 25 Apprenticeship
- 26 Regranting
- 27 Translation
- 28 Writing About Art
- 29 Professional Development/Training
- 30 Student Assessment
- 31 Curriculum Development/Implementation
- 32 Stabilization/Endowment/Challenge
- 33 Building Public Awareness
- 34 Technical Assistance
- 35 Web Site/Internet Development
- 36 Broadcasting
- 99 None of the Above

Applicant Institution

- 01 Individual Artist
- 02 Individual Non-Artist
- 03 Performing Group
- 04 Performing Group - College/University
- 05 Performing Group - Community
- 06 Performing Group - Youth
- 07 Performance Facility
- 08 Art Museum
- 09 Other Museum
- 10 Gallery/Exhibit Space
- 11 Cinema
- 12 Independent Press
- 13 Literary Magazine
- 14 Fair/Festival
- 15 Arts Center
- 16 Arts Council/Agency
- 17 Arts Service Organization
- 18 Union/Professional Association
- 19 School District
- 20 Parent-Teacher Organization
- 21 Elementary School
- 22 Middle School
- 23 Secondary School
- 24 Vocational/Technical School
- 25 Other School
- 26 College/University
- 27 Library
- 28 Historical Society
- 29 Humanities Council
- 30 Foundation
- 31 Corporation
- 32 Community Service Organization
- 33 Correctional Institution
- 34 Health Care Facility
- 35 Religious Organization
- 36 Seniors' Center
- 37 Parks and Recreation
- 38 Government - Executive
- 39 Government - Judicial
- 40 Government - Legislative (House)
- 41 Government - Legislative (Senate)
- 42 Media - Periodical
- 43 Media - Daily Newspaper
- 44 Media - Weekly Newspaper
- 45 Media - Radio
- 46 Media - TV
- 47 Cultural Series Organization
- 48 School of the Arts
- 49 Arts Camp/Institute
- 50 Social Service Organization
- 51 Child Care Provider
- 99 None of the Above

Disciplines (Applicant & Project)

- 01 Dance
 - A Ballet
 - B Ethnic/Jazz
 - C Modern
- 02 Music
 - A Band
 - B Chamber
 - C Choral
 - D New
 - E Ethnic
 - F Jazz
 - G Popular
 - H Solo/Recital
 - I Orchestral
- 03 Opera/Musical Theatre
 - A Opera
 - B Musical Theatre
- 04 Theatre
 - A General
 - B Mime
 - D Puppet
 - E Theatre for Young Audiences
- 05 Visual Arts
 - A Experimental
 - B Graphics
 - D Painting
 - F Sculpture
- 06 Design Arts
 - A Architecture
 - B Fashion
 - C Graphic
 - D Industrial
 - E Interior
 - F Landscape Architecture
 - G Urban/Metropolitan
- 07 Crafts
 - A Clay
 - B Fiber
 - C Glass
 - D Leather
 - E Metal
 - F Paper
 - G Plastic
 - H Wood
 - I Mixed Media
- 08 Photography
- 09 Media Arts
 - A Film
 - B Audio
 - C Video
 - D Technology/Experimental

Disciplines (Continued)

- 10 Literature
 - A Fiction
 - B Non-Fiction
 - C Playwriting
 - D Poetry
- 11 Interdisciplinary
- 12 Folklife/Traditional Arts
 - A Folk/Traditional Dance
 - B Folk/Traditional Music
 - C Folk/Traditional Crafts & Visual Arts
 - D Oral Traditions (include folk/traditional storytelling)
- 13 Humanities
- 14 Multidisciplinary
- 15 Non-Arts/Non-Humanities

Arts Education

- 01 50% or more of project activities are arts education directed to:
 - A K-12
 - B Higher education
 - C Pre-kindergarten
 - D Adult learners
- 02 Less than 50% of project activities are arts education directed to:
 - A K-12
 - B Higher education
 - C Pre-kindergarten
 - D Adult learners
- 99 No arts education

Project Descriptors

- A Accessibility
- I International
- P Presenting/Touring
- T Technology
- Y Youth at Risk

Grantee Race

- A Asian
- B Black/African American
- H Hispanic/Latino
- N American Indian/Alaska Native
- P Native Hawaiian/Pacific Islander
- W White
- 99 No single group (organizations only)

Project Race

- A Asian
- B Black/African American
- H Hispanic/Latino
- N American Indian/Alaska Native
- P Native Hawaiian/Pacific Islander
- W White
- 99 No single group



THE TRANSPARENCY ACT & SUB-GRANTING REPORTING REQUIREMENTS

Information for State Arts Agencies, Regional Arts Organizations,
and designated Local Arts Agencies

May 2011

What is the Transparency Act?

The Federal Funding Accountability and Transparency Act (*FFATA or Transparency Act - P.L. 109-282, as amended by section 6202(a) of P.L. 110-252*) requires the Office of Management and Budget (OMB) to maintain a single, searchable website that contains information on all Federal spending awards. That site is www.USASpending.gov.

The Transparency Act's definition of "Federal awards" included not only prime awards for grants, cooperative agreements, loans, and contracts, but also sub-grants and sub-contracts. For the past four years, the National Endowment for the Arts has provided monthly reports to USASpending.gov on its prime awards as required by the law. The sub-award reporting component, which was part of the original Act, went into effect on October 1, 2010, and will further enhance the transparency of federal spending.

What is a sub-award?

OMB guidance defines a sub-award as a monetary award made as a result of a Federal award to a **grant recipient** (i.e., the NEA award to a State Arts Agency, Local Arts Agency, or Regional Arts Organization) that is then disbursed to a **sub-recipient**. (Note: regardless of whether you call your awards grants or contracts, they are considered grants for purposes of this reporting.)

What Federal awards are subject to these new reporting requirements?

NEA awards issued after October 1, 2010 are subject to all Transparency Act sub-grant reporting requirements. This includes all FY11 grants and cooperative agreements (i.e., award numbers beginning with 11-XXXX-XXXX and cooperative agreements numbers beginning with DCA-2011-XX) that are approved for sub-granting activity.

Note: Transparency Act reporting requirements affect only sub-awards of \$25,000 or more in Federal funds. Sub-awards that include a lesser Federal amount do not need to be reported through this system.

Where will eligible NEA sub-granting organizations report this information?

Prime awardees will report on their sub-awards using the FFATA Sub-award Reporting System (FSRS) at www.fsrs.gov. Please review the attached reference guide for an overview of how to register in FSRS and prepare to report; a more detailed Awardee User Guide is also available on the FSRS site.

How will this information be reported?

Prime awardees will begin their reports by entering their NEA award number (exactly as it appears on your award letter, including letters and hyphens); this will automatically link the report to the NEA's award number and data. Much like the Recovery Act reporting mechanism, this system will then pre-populate information that already exists in databases such as the Central Contractor Registration System (CCR) and DUNS. Unlike the Recovery Act, however, basic award data will also pre-populate based on information that the NEA reports on your award to www.USASpending.gov. Please also note that only prime awardees can submit reports; your sub-awardees do not report their own information.

Note: All sub-awardees MUST have a Dun & Bradstreet (DUNS) number.

What information must be reported as part of the Transparency Act?

The following data is required for each sub-award obligated with **\$25,000 or more of Federal funds**:

- Information will pre-populate {
- a. Name of entity receiving award
 - b. Amount of award
 - c. Funding agency (i.e. National Endowment for the Arts)
 - d. Federal CFDA program number
 - e. Program source
 - f. Award title descriptive of the purpose of the funding action
 - g. Location of the entity (including congressional district)
 - h. Place of performance (including congressional district)
 - i. Unique identifier of the entity (aka the DUNS) and its parent, if appropriate; and
 - j. Total compensation and names of top five executives (same threshold as for primes)

Note: We do not expect our grantees to have to report on executive compensation. If you believe otherwise, please contact us prior to reporting. Remember, this is required only if:

- a. More than 80% of annual gross revenues from the federal government, and those revenues are greater than \$25 million annually **and**
- b. The public doesn't have access to information about the compensation of the top five executives through periodic reports filed under section:
 - 6104 of the Internal Revenue Code of 1986 (e.g., 990s);
 - 13(a) or 15(d) of the Securities Exchange Act of 1934 (15USC 78m(a), 78o(d)); or through reports made available for state, local or county governments.

When will NEA sub-granting organizations report this information?

Prime awardees will have until the end of the month plus one additional month after a sub-award is obligated (legally issued) to fulfill the reporting requirement. For example, if a sub-award was made on October 15, 2011, the prime recipient has until November 30, 2011 to report the sub-award information.

Note: The NEA does not know when you make your sub-awards; therefore, we cannot send reporting reminders. You are responsible for ensuring your organization's compliance with this reporting requirement.

Will this data be displayed to the public?

Yes. Report data will be displayed to the public via www.USASpending.gov under the "Sub-Award Spending Data" section.

General Terms and Conditions for NEA awards

These Transparency Act sub-recipient reporting requirements have been incorporated into the General Terms and Conditions for your award. Remember that as a prime recipient, you are responsible for monitoring your sub-recipient organizations to ensure compliance with all other Federal and agency requirements as outlined and/or referenced in the General Terms.

Registration and Reporting in FSRs.gov

The NEA has prepared a quick reference guide to assist you in registering and reporting in FSRs.gov. Please see the enclosed and feel free to contact us with questions or suggestions on how we can improve this guidance.

If you have questions or concerns regarding Transparency Act reporting, please contact Carrie Holbo, Grants Specialist, at (202) 682-5480 or holboc@arts.gov.