

These guidelines replace the FY 2007 *Partnership Agreements* guidelines.

# Partnership Agreements, FY 2008

**NATIONAL ENDOWMENT FOR THE ARTS  
APPLICATION GUIDELINES**

## Application Calendar

Category	Application Deadline	Earliest Announcement of Grant Award or Rejection	Earliest Beginning Date for Arts Endowment Period of Support
Partnership Agreements/ State Arts Agencies	October 5, 2007	April 2008	July 1, 2008
Folk & Traditional Arts Infrastructure Component	<b>Statement of Intent *</b> August 15, 2007		
<i>(Dates for the application deadline, announcement, and period of support follow those for Partnership Agreements, above.)</i>			

Partnership Agreements/ Regional Arts Organizations	October 5, 2007	April 2008	July 1, 2008
Folk & Traditional Arts Infrastructure Component	<b>Statement of Intent *</b> August 15, 2007		
<i>(Dates for the application deadline, announcement, and period of support follow those for Partnership Agreements, above.)</i>			

\* All organizations that will request Folk & Traditional Arts Infrastructure Component funds must submit a Statement of Intent to Apply to [mathisa@arts.endow.gov](mailto:mathisa@arts.endow.gov).

The Arts Endowment requires SAAs and RAOs to submit their applications electronically through Grants.gov, the federal government's online application system. See "Grants.gov Application Requirements" for further information.

In the event of a major emergency that affects a large number of applicants for an extended period of time (e.g., a multi-state power outage or a natural disaster such as a hurricane), the Chairman of the National Endowment for the Arts may decide to adjust application deadlines for applicants in the affected area. If this occurs, the Arts Endowment will post an announcement on its Web site.

### If you have questions:

**Call:** 202/682-5753 or 202/682-5430



202/682-5496 Voice/T.T.Y. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing)



Individuals who do not use conventional print may access these guidelines on the Web site or contact the Arts Endowment's Office for AccessAbility at 202/682-5532 for help in acquiring an audio recording of these guidelines.

**Write:** Partnership Agreements  
National Endowment for the Arts  
1100 Pennsylvania Avenue, NW  
Washington, DC 20506-0001

June 2007

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## From the Chairman

The National Endowment for the Arts is a public agency dedicated to supporting excellence in the arts, bringing the arts to all Americans, and providing leadership in arts education. Because a great nation deserves great art, the NEA is committed to supporting the arts in communities -- large and small, urban and rural, including military bases -- throughout the country.

State arts agencies and regional arts organizations are our primary partners in serving the American people through the arts. These agencies are vital to the health of the arts in America for several reasons.

- They are a major source of funding for the arts with aggregate state arts appropriations of more than \$325 million annually.
- They foster excellence through their support of arts organizations and artists.
- Through support of community programs, artist residencies, touring, and other activities, state arts agencies make arts programs available to Americans in every corner of the nation.
- State arts agencies work with thousands of organizations and school districts to help all children experience the magic of artistic creation.
- Through initiatives administered by regional arts organizations, state arts agencies and regional arts organizations work together to support multi-state touring programs that give our citizens greater access to excellence in the arts.

State arts agencies and regional arts organizations greatly extend the reach of the National Endowment for the Arts and its impact on thousands of communities. These guidelines are intended to advance our agency's goals and respond to the needs of citizens throughout the nation.

This past year, NEA staff, in consultation with its state and regional partners, closely examined the structure of the Partnership Agreements to see if improvements could be made. As a result, beginning in FY 2008 Partnership Agreement grant support will be greatly simplified and more flexible. See the Grant Program Descriptions for further details.

Through support of the arts at the state and regional levels, the Arts Endowment continues its legacy of supporting excellence in the arts for all Americans.

Dana Gioia  
Chairman

## **The National Endowment for the Arts**

The National Endowment for the Arts is the largest annual funder of the arts in the United States. An independent federal agency, the National Endowment for the Arts is the official arts organization of the United States government.

The National Endowment for the Arts awards more than \$100 million annually, investing in every state. For every discretionary dollar that the Arts Endowment grants, at least seven dollars are generated from other sources. Over the last 40 years, the Arts Endowment has played a transformative and sustaining role in the development of regional theater, opera, dance, orchestras, museums, and other arts -- both contemporary and traditional -- that Americans now enjoy.

### **Mission**

The National Endowment for the Arts is a public agency dedicated to supporting excellence in the arts, both new and established; bringing the arts to all Americans; and providing leadership in arts education.

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## Introduction

By supporting the state arts agencies (SAAs) and regional arts organizations (RAOs) through Partnership Agreements, the National Endowment for the Arts makes the arts available in more communities than it could through direct grants. The Arts Endowment, SAAs, and RAOs work toward the following common goals:

- **Access to Artistic Excellence:** To encourage and support artistic excellence, preserve our cultural heritage, and provide access to the arts for all Americans.
- **Learning in the Arts:** To advance arts education for children and youth.
- **Partnerships for the Arts:** To develop and maintain partnerships that support excellence in the arts, both new and established; bring the arts to all Americans; and provide leadership in arts education.

Partnership Agreement support is available in the following areas:

### State Arts Agencies

- State Arts Plan (formerly the Basic State Plan)
- Arts Education
- Arts in Underserved Communities
- Folk & Traditional Arts Infrastructure (optional)

Pending Congressional approval, there will no longer be separate components for Challenge America: Reaching Every Community and American Masterpieces: Three Centuries of Artistic Genius. The SAAs will continue to receive funding for projects that support the concepts of these two initiatives, but these funds will be reallocated through the State Arts Plan and Arts in Underserved Communities components. Details appear in the State Partnership Grant Program Description.

### Regional Arts Organizations

- Regional Arts Plan (formerly the Basic Regional Plan)
- NEA Regional Performing Arts Touring Program, a Challenge America: Reaching Every Community Initiative
- Folk & Traditional Arts Infrastructure (optional)

Pending Congressional approval, there will no longer be a separate component for American Masterpieces: Three Centuries of Artistic Genius. The RAOs will continue to receive funding for projects that support the concept of this initiative, but these funds will be reallocated through the Regional Arts Plan and the Regional Performing Arts Touring program. Details appear in the Regional Partnership Grant Program Description.

In addition to Partnership Agreements, these guidelines outline support that is available for national services that are provided by membership organizations of state arts agencies and regional arts organizations.



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## State Partnership Grant Program Description

Most of the fifty state and six jurisdictional arts agencies were created in response to the national example and financial incentive provided by the Arts Endowment. For more than 40 years the Arts Endowment's support for SAAs has helped to attract state funding that for most agencies now far exceeds the federal support. State government support is vital to the arts in America.

**As recipients of funding from the Arts Endowment**, state arts agencies are responsible for meeting standards of accountability that call for:

- Inclusive planning.
- Responsive plans.
- Evaluation of performance in relation to plans.
- Fair decision-making.
- Leadership in learning in the arts, access to artistic excellence, and partnerships for the arts.
- Reporting on funded activities, in accordance with the National Standard for Arts Information Exchange.

**As the partner agencies of the Arts Endowment**, state arts agencies greatly extend the Arts Endowment's reach and impact, translating national leadership into local benefit. As they carry out their state plans, they work cooperatively with the Arts Endowment to carry out common goals. The SAAs and the Arts Endowment consult regularly on how they can best work together to address these goals.

### Changes for FY 2008

Last year, the SAAs received Partnership Agreement grant support through six different components:

- Basic State Plan
- Arts Education
- Arts in Underserved Communities
- Challenge America: Reaching Every Community
- American Masterpieces: Three Centuries of Artistic Genius
- Folk & Traditional Arts Infrastructure (optional)

In addition to these components, SAAs carried out activities in support of the Poetry Out Loud: National Poetry Recitation Contest initiative.

These separate components and activities were created over the years, reflecting various priorities and legislatively mandated accounts in the Arts Endowment's overall grant making. This past year, NEA staff, in consultation with its SAA partners, closely examined the structure of the Partnership Agreements to see if improvements could be

made. As a result, beginning in FY 2008 the SAAs will receive Partnership Agreement grant support through four components:

- State Arts Plan (formerly the Basic State Plan)
- Arts Education
- Arts in Underserved Communities
- Folk & Traditional Arts Infrastructure (optional)

With this consolidation:

- 1) There will no longer be separate components for Challenge America and American Masterpieces. Challenge America and American Masterpieces goals will be supported through the State Arts Plan and the Arts in Underserved Communities components, as appropriate.

Those goals are:

- Challenge America: To provide access to the arts for all Americans.\_
  - American Masterpieces: To ensure that Americans -- in every state in the nation and in communities of all sizes -- are provided opportunities to celebrate the greatest American works across all the arts.\_
- 2) The 40% of agency grant making funds that used to be allocated to four separate components (Basic, Underserved, Challenge America, and American Masterpieces) will continue to be allocated to the SAAs, but will now be allocated entirely to the State Arts Plan and Underserved components.
  - 3) The Poetry Out Loud: National Poetry Recitation Contest initiative now will be carried out with funds in addition to the 40% made available through the State Arts Plan component.

The Arts Endowment and its state partners believe that these changes will:

- Give the states greater flexibility in using federal and state resources more strategically and more effectively.
- Provide the states with greater leverage in securing matching funds.
- Enhance opportunities for collaborative planning and grant making between the NEA and the SAAs.
- Increase administrative efficiency for the SAAs and the NEA.

### **What is included in this new structure**

Through State Partnership Agreements, the Arts Endowment supports state arts agencies in four ways:

1. State Arts Plan Component

This component provides funds that agencies can use to address priorities that are identified at the state level. Activities supported with these funds also contribute to the fulfillment of one or more of the Arts Endowment's goals. Projects that address the NEA's Challenge America and American Masterpieces initiatives can be included here or as part of the Arts in Underserved Communities component, as appropriate. Activity for the Poetry Out Loud: National Poetry Recitation Contest should be included here as well.

## 2. Arts Education Component

This component provides support for those elements of the plan that address arts education, a part of the school-based area of the Arts Endowment's Learning in the Arts goal. Funds support efforts to achieve one or more of the following goals:

- To help ensure that the arts are basic to the education of children and youth in grades pre-K through 12.
- To expand opportunities for children and youth to participate in and to increase their understanding of or skills in the arts.
- To provide professional development opportunities for artists, arts professionals, and teachers.

Each state arts agency should address these goals through strategies and partnerships that are based on national, state, or local arts education standards, as appropriate, and the particular needs, opportunities, and resources of the state. See "Additional Information on Arts Education."

## 3. Arts in Underserved Communities Component

This component provides support for those elements of a state's plan that foster the arts in rural, inner-city, and other underserved communities. Funds may assist in the areas of local cultural development, folk & traditional arts, developing arts organizations, rural initiatives, arts programs for disadvantaged youth, presentation of great American works of art to new audiences, and other programs that extend the arts to underserved populations. Projects that address the NEA's Challenge America and American Masterpieces initiatives can be included here or as part of the State Arts Plan, as appropriate.

For the purposes of these guidelines, an underserved community is one in which individuals lack access to arts programs due to geography, economic conditions, ethnic background, or disability. Within this broad definition, SAAs may identify their own underserved constituencies.

## 4. Folk & Traditional Arts Infrastructure Component (optional)

Through this component state arts agencies can request competitive funds for projects that strengthen a state or region's infrastructure of support for the folk & traditional arts, thereby helping to preserve our nation's diverse cultural heritage.

For the purposes of these guidelines, the term infrastructure refers to stable, professionally directed programs that are responsive to a diverse folk & traditional arts heritage. This component builds on the Arts Endowment's commitment of more than 25 years to a network of support for the folk & traditional arts.

Projects might include but are not limited to:

- Professional folk arts positions in support of the folk & traditional arts. Such positions should have the potential to become self-sustaining within three years.
- The creation of long-term organizational and community partnerships that are based in the folk & traditional arts.
- Discovery research to identify and document underserved folk & traditional artists and arts.
- Apprenticeship programs.
- Technical assistance to traditional artists and folk arts organizations.
- Festivals, exhibitions, new technology, and other presentations of folk & traditional artists and their work.

New, expanded, or existing projects are eligible. Each state or region is limited to one Infrastructure request. That request may come from the state arts agency through this component or from the regional arts organization as part of its Partnership Agreement. Applications from organizations other than state or regional arts agencies must be submitted under the Access to Artistic Excellence category of the *Grants for Arts Projects* guidelines.

All organizations that will request Folk & Traditional Arts Infrastructure component funds must submit a Statement of Intent to Apply on or before August 15, 2007. Send an email of no more than one page to [mathisa@arts.endow.gov](mailto:mathisa@arts.endow.gov) that includes the state(s) that will be involved in the project and the name, telephone number, and e-mail address of a contact person. Detailed project descriptions are not needed.

## **Deadline Dates**

All state arts agencies that will request Folk & Traditional Arts Infrastructure component funds must submit a Statement of Intent to Apply on or before August 15, 2007.

All state arts agencies must submit their applications electronically through Grants.gov, the federal government's online application system. The Grants.gov system must receive your application no later than 11:59 p.m., Eastern Time, on October 5, 2007. The Arts Endowment will not accept late applications. Please be aware that the Grants.gov Customer Service hours are 7:00 a.m. to 9:00 p.m., Eastern Time, Monday to Friday. Should you encounter any difficulty submitting your application right before the deadline, the Arts Endowment will not accept your inability to contact Grants.gov after hours as a valid excuse for a late application.

Awards will support activities that are scheduled to begin on July 1, 2008, or any time thereafter.

## **Award Information**

### **Matching Requirement**

State Partnership Agreement awards must be matched at least 1 to 1.

### **How Award Amounts Are Determined**

#### **A. State Arts Plan Component**

1. Each state arts agency with an approved state plan will be allotted at least \$200,000 out of the amount legally designated for awards to the SAAs. If funds are insufficient to make allotments of \$200,000 to each state, then those funds which are available will be divided among the states in equal amounts.
2. After \$200,000 has been allotted to each state arts agency, up to one quarter of the legally designated amount will be apportioned by agency policy. Under current policies, part of these funds will be available to states on the basis of population and part will be used for Regional Partnership Agreements and National Services awards.
3. Any funds that remain from the designated amount will be divided equally among those agencies in the fifty states and two jurisdictions with populations of more than 200,000.
4. Funds available for the Poetry Out Loud initiative will be allotted equally among those agencies in the fifty states and the participating jurisdictions.

#### **B. Arts Education Component**

1. Approximately 50 percent of the funds that are available to assist the SAAs in achieving their arts education goals will be apportioned among agencies with plans that meet the review criteria as they relate to arts education. Of these funds, half (or 25 percent of the total) will be available in equal shares per state and half (or 25 percent of the total) on the basis of school-age population. Funds apportioned in this way to any state will not exceed \$50,000.
2. The remaining funds will be awarded competitively among those agencies that are found to have the strongest plans and accomplishments in relation to the review criteria.

The maximum arts education funding that any agency can receive (competitive and noncompetitive combined) for a one-year period is \$100,000.

#### **C. Arts in Underserved Communities Component**

This component utilizes a portion of the funds that are set aside by statute for awards to the state arts agencies for projects in rural, inner-city, or other artistically underserved areas.

Underserved set-aside funds that are available to be administered through Partnership Agreements will be apportioned among state arts agencies with plans that meet the review criteria. Funds will be based on equal shares per state, state population, and competition. The competitive funds will be awarded to those agencies that are found to have the strongest plans and accomplishments in relation to the review criteria.

D. Folk & Traditional Arts Infrastructure Component (optional)

Funds for this component are awarded competitively among those agencies that 1) request such funding, and 2) are found to have the strongest plans and accomplishments in relation to the review criteria. Funding to any state arts agency generally will range from \$10,000 to \$50,000.

### **Applicant Eligibility**

Eligibility is limited to the designated fifty state and six jurisdictional arts agencies. In order to enter into a Partnership Agreement with the National Endowment for the Arts, a state arts agency must:

- Meet the Arts Endowment's "Legal Requirements" at the time of application.
- Be designated and financially supported by its state government.
- Maintain sound fiscal and administrative procedures.
- Base program funding decisions on criteria that take into account artistic excellence and merit.
- Have its own board, council, or commission.
- Have completed a comprehensive planning process, including public meetings on its state plan, and compiled a list of responses to recommendations from those meetings.
- Have submitted acceptable Final Report packages by the due date(s) for all Arts Endowment award(s) previously received.

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## Regional Partnership Grant Program Description

Regional arts organizations were created by state arts leaders, in partnership with the Arts Endowment and the private sector, in order to transcend state boundaries and give the public access to a greater and richer variety of arts experiences. Their status as member organizations of state arts agencies provides the basis for the support that they receive under these guidelines. One of their roles has been to make excellent dance, theater, musical theater, opera, and literature presentations available in underserved communities. They have filled other roles in response to the special needs of each region and in response to opportunities to assist the Arts Endowment and other funders in distributing programs nationally. As private, nonprofit organizations that are supported by the public sector, regional arts organizations have been able to attract corporate and foundation contributions and to generate earned income for arts projects.

### Changes for FY 2008

American Masterpieces: Three Centuries of Artistic Genius has been discontinued as a separate component. Projects that address this initiative are eligible as part of the Regional Arts Plan (formerly the Basic Regional Plan) or Regional Performing Arts Touring component, as appropriate.

### What is included in this new structure

Through Regional Partnership Agreements, the Arts Endowment supports the regional arts organizations in three ways:

#### 1. Regional Arts Plan Component

This component provides basic support for a regional plan. Inclusive planning, evaluation, cost effective operation, and efforts to strengthen and diversify revenue sources are all required of organizations that receive this support. In addition, the panel gives attention to each organization's success in developing a clear and realistic mission and in extending its resources through partnerships and other means.

Projects that address the NEA's American Masterpieces initiative can be included here or as part of the Regional Performing Arts Touring Program component, as appropriate.

#### 2. NEA Regional Performing Arts Touring Program, a Challenge America: Reaching Every Community Initiative

The purpose of this component is to give all Americans access to excellence in the live performing arts. Support is available for regional programs that:

- Increase access in underserved communities.
- Increase benefit through educational activities and community partnerships.
- Are based on planning with touring artists and community groups.

- Ensure high quality.
- Encourage diversity.
- Acquaint Americans in communities of all sizes with the greatest American works in various disciplines.
- Are limited to the presentation of out-of-state\* artists and companies.
- Assist and strengthen a network of arts-presenting organizations in rural and underserved communities.

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\*Because of the concentration of artists/companies residing in California and New York, some exceptions to this policy are allowed for projects in these states. However, it is expected that most of the artists/companies who are presented or toured in these states will be from out of state.

No more than 15 percent of the NEA Regional Performing Arts Touring funds that are awarded to any regional organization may be used to support the organization's administrative costs.

### 3. Folk & Traditional Arts Infrastructure Component (optional)

Through this component regional arts organizations can request competitive funds for projects that strengthen a region's infrastructure of support for the folk & traditional arts, thereby helping to preserve our nation's diverse cultural heritage. For the purposes of these guidelines, the term infrastructure refers to stable, professionally directed programs that are responsive to a diverse folk & traditional arts heritage. This component builds on the Arts Endowment's commitment of more than 25 years to a network of support for the folk & traditional arts.

Projects might include but are not limited to:

- Professional folk arts positions in support of the folk & traditional arts. Such positions should have the potential to become self-sustaining within three years.
- The creation of long-term organizational and community partnerships that are based in the folk & traditional arts.
- Discovery research to identify and document underserved folk & traditional artists and arts.
- Apprenticeship programs.
- Technical assistance to traditional artists and folk arts organizations.
- Festivals, exhibitions, new technology, and other presentations of folk & traditional artists and their work.

New, expanded, or existing projects are eligible. Each state or region is limited to one Infrastructure request. That request may come from the regional arts organization through this component or from the state arts agency as part of its Partnership Agreement. Applications from organizations other than state or regional arts agencies must be submitted under the Access to Artistic Excellence category of the *Grants for Arts Projects* guidelines.



All organizations that will request Folk & Traditional Arts Infrastructure component funds must submit a Statement of Intent to Apply on or before August 15, 2007. Send an email of no more than one page to mathisa@arts.endow.gov that includes the state(s) that will be involved in the project and the name, telephone number, and e-mail address of a contact person. Detailed project descriptions are not needed.

### **Deadline Dates**

All regional arts organizations that will request Folk & Traditional Arts Infrastructure component funds must submit a Statement of Intent to Apply on or before August 15, 2007.

All regional arts organizations must submit their applications electronically through Grants.gov, the federal government's online application system. The Grants.gov system must receive your application no later than 11:59 p.m., Eastern Time, on October 5, 2007. The Arts Endowment will not accept late applications. Please be aware that the Grants.gov Customer Service hours are 7:00 a.m. to 9:00 p.m., Eastern Time, Monday to Friday. Should you encounter any difficulty submitting your application right before the deadline, the Arts Endowment will not accept your inability to contact Grants.gov after hours as a valid excuse for a late application.

Awards will support activities that are scheduled to begin on July 1, 2008, or any time thereafter.

### **Award Information**

#### **Matching Requirement**

Regional Partnership Agreement awards must be matched at least 1 to 1.

#### **How Award Amounts Are Determined**

##### **A. Regional Arts Plan Component**

One-third of the funds available for this component will be distributed in equal base amounts per regional organization and two-thirds in equal shares per state. In the event of a reduction in funds, awards to each organization will be reduced by an equal percentage.

##### **B. NEA Regional Performing Arts Touring Program, a Challenge America: Reaching Every Community Initiative**

Up to \$1.96 million will be allotted in the same proportions as FY 2000 NEA Regional Performing Arts Touring Program funds. Any additional funds will be allotted as follows: two thirds in equal shares per region and one third on the basis of regional population.

##### **C. Folk & Traditional Arts Infrastructure Component (optional)**

Funds for this component are awarded competitively among those regional arts organizations that 1) request such funding, and 2) are found to have the strongest plans and accomplishments in relation to the review criteria. Funding to any regional arts organization generally will range from \$10,000 to \$50,000.

## **Applicant Eligibility**

### **Eligibility Requirements**

In order to enter into a Partnership Agreement with the National Endowment for the Arts, a regional arts organization must:

- Be authorized by two or more state arts agencies to apply for funds on their behalf.
- Meet the Arts Endowment's "Legal Requirements" at the time of application.
- Maintain sound fiscal and administrative procedures.
- Base program funding decisions on criteria that take into account artistic excellence and merit.
- Engage member SAAs in planning and program development.
- Have submitted acceptable Final Report packages by the due date(s) for all Arts Endowment award(s) previously received.

### **Requirements Concerning State Membership**

For the purposes of this category, a state arts agency may participate in a regional arts organization of which it is not a member. However, a state arts agency may not designate more than one regional organization to receive funds on its behalf.

Any shift of a state from one regional organization to another or any proposal for a state to affiliate with or leave a regional organization must be preceded by at least one full year of planning by all of the agencies involved.

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## **National Services Grant Program Description**

Limited funds are available for national services that are provided by membership organizations of state arts agencies and regional arts organizations. Funds are to be used for projects that provide leadership, training, planning, coordination, and information services that increase accountability. Support for National Services will come out of funds designated by the Congress for the state arts agencies and regional arts organizations. In reviewing requests, the Arts Endowment will use, to the extent applicable, the review criteria for the Regional Arts Plan component.

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## Partnership Agreements

### How to Prepare and Submit an Application

SAs and RAOs are required to submit their applications electronically through Grants.gov, the federal government's online application system.

Applicants should access Grants.gov by following the instructions below. You will find customized instructions and links to everything that you need right here on the Arts Endowment's Web site. If you go to Grants.gov, you will merely be directed back to these instructions.

#### On- and Off-Year Applicants

The Arts Endowment uses staggered, multi-year review for Partnership awards. The SAs and RAOs listed below (on-year applicants) are required to submit full-scale applications including a plan and application narrative:

<b>SAs</b>			<b>RAOs</b>
American Samoa	Hawaii	North Carolina	TENT.
Arizona	Maine	North Dakota	Arts Midwest
California	Maryland	South Carolina	
Colorado	Massachusetts	Tennessee	
Connecticut	Montana	Virgin Islands	
Florida	New Hampshire	Virginia	
	New Mexico		

All other SAs and RAOs (off-year applicants) have simplified requirements.

#### Grants.gov Application Requirements

SAs and RAOs are required to submit their applications electronically through Grants.gov, the federal government's online application system. The Grants.gov system must receive your application no later than 11:59 p.m., Eastern Time, on October 5, 2007. Please be aware that the Grants.gov Customer Service hours are 7:00 a.m. to 9:00 p.m., Eastern Time, Monday to Friday; we encourage you to submit your application while Grants.gov customer support is available.

**We recommend strongly that you VERIFY AND/OR RENEW YOUR GRANTS.GOV REGISTRATION WELL IN ADVANCE OF THE OCTOBER 5 DEADLINE** (Step 1 below). We also encourage you to **COMPLETE AND SUBMIT YOUR APPLICATION EARLY** (Steps 2 and 3 below); do not wait until the last minute. Grants.gov can slow down during periods of high usage, which most often occur between 12 noon and 5:00 p.m., Eastern Time. You will have a better experience if you submit your application outside of these hours and in advance of the deadline. In addition, we urge you to read these instructions in their entirety before you begin the application process.

### **Step 1: Check your Grants.gov registration**

**Verify your registration with Grants.gov before you apply. Make sure that:**

- Your registration with the Central Contractor Registry (CCR) -- part of the Grants.gov registration process -- is up to date. Your organization's CCR Point of Contact must renew your organization's registration with CCR every year or it will expire. CCR will alert your CCR Point of Contact when it is time for renewal. You do not have to go through the entire CCR registration process again. Rather, this is an opportunity to provide updated information. If you have no changes, the annual renewal is as simple as logging on to CCR with your TPIN (Trading Partner Identification Number) and clicking "update." However, if you let your registration lapse, you may delay your ability to apply using Grants.gov.
- The individual who will be submitting the application is registered as an Authorized Organization Representative (AOR) with Grants.gov and can readily locate his or her Username and Password. Any new AORs must register and be approved by your organization's Ebiz Point of Contact using the MPIN (Marketing Partner Identification Number).

If you have questions, call the Grants.gov help desk at 1-800-518-4726, e-mail [support@grants.gov](mailto:support@grants.gov), or consult the information posted on the Grants.gov Web site at [Applicant Help](#). The Grants.gov Customer Service hours are 7:00 a.m. to 9:00 p.m., Eastern Time, Monday to Friday.

**Remember, you will need your Grants.gov Username and Password to submit your application.**

### **Step 2: Prepare your application material**

**To access the application package:**

1. Access the application package on Grants.gov [by clicking on the link below](#):

**DOWNLOAD**

Funding Opportunity Number 2008NEA04PA

2. This will bring you to the "Selected Grant Applications for Download" screen.

Download the application package and follow the instructions below. **It is not necessary to download the instructions from Grants.gov as they are the same as the instructions in this document.** You may find it helpful to print out these instructions so that you will have them available for easy reference as you complete the forms. You also may want to keep these instructions open in a window in your computer as they contain helpful links to information that you will need as you complete your application.

WILL UPDATE SOFTWARE INFO. AFTER CONVERSION TO ADOBE IN APRIL

3. When you download the application package, the Grants.gov "Grant Application Package" screen will open. Click on the "Save" button at the top of the form. You will see the following warning: "One or more of the items in this form contains an invalid value. Do you want to proceed anyway?" Click "Yes" to proceed, and **save the application package to a location on your computer or network where you can find it readily. Close the saved application package before you start to work on it for the first time. Always open and work on your application from this location.** You do not need to be connected to Grants.gov or the Internet until you are ready to submit your completed application. By saving changes each time you close your application, you will capture and save your most current data.

#### **To work on your application:**

1. Open the application package that you have saved to your computer and the Grants.gov "Grant Application Package" screen will appear. In the "Application Filing Name" field, enter your organization's legal name.
2. Next, open and complete all of the forms that appear in the "**Mandatory Documents**" box. To open an item, click on it to select it, and then click on the "**Open Form**" button that is beneath the Mandatory Documents box. You cannot open a form by double clicking on it.

When a form is more than one page, navigate between pages by using the gray navigation boxes ("Next" or "Previous") that appear at the top of the application package. Do **not** use the Back/Forward Internet navigation buttons (with the arrows inside) as the information entered into the form will not be saved.

3. After working on a form, click the "**Close Form**" button at the top of the screen to capture your information and return you to the "Grant Application Package" screen. Before closing the "Grant Application Package" screen, click on the "Save" button. Until you have completed all of the required fields in all of the mandatory forms, clicking on the "Save" button will generate the invalid values message referred to in Item 3 above. Click "Yes" to proceed.

If asked if you want to update an existing file ("File Already Exists. OVERWRITE?"), clicking "Yes" will save your most recent changes to the existing file.

4. When a form is completed, click on the form name in the Mandatory Documents box to select it, and then click the => button. This will move the form to the "**Mandatory Completed Documents for Submission**" box. All forms must be in the "Mandatory Completed Documents for Submission" box before you will be able to submit your application. (You can open and work on a form in either the Mandatory Documents or Completed Documents box.)

You will see that there are three forms in the Mandatory Documents box that you must fill out before you can submit your application. They are:

1. **Application for Federal Domestic Assistance (SF-424 Mandatory)**: This form asks for basic information about your organization and application. Complete this form first.
2. **Disclosure of Lobbying Activities (SF-LLL)**
3. **Attachments Form**: This is not a form in the conventional sense, but rather a place to attach additional items as PDF (portable document format) files. These items must be included for your Grants.gov application package to be considered complete.

Detailed instructions on how to fill out each of these forms are provided after Step 3 below.

In addition to applying through Grants.gov, applicants must submit certain items by mail directly to the Arts Endowment. Mailed material must be postmarked (or show other proof of mailing) no later than October 9, 2007. We provide this extra business day to allow applicants ample time to receive and include with their mailed material a copy of the notification from Grants.gov that confirms their electronic submission and provides the Grants.gov Tracking Number. Details on material that must be submitted by mail are provided later in these instructions.

### Step 3. Submit your application



1. In the top left corner of the Grants.gov menu screen you will see buttons for **Submit, Save, Print, Cancel, and Check Package for Errors.**

2. When you have completed your application (i.e., all of the Mandatory Documents have been completed and moved to the Completed Documents box), click the **Check Package for Errors** button to double check that you have provided all required information. This will alert you if you have left any required fields on the forms incomplete. This will not check the accuracy of your information or whether you have attached all required documents.
3. Click the **Save** button one last time to make sure that all of your most current information is saved. (At this point, you should **not** receive the invalid values message.)
4. If you want a hard copy of your completed application for your files, clicking the **Print** button will print out all of the forms in the Mandatory Completed Documents for Submission box. For a hard copy of the items that you are attaching to the Attachments Form, you will have to print each of these out separately from your computer.
5. Click the **Submit** button. [The Submit button will not become active (and turn from dark to light gray) until you have saved your application with all required fields completed. Clicking this button will reconnect you to Grants.gov and the Internet.] **You will be prompted to provide your Grants.gov Username and Password that you obtained during registration.** (REMINDER: You must have successfully completed all steps of the [registration process](#), in sequence, in order to receive your Grants.gov Username and Password. Your registration must be verified or renewed each year.)
6. Click the "Login" button. This will bring you to the "Application Submission Verification and Signature" screen, which provides a summary of the Funding Opportunity for which you are applying. If everything looks accurate, click the "Sign and Submit Application" button to complete the process. **Be certain that you are satisfied with your application before you click this button. No revisions to your application are possible through Grants.gov once it is submitted.**

If you do not want to submit the application at this time, click the "Exit Application" button. You will be returned to the previous page where you can make changes in your material or exit the process.

Grants.gov will put a date/time stamp on your application when you click the "Sign and Submit Application" button. Your application must be stamped no later than 11:59 p.m., Eastern Time, on October 5, 2007. If you wait until the day of the deadline to apply, however, we recommend that you submit your application before 9:00 p.m., Eastern Time, when Grants.gov's Customer Service hours end for the day.

7. After you hit the "Sign and Submit Application" button, you will receive two notifications from Grants.gov:



- a. First, you will receive confirmation that your application was **received by the Grants.gov** system. This confirmation will include the **Grants.gov Tracking Number** assigned to your application. Print a copy of this notification to include with the material that you mail to the Arts Endowment and keep a copy for your records. The Tracking Number also will be e-mailed to your Authorized Organization Representative (AOR).
- b. Soon thereafter (generally within 24-48 hours), you will receive notification as to whether your application was **successfully validated** by Grants.gov. If there are any errors in your application (e.g., the DUNS number on your application doesn't match exactly the DUNS number in your registration), it will be rejected by Grants.gov and not delivered to the NEA.

If Grants.gov rejects your application and the deadline has not yet passed, you can correct the error(s) in your application and resubmit. If the deadline has passed, you will not have this opportunity.

You also can track the progress of your application by using your Username and Password to log in to the Grants.gov system and clicking on "Application Status."

8. After the deadline for this category, Grants.gov will notify you via e-mail when the Arts Endowment retrieves your application from Grants.gov, and again soon thereafter, when your application has been assigned an Agency Tracking Number (this will be the Arts Endowment-assigned application number). This process will serve to acknowledge the receipt of your application by the Arts Endowment.

**REMINDER:** After submission of your application to Grants.gov, you must mail certain items (detailed in "Application Material To Be Submitted by Mail" below) directly to the Arts Endowment.

#### Additional Help

For additional help on how to use Grants.gov, please see the help material on the Grants.gov website at [Applicant Help](#). You also can send e-mail to the Grants.gov helpdesk at [support@grants.gov](mailto:support@grants.gov) or call them at 1-800-518-4726 from 7 a.m. until 9 p.m., Eastern Time, Monday to Friday.

If you contact Grants.gov for assistance, your question will be assigned a case number. This number only documents your inquiry to the help desk. It is: 1) not, in itself, an indication of a Grants.gov system problem that would excuse a late application; and 2) not related to the tracking number that Grants.gov will assign your application once it has been successfully submitted.

For specific help on how to complete your application, please review the instructions in these guidelines or contact the State & Regional staff at 202/682-5430.

## Detailed Instructions for Each Form in Your Grants.gov Application

Do not type in all capital letters when completing the forms.

Before you start to complete the required forms, activate the **Help** tool by clicking on the Help button (outlined in green below) in the Tool Bar. On each form, you will then find instructions by positioning the cursor over each item or, where relevant, over the radio button (the circle to the left of the text) for an item. More detailed instructions for certain items are provided below.



### How to fill out the Application for Federal Domestic Assistance/SF-424 Mandatory

NOTE: All asterisked (\*) items and yellow fields on this form are required and must be completed before you will be able to submit the form.

1. Items 1a-d default to certain selections; do not change them.
2. **Date Received:** This will be filled automatically with the date that you submit your application; leave blank.
3. **Applicant Identifier:** This is for your own use or you can leave blank.
- 4, 5, and 6: Leave blank.

#### 7. Applicant Information:

a. **Legal Name:** Enter the legal name of your organization. The name provided here must be the applicant's legal name as it appears in the current IRS 501(c)(3) status letter or in the official document that identifies the organization as a unit of state or local government. (Do not use your organization's popular name, if different.)

b. **Employer/Taxpayer Identification Number (EIN/TIN):** Enter the 9-digit number that was assigned by the Internal Revenue Service.

c. **Organizational DUNS:** All organizational applicants for federal funds must have a DUNS number, which is recognized as the universal standard for identifying organizations worldwide. **The number that you enter here must agree with the number (either 9 or 13 digits) that you used with the CCR (Central Contractor**

**Registry) as part of the Grants.gov registration or your application will not be validated by Grants.gov and will be rejected.**

d. Address:

Use Street 1 for your street address or post office box number, whichever is used for your U.S. Postal Service mailing address. Street 2 is not a required field and should be used **only** when a Suite or Room Number or other similar information is part of your address. Do **not** use Street 2 to give a second address for your organization.

In the Zip/Postal Code box, enter the **full 9-digit zip code** that was assigned by the U.S. Postal Service. If you do not know your full zip code, you may look it up at [www.usps.com/zip4/](http://www.usps.com/zip4/).

e. Organizational Unit: Leave blank.

f. Name and contact information of person to be contacted on matters involving this application:

Provide the requested information for the individual who should be contacted on all matters involving this application and the administration of any grant that may be awarded.

**8a. Type of Applicant:** Select the item that best characterizes your organization from the menu in the first drop down box. An additional description is optional.

**9. Name of Federal Agency:** This has been pre-populated.

**10. Catalog of Federal Domestic Assistance Number:** This has been pre-populated.

**11. Areas Affected by Funding:** Leave blank.

**12. Congressional District Information:**

a. Applicant: Enter the number of the Congressional District where the applicant organization is located. Use the following format: 2 character State Abbreviation-3 character District Number. For example, if your organization is located in the 5th Congressional District of California, enter "CA-005." For the 12th district of North Carolina, enter "NC-012." If you do not have a Congressional District (e.g., you are located in a U.S. territory that doesn't have districts), enter 00-000. If you need help determining your district, please visit the House of Representatives Web site at [www.house.gov](http://www.house.gov) and use the "Find Your Representative" tool.

b. Project: Leave blank.

**13. Funding Period:** Enter the beginning and ending dates for your requested period of support, i.e., the span of time necessary to plan, execute, and close out your

Partnership Agreement. The Arts Endowment's period of support may start on or after July 1, 2008. Generally, a period of support of up to one year is allowed.

**14. Estimated Funding:**

**a. Federal:** Enter the amount that you are requesting from the Arts Endowment with this grant application. Enter "0."

**b. Match:** Leave blank.

**15. State Executive Order 12372 Process:** Applicants should contact the State Single Point of Contact for Executive Order 12372 to determine whether this application is subject to their state's intergovernmental review process. The U.S. Office of Management and Budget (OMB) maintains a list of official State Single Points of Contact designated by the States to review and coordinate proposed federal financial assistance and direct federal development. See [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html). This listing also is published in the *Catalogue of Federal Domestic Assistance* biannually.

**16. Is the Applicant Delinquent on Any Federal Debt?:** Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. If your response is "yes," click on the "Yes" box and include an explanation with your application.

**17. Authorized Representative:** Enter the requested information for the AOR (Authorized Organization Representative) who will be submitting this application to Grants.gov. The AOR must have the legal authority to obligate your organization. By clicking the "I Agree" box at the top of Item 17, this individual will be certifying compliance with relevant federal requirements on your organization's behalf. (These requirements can be found in the Assurance of Compliance section of these guidelines.) The "Signature of Authorized Representative" and "Date Signed" boxes will be populated by Grants.gov upon submission of the application.

Stop after item 17. Do not add attachments.

**How to fill out the Disclosure of Lobbying Activities (SF-LLL)**

Items 1-3 default to certain selections; do not change them.

**4. Name and Address of Reporting Entity:** Provide the requested information for the reporting entity. Include Congressional District, if known.

**5. If Reporting Entity in No. 4 is Subawardee:** Leave blank.

**6. Federal Department/Agency:** Enter "National Endowment for the Arts."

**7. Federal Program:** Enter "Partnership." For CFDA Number, enter "45.025."

**8. Federal Action Number, *if known*:** Leave blank.

**9. Award Amount, *if known*:** Leave blank.

**10. a. Name and Address of Lobbying Registrant:** Provide the requested information for the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered federal action. If not applicable, enter "N/A" in the fields for First Name and Last Name.

**b. Individual Performing Services:** Enter the name of the individual performing services, and include an address if different from 10 (a). If not applicable, enter "N/A" in the fields for First Name and Last Name.

**11. Authorized Representative:** Provide the requested information for the AOR (Authorized Organization Representative) who will be submitting the Partnership Agreements application to Grants.gov. The "Signature " and "Date" boxes will be populated by Grants.gov upon submission of the application.

## How to use the Attachments Form

This "form" is not a form in the conventional sense. Rather, it is a place to attach documents that you have completed, converted to PDF (portable document format) files, and saved elsewhere on your computer.

Several important points:

1. When submitting through Grants.gov, attach only one copy of each item.
2. **Attach PDF (portable document format) files.** Using PDFs allows you to preserve the formatting of your documents so they can be presented to panelists exactly as you intend.

Attachments 1, 2, 4, 5, 6, 7, and 8 are documents (e.g., narratives, lists) that you must create in accordance with the instructions provided. These documents can be created using any word processing software. When you have completed the document, save it to your computer and convert it to PDF before attaching. If you don't already have software to convert files to PDF, there are many low-cost and free software packages that can do this. To learn more, go to [PDF Conversion Programs](#).

Attachment 3 (Revenue Sources Information for RAOs only) is a fillable form; you will find a link to it. This form is available in both Microsoft Word and PDF formats.

Using the Word version: After completing and saving the form to your computer, convert it to PDF before submission. If you don't already have software to convert files to PDF, there are many low-cost and free software packages that can do this. To learn more, go to [PDF Conversion Programs](#).

Using the PDF version: To save, close, reopen and attach the form **you must use Adobe Acrobat Approval or the full Acrobat Standard or Professional Programs**. (Acrobat Approval is no longer available for purchase, but existing versions will work.) Please note that if you use the free Acrobat Reader, you will be able to fill in the form but unable to save your work or attach the document (the information you have completed will not be transmitted).

Please make sure to convert your documents into PDF format in line with the guidance above. **Do not create PDFs of your electronic documents by scanning**. In the past, some applicants have printed their electronic documents and then scanned them, saving the scan in PDF format. PDFs created this way are much larger, and of lower quality, than PDFs created by the methods we recommend. **Do not embed non-printable media files (video and/or sound) in your PDF documents**. Static images (e.g., pictures) are acceptable.

3. For documents such as narratives and lists, label pages clearly with the name of the item (e.g., Staffing List) and your organization's legal name. Leave a margin of at least one inch at the top, bottom, and sides of all pages. Do not reduce type below 12 point font size. Do not type in all capital letters. Number pages sequentially.
4. **Name your files as indicated below and attach them in the proper order**. Please note that you cannot change the name of a file on the Attachments Form. Therefore make certain that each file is named correctly **before** you attach it. See below for details.

When you open the Grants.gov Attachments Form, you will find 15 attachment buttons, labeled "Attachment 1" through "Attachment 15." By clicking on a button, you will be able to choose the PDF file from your computer that you wish to attach. Please attach the proper file to the proper button as listed below.

**ATTACHMENT 1**: For both on- and off-year SAAs and RAOs: To this button, attach a one-page **Staffing List**. The file name should indicate the name of your organization or a recognizable acronym followed by "Staff.pdf" (e.g., "ABCArtsCouncilStaff.pdf").

Label the page clearly with your organization's legal name and "Staffing List." Set your page up with two columns with these headings: 1) Name, and 2) Position Title/Area of Responsibility.

Provide the requested information on all professional staff. Include both salaried and contractual personnel, with the exception of artists who spend more than 50% of their working time away from your offices.

- Place "(504)" in parentheses by the name of the staff member who serves as your agency's 504 coordinator.
- Indicate by asterisk (\*) personnel who are one or more of the following: American Indian or Alaska Native, Asian, Native Hawaiian or Other Pacific Islander, Black or African American, or Hispanic or Latino.

Example:

Name	Position Title/Area of Responsibility
Jane Doe *	Executive Director
John Smith (504)	Director for Education

**ATTACHMENT 2:** For both on- and off-year SAAs and RAOs: To this button, attach a one-page **Board Membership List**. The file name should indicate the name of your organization or a recognizable acronym followed by "Board.pdf."

Label the page clearly with your organization's legal name and "Board Membership List." Set your page up with four columns with these headings: 1) Name, 2) Occupation, 3) City, and 4) Arts Interest/Affiliation.

Provide the requested information on all board members.

- Indicate by asterisk (\*) members who are one or more of the following: American Indian or Alaska Native, Asian, Native Hawaiian or Other Pacific Islander, Black or African American, or Hispanic or Latino.
- Indicate by a cross (+) members who also are office holders.

Example:

Name	Occupation	City	Arts Interest/ Affiliation
Mary Smith +	Lawyer	Springfield	Board, ABC Dance Company
Bill Doe *	Business Owner	Sunnyvale	Visual Arts Patron

**ATTACHMENT 3:** For both on- and off-year RAOs: To this button, attach the **Revenue Sources Information form** [ [Word](#) | [PDF](#) ]. The file name should indicate the name of your organization or a recognizable acronym followed by "Revenue.pdf."

**ATTACHMENT 4:** To this button, attach an **Application Narrative**. The file name should indicate the name of your organization or a recognizable acronym followed by "Narrative.pdf." Label each page clearly with your organization's legal name and "ApplicationNarrative."



- For off-year applicants, submit a narrative update of up to one page that describes your organization's activities for the last year and outlines any changes in your organization, plans, or process.
- For on-year SAAs and RAOs, submit a narrative not to exceed 18 numbered pages including the budget chart (19 pages for those organizations that request Folk & Traditional Arts Infrastructure support). Follow the narrative instructions for either state arts agencies or regional arts organizations.

**ATTACHMENT 5:** For on-year SAAs and RAOs: To this button, attach your organization's most current **Strategic Plan (not to exceed 25 numbered pages)**. If your plan exceeds 25 pages, select the 25 pages that you want the panel to review. The file name should indicate the name of your organization or a recognizable acronym followed by "Plan.pdf." Label each page clearly with your organization's legal name and "Strategic Plan."

The plan should convey your agency's mission, vision, goals, objectives, and major strategies. More detailed work plans or program implementation plans are not needed.

Your plan should be submitted electronically. However, if your plan does not lend itself to electronic attachment (i.e., the only version that you have is a bound hard copy), send it with your other mailed application items. See Item 4 under "Application Material To Be Submitted by Mail."

If your plan exceeds 25 pages, attach here the 25 pages that you want the panel to review and mail the complete plan with your other mailed application items.

**ATTACHMENT 6:** For both on- and off-year SAAs and RAOs: If applicable, to this button attach your **Changes in Conflict of Interest/Appeals** document. Submit this item only if there has been a change in your conflict of interest policies or appeals process since you last applied for a Partnership Agreement. The file name should indicate the name of your organization or a recognizable acronym followed by "Changes.pdf." Label each page clearly with your organization's legal name and "Changes in Conflict of Interest/Appeals."

**ATTACHMENT 7:** For both on- and off-year SAAs and RAOs: If you are applying for the Folk & Traditional Arts Infrastructure component, to this button attach **information as detailed below for the Folk & Traditional Arts Infrastructure component**. The file name should indicate the name of your organization or a recognizable acronym followed by "Folk.pdf." Label each page clearly with your organization's legal name and "Folk & Traditional Arts Infrastructure."

Submit up to four pages that briefly describe your project and outline a budget for your Folk & Traditional Arts Infrastructure activities. Discuss:



- Those strategies or elements of your state or regional plan that focus on strengthening the infrastructure for the folk & traditional arts. (NOTE: If you are an on-year SAA or RAO that is submitting a complete Narrative, repeat verbatim here the information you are providing for your folk & traditional arts infrastructure request in your Narrative.)
- The details of your proposed Infrastructure component project and how that relates to your overall state or regional plan strategies as described above.
- How the project will benefit all participating partners.
- Your plans for documenting and evaluating the project.
- For professional folk arts positions, how the position will become self-sustaining within three years. If you are requesting second or third year support for a position, provide a status report on the activities that have been funded thus far and your plans for continuing the position beyond the period of the Arts Endowment's support.
- On the last page, provide the budget for your folk & traditional arts infrastructure activities.

**ATTACHMENT 8:** For both on- and off-year SAAs and RAOs: If you are submitting work samples for the Folk & Traditional Arts Infrastructure component (see item 5 under "Application Material To Be Submitted by Mail"), to this button attach a **Work Sample Index**. The file name should indicate the name of your organization or a recognizable acronym followed by "Index.pdf." Label each page clearly with your organization's legal name and "Folk & Traditional Arts Infrastructure Work Sample Index."

**For each work sample** that you are including with your application, provide the information below as relevant to your particular project.

- A letter designation. Start with "**A**." List your samples in the order in which you want them reviewed (e.g., A, B, C). Make sure that the letter on the Work Sample Index corresponds to the letter on the sample work itself. Each different CD, DVD-R, DVD-ROM, tape, etc., should be considered one work sample. For digital images on a CD, each set (not each image) should be considered one sample; a script that identifies each image is requested separately.
- **Format** [e.g., CD (audio), CD (data), DVD-R, DVD-ROM, VHS, printed material].
- **Name of the artist(s)** featured.
- **Title or description of the work or activity**.
- Any **special instructions** for reviewing the sample, and, where relevant, specific selections on that sample. Include, as relevant:
  - The relevant track or chapter numbers, in priority order.
  - Real elapsed time or cue information indicating the start of different selections, in priority order. Note your first cue as 0:00. If your second selection starts five minutes later, note the start of that as 5:00, etc.
  - For Web sites, the URLs for pages to be shown, as well as any necessary information on required plug-ins or the navigation path.
  - Any other information necessary to guide reviewers easily to the selections that you want.

**You do not have to fill the remaining Attachment buttons.**

If you try to view an attachment by clicking the "View Attachment" button on the Attachments Form but are unsuccessful, check the bottom of the screen for the message: "Pop-ups were blocked on this page." If you see this message, press "Ctrl" and "View Attachment" to see the attachment.

**REMINDER: Be sure to submit all attachments as PDF files.** If you work in Word initially, convert each item to PDF before submission.

**Application Material To Be Submitted by Mail**

**In addition to the material that you submit through Grants.gov, you must mail the following items to the Arts Endowment.** Your application package will not be considered complete without these items.

**Mailed material:**

1. A copy of the Submission Confirmation from Grants.gov that includes your **Grants.gov Tracking Number**. (Upon submission of your electronic application material to Grants.gov, this confirmation will display on your screen.) Be sure that this is the first item in your mailed material.
2. For on-year SAAs, **three collated sets** of supplementary material that will enhance a reader's understanding of your agency's strategies and accomplishments in arts education. **Each set of material must be submitted in an indexed binder no larger than 2"**. Label the front and spine of each binder with your organization's name. NOTE: This item will be reviewed by lead panelists. It may be reviewed by other panelists to the extent that time permits.
3. For on-year SAAs and RAOs, **three collated sets** of any other supplementary material **referenced in your Application Narrative**. Label the material, including the front and spine of any binders, with your organization's name. NOTE: This item will be reviewed by lead panelists. It may be reviewed by other panelists to the extent that time permits.
4. For on-year SAAs and RAOs, if your plan cannot be submitted electronically or it exceeds the 25 pages allowed (see Attachment 5), your strategic plan:
  - If your plan cannot be submitted electronically (i.e., the only version that you have is a bound hard copy), submit **23 copies**.
  - If your plan exceeds 25 pages and you submitted only 25 pages electronically, submit **3 copies** of the complete plan.

Separately from Items 1-4:

5. For both on- and off-year SAAs and RAOs, if you are applying for the Folk & Traditional Arts Infrastructure component, work samples and any supplementary material that you are submitting for that component.
- Work sample(s) should demonstrate artistic quality and/or technical ability, as appropriate to your project. Submit **one copy** of audio or video cassettes, CDs, DVD-Rs, DVD-ROMs, publications, etc. For [guidance on work sample formats, click here](#). (Be sure to submit electronically your Work Sample Index; see Attachment 8 above.)

The Arts Endowment may copy or digitally convert work samples to facilitate panel review. By submitting a work sample, you are giving the Arts Endowment permission for reproduction and dissemination for this purpose.

- **Two copies** of a concise sampling (no more than 12 pages per set) of other items that can enhance a panelist's understanding of the project. This may include letters of support, bios of key project personnel, documentation of a Web site, maps, brochures, published articles, or other relevant documents. Assemble each set in its own small folder. Label both the folders and the individual items with your organization's name.

Label your package as noted below. **All mailed material must be postmarked (or show other proof of mailing) no later than October 9, 2007. Send your package to:**

**State & Regional Office**

**Room 710**

**YOUR ORGANIZATION'S LEGAL NAME**

**GRANTS.GOV TRACKING NUMBER: \_\_\_\_\_ (Enter number assigned upon submission of your application to Grants.gov)**

**National Endowment for the Arts**

**1100 Pennsylvania Avenue, NW**

**Washington, DC 20506-0001**

Be sure to include a complete return address on your package. If the delivery service that you use requires a telephone number for the recipient on the label, use 202/682-5760.

The National Endowment for the Arts continues to experience lengthy delays in the delivery of First-Class mail. In addition, some or all of the First-Class and Priority mail we receive may be put through an irradiation process. Support material (e.g., CDs, videos) put through this process has been severely damaged. Until normal mail service resumes, please consider using a commercial delivery service, particularly if you are sending time-sensitive material.

## **Application Form Part II**

Following review of applications, each SAA and RAO will be informed of the dollar amount that is recommended for its State or Regional Arts Plan and for each relevant component. With these dollar recommendations, agencies will receive the Application Form Part II and instructions for providing summary budget information for each component of their Partnership Agreement.

## **Narrative for State Arts Agencies**

Please address the following points in an application narrative of up to **18 pages** (19 pages for those organizations that request Folk & Traditional Arts Infrastructure support). With the exception of H. Budget Chart, which must be the only item on the last page of your narrative, you do not have to follow this order or format, as long as the requested information is communicated effectively.

### **A. Environment**

1. Describe major developments or conditions that influenced your plan and the programs (including arts education) of your agency. They may be cultural, demographic, economic, geographic, natural, political, educational, or technological.
2. Identify those communities or groups that your agency considers to be underserved.

### **B. Planning**

Describe your agency's most recent planning process. Be sure to:

- \* 1. Describe provisions for public meetings on the state plan that are open to all interested parties and preceded by public notice.
  - \* 2. Summarize recommendations arising from the public meetings and your agency's response to them.
  3. Describe how the public, underserved groups, local arts agencies, educators, education organizations, other potential partners, artists, and arts organizations are involved in the planning process. In addition to public hearings, describe other means of involvement such as surveys, interviews, focus groups, roundtable forums, or fieldwork.
  4. Describe how the completed plan is communicated to the public.
-

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\*Information required by Section 5(g) of the Arts Endowment's legislation.

### **C. Leadership**

Summarize the following from your most current strategic plan:

1. The goals for your agency's **arts education program**. Identify or describe those objectives, strategies, and other elements of the plan that further the achievement of the three partnership goals for arts education. If any of the three are not addressed in your plan, please explain. Note how the program is connected to national, state, or local arts education standards.
2. Any strategies or elements that focus on **underserved communities**. Your response should include, but not be limited to, those strategies or elements that:
  - Further local cultural development in partnership with local arts agencies, statewide assemblies of local arts agencies, or other community-wide arts developers.
  - Foster cultural diversity including your state's folk & traditional cultural heritage.
  - Respond to the **Challenge America** focus, if appropriate. Note the expected benefits and beneficiaries, and whether new or expanded activities are planned.
3. Any activity that addresses the **American Masterpieces** focus. Include information on the process used to determine the featured master artist(s) and/or the significance of the featured art form(s), the involvement of additional partners, the expected benefits and beneficiaries, and whether new or expanded activities are planned.
4. Those activities that address **Poetry Out Loud**. Include the anticipated geographic reach and timetable.
5. If your agency is requesting support for optional folk & traditional arts infrastructure activities, those strategies or elements of the plan that focus on this area. Provide a brief overview only (no more than one page); do not include project details. (You will be asked to repeat this information, as well as provide more details on your infrastructure project, as part of Attachment 7, information for the Folk & Traditional Arts Infrastructure request component.)
6. Any additional information that would help to give a balanced picture of the leadership that your agency provides through its plan.

### **D. Evaluation**

1. Describe up to five of your agency's most significant accomplishments and their outcomes since your last full application. Put them in context by explaining their significance; the impact they have had on your agency, partners, and

constituents, as appropriate; and how they contributed to the implementation of your agency plan.

2. Describe how your agency evaluates success in achieving its specific outcomes, goals, or objectives. Indicate how those served, including underserved groups, are involved in the evaluation process.
3. If outcomes, goals, or objectives were not met or were met only partially, explain why.
4. Describe any changes your agency plans to make based on evaluation.

#### **E. Communication**

Describe your agency's efforts to make the public more aware of the benefits of the arts including arts education.

#### **F. Collaboration**

1. Describe public or private partnerships that extend your agency's resources and effectiveness. Discuss the strategic nature of the partnerships, how they relate to the goals identified in your planning process, and the outcomes and results of working in partnership.
2. Describe any efforts to extend your agency's resources and effectiveness through multi-state regional, national, or international cooperation including those that involve regional arts organizations and national service organizations. Discuss the strategic nature of the partnerships, how they relate to the goals identified in your planning process, and the outcomes and results of working in partnership.

#### **G. Access**

Describe how your agency makes its programs accessible to individuals with disabilities.

#### **H. Budget Chart**

On the last page of your narrative, provide a one-sentence description of each of your agency's program and activity categories for the first fiscal year of the proposed agreement, with projected dollar allocations (include federal and non-federal sources). To help panelists understand the relationship between the budget and the application narrative, identify clearly the categories that relate to arts education, underserved areas, or those for which allocations are determined by your legislature. You may use footnotes to explain the use of funds in support of Challenge America and American Masterpieces activity.



1. Summarize those elements of your most current strategic plan that would be supported under the NEA Regional Performing Arts Touring Program. If appropriate, include information on any activity that addresses the **American Masterpieces** focus. Note the process used to determine the featured master artist(s) and/or the significance of the featured art form(s), the involvement of additional partners, the expected benefits and beneficiaries, and whether new or expanded activities are planned.
2. Describe the steps that are taken to ensure that activity is well distributed among all member states.

### **C. Folk & Traditional Arts Infrastructure**

If your organization is requesting support for optional folk & traditional arts infrastructure activities, summarize those strategies or elements of your most current strategic plan that focus on this area. Provide a brief overview only (no more than one page); do not include project details. (You will be asked to repeat this information, as well as provide more details on your infrastructure project, as part of Attachment 7, information for the Folk & Traditional Arts Infrastructure request component.)

### **D. Implementation**

Describe provisions for funding decisions that take into account artistic excellence and merit. Organizations applying for the NEA Regional Performing Arts Touring Program should describe the process by which these funds will be distributed including the criteria and expertise involved, and provisions for ensuring that a high proportion of activity takes place in underserved communities.

### **E. Evaluation**

1. Describe up to five of your organization's most significant accomplishments and their outcomes since your last full application. Put them in context by explaining their significance; the impact they have had on your organization, partners, and constituents, as appropriate; and how they contributed to the implementation of your organization's plan.
2. Describe how your organization evaluates success in achieving its specific outcomes, goals, or objectives. If outcomes, goals, or objectives were not met or were met only partially, explain why. Describe any changes your organization plans to make based on evaluation. If applicable, be sure to describe how activities supported under the NEA Regional Performing Arts Touring Program are evaluated and attach a copy of your most recent evaluation of those activities.
3. Describe how you report back to your member state arts agencies on grants and services going to each state. Attach a copy of your most recent report to members on the benefits accruing to their states.



## F. Resource Development and Management

1. Using the Revenue Sources Information Sheet, outline your organization's revenue sources in the past and current fiscal years.
2. Describe the progress your organization has made in diversifying its revenue mix in the past three years and the steps it will take to further diversify its revenue mix during the period that is covered by this narrative.
3. Describe the steps that your organization has taken and is taking to control overhead costs and maximize the cost effectiveness of its operations.
4. Describe your organization's efforts to extend its resources and effectiveness through partnerships and/or other means. Discuss the strategic nature of the partnerships, how they relate to the goals identified in your planning process, and the outcomes and results of working in partnership.

## G. Budget Chart

On the last page of your narrative, provide a one-sentence description of each of your organization's program and activity categories for the first fiscal year of the proposed agreement, with the projected Partnership Agreement and non-Partnership Agreement dollar allocations. Indicate those categories for which NEA Regional Performing Arts Touring Program funds would be used. You may use footnotes to explain the use of funds in support of Challenge America and American Masterpieces activity.

See the example below for a suggested budget chart format. Organizations may develop their own budget formats as long as the required information is included.

Category, Program, or Initiative	Description	Projected Partnership Agreement Funds	Projected Non-Partnership Agreement Funds	Total Funds	Uses NEA Regional Touring Funds
Include sub-categories and sub-totals as necessary to demonstrate the connection between budget allocations and your application narrative.					

**APPLICATION FORM**

# Revenue Sources Information

OMB No. 3135-0112  
Expires 11/30/2007

To be completed by Regional Arts Organizations only.

Name of Regional Arts Organization: \_\_\_\_\_

## Revenue Sources for the Past and Current Fiscal Years

	Previous Fiscal Year	Current Fiscal Year
	FY	FY
Regional Arts Plan	\$ _____	\$ _____
Other Federal	\$ _____	\$ _____
SAAAs -- Direct Unrestricted <sup>1</sup>	\$ _____	\$ _____
SAAAs -- Direct Restricted Regional <sup>2</sup>	\$ _____	\$ _____
SAAAs -- Direct Restricted Non-Regional <sup>3</sup>	\$ _____	\$ _____
SAAAs -- In-Kind <sup>4</sup>	\$ _____	\$ _____
Private and Corporate Contributions	\$ _____	\$ _____
Earned Income	\$ _____	\$ _____
SUBTOTAL	\$ _____	\$ _____
SAAAs -- Indirect Contributions <sup>5</sup>	\$ _____	\$ _____
GRAND TOTAL	\$ _____	\$ _____

<sup>1</sup> Cash contributions (or dues) paid directly to the organization for unrestricted support of operations, programs, and services.

<sup>2</sup> Direct cash contributions or contracts for support of specific multi-state programs or services to a member state.

<sup>3</sup> Direct cash contributions for support of specific programs and services that are not multi-state.

<sup>4</sup> Non-cash contributions in support of the organization's programs or services.

<sup>5</sup> Cash contributions not made directly to or through the organization's accounts but which support its programs or services.

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## Application Review

### Review Criteria

#### Partnership Agreements/State Arts Agencies

The following criteria are considered in the review of applications:

- Quality of the process by which the plan was developed.
- Quality of the plan.
- Quality of implementation including accomplishments in relation to the plan.
- Quality of work with underserved communities.

Equal weight will be given to each of these criteria in recommending competitive award amounts for the Arts Education and Arts in Underserved Communities components.

In applying these criteria, panelists will take into account the following:

#### A. State Arts Plan Component

In relation to the above review criteria, past advisory panels have identified the following as characteristics of excellence in planning and implementation:

- **Inclusion:** Many creative efforts have been made to engage the full range of arts constituents and the public, including potential partners, and to involve them in the planning process.
- **Appropriateness:** The plan is grounded in and responsive to the particular elements of the agency's environment -- cultural, demographic, economic, geographic, and political.
- **Vision:** The plan conveys a strong overall sense of the agency's vision, mission, and goals.
- **Integration:** The agency's vision is evident throughout the plan and programs. All that the agency does clearly flows from its strategic goals.
- **Adaptability:** The plan allows for flexibility to achieve objectives under a variety of circumstances.
- **Centrality of the Arts:** The planning process, plan document, and implementation reflect the centrality of creativity, the arts, and artists including commitment to artistic excellence and merit.

- **Evaluation:** Performance is measured regularly against clearly defined goals, objectives, and/or benchmarks, and the agency responds to the results of evaluation in the continuing development of its plan and programs. Constituents, stakeholders, and other outside experts are involved effectively in evaluation wherever possible and appropriate.
- **Leadership in Nationally Shared Priorities:** The plan and programs of the agency demonstrate strong leadership in supporting and promoting learning in the arts, access to artistic excellence, and partnerships for the arts.
- **Collaboration:** The agency seeks a wide range of opportunities to further its values through partnerships with other state agencies, statewide organizations, local government, non-arts organizations, and through multi-state regional, national, and international cooperation.
- **Communication:** The agency aggressively promotes awareness of the arts and public support through a variety of means including communication of the plan as a public document; crediting policies that lead to prominent acknowledgment of state and federal support; effective working relationships with the press and broadcast media; and through publications, Web sites, and other presentations that reflect high standards in creativity and design.

Activity in support of the NEA's Challenge America, American Masterpieces, and Poetry Out Loud initiatives will be reviewed for its potential to assist the Arts Endowment in achieving its goals in those areas.

NOTE: For more information about characteristics of excellence in planning, see *A State Arts Agency Strategic Planning Toolkit*, published by the National Assembly of State Arts Agencies in partnership with the National Endowment for the Arts. The toolkit is available online at [www.nasaa-arts.org](http://www.nasaa-arts.org).

## B. Arts Education Component

In recommending support for state arts education efforts, the Arts Endowment will consider the review criteria as they relate to arts education. In relation to the review criteria, past advisory panels have identified the following characteristics of excellence in arts education that supplement the characteristics of excellence for the State Arts Plan.

- **Inclusion:**
  - A variety of education-related constituencies (e.g., students, teachers, teaching artists, parents, school and administrative boards) are included in the planning process.
  - Aggressive efforts reach broadly throughout the state, especially to underserved communities.

- Educational partners, including departments of education and State Alliances for Arts Education, are involved actively in planning.
- Educators are engaged directly in the assessment of needs and the development of the plan.
- **Appropriateness:** The plan reflects the current needs in educational improvements in the state with a particular emphasis on arts education and is connected to the state (and, as appropriate, national or local) arts education standards.
- **Vision:** The role of arts education is articulated clearly in the vision of the plan.
- **Adaptability:** The plan allows for flexibility, including innovative efforts, to achieve objectives under changing circumstances, particularly in pre-K through grade 12 policy and practice.
- **Centrality of the Arts:** There is a commitment to the arts as well as quality educational programs and practices.
- **Leadership in Nationally Shared Priorities:**
  - Arts education is a priority in the entire plan.
  - Effective strategies to advance arts education are in place.
  - Leadership, where needed to achieve the arts education goals, is in evidence.
- **Collaboration:**
  - Partnerships have clearly defined roles and responsibilities.
  - All partners, including the state arts agency, are credited for their contributions.

#### C. Arts in Underserved Communities Component

In recommending support under this component, the Arts Endowment will consider the review criteria and characteristics with attention to the quality of the strategies for involving and serving underserved communities.

Activity in support of the NEA's Challenge America and American Masterpieces initiatives will be reviewed for its potential to assist the Arts Endowment in achieving its goals in those areas.

#### D. Folk & Traditional Arts Infrastructure Component (optional)

In recommending support under this component, specialists in the folk & traditional arts field and a knowledgeable layperson will first consider the artistic excellence and artistic merit of the project including the:

- Effectiveness of the project in expanding or strengthening the state or regional infrastructure of support for the folk & traditional arts including the potential for a long-term artistic contribution.
- Ability of the applicant to complete the project successfully including the qualifications of the project's personnel.
- Plans for documentation, evaluation, and dissemination, as appropriate, of the project.
- For professional folk arts positions, the likelihood of the position becoming self-sustaining within three years.
- Where appropriate, the potential to reach underserved populations such as those whose opportunities to experience the arts are limited by geography, ethnicity, economics, or disability.

The Arts Endowment will then consider the Infrastructure component project in the context of the quality of the state's overall strategies for strengthening the infrastructure of support for the folk & traditional arts.

### **Multi-Year Review**

The Arts Endowment uses staggered, multi-year review for State Partnership Agreements. While each SAA is required to submit an application annually, those organizations that are determined to have addressed satisfactorily the requirements and review criteria receive three-year approval of their proposals. They are not required to submit another full-scale application, including all material necessary for panel review, for another three years. In the other years ("off years"), the application requirements are simplified greatly. Multi-year approval is subject to an agency's continuing ability to carry out its approved plan. At the discretion of the Arts Endowment Chairman, multi-year approval may be revoked if state support is substantially reduced or if other circumstances threaten an agency's ability to carry out its approved plan. Requests for optional Folk & Traditional Arts Infrastructure support are reviewed annually.

**NOTE:** In recommending action on State Partnership Agreement proposals, the advisory panel, the National Council on the Arts, and the Chairman of the Arts Endowment have a variety of options. These include but are not limited to:

- Approval.
- Approval with the requirement of an update after one year in an area of concern.
- Approval for a period of one year only.
- Approval contingent on a satisfactory response to a concern.
- Deferral with a request for a new application or additional information to be reviewed at a later date.
- Determination not to provide Arts Education or Arts in Underserved Communities funds.

## Partnership Agreements/Regional Arts Organizations

The following criteria are considered in the review of applications:

### A. Regional Arts Plan Component

1. Quality of the partnerships with member state arts agencies including benefits to member states and responsiveness to priorities that they identify.
2. The identification of needs and opportunities through inclusive planning that involves member agencies and other potential supporters and constituents including artists and constituents in underserved communities.
3. Evaluation of accomplishments in relation to clearly defined objectives.
4. The quality of the plan including a clear, appropriate, and realistic mission.
5. Provision for program funding decisions that are based on criteria that take into account artistic excellence and merit.
6. Cost effectiveness of the operation.
7. Evidence of success and the potential for success in developing a substantial and diversified base of non-federal revenue sources for regional and/or national programming.
8. Evidence of success and the potential for success in extending resources and effectiveness through partnerships and other means.

Activity in support of the NEA's American Masterpieces initiative will be reviewed for its potential to assist the Arts Endowment in achieving its goals in this area.

### B. NEA Regional Performing Arts Touring Program, a Challenge America: Reaching Every Community Initiative

In awarding these funds, the Arts Endowment will consider the above criteria as they relate to:

- Strategies for ensuring that a high proportion of activity takes place in underserved communities. (Currently 94 percent of the funds available for the Touring Program are designated for underserved communities.)
- Strategies for increasing access through educational activities and community partnerships.
- The involvement of community presenters and touring artists in needs assessment and planning.
- Provisions for ensuring high quality and encouraging diversity.



- Strategies for ensuring that activity is well distributed among all member states.
- Strategies for ensuring that activity is responsive to the identified priorities of member state arts agencies.

Activity in support of the NEA's American Masterpieces initiative will be reviewed for its potential to assist the Arts Endowment in achieving its goals in this area.

### C. Folk & Traditional Arts Infrastructure Component (optional)

In recommending support under this component, specialists in the folk & traditional arts field and a knowledgeable layperson will first consider the artistic excellence and artistic merit of the project including the:

- Effectiveness of the project in expanding or strengthening the regional infrastructure of support for the folk & traditional arts including the potential for a long-term artistic contribution.
- Ability of the applicant to complete the project successfully including the qualifications of the project's personnel.
- Plans for documentation, evaluation, and dissemination, as appropriate, of the project.
- For professional folk arts positions, the likelihood of the position becoming self-sustaining within three years.
- Where appropriate, the potential to reach underserved populations such as those whose opportunities to experience the arts are limited by geography, ethnicity, economics, or disability.

The Arts Endowment will then consider the Infrastructure component project in the context of the quality of the region's overall strategies for strengthening the infrastructure of support for the folk & traditional arts.

### **Multi-Year Review**

The Arts Endowment uses staggered, multi-year review for Regional Partnership awards. While each RAO is required to submit an application annually, those organizations that are determined to have addressed satisfactorily the requirements and review criteria receive three-year approval of their proposals. They are not required to submit another full-scale application, including all material necessary for panel review, for another three years. In the other years ("off years"), the application requirements are simplified greatly. Requests for optional Folk & Traditional Arts Infrastructure support are reviewed annually.

**NOTE:** In recommending action on Regional Partnership Agreement proposals, the advisory panel, the National Council on the Arts, and the Chairman of the Arts Endowment have a variety of options. These include but are not limited to:

- Approval.
- Approval with the requirement of an update after one year in an area of concern.
- Approval for a period of one year only.

- Approval contingent on a satisfactory response to a concern.
- Deferral with a request for a new application or additional information to be reviewed at a later date.
- Determination not to provide a regional Partnership Agreement.

## **What Happens to Your Partnership Agreement Application**

Applications are evaluated according to the "Review Criteria" for their category.

After processing by Arts Endowment staff, applications are reviewed, in open session, by advisory panelists. SAA applications are reviewed in two stages. First, arts education specialists review the Arts Education component, and specialists in the folk & traditional arts review those applications that include a request for Folk & Traditional Arts Infrastructure support. Their comments and recommendations are forwarded to the second stage which involves an overall review of each agency's full application by a panel of present and former state arts agency leaders including at least one knowledgeable layperson.

RAO applications that include a request for Folk & Traditional Arts Infrastructure support are reviewed initially by specialists in the folk & traditional arts field. Recommendations from this step are forwarded to a panel (separate from that reviewing SAA applications) of regional arts organization leaders and other individuals including at least one knowledgeable layperson. This panel gives full review to all of the RAO applications.

Panel membership changes regularly. The panel arrives at recommendations, scores to be used in apportioning competitive funds, and comments that go back to applicants. Recommendations are forwarded to the National Council on the Arts, where they are reviewed in open session. The Council makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all grant awards. Applicants are then notified of funding decisions.

Applicants are welcome to attend advisory panel meetings and meetings of the National Council on the Arts.

Contact the State & Regional staff at 202/682-5753 or 682-5430 if you have questions about the review process.

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## Award Administration

### Prohibition on Supplanting Non-Federal Funds

Partnership Agreement awards must be used to supplement and not supplant non-federal funds. For the purposes of these guidelines, the term "supplant non-federal funds" is defined as using federal dollars to replace non-federal dollars, with the intention or effect of reducing financial support for a SAA or RAO.

### Crediting Requirement

Grantees must clearly acknowledge support from the National Endowment for the Arts in their programs and related promotional material including publications and Web sites. Acknowledgments should include the National Endowment for the Arts logo wherever possible. SAAs and RAOs also should encourage their grantees to give appropriate credit to the Arts Endowment.

### Award Notices

Official grant award notification (i.e., the grant award letter that is signed by the Arts Endowment Chairman) is the only legal and valid confirmation of award. This can take several months to reach you depending on several factors such as the number of awards to be processed, whether the agency has its appropriation from Congress, etc.

### General Terms & Conditions

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our *General Terms & Conditions*. Included is information on reporting requirements and lobbying prohibitions.

### Legal Requirements

By law, the National Endowment for the Arts may support only those organizations that:

- **Are tax-exempt.** Organizations qualifying for this status must meet the following criteria:

- (1) No part of net earnings may benefit a private stockholder or individual.

(2) Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended. For further information, go to the Internal Revenue Service (IRS) Web site at [www.irs.gov](http://www.irs.gov).

- **Compensate all professional performers and related or supporting professional personnel on Arts Endowment-supported projects at no less than the prevailing minimum compensation.** (This requirement is in accordance with regulations that have been issued by the Secretary of Labor in part 505 of Title 29 of the Code of Federal Regulations; part 505 does not provide information on specific compensation levels.)
- **Assure that no part of any Arts Endowment-supported project will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous** to the health and safety of the employees involved.
- **Comply with the federal requirements that are outlined in "Assurance of Compliance."**

In addition, State Arts Agencies must meet the requirements in Section 5(g)(2) of the Arts Endowment's authorizing legislation which state:

"In order to receive assistance under this subsection in any fiscal year, a State shall submit an application for such grants at such time as shall be specified by the Chairperson and accompany such applications with a plan which the Chairperson finds \_

(A) designates or provides for the establishment of a State agency (hereinafter in this section referred to as the "State agency") as the sole agency for the administration of the State plan;

(B) provides that funds paid to the State under this subsection will be expended solely on projects and productions approved by the State agency which carry out one or more of the objectives of subsection (c) of this section;

(C) provides that the State agency will make such reports, in such form and containing such information, as the Chairperson may from time to time require including a description of the progress made toward achieving the goals of the State plan;

(D) provides \_

- (i) assurances that the State agency has held, after reasonable notice, public meetings in the State to allow all groups of artists, interested organizations, and the public to present views and make recommendations regarding the State plan; and
- (ii) a summary of such recommendations and the State agency's response to such recommendations; and

(E) contains \_

- (i) a description of the level of participation during the most recent preceding year for which information is available by artists, artists' organizations, and arts organizations in projects and productions for which financial assistance is provided under this subsection;
- (ii) for the most recent preceding year for which information is available, a description of the extent to which projects and productions receiving financial assistance from the state arts agency are available to all people and communities in the State; and
- (iii) a description of projects and productions receiving financial assistance under this subsection that exist or are being developed to secure wider participation of artists, artists' organizations, and arts organizations identified under clause (i) of this subparagraph or that address the availability of the arts to all people or communities identified under clause (ii) of this subparagraph.

No application may be approved unless the accompanying plan satisfies the requirements specified in this subsection."

## **Assurance of Compliance**

**By signing the application form, the Applicant certifies that it is in compliance with the statutes outlined below and all related Arts Endowment regulations and will maintain records and submit the reports that are necessary to determine compliance.** The Applicant further certifies that it will obtain assurances of compliance from all subrecipients and will require all subrecipients of Arts Endowment funds to comply with these requirements. The Arts Endowment may conduct a review of your organization to ensure that it is in compliance. If the Arts Endowment determines that a grantee has failed to comply with these statutes, it may suspend, terminate, and/or recover funds. This assurance is subject to judicial enforcement.

### **1. Nondiscrimination Statutes**

The Applicant certifies that it does not discriminate:

- On the grounds of race, color, or national origin (including limited English proficiency), in accordance with **Title VI of the Civil Rights Act of 1964**, as amended (42 U.S.C. 2000d et seq.).
- On the grounds of disability, in accordance with **Section 504 of the Rehabilitation Act of 1973** (29 U.S.C. 794) and the **Americans with Disabilities Act of 1990** ("ADA") (42 U.S.C. 12101-12213). The ADA's requirements apply regardless of whether you receive federal funds.

- On the basis of age, in accordance with the **Age Discrimination Act of 1975** (42 U.S.C. 6101 et seq.).
- On the basis of sex, in any education program or activity, in accordance with **Title IX of the Education Amendments of 1972** (20 U.S.C. 1681 et seq.).

For further information and copies of the nondiscrimination regulations identified above, contact the Arts Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T.Y. For inquiries about limited English proficiency, go to <http://www.lep.gov> or contact the Office of General Counsel at [ogc@arts.endow.gov](mailto:ogc@arts.endow.gov) or 202/682-5418.

2. **Regulations relating to Debarment and Suspension** (45 C.F.R. pt. 1154) in which the Applicant certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in covered transactions by any federal department or agency, nor has, within the three years preceding the submission of this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with a public (federal, state, or local) transaction or a contract under a public transaction; for violation of federal or state antitrust statutes; for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; had any public transactions terminated for cause or default; or is presently indicted for or otherwise criminally or civilly charged by a governmental entity with any of the preceding offenses.
3. **Federal Debt Status** (OMB Circular A-129). The applicant certifies that it is not delinquent in the repayment of any federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments.
4. **Labor Standards** (29 C.F.R. pt. 505). The applicant certifies that, if awarded a grant, it will comply with the labor standards set out in **Labor Standards on Projects or Productions Assisted by Grants from the National Endowments for the Arts and Humanities**.
5. **The Drug-Free Workplace Act of 1988** (41 U.S.C. 701 et seq. and 45 C.F.R. pt. 1154) requires that grantee organizations, within 30 days of receiving a grant, make a continuing, good faith effort to maintain a drug-free workplace through implementation of the following:
  - Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace, and specifying the actions that will be taken against employees for violation of the prohibition. (For the purposes of this Act, alcohol is not considered a controlled substance.) The grantee shall give a copy of the statement to each employee who will be involved in grant-supported

activities and notify such employees that they are expected to abide by the terms of the statement. For the purposes of this law, "employees" include consultants and temporary personnel (but not volunteers), who are directly engaged in work under the grant and who are on the grantee's payroll. The grantee should maintain on file the address of each site where work is performed under the grant.

- Establish a drug-free awareness program that will inform employees about the dangers of drug abuse in the workplace, the grantee's policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that might be imposed for workplace drug abuse violations. Employees should be informed that any conviction for a violation of a criminal drug statute that occurs in the workplace must be reported to the employer, in writing, no later than five calendar days after such a conviction. The grantee, in turn, must notify the Arts Endowment's Grants & Contracts Officer, in writing, within ten calendar days of receiving such notice from its employee. The grantee's notice to the Arts Endowment must include the convicted individual's position title and the number(s) of each affected grant.
  - Within 30 calendar days of receiving notice of an employee's criminal drug conviction, a grantee should take appropriate personnel action against the convicted employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program that has been approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.
6. **The Native American Graves Protection and Repatriation Act of 1990** (25 U.S.C. 3001 et seq.) which applies to any organization which controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.
7. **Regulations Relating to Lobbying** for organizations applying for more than \$100,000 (31 U.S.C. 1352)

The Applicant certifies that:

- (a) It has not and will not use federal appropriated funds to pay any person for influencing or attempting to influence an officer or employee of any agency, a member of an Arts Endowment advisory panel or the National Council on the Arts, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of or modification to any federal grant or contract.
- (b) If it has used or will use any funds other than federal appropriated funds to pay any person for influencing or attempting to influence any of the individuals specified above, the Applicant:

- (i) Is not required to disclose that activity if that person is regularly employed by the Applicant. (Regularly employed means working for at least 130 days within the year immediately preceding the submission of this application.)
  - (ii) Will complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," if that person is not regularly employed by the Applicant.
- (c) It will require that the language of this certification be included in the award documents for all subawards of more than \$100,000 and that all subrecipients shall certify and disclose accordingly.

### **Other**

If your project, including the planning stage, has environmental implications (e.g., an arts festival in a park or the commissioning and installation of an outdoor sculpture), you may be requested to provide information to the Arts Endowment in response to specific questions in accordance with the National Environmental Policy Act.

If your project includes the planning for major renovation of any structure that is eligible for or on the National Register of Historic Places you may be requested to provide additional information on your project to ensure compliance with the National Historic Preservation Act. This law also applies to planning for new construction that would affect historic properties. If a structure for your proposed project is more than fifty years old, contact your state historic preservation office for more information.



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## **Agency Contacts**

If you have questions about your Partnership Agreement application, please contact the State & Regional staff at 202/682-5753 or 682-5430.

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## Other Information

### Additional Information on Arts Education

Through the study of the arts, lifelong skills are gained which help us develop creativity, communicate better, and make informed evaluations of artistic work. All students need to have meaningful arts experiences as part of an education program in which the arts are taught in grades pre-K through 12.

A comprehensive arts education program includes:

- Curriculum-based learning in all of the arts disciplines -- creative writing, dance, design, media arts, music, theater, and visual arts -- that is linked to national, state, or local standards, as appropriate, and that meets the developmental needs of all children and youth.
- Hands-on instruction in the arts that includes the creation, production, and performance of works of art.
- Instruction that balances skills development with arts history and critical theory.
- Sequential programs, taught by qualified teachers, and strengthened by regular engagement with artists, artistic works, and arts institutions to sustain, expand, and deepen students' understanding of and competence in the arts.
- Interdisciplinary programs to enhance the richness of the arts learning experience.

The arts also can be integrated with other subjects to enable students to make connections across the curriculum.

### Partnership Agreement Support for Arts Education

Partnership Agreement support is intended to respond to the objectives, strategies, and programs that each state arts agency develops based on national, state, or local arts education standards, as appropriate, and its state's needs, opportunities, and resources. While the focus of Arts Endowment support is arts education programs within schools, meaningful co-curricular or extracurricular activities also are important. These can take place as part of an extended school day or other after-school program, during vacation periods, and in cultural organizations. Possible components of a state's arts education program might include:

- Artists' residencies where students and teachers can participate in and learn about specific arts disciplines. Residencies should be planned with teachers and other school and community leaders to be consistent with national, state, or local standards, curricula, and arts education programs. Teacher training, follow-up visits by artists, and assistance with the development of curriculum or lesson units are encouraged as components of residencies.

- Grants and/or technical assistance to local arts agencies, arts organizations, service organizations, professional associations, and schools for model or demonstration projects, curriculum development, student assessment or program evaluation, public awareness, research, or other efforts in arts education.
- Training for artists to increase their knowledge and skills concerning the developmental needs of students; school "cultures," policies, and procedures; and other matters related to their work with students, teachers, and others in pre-K through 12 education.
- Training for teachers, school administrators, and others to heighten the awareness, knowledge, and skills that are essential to planning, developing, and sustaining arts education programs.
- Consortia, task forces, or similar groups at the state and local levels which increase communication and awareness, provide program coordination, and/or help develop public policy that is important to achieving the partnership goals for arts education.

## Other Arts Endowment Resources

For general background information on the Arts Endowment and application guidelines, refer to our Web site at [www.arts.gov](http://www.arts.gov) or call 202/682-5400. In addition to the funding outlined in this guideline booklet, other resources of possible interest include:

- **Grants for Arts Projects.** These guidelines describe the Arts Endowment's primary funding opportunities for organizations. Assistance is available to eligible organizations of all sizes for projects in:
  - Arts Education
  - Dance
  - Design
  - Folk & Traditional Arts
  - Literature
  - Local Arts Agencies
  - Media Arts: Film/Radio/Television
  - Museums
  - Music
  - Musical Theater
  - Opera
  - Presenting
  - Theater
  - Visual Arts

Within each field or discipline above, organizations may apply through one of the following categories:

- **Access to Artistic Excellence:** To encourage and support artistic excellence, preserve our cultural heritage, and provide access to the arts for all Americans.
- **Challenge America: Reaching Every Community Fast-Track Review Grants:** To support projects that extend the reach of the arts to underserved populations.
- **Learning in the Arts for Children and Youth:** To advance arts education for children and youth.

Under the Grants for Arts Projects guidelines, SAAs and RAOs may serve as consortium members and participants including consortium lead applicants; however, all grant funds must be passed on to the other consortium members.

## Standards for Service

The Arts Endowment has set the following standards for serving applicants. We pledge to:

- Treat you with courtesy and efficiency.
- Respond to inquiries and correspondence promptly.
- Provide clear and accurate information about our policies and procedures.
- Provide timely information about funding opportunities and make guidelines available promptly.
- Promptly acknowledge the receipt of your application.
- Ensure that all eligible applications are reviewed thoughtfully and fairly.

We welcome your comments on how we're meeting these standards. Please address them to: Office of Guidelines & Panel Operations, Room 710, National Endowment for the Arts, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001, e-mail: [webmgr@arts.endow.gov](mailto:webmgr@arts.endow.gov), attention: Standards for Service.

For questions about these guidelines or your application, contact the State & Regional staff at 202/682-5753 or 682-5430.

## Reporting Burden

The public reporting burden for this collection of information is estimated at an average of 32 hours per response including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Arts Endowment welcomes any suggestions that you might have on improving the guidelines and making them as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Office of Guidelines & Panel Operations, Room 710, National Endowment for the Arts, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001. Note: Applicants are not

required to respond to the collection of information unless it displays a currently valid U.S. Office of Management and Budget (OMB) control number.