



**RESEARCH IN THE ARTS**  
**2018-2019 Grant Guidelines &**  
**Application Instructions**  
*Deadline: December 19, 2018 11:59 PM*



The mission of the California Arts Council, a state agency,  
is to advance California through the arts and creativity.

Learn more at [www.arts.ca.gov](http://www.arts.ca.gov)

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## California Arts Council



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### **Office Hours**

8:00 AM - 5:00 PM  
Monday through Friday

**Purpose:** The California Arts Council (CAC), a state agency, was established in January 1976 to encourage artistic awareness, participation, and expression; to help independent local groups develop their own arts programs; to promote employment of artists and those skilled in crafts in the public and private sector; and to enlist the aid of all state agencies in the task of ensuring the fullest expression of our artistic potential.

**The Council:** The appointed Council of the CAC consists of 11 members who serve staggered terms. The Governor appoints nine members, the assembly Speaker appoints one member, and the Senate President pro Tempore appoints one member. Council members serve without salary, elect their own officers, and meet throughout the state to encourage public attendance. This body sets policy and has final approval of CAC grants.

**Mission:** Advancing California through the arts and creativity.

**Vision:** The CAC envisions a California where the lives of all Californians are enriched by access to and participation in a diverse spectrum of arts and cultural experiences and the arts ecosystem reflects contributions from all of California's diverse populations.

**Funding:** The CAC is a state agency, funded from the state's annual budget process and proceeds from the California Arts License Plate and the Keep Arts in Schools tax return voluntary contribution fund, supplemented by funds from the National Endowment for the Arts. Its grants are usually matched by foundations, individuals, earned income, government agencies, or other organizations.

**Information Access:** Due to the Public Records and Open Meeting Acts, applications and their attachments are not confidential and may be requested by the media and/or public. Meeting dates and locations are posted at [www.arts.ca.gov](http://www.arts.ca.gov). Observers may attend but may not participate in, or in any way interfere with, Council meetings. Each meeting provides a designated time for public comment, although comments may be time-limited.

**Grant Process:** Applications are evaluated by panels of experts, recognized in their respective fields, who rank applications according to program criteria. The CAC staff provides information but not recommendations to the panel. The Council reviews panel recommendations before making final funding decisions. CAC staff is responsible for grant contract administration after Council approval. In dire or unexpected circumstances, CAC reserves the right to make exceptions to any policy or procedure on a case-by-case basis.

**Requirements:** The CAC is mandated both by federal and state regulations to fund only organizations that have proof of nonprofit status under sec. 501(c)(3) of the Internal Revenue Code (Fiscal Receivers are eligible in some programs), or under sec. 23701d of the California Revenue and Taxations Code, or entities that are a unit of government; and that comply with the Civil Rights Acts of 1964, as amended; sec. 504 of the Rehabilitation Act of 1973, as amended; the Age Discrimination Act of 1975; the Drug-Free Workplace Act of 1988; California Government Code secs. 11135-11139.5 (barring discrimination); the Fair Labor Standards Act, as defined by the Secretary of Labor in part 505 of title 29 of the Code of Federal Regulation; the Americans With Disabilities Act of 1990 ("ADA"); the Fair Employment and Housing Act; and the Personal Responsibility and Work Opportunity Reconciliation Act of 1996.

**Ownership, Copyrights, Royalties, Credit:** The CAC does not claim ownership, copyrights, royalties, or other claim to artwork produced as a result of a CAC grant. However, the CAC reserves the right to reproduce and use such material for official, noncommercial purpose, including but not limited to use on the CAC website, social media and print materials. In addition, the CAC requires documentation of grants activity, and appropriate credit for CAC partial support.

## RESEARCH IN THE ARTS

### 2018-19 GRANT GUIDELINES

DEADLINE: December 19, 2018 11:59 PM

Apply at [calartscouncil.smartsimple.com](http://calartscouncil.smartsimple.com)

Up to \$50,000

Grant Activity Period: 6/1/2019-5/31/2021



### Background and Purpose

The **Research in the Arts (RIA)** grant program is rooted in the California Arts Council's belief that best practices, quality research, and emerging models inform our work to provide the highest quality of service to Californians and their communities. The program was developed to foster original California-based research that can contribute to a growing body of international scholarship about the profound impact that the arts have in many aspects of human experience. Research can lead to the development of crucial tools for the field, and for the information of our legislators and other key decision makers.

Examples of successful projects may include research on the impact of artistic engagement on the individual, in communities, and/or on larger social infrastructure; how the value of arts is framed, measured, and articulated; issues surrounding access and equity to artistic engagement; and the impact and valuation of intersections between arts and culture and other sectors.

### Eligibility

- Lead applicants must be California-based nonprofit, tax-exempt entities or units of government, including but not limited to institutions of higher learning\*. Applicant organizations will take full responsibility for the administration of grant funds, but may partner with additional organizations to facilitate the project.
- All applicant organizations must be consistently engaged in arts programs and/or services for two years prior to the application deadline.
- All applicant organizations must have a principal place of business in California.
- The applicant must demonstrate proof of nonprofit status under section 501(c)(3) of the Internal Revenue Code, or section 23701d of the California Revenue and Taxation Code, or must be a unit of government, including California Native or Indigenous tribal governments.
  - **Fiscal Sponsors:** An applicant without nonprofit status may use a California-based Fiscal Sponsor with a federal 501(c)(3) designation to conduct work on a not-for-profit project. The Fiscal Sponsor will provide the fiscal and administrative services needed to complete the grant. **If a grant is awarded, the Fiscal Sponsor becomes the legal contractor.** The Fiscal Sponsor must also demonstrate consistent arts services or programming in California for a minimum of two years prior to the application deadline. See additional information on the use of [CAC Fiscal Sponsors](#).

- Applicants using Fiscal Sponsors must submit all required materials for the Fiscal Sponsor at the time of application.
- All applicants must submit all required application materials and information at the time of submission. Incomplete applications are ineligible and will not be reviewed by the panel. Please see Application Instructions for all required materials and information.
  - For all programs that require a CAC DataArts Funder Report, two years of data must be included in DataArts profile and report.

### **Program Goals**

Projects should address the following Research in the Arts program goals:

- Support research methodologies to construct data sets that measure, assess, and defend the vital impact of the arts.
- Develop tools with which to educate the public and invigorate public will for the arts.
- Extend the capacity of California organizations to contribute meaningfully to a growing international body of scholarship on the profound impact that the arts have on multiple aspects of human experience.

### **Project Requirements**

- The applicant must develop and complete a project addressing the program's purpose by May 31, 2021. All activities to be funded by the CAC must occur within the Grant Activity Period (see Timeline).
- Requests may be made to support a discrete component of a larger research project, as long as the stated outcomes are completed by the end of the grant period and all grant funds are expended.
- At the end of the two-year grant period, the applicant must produce at least one article-length research paper ready for publication and dissemination by the California Arts Council. Practice-based research products may also accompany the final paper.
- Projects may include the acquisition of primary data, but must also include analysis of that data. Projects solely dedicated to the acquisition of primary data sets will not be considered.
- Eligible projects may include individual scholars or teams of researchers, and must focus on the value and impact of the arts in dedicated artistic and/or interdisciplinary contexts.
- Collaboration between researcher/evaluators and artists/practitioners is highly recommended.
- Research subjects should include California-based artists, organizations, and/or initiatives, though subjects from outside of California may also be included.
- The applicant organization is responsible for adherence to all laws and regulations regarding responsible conduct of research, including the registration of an IRB, if applicable. (Further guidance on protocols is available from the [U.S. Department of Health and Human Services](#).)
- **Accessibility:** The CAC is committed to making the arts accessible and inclusive for all Californians. All CAC-funded programs, services, information, and

buildings and facilities where funded activities take place must be accessible. Please see Page 3: Requirements for more information.

### **Eligible Request Amounts**

- Applicant organizations can request up to \$50,000 total over the two-year grant period.
- The total of the two-year request for Research in the Arts program cannot exceed 100% of an organization's total operating revenue from the last completed fiscal year, as it appears in the DataArts Funder Report.

### **Funding Restrictions**

- The total of all application requests for one year of funding in FY18-19 cannot exceed 50% of an organization's total operating revenue from the last completed fiscal year. For two-year grant programs, half of the total grant request will apply to this cap. If applying for one or more CAC grants in a grant cycle, the total amount requested cannot exceed 50% of what is reflected in the organization's Total Operating Revenue line in the DataArts Funder Report.
- Applicants to this program are not restricted from applying for and receiving additional CAC program grants as long as those funds are used for different projects and purposes. To meet this criterion, applicants must demonstrate that projects:
  - Serve primarily different groups of people
  - Take place in different spaces, times, and/or contexts
  - Achieve fundamentally distinct programmatic outcomes
- Neither the award nor the match may be used to supplant state-funded expenses.

### **Matching Funds**

All grant recipients must provide a dollar-for-dollar (1:1) match for the RIA grant. A cash match may be from corporate or private contributions, local or federal government, or earned income. State funds cannot be used as a match. If applying for multiple CAC grants in a single fiscal year, distinct funds must be identified to meet the matching requirement for each grant application. The applicant must indicate whether matching funds are projected, pending, or committed.

### **In-Kind Match:**

Use of in-kind contributions as a portion of the match is intended to support organizations that may not have the financial capability to provide a 1:1 cash match, but demonstrate the capacity to carry out the activities in the grant application with other sources of support. In-kind contributions are non-cash donations provided by **third parties** for which monetary value can be determined. In-kind contributions **may** be used for up to 50% of the required (1:1) match.

- In-kind contributions may be in the form of space; pro bono consultancy, training or services; supplies; and other expendable property that are given free of charge to the organizations.
- **In-kind contributions may only be provided by third parties.**

- In-kind contributions by state entities are ineligible.

In-kind contributions must be reflected as an expense in the grant application budget. Applicant organizations must accurately document and report in-kind contributions in their DataArts Funder Report. See additional information on [CAC In-kind Contributions](#).

If you have any questions about in-kind contribution documentation or eligibility, please contact the Arts Program Specialist. See staff assistance below.

### **What the CAC Does Not Fund**

- Individuals (as applicants)
- Hospitality or food costs
- State agencies (as applicants)
- Federal agencies (as applicants)
- Non-arts organizations not involved in arts activities (as applicants)
- For-profit organizations (as applicants)
- Former grantee organizations not in compliance with CAC grant requirements (as stipulated in grant agreement)
- Fundraising activities or services such as annual campaigns, fundraising events, or grant writing
- Programs or services intended for private use, or for use by restricted membership
- Projects with religious purposes
- Operational, administrative or indirect costs of schools, colleges, or universities, or any activities that are part of the curricular base of these institutions\*
- Trusts, endowment funds or investments
- Capital outlay, including construction projects or purchase of land and buildings
- Equipment
- Debt repayment
- Out-of-state travel
- Expenses incurred before the start date or after the ending date of the grant activity period
- Lobbying activities that are intended to influence the actions, policies, or decisions of government officials or specific legislation

*\*For University of California and California State University campuses, please note that you will be required to secure a waiver from the Regents to comply with AB20. The CAC does not fund indirect costs of colleges or universities.*

### **Application Process**

Applications will be available online through the CAC's online grants management system at [calartscouncil.smartsimple.com](http://calartscouncil.smartsimple.com). Only applications submitted through the system by the deadline will be accepted. More information can be found on the [Application Resources page](#) of the CAC website.

## Review Criteria

The peer review panel will evaluate applications based on the following criteria:

- **Project Design:** Application articulates a clear research question, or set of research questions, and maps viable avenues to collect, evaluate, and analyze data pertinent to those questions. The application includes evidence to support the relevance of the research agenda, and outlines a methodology that is both rigorous and appropriate to the specific investigation.
- **Impact and Contribution to the Field:** The study responds to key questions in the field of arts research and demonstrates the potential to contribute to this body of work in a significant manner. The research agenda does not solely replicate, but rather evolves from current scholarship, and demonstrates innovation in methodology as well as in objects of inquiry. The application includes a plan for wide dissemination of research outcomes.
- **Artistic and Scholarly Merit:** Investigative team demonstrates necessary expertise and qualifications, and a history of success in similar undertakings. Research subjects are artistically relevant and represent the highest level of excellence in their fields and/or disciplines. Institutional support for the project is clearly demonstrated.
- **Management and Leadership:** Ability of applicant organization to implement proposed project is clearly demonstrated by qualifications of project's administrative team, the viability of the project budget, and the overall fiscal and managerial health of both the applicant and partnering organizations.

## Peer Panel Evaluation and Ranking Process

The panel's review of applications and work samples is a multi-step process and involves assigning numerical ranks (1-6) to an application. Panelists' ranks are averaged to obtain the final score. Final ranking and funding allocations may be made according to the first decimal place within each rank as necessary.

For each of the rankings listed below, the description refers to the complete content of the application as submitted by the applicant.

<b>6</b>	<b>Exemplary</b>	Meets all of the review criteria to the highest degree possible
<b>5</b>	<b>Strong</b>	Meets all of the review criteria in a significant manner
<b>4</b>	<b>Good</b>	Meets all of the review criteria to some extent; however, areas of the application need improvement, development, or clarification
<b>3</b>	<b>Marginal</b>	Does not meet the majority of the review criteria in a significant manner
<b>2</b>	<b>Weak</b>	Significant inadequacies in addressing review criteria; proposals that do not meet the project requirements or grant program goals
<b>1</b>	<b>Ineligible</b>	Incomplete applications, applications that do not meet eligibility criteria. Former grantee organizations not in compliance with CAC grant requirements.



## **California Arts Council Decision-making**

The final authority for grant decisions is the appointed Council. After receiving and reviewing the peer panel's ranking recommendations, the Council will consider the panel's recommendations and make final funding decisions at a public meeting.

If approved by the Council for support, grant amounts may differ from the request amount due to the level of funding available to the program, demand for that funding, and/or the rank a proposal receives from the peer review panel.

Depending on the amount of funds available and the number of applicants, the Council will decide which ranks receive funding, and for what percentage of the applicant's request amount.

Should a grant award be made for an amount less than the request amount, the applicant will be required to agree to complete what is described in the application with a lesser grant award than the original request in the grant contract. CAC staff is responsible for grant contract administration after Council approval.

## **Timeline**

<b>December 19, 2018 11:59 PM</b>	<b>Application deadline (online)</b>
May 2019	Funding decisions
May 2019	Funding notifications
June 1, 2019 – May 31, 2021	Grant Activity Period
June 30, 2021	Final Report deadline

## **Grantee Requirements**

Grantees must comply with all requirements as stipulated in the grant agreement including but not limited to the following:

- Grantees are required to carry out activities consistent with the application approved for funding. Requests to make changes to funded activities require prior written approval from CAC staff. Requests for changes are considered on a case-by-case basis; approval is not guaranteed.
- To better inform our elected representatives as to the value of the arts and the use of state funds, you will be expected to include—with your approved grant agreement—photocopies of signed letters that you have sent to the Governor and your State Senate and Assembly representatives thanking them for your grant.
- Use the CAC logo on all printed, electronic materials and websites (programs, catalogs, postcards, posters, newsletters, leaflets, publications, etc.) that specifically reference this grant.
- Credit the CAC on all printed and electronic materials: *“This activity is funded in part by the California Arts Council, a state agency.”*
- An Interim Report summarizing grant-funded activities and accomplishments will be required at the end of the first year of the grant period. A Final Report summarizing grant-funded activities and accomplishments will be required within 30 days of the completion of the grant period.

## **Appeal Process**

Appeals to CAC funding decisions must be submitted on an official Appeal Form, available from the CAC, and postmarked within 45 days of the decision. Appeals are granted only on the following grounds:

1. Panel's assessment was based on a misstatement of factual information as contained in the application such that it negatively influenced the panel's recommendation; and/or
2. Incorrect processing of the required application material such that it negatively influenced the panel's assessment of the applicant's request for funding.

**Note:** Dissatisfaction with award denial or with award amount is not grounds for appeal.

## **Staff Assistance**

CAC staff is available to offer guidance and clarification in preparing your proposal. We recommend that you contact staff well in advance of the deadline to ensure you can be accommodated. People who are Deaf, Hard of Hearing, have difficulty speaking, or who are Deaf Blind may dial 711 to reach the California Relay Service (CRS). Large print is available upon request.

**Josy Miller, Ph.D., Arts Program Specialist**

[josy.miller@arts.ca.gov](mailto:josy.miller@arts.ca.gov)

(916) 322-6385

# FY18-19 RESEARCH IN THE ARTS Grant Application Instructions



## *Application Instructions*

**DEADLINE: December 19, 2018 by 11:59 PM**

All grant applications must be submitted in the California Arts Councils online grants management system, [calartscouncil.smartsimple.com](http://calartscouncil.smartsimple.com).

Please refer to [CAC Registration Information](#) for additional guidance.

Please have the following information and documentation prepared prior to beginning your registration:

- Applicant Organization Federal EIN (or that of Fiscal Sponsor, if applicable)
- Applicant Organization DUNS Number (or that of Fiscal Sponsor, if applicable), obtainable from the [Dun and Bradstreet Request Service](#) website
- Applicant Organization contact information, including business address, mailing address (if different), county name, phone and fax number (if available), and website
- Number of years Applicant Organization has engaged in arts programming
- Year Applicant Organization began arts programs and/or services
- Organizational mission statement and purpose
- Brief summary of Applicant Organization's core programs and services

### **Application Checklist:**

#### Required Support Materials:

- Research Team CVs: Include a CV for all members of the research team who will be compensated under this agreement.
- Research Samples: Include at least one article-length sample of a publication authored by the lead member of the research team. If there are multiple lead researchers, please include a publication they have co-authored, or individual publications by each lead researcher.
- Literature Review/Working Bibliography: Include a brief literature/research review or working bibliography for research project.
- Additional Work Sample Materials: Please provide additional documents that feature the research participants. These may include samples of data sets, images, audio or video samples, press materials, or marketing pieces.
- SMU DataArts Funder Report: The California Arts Council requires all applicants to complete two Cultural Data Profiles (CDP) through SMU DataArts (formerly the Cultural Data Project) and generate a Funder Report to include with their application. The Funder Report will be used to assess your organization's fiscal health and activities. You will need two years of financial and programmatic data to fill out your CDPs. To complete this part of your submission, log in to the [SMU DataArts](#) website. See DataArts Instructions below for step-by-step instructions.
- Payee Data Record (STD 204)

### Required Support Materials for Fiscally Sponsored Applications:

- Legal name of Fiscal Sponsor Organization
- Fiscal Sponsor Organization Federal EIN
- Fiscal Sponsor Organization DUNS Number
- Fiscal Sponsor Organization executive leader's name, phone number, and email
- Fiscal Sponsor Organization mailing address
- Number of years the Fiscal Sponsor Organization has been engaged in arts programming and/or services
- A brief description of the history of the Fiscal Sponsor Organization's arts programming and/or services
- An IRS 990, 990-EZ or 990-PF form for the Fiscal Sponsor Organization; no other types of 990 forms will be accepted
- A Letter of Agreement between the Applicant Organization and the Fiscal Sponsor Organization confirming their understanding of and compliance with the [CAC Fiscal Sponsor Policy](#)
- Payee Data Record (STD 204)

Please refer to the [CAC Fiscal Sponsor Policy](#) for additional information.

### Application Questions:

The following questions will be asked on the application:

#### Narrative Questions:

- Provide a detailed description of your proposed project, including the central research questions. *(2500 characters)*
- How will this project contribute to field-wide knowledge regarding the value and impact of the arts? If research will utilize established analysis or existing data sets, please describe how this project will expand upon them. *(2000 characters)*
- Who are the anticipated research participants? Why are these individuals and/or organizations appropriate focuses for the investigation? How have they been involved in the development of the project? *(2000 characters)*
- Provide a detailed timeline for the activities that will occur within the Grant Activity Period (June 1, 2019 – Mar 31, 2021). If research is underway, what activities have already taken place? *(2000 characters)*
- What are the anticipated work products that will emerge from the research? Will practice- or performance-based components be developed in conjunction with the written research analysis? How does the research team plan to disseminate the work products? *(2000 characters)*
- Provide a brief biography for each key individual (artistic, technical, or administrative) involved in this project. Include name, title, whether to be supported by CAC funds, experience as it relates to this project, and role within the proposed activities. *(2500 characters)*
- Describe efforts to ensure accessibility and inclusion. Consider both personnel and participants, where applicable. *(1500 characters)*

### **Budget Tables:**

You will be required to submit a line-item project budget, including anticipated matching funds. Please refer to What the CAC Does Not Fund within the program guidelines to ensure that all line items are eligible expenses.

You will also be required to fill out a Source of Match table, indicating sources and status of all matching funds (i.e., Projected, Pending, Confirmed).

### **SMU DataArts Instructions:**

Follow these instructions to complete a Cultural Data Profile (CDP) and Funder Report:

1. Go to the SMU DataArts website and use the orange login button to access your DataArts account. If your organization does not yet have a SMU DataArts account, choose the “Create an account” link to register.
2. Create and complete two CDPs, one for each fiscal year. Enter data using your board-approved financial audit/review or year-end financial statements.
  - a. If your organization is not audited/reviewed, enter data using your board-approved, year-end financial statements.
  - b. If your organization is an arts program/department within a larger institution, enter data based on internal financial statements of the arts program/department and indicate that you have a [parent organization](#) when selecting your organization type on the Customize Your Survey screen.
  - c. DO NOT enter project budgets, budgets for future years, or incomplete or not-yet-approved audits/reviews/financial statements.
3. Some errors may be triggered as you enter financial data, and you will be able to review and resolve them as you work on your survey. Select the “Check and Complete” button to run a final, comprehensive error check when you are finished entering data, and correct any errors that may arise at that time. If you need assistance, call the SMU DataArts Support Center at 1-877-707-3282.
4. After you have finished entering and completing your two fiscal year surveys, you will then use your CDP data to generate a Funder Report to be included with your application materials.
  - a. Go to Funder Reports and Grants and search for California Arts Council. Find the grant program which you will apply to, select the “View” dropdown, then “Submit Data” to share your data with California Arts Council. A PDF Funder Report will then generate. **Once you have run your report from SMU DataArts, download, save, then upload your Funder Report below.** You can also find a video of step-by-step instructions [here](#).

Applicant Organizations should direct questions concerning the CDP or Funder Report to:

SMU DataArts Support Center:

Toll Free: (877) 707-3282

Email: [help@culturaldata.org](mailto:help@culturaldata.org)

The Support Center is available Monday – Friday from 6:00 AM to 5:00 PM PST.  
SMU DataArts website: <https://culturaldata.org>

### **Application Assessment:**

Panelists may consider any aspect of an application when ranking for each review criteria, including but not limited to the Areas of Assessment indicated below.

#### Review Criteria #1: Project Design

Areas of Assessment:

- Research questions
- Timeline
- Methodologies
- Work products

#### Review Criteria #2: Artistic and Scholarly Merit

Areas of Assessment:

- Research team CVs
- Research samples
- Research participants and data sets
- Additional work samples

#### Review Criteria #3: Impact and Contribution to the Field

Areas of Assessment:

- Research questions
- Work products
- Literature review

#### Review Criteria #4: Management and Leadership

Areas of Assessment:

- Organizational research history and focus
- Project budget
- Research team CVs
- DataArts funder report
- Overall completeness and accuracy of application submission