Research in the Arts

2016-2017 Grant Guidelines

Deadline: March 29, 2017 5:00 PM – (online submission)

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

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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: To advance California through the arts and creativity.

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. Observers may attend but may not participate in, or in any way interfere with, Council meetings. Meeting dates and locations are posted at www.arts.ca.gov. Each meeting provides a designated time for public comment, although comments may be time-limited.

Grants Panels: 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.

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.

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.
Background
A new pilot grant program, the Research in the Arts grant program was developed in order to foster original research on the value and impact of the arts. A growing body of international scholarship illustrates the profound impact that the arts have in many aspects of human experience. This scholarship is utilizing both experimental and analytical methodologies to construct data sets that measure, assess, and defend the vital impact of the arts. Research can lead to the development of crucial tools for the field, and for the information of our legislators and other key decision makers.

Purpose
The Research in the Arts program is designed to extend the capacity of California institutions to contribute meaningfully to research in the arts. This program is also intended to foster public will for the arts by developing crucial tools with which to educate key stakeholders and the public. In the pilot year of the program, the CAC will award project grants of up to $50,000 to California-based scholars and research teams. At the end of the 2-year grant period, grantees will produce an article-length research paper ready for publication, which may also be accompanied by a practice-based research product, if appropriate to the project proposal.

Available Funding and Request Amounts:
The Council has allocated $200,000 for the pilot year of the Research in the Arts Program. Requests may be made for up to $50,000 with a mandatory 1:1 match. The request and match combined cannot exceed 50% of the applicant organization’s total organizational income for the last completed fiscal year. The CAC award may not be used for course buy-out or academic month salary for college or university faculty, but may be used for summer compensation. The CAC award may not be used for indirect costs. These restrictions do not apply to matching funds. Neither the award nor the match may be used to supplant existing research funding streams.

Matching Funds
All grant recipients must provide a dollar-for-dollar (1:1) match. The match may be from corporate or private contributions, local or federal government, or earned income. State funds cannot be used as a match. A combination of cash and in-kind contributions may be used to match the grant request, with a maximum of 50% in-kind contributions permitted with the approval of the Research in the Arts Program Specialist (see Staff Assistance).

Eligible In-Kind Match:
• Value of non-cash donations provided by third parties. These can be in the form of space, consultancy, training, services, supplies, and other expendable property.
• In-kind goods and services may not be provided by either the applicant organization or any individual or organization that is being compensated as part of the grant contract. In-kind donations by state entities are ineligible.

Applicant Eligibility
• Lead applicants must be California-based non-profit, 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.
• The applicant organization must be able to demonstrate, at minimum, a three-year history of arts-based research.
• 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.
• Use of fiscal sponsors is not allowed.
• Applicants must complete a DataArts Profile and CAC DataArts Funder Report at the time of application. Non-arts organizations completing a DataArts profile should create the account for their arts program and list the non-arts organization as the parent organization. The data should pertain only to the arts program.
• Matching funds requirement for this program must be met.
• Applicants to this program are not restricted from applying to and receiving funding from competitive CAC grant programs, as long as those funds support distinctly different projects or activities.

Project Requirements
• By the end of the 2-year grant period, the applicant must develop and complete a project addressing the program’s purpose.
• 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 2-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.
• 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.)

What the CAC Does Not Fund
• Activities or services not directly related to the purpose of this grant program
• Hospitality or food costs
• Former grantee organizations not in compliance with CAC grant requirements (as stipulated in grant agreement)
• Non-arts organizations not involved in arts activities (as applicants)
• For-profit organizations (as applicants)
• Fundraising activities or services such as annual campaigns, fundraising events, or grant writing
• Programs of other state or federal agencies
• Programs or services intended for private use, or for use by restricted membership
• Projects with religious purposes
• Activities that are part of the curricular base of schools, colleges, or universities. CAC funds may not be used for course buy-out or for academic month salary for college or university faculty.
• Trusts, endowment funds or investments
• Capital outlay, including construction; purchase of land, buildings, or equipment other than consumable production materials; or for the elimination of accumulated deficit
• Out-of-state travel activities
• Expenses incurred before the start or after the ending date of the grant

Application Process
Applications are accepted online only and several required attachments must be prepared prior to submitting an online application. View complete application instructions at this link: http://arts.ca.gov/programs/program_files/1617/ria/FY16-17Research%20in%20the%20Arts%20Application%20Instructions.pdf

Review Criteria
A 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 method as well as its 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 to an application. A 6-point ranking system will be implemented. Panelists’ ranks are averaged to obtain the final score.

For each of the rankings listed below, the description refers to the content of the application, where the application is defined as the entire grant proposal that articulates the content of programs and services to be rendered by the applicant.

<table>
<thead>
<tr>
<th>6</th>
<th>Exemplary</th>
<th>Meets all of the review criteria to the highest degree possible</th>
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<tbody>
<tr>
<td>5</td>
<td>Strong</td>
<td>Meets all of the review criteria in a significant manner</td>
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<tr>
<td>4</td>
<td>Good</td>
<td>Meets the majority of the review criteria; however, areas of the application need improvement, development or clarification</td>
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<tr>
<td>3</td>
<td>Marginal</td>
<td>Does not meet the majority of the review criteria in a significant manner</td>
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<tr>
<td>2</td>
<td>Weak</td>
<td>Significant inadequacies in addressing review criteria</td>
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<tr>
<td>1</td>
<td>Ineligible</td>
<td>Inappropriate for CAC support: incomplete applications, applications with significant ineligible expenses, and proposals that do not meet program requirements</td>
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Depending on the amount of funds available and the number of applicants, a cutoff point will be made based on the ranking. Funding recommendations will be decided through this process.

**California Arts Council Decision-making**
The final authority for grant decisions is the appointed Council. Subsequent to receiving and reviewing the peer panel’s recommendations, the Council will take into consideration 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 on that funding, and/or the rank a proposal receives from the peer review panel.

Should a grant award be made for an amount less than the request amount, the applicant will be required to confirm that the goals of the original request can be met or modified with a lesser grant award.

**Timeline**

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<thead>
<tr>
<th>Date</th>
<th>Description</th>
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<tbody>
<tr>
<td>January 2017</td>
<td>Application available</td>
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<tr>
<td>March 29, 2017, 5:00 PM</td>
<td>Application deadline (online)</td>
</tr>
<tr>
<td>May 2017</td>
<td>Funding decisions</td>
</tr>
<tr>
<td>June 2017</td>
<td>Funding notifications</td>
</tr>
<tr>
<td>June 30, 2017 – June 30, 2019</td>
<td>Funded activity period (per grant agreement)</td>
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**Grantee Requirements**

- 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 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.”
- When discussing the project and activities supported by this grant, verbal credit must be given to the CAC.
- A Final Report summarizing grant-funded activities and accomplishments will be required at the end of the grant period.

**Staff Assistance**
CAC staff is available on a limited basis 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.

**Contact:** Shelly Gilbride, Programs Officer, shelly.gilbride@arts.ca.gov/ 916-324-0075
or Josy Miller, Arts Education Programs Specialist, josy.miller@arts.ca.gov/916-322-6385