

# National Assembly of State Arts Agencies

## KNOWLEDGE ★ REPRESENTATION ★ COMMUNITY

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### MEMORANDUM

**TO:** All State Arts Agency and Regional Arts Organization Grants and Fiscal Officers

**FR:** Kelly Liu, Grants Data Associate  
Ryan Stubbs, Senior Director of Research

**DA:** September 6, 2022

**RE: NEA FY2021 Partnership Agreement Grant Reports (NEA Grant #s xxxxxxxx-61-21 for SAA and RAO FY2022 activities) FDR Reporting Requirement Reminder Memo**

It's that time of year again! In the next few months, most of you will be reporting on your Partnership Agreement grant activities by submitting Final Reports (Final Descriptive Reports, or FDRs, and Federal Financial Reports, or FFRs) to the National Endowment for the Arts (NEA). **Please review closely, as guidance and instructions have been updated.**

**The National Endowment for the Arts requires you to send copies of your FDR materials to NASAA at the same time as your submission to the NEA.** In cooperation, the NEA and NASAA use your data to show how Partnership Agreement dollars are spent, to describe state arts agency and regional arts organization achievements, and to demonstrate the effectiveness of the partnership. Timely reports help the NEA maintain accountability with Congress and help NASAA and the NEA document the benefits of public funding for the arts.

**The FFR** should reflect the actual expenditure of costs from your approved partnership agreement award budget, and demonstrate that you have met the required minimum one-to-one match/cost share. **Any federal or cost share/matching expenses reported on the FFR must be fully compliant with the General Terms and Conditions that accompany your award.**

You must be able to assign the federal and cost share amounts on your FFR to specific expenses listed on your FDR. If you are audited, documentation of these allocated costs will be required for review.

**Use the FDR** to report on **all** activities conducted under the State Arts Plan or Regional Arts Plan (SAA/RAO Arts Plan) that was approved as part of your Arts Endowment Partnership application and took place within the approved period of performance for this Partnership Agreement.

- All expenditures reported on the FDR that correspond to the cost share/match reported on the FFR must be in compliance with the General Terms and Conditions for the award.
- Expenditures reported on the FDR that were not supported by the NEA funds and cost share/match reported on your FFR do not need to align with the federal requirements outlined in the General Terms and Conditions for the award.

The FDR data is meant to generate an SAA/RAO database that includes FDR activity representing the entirety of an agency's operations while requiring allowable cost share/match only for those projects designated as match on the FFR.

The expenses reported on the FDR in most cases will exceed the expenses listed on the FFR, since generally not all SAA/RAO activities are supported by the NEA grant and the cost share/match.

To add your statistical information to the national database of all state and regional grant awards, please prepare your NEA FY2021 Partnership Agreement grant files as soon as possible and in accordance with your grant's final reporting requirements. Contact NASAA or the NEA with any questions.

### **Submit the NEA's FDR and FFR by completing the webforms in REACH**

<https://grants.arts.gov/eGMS-Reach/Login.aspx>. Your login was provided in your offer and award notification letter. A handbook on managing your award in REACH can be downloaded at <https://www.arts.gov/sites/default/files/How-to-Manage-Your-Award-Handbook-UEI-Update-5.3.22.pdf>.

**You will complete the following in REACH:**

- **Final Descriptive Report SAA-RAO (webform in REACH to confirm NASAA submission)**
- **Federal Financial Report – FFR (webform in REACH)**
- **Folk Arts Narrative (upload if applicable)**

Do not upload the DETAIL and PROJECT ACTIVITY LOCATIONS sequencing forms and data files. **Though they must still be e-mailed to NASAA.**

**Extension requests for grants and final reports must be made to the NEA in REACH.** Inform NASAA once your extension has been approved, and the new date your report will be due.

### **Guidelines**

1. **The new federal Unique Entity Identifier (SAM-UEI) must be reported for each grantee who is not an individual artist.** Individual artists are exempt. **The UEI is only required for subgrants made with NEA funds or the cost share/match reported on your FFR.** The SAM-UEI replaced the DUNS on April 4, 2022, and is now reported in the field sequence in your DETAIL data file.
2. Additionally, we would like grants and fiscal officers to be aware of minor reporting changes for next year's FDR. **Beginning NEA FY2022/SAA RAO FY2023, the fields "NEA Primary Strategic Outcome" and "Population Benefited by Race" will be retired.** Instructions to that effect will be in the memo we will email to you in the summer of 2023.
3. Your FDR report should include **grants and activities supported by the NEA FY2021 Partnership grant funds, the state/regional funds used as cost share/matching funds for that NEA grant (not grants and activities for other NEA fiscal years) and all nonmatching funds. Make sure to include nongrant programmatic**

services and activities supported by NEA FY2021 Partnership Agreement funds or by cost share/matching and nonmatching funds (see [Attachment A for guidance](#)). The report should detail how your agency used state/regional, federal or other dollars to support all programs and services. Examples of how to report special cases (nongrant program activities, regrants and fiscal agents) can be found in [Attachment A](#). If you are not certain how to record an activity in the standard FDR format, contact NASAA.

4. **NASAA collects, cleans and maintains data submitted for the FDR DETAIL and ACTIVITY LOCATION sections. The FDR DETAIL and ACTIVITY LOCATION are exported data files of all your grant-making and programmatic activities.** Make sure that your data file lists all of the required data elements in the correct sequence, as described in [Attachment B](#) for DETAIL and [Attachment C](#) for ACTIVITY LOCATION. Compare your files to the models provided in [Attachment D](#) to confirm that your data files have been exported correctly. NASAA prefers text (.txt) delimited files for your DETAIL section, but can accept most file types, including .accdb, .mdb, .csv, .xls and .xlsx files.
5. Submit your DETAIL and ACTIVITY LOCATION data files along with a **Data Sequencing form for both** (see [Attachment F](#)). The forms help NASAA map your information into our national database.
6. Your report and data files need not include records of unfunded grant applications.
7. **To extend the period of performance for your Partnership Award, you must make your request to the NEA in REACH.** Please inform NASAA of your new extended FDR report date once approved so we know when to expect your data.
8. You must send your completed Final Descriptive Report materials to the **NEA via REACH and to NASAA via e-mail**. The NEA package should contain:
  - your FFR (Federal Financial Report),
  - the Final Descriptive Report SAA-RAO webform to confirm NASAA submission,
  - the narrative report for Folk Arts Partnership, if applicable.

If you have any questions, contact the NEA Office of Grants Management at [grants@arts.gov](mailto:grants@arts.gov).

E-mail the NASAA package to Grants Data Associate Kelly Liu, [kelly.liu@nasaa-arts.org](mailto:kelly.liu@nasaa-arts.org), and include the following:

- the DETAIL data sequencing form,
- the DETAIL data file,
- the ACTIVITY LOCATION data sequencing form,
- the ACTIVITY LOCATION data file,
- a message describing any unique formats or contents.

If you have any problems creating your report or data file, contact Kelly Liu at 202-347-6352 x101 or [kelly.liu@nasaa-arts.org](mailto:kelly.liu@nasaa-arts.org).

To view the Quick and Easy Guide or examples of how FDR data is used, consult NASAA's [Federal Reporting resources](#).

## Reporting Reminders

### Report the Full Scope of Activities

The FDR should include all grants and nongrant programmatic services and activities conducted under the State/Regional Arts Plan that was approved as part of your NEA Partnership application, including activities funded by NEA grant funds, state or regional funds used as cost share/match for the NEA grant, and other state or regional funds/additional sources.

The FFR should reflect the **actual expenditure** of the approved partnership agreement award budget. The FFR will show the NEA funds and confirm the final, actual Recipient Share (i.e., state/regional cost share/match) for the federal award. This cost share/match must be at least one to one, but may be more, as long as all expenditures reported here are in compliance with the General Terms and Conditions for the award. **You must be able to assign the federal and cost share/match amounts on your FFR to specific expenses listed on your FDR.**

### Federal Accountability

The Federal Funding Accountability and Transparency Act requires SAAs and RAOs to provide special reporting on each grant that includes \$30,000 or more in federal funds. See [Attachment H](#) for a summary of the reporting requirements. In addition, this [NEA webinar](#) offers clarification on uniform administrative requirements, cost principles and audit requirements for federal awards (a.k.a. Part 200) pertaining to NEA Partnership Agreements and subawards.

## Reporting the Full Scope of Your Grants and Programs

Your Final Descriptive Report should include grants and activities supported by National Endowment for the Arts fiscal year 2021 Partnership grant funds, the state/regional funds matching the Partnership grant (not grants and activities for other NEA fiscal years) and all nonmatching funds. Make sure to include nongrant programmatic services and activities supported by NEA FY2021 Partnership Agreement funds or by matching and nonmatching funds.

The Federal Financial Report should reflect the actual expenditure of NEA funds and confirm the final, actual Recipient Share (state/regional match) for the federal award. This match must be at least one to one, but may be more, as long as all expenditures reported here are in compliance with the General Terms and Conditions for the award.

## Reporting Multiyear Grants

Do not include carryover funds for grants and activities supported by a previous year's Partnership and match. Those expenditures should be amended on that previous year's FDR and re-sent to the Arts Endowment and NASAA.

## Reporting Nongrant Programmatic Activities

In addition to grants, state arts agencies and regional arts organizations should record programmatic activities in their FDRs. Although these activities are not grants to other organizations/individuals, reporting this activity allows the Arts Endowment and NASAA to better understand the scope of SAA and RAO programs and services. Examples of this include artist rosters, technical assistance workshops and exhibitions produced in-house.

Each activity should be reported as a separate record, with Applicant Name listed as "SAA/RAO-Program Name." All records for these programs and services should be reported with Applicant Status = 05 for SAAs or 02 for RAOs, Applicant Institution = 16, and Applicant Discipline = 14. The financial fields for grant amount and project budget should all equal each other (Amount Requested, Amount Awarded, Amount Spent, Total Project Expenses, and Total Project Income). All other fields should be coded to reflect the activity in a manner similar to other grant records.

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

## Reporting Regranting Activities

SAAs and RAOs that provide grants to organizations for the purposes of regranting are required to report the initial grants but not the subsequent regrants. These records should be reported with Activity Type = 26. While not required by the Arts Endowment, NASAA collects regranting data into a separate table as service to state arts agencies for the purpose of research and analysis.

## Reporting Fiscal Agents

SAAs and RAOs may not use federal funds or funds that match their federal funds to support awards to organizations that use fiscal agents. SAAs and RAOs may utilize funds over and above their NEA grant and any matching funds to make such awards. SAAs and RAOs that provide grants to organizations that use fiscal agents are required to report on the fiscal agents as if they are grantees. While the grantee name and location in the FDR should reflect the fiscal agent, all other data in the FDR and the Activity Location table should reflect actual project activities. Please note that the National Standard includes fields for Payee and Provider of Services that may be helpful to include in your database to track these situations.

## DETAILS Section Data Fields and Sequence

Field Name and Order	Data Type	Recommended Length
1 Applicant Name	text	100 characters
2 Applicant Street Address	text	No specification
3 Applicant City	text	25 characters
4 Applicant State	text	2 characters
5 Applicant Zip	text	5 characters
6 Applicant Status	text	2 characters
7 Applicant SAM-UEI <sup>4</sup>	text	12 characters
8 Applicant Institution	text	2 characters
9 Applicant Discipline	text	3 characters
10 NEA Primary Strategic Outcome	text	1 character
11 Project Discipline	text	3 characters
12 Activity Type	text	2 characters
13 Arts Education	text	2 characters
14a Adults engaged: In-person arts experience	numeric	8 digits
14b Children engaged: In-person arts experience	numeric	8 digits
15 Artists Directly Involved	numeric	8 digits
16 Population Benefited by Race <sup>1</sup>	text	6 characters
17 Population Benefited by Age <sup>1</sup>	text	8 characters
18 Population Benefited by Distinct Group <sup>1</sup>	text	6 characters
19 Amount Requested	numeric	8 digits
20 Amount Awarded	numeric	8 digits
21 Amount Spent	numeric	8 digits
22 Total Project Expenses	numeric	8 digits
23 Total Project Income	numeric	8 digits
24 Total Project In-Kind	numeric	8 digits
25 NEA Share	numeric	8 digits
26 SAA or RAO Share	numeric	8 digits
27 Other Share	numeric	8 digits
28 SAA or RAO Unique Identifier <sup>2</sup>	text/numeric	9 characters
29 Constituent ID <sup>3</sup>	text/numeric	10 characters

## NOTES

<sup>1</sup> Multiple selections are allowed for this field.

<sup>2</sup> Indicates each agency's unique system of grant identification numbers for each record.

<sup>3</sup> Indicates each agency's unique identification number used in its constituent list or mailing list database. A grantee's Federal Employer Identification Number (FEIN) may also be used. Although reporting this field is voluntary, agencies are strongly encouraged to include this information.

<sup>4</sup> SAM-UEI replaces DUNS for all FDRs submitted after 4/4/2022, regardless of when the awards were issued or closed. Individual artists are exempt – enter IND.

## Project Activity Location Information

Though it is preferable to report Project Activity Locations for all grants and non-grant program records in the DETAILS section, it is only mandatory for a select number of activities below. These activities correspond to the Arts Endowment's column A activities in their FDR [instructions](#). For additional guidance and answers to frequently asked question about activity location reporting, [consult this document](#).

## Type of Activity Requiring Location Information

02 Audience Services	20 School Residency
04 Artwork Creation	21 Other Residency
05 Concert/Performance/Reading	22 Seminar/Conference
06 Exhibition	24 Distribution of Art
07 Facility Construction/Maintenance	25 Apprenticeship
08 Fair/Festival	29 Professional Development/Training
10 Organization Establishment	33 Building Public Awareness
12 Arts Instruction	34 Technical Assistance
16 Recording/Filming/Taping	37 Public Art/Percent for Art
18 Repair/Restoration/Conservation	

## ACTIVITY LOCATION Section Data Fields and Sequence

(Do not include the name of the venue in street address)

Field Name and Order	Field Type	Recommended Length
1 Venue Street Address <sup>1,4</sup>	text	No specification
2 Venue City <sup>1</sup>	text	25 characters
3 Venue State <sup>1</sup>	text	2 characters
4 Venue Zip <sup>1</sup>	text	5 characters
5 Venue Latitude <sup>2</sup>	double/float	5 decimal places
6 Venue Longitude <sup>2</sup>	double/float	5 decimal places
7 Number of Days	numeric	3 digits
8 SAA or RAO Unique Identifier <sup>3</sup>	text/numeric	9 characters

### NOTES

<sup>1</sup> Latitude and Longitude can be provided in lieu of Venue Address, City, State & Zip

<sup>2</sup> The four fields of Venue street address, Venue city, Venue state, Venue Zip can be provided in lieu of Latitude and Longitude

<sup>3</sup> Must be the same grant identification number as its DETAIL record so they can be joined.

<sup>4</sup> Do not include the name of the venue in Venue Street Address

NASAA guidance is based on NEA instructions and requirements. For questions about NEA requirements, contact Lara Holman Garritano at the Endowment at 202-682-5586 or [garritanol@arts.gov](mailto:garritanol@arts.gov). For technical implementation questions and guidance, contact Kelly Liu at NASAA at 202-347-6352 x101 or [kelly.liu@nasaa-arts.org](mailto:kelly.liu@nasaa-arts.org).



## The Electronic DETAIL and ACTIVITY LOCATION Sections

DETAIL and ACTIVITY LOCATION records should only be exported to an electronic file in a database-ready format. Database-ready formats can be text files delimited by comma, tab, or space; in an Excel spreadsheet; or in an Access .accdb or .mdb database table.

A text delimited file is a file where each grant record appears on its own single line. Fields are separated by commas, tabs, or spaces. **Please include the field names as the first line in the file.** Field names help us map each data element into its proper field in the national database of all SAA and RAO grants. When you have finished exporting your DETAIL and ACTIVITY LOCATION data, check to see that it is in a delimited format and that all information appears in the sequence shown in [Attachment B for DETAILS](#) and [Attachment C for LOCATIONS](#).

You should export your DETAIL data so that the file looks like this:

### In a comma delimited format

```
"Artspace","123 Main St","Anahiem","AK","99072","02","990753121","15","14","A","14","11","99",5500,180,24,"NW","0103","G",5000,3886,3886,13831,15062,3020,3886,0,0,"ID855"
"Ctr for Children","52 Maple Ave","Anahiem","AK","99401","9211","02","07511250","25","14","C","12","20","01",95,18,9,"W","01","Y",677,525,525,1554,1810,256,225,300,0,"Y1077"
```

### In a tab delimited format

```
"Artspace" "123 Main St" "Anahiem" "AK" "99072" "7175" "02" "990753121" "15" "14" "A" "14" "11" "99" 5500 180 240 "NW" "0103" "G" 5000 3886 3886 13831 15062 3020 3886 0 0 "ID855"
"Ctr for Children" "52 Maple Ave" "Anahiem" "AK" "99401" "9211" "02" "07511250" "25" "14" "C" "12" "20" "01" 95 18 9 "W" "01" "Y" 677 525 525 1554 1810 256 225 300 0 "Y1077"
```

You should export your ACTIVITY LOCATION data so that the file looks like this:

### In a comma delimited format

```
"321 Elm St","Anahiem","AK","99072",35.973655,-75.183301,14,"ID855"
"52 Maple Ave","Anahiem","AK","99401",32.011057,-72.48025,3,"Y1077"
```

### In a tab delimited format

```
"321 Elm St" "Anahiem" "AK" "99072" "7175" 35.973655 -75.183301 14 "ID855"
"52 Maple Ave" "Anahiem" "AK" "99401" "9211" 32.011057 -72.48025 3 "Y1077"
```

If you have questions regarding these formats, please contact [Kelly Liu](#) at NASAA for assistance.

Attachment D



## HOW TO SUBMIT THE FINAL REPORTS FOR FY18 - FY21 AWARDS

## 1. To the NEA:

**NEW** as of FY18 awards - submit reports via REACH at <https://grants.arts.gov/eGMS-Reach/Login.aspx>. Go to the Forms & Reports Tab of your award and click the "pen" next to the report. You are able to edit each report until the status changes to "Under Review" in REACH.

The FDR webform in REACH is simply a confirmation that you have submitted all required DETAILS and PROJECT ACTIVITY LOCATION forms to NASAA, completed in their entirety.

★ Submit the following directly to the NEA in REACH:

- ☐ **Final Descriptive Report SAA-RAO** (complete webform to confirm NASAA submission)
- ☐ **Folk Arts Partnership Narrative** (upload file, if applicable), and
- ☐ **Federal Financial Report** or FFR (complete webform in REACH)

2. To the **National Assembly of State Arts Agencies** (NASAA):

★ Submit the following to NASAA:

- ☐ **DETAILS Data Sequencing Form**
- ☐ **DETAILS Section** (electronic format)
- ☐ **PROJECT ACTIVITY LOCATION Data Sequencing Form** (if applicable)
- ☐ **PROJECT ACTIVITY LOCATION Section** (if applicable)

For additional instructions on how to submit data to NASAA see [nasaa-arts.org/research/federal-reporting/](https://nasaa-arts.org/research/federal-reporting/).

**NOTE:** NASAA does not need the Folk Arts Partnership narrative or the FFR.

**IMPORTANT:** Retain a copy of the entire FDR and FFR for your records.

See the [General Terms & Conditions for Partnership Agreements](#) for record retention requirements.

## NEA FINAL DESCRIPTIVE REPORT: DETAIL DATA SEQUENCING FORM

SAA / RAO:

NEA Grant #:

Total # of grants/records in file:

Name of File:

Software used to produce the file:

Export Format of File--select one

☐ ASCII text delimited (preferred)☐ ASCII tab delimited☐ Access☐ Excel☐ Other:

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

	FieldName	Type*	MaxLength
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14a			
14b			
15			
16			
17			
18			
19			
20			

	FieldName	Type*	MaxLength
21			
22			
23			
24			
25			
26			
27			
28			

\*Text/character, numeric, or logical

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

Name:

Title:

Phone:

E-mail:

**NEA FINAL DESCRIPTIVE REPORT: PROJECT ACTIVITY LOCATION DATA SEQUENCING FORM****SAA / RAO:****NEA Grant #:****Total # of locations/records in file:****Name of File:****Software used to produce the file:****Export Format of File--select one**

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

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

	FieldName	Type*	MaxLength
1			
2			
3			
4			
5			
6			
7			
8			

\*Text/character, numeric, or logical

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

Name:

Title:

Phone:

E-mail:

# “Cheat Sheet” for SAA/RAO FY22 Final Descriptive Report Codes

## ATTACHMENT G

### Applicant Status

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

### Type of Activity

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

### Applicant Institution

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

### Disciplines (Applicant & Project)

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

### Disciplines (Continued)

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

### NEA Primary Strategic Outcome

- A Creation
- B Engagement
- C Learning
- D Livability
- E Understanding

### Arts Education

- 01 50% or more of funded activities are arts education
- 02 Less than 50% of funded activities are arts education
- 99 None of this project involves arts education

### Population Benefited by Race/Ethnicity

- A Asian
- B Black/African American
- H Hispanic/Latino
- N American Indian/Alaska Native
- P Native Hawaiian/Pacific Islander
- W White
- G No single race/ethnic group listed above made up 25% or more of the population directly benefited.

### Population Benefited by Age

- 01 Children/Youth (0-18 years)
- 02 Young Adults (19-24 years)
- 03 Adults (25-64 years)
- 04 Older Adults (65+ years)
- 09 No single age group listed above made up 25% or more of the population directly benefitted.

### Population Benefited by Distinct Groups

- D Individuals with Disabilities
- I Individuals in Institutions
- P Individuals below the Poverty line
- E Individuals with limited English proficiency
- M Military veterans/Active duty personnel
- Y Youth at risk
- G No single distinct group listed above made up 25% or more of the population directly benefitted



## FFATA FAQs: THE TRANSPARENCY ACT and SUB-AWARD REPORTING REQUIREMENTS

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

Updated 10/5/21

### (1) What is the Transparency Act?

The Federal Funding Accountability and Transparency Act (FFATA or Transparency Act - P.L. 109-282, as amended by section 6202(a) of P.L. 110-252) requires the Office of Management and Budget (OMB) to maintain a single, searchable website that contains information on federal awards. That site is [www.USASpending.gov](http://www.USASpending.gov). The National Endowment for the Arts reports all awards issued by the Agency to [USASpending.gov](http://USASpending.gov).

The Transparency Act's definition of "federal awards" includes not only grants, cooperative agreements, loans, and contracts, made directly to a non-Federal entity by the Federal government, but also your subawards made with federal funds.

- You must report any allowable subawards that you make with NEA funds to [USASpending.gov](http://USASpending.gov).

As an NEA grantee, your agency or organization may be termed the "prime" or "direct" recipient in different databases.

### (2) What is a subaward?

OMB guidance defines a subaward as a monetary award made as a result of a federal award to a grant recipient that is then disbursed to a subrecipient. (See the glossary at the end of the document)

Regardless of whether you call your subawards grants or contracts, they are considered subawards for purposes of this reporting.

### (3) What federal awards are subject to these reporting requirements?

All NEA grants and cooperative agreements currently approved for subaward activity are subject to FFATA reporting requirements

The FFATA reporting requirements apply only to subawards that include \$30,000 or more in federal funds regardless of the fiscal year of the NEA award that supports such activity (2 CFR 170, Appendix A).

- (a) Only those subawards that include \$30,000 or more in NEA funds must be reported to [USASpending.gov](http://USASpending.gov).

- (b) This requirement does not apply to the following:

- Subawards equal to or greater than \$30,000, if the amount of NEA funding in the subaward is less than \$30,000 per award. For example, you issue a subaward for \$40,000, which includes \$20,000 in non-federal funds and \$20,000 in NEA funds.
- Subawards that do not equal or exceed \$30,000. For example, you issue a subaward for \$25,000.

- (c) If a subaward that did not initially trigger the FFATA reporting threshold is later amended so that the amount of federal funding subsequently DOES equal or exceed \$30,000, then the subaward must be reported at the time of the amendment.
- (d) If a subaward that initially equaled or exceeded \$30,000 is subsequently amended so that the total award amount falls below \$30,000, the award continues to be subject to the reporting requirement

#### **(4) IMPORTANT: Change in Reporting Threshold**

- (a) All Subawards issued **on or after October 1, 2020**, have a reporting threshold of **\$30,000** or more in federal funds per subaward regardless of the fiscal year of your NEA award.
  - (b) Subawards issued **on or prior to September 30, 2020**, have a reporting threshold of **\$25,000** or more in federal funds per subaward regardless of the fiscal year of your NEA award.
- **For example, your organization issued an award for \$32,000 in federal funds on June 1, 2021, from your NEA award with a grant number ending in -19. Does this subaward need to be reported?**  
You must report \$32,000 this subaward because the subaward was issued with more than \$30,000 in NEA funds after October 1, 2020.

#### **(5) Where is this information reported?**

As the federal recipient, or what FSRS terms the "Prime Awardee," you must report on subawards that meet the reporting threshold using the Federal Funding Accountability and Transparency Act Subaward Reporting System (or FSRS) at [www.fsrs.gov](http://www.fsrs.gov).

#### **(6) How do I do this?**

Go to the website [www.fsrs.gov](http://www.fsrs.gov). A user guide and FAQs are available on the home page for the website. The user guide also includes registration information for new users.

**The following is a brief summary of how to access the [www.fsrs.gov](http://www.fsrs.gov) website and the expected data you will need to enter.**

Enter your National Endowment for the Arts award number (exactly as it appears on your Official Notice of Action, including letters and hyphens).

This is an example of an award number or Federal Award ID Number (FAIN). Your Official Notice of Action will include numbers where the X's are and the fiscal year (FY) at the end of the number.

<b>OFFICIAL NOTICE OF ACTION</b> National Endowment for the Arts	
<b>Action Taken:</b> Award	<b>Date of Action:</b>
<b>FEDERAL AWARD INFORMATION</b>	
<b>Federal Award ID Number (FAIN)</b>	XXXXXXXX-XX-FY
<b>Award Recipient</b>	

The award number (FAIN) links the report to the information that the NEA has already reported about your prime award.

Other data that exists in databases such as the System for Award Management (SAM.gov) will be pre-populated.

**NOTE:** Only you as the prime awardee can submit FSRS data; subawardees do not report their own information.

### **(7) What information do I need to have in order to report?**

Once you have linked to the relevant National Endowment for the Arts award number (also called the "Federal Award Identification Number," or FAIN) in FSRS, certain award information will pre-populate, including:

▪ Federal Agency Name/ID	=	National Endowment for the Arts/5920
▪ Assistance Listings number (formerly the Federal CFDA number)	=	45.025 for Partnership awards, or 45.024 for all other grants
▪ Project Description	=	the "award description" listed on your official National Endowment for the Arts' Notice of Action
▪ Total Federal Funding Amount	=	your NEA award amount
▪ Prime Awardee Name, Address, and Unique Entity Identifier (UEI)	=	as listed on your official NEA Notice of Action; if any of this information is not correct, please let us know by e-mailing <a href="mailto:grants@arts.gov">grants@arts.gov</a>
▪ Obligation Action Date	=	the "award date" on the official NEA Notice of Action

Next, you will provide the following information about your own agency/organization:

- **Principal Place of Performance for the "Prime" award.** This may be the same or different from your address in SAM.gov and Dun & Bradstreet (D&B).
- **Executive Compensation** - responses to the questions about this.\*\*

Finally, for all subawards obligated with \$30,000 or more in federal funds, you will provide the following data:

- **Subawardee Name, Address, and Unique Entity Identifier** (UEI, currently a D&B number known as a DUNS number). Remember, all subawardees (except individuals) must have a UEI; this is used to pre-populate information in FSRS; if the UEI information is not correct, the subawardee must update the information in SAM.gov and D&B. **See the glossary for important information about a change to the UEI of record that will occur on April 4, 2022.**
- **Amount of the Subaward.**
- **Subaward Obligation Action Date.** This is the date that your agency/organization uses for the official subaward obligation date, and can vary depending on your internal policies



- **Subaward Project Description.** As determined by your organization
- **Place of Performance for the activity supported by the subaward.** May be the same or different than the subawardee's DUNS UEI physical address.
- **Subaward Number.** As determined by your organization
- **Responses to the questions about Executive Compensation.**

**\*\*Note:** We do not expect that most NEA grantees or subawardees are required to report on executive compensation. This is required only if the award recipient receives more than 80% of annual gross revenues from the federal government in your organization's preceding fiscal year, and those revenues are greater than \$25 million annually (2 CFR 170); and the public doesn't have access to information about the compensation of the top five executives through periodic reports filed under section 6104 of the Internal Revenue Code of 1986 (e.g., 990s); 13(a) or 15(d) of the Securities Exchange Act of 1934 (15USC 78m(a), 78o(d)); or through reports made available for state, local or county governments.

#### **(8) What is the deadline for reporting the subawards?**

You have until the end of the month plus one additional month after a subaward is obligated (again, this is the date that your agency/organization uses for the official award date, and can vary depending on your internal policies) to fulfill the reporting requirement.

- For example, if a subaward was made on August 15, 20xx, you have until September 30, 20xx to report the sub-award information.

**NOTICE: You are responsible for ensuring your organization's compliance with this reporting requirement (2 CFR 200.300(b)).**

#### **(9) Is this report data displayed to the public?**

Yes. Report data is displayed to the public via [www.USASpending.gov](http://www.USASpending.gov) under the "Sub-Award Spending Data" section.

#### **(10) General Terms and Conditions for National Endowment for the Arts awards.**

Transparency Act subrecipient reporting requirements are included in the *General Terms and Conditions* for your award (in the *Specific Terms and Conditions* for designated Local Arts Agencies).

**Remember that as a prime recipient, you are responsible for monitoring your subrecipient organizations to ensure compliance with all other federal and agency requirements as outlined and/or referenced in the *General Terms*.**

#### **(11) Additional Information and Online FAQs at FSRs.gov.**

Detailed reporting guidance can be found on the FSRs website [www.fsr.gov](http://www.fsr.gov).

- For technical assistance, refer to the Federal Service Desk online Answer Center at [www.fsd.gov](http://www.fsd.gov), or call 866-606-8220.

- If you have program-related questions or concerns regarding Transparency Act reporting, please contact [grants@arts.gov](mailto:grants@arts.gov).

## (12) GLOSSARY

Term	Definition
Pass-through entity	<p>A non-federal entity that provides a subaward to a subrecipient to carry out part of a federal program.</p> <p>For the Arts Endowment, this includes all State Arts Agencies, Regional Arts Organizations, and designated Local Arts Agencies that are issued NEA awards currently approved for subaward activity, who then issue subawards using NEA funds</p> <p>The pass-through entity issues subawards as dictated by the award terms and conditions and the NEA's authorizing legislation.</p> <ul style="list-style-type: none"> <li>▪ Note that the FSRS website uses the term "prime recipient" for a pass-through entity.</li> <li>▪ The secondary recipients are referred to as "subrecipients."</li> </ul>
Prime Awardee	<p>This term is used by the FSRS website.</p> <p>It is a non-federal entity that receives funds in the form of a grant or cooperative agreement, directly from the Federal Government. It is financially accountable for the use of federal funds and is legally responsible for carrying out the terms and condition of the award.</p>
Subaward	<p>An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out a project or activity identified as part of a federal award.</p> <p>A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.</p>
Subrecipient	<p>A non-federal entity that receives a subaward from a pass-through entity to carry out a project or activity identified with the federal program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.</p>
Unique Entity Identifier	<p>A Unique Entity Identifier (UEI) is a unique number assigned to all entities (public and private companies, individuals, institutions, or organizations) who register to do business with the federal government.</p> <ul style="list-style-type: none"> <li>▪ Since 2010, a Dun &amp; Bradstreet (DUNS) number has been required as the unique entity identifier for applying for, and obtaining, federal funds.</li> <li>▪ As of May 2021, existing entities registered in SAM.gov will automatically be assigned a new UEI which will be displayed in SAM.gov alongside the DUNS.</li> <li>▪ <b>IMPORTANT: On April 4, 2022, the federal government will switch from the DUNS number to a UEI generated by SAM.gov (SAM UEI) as the UEI of record.</b></li> </ul>