



Grants & Fiscal Officers' Peer Group Survey Results Overview

This was a survey of state arts agency grants and fiscal officers taken in advance of our peer session at Assembly 2018 in Baltimore. The topics covered by the survey were issues of interest to grants officers based, peer group coordinators and NASAA staff. Questions included those asking about technology, the grants panel process, and council roles. Forty seven SAAs completed the survey.

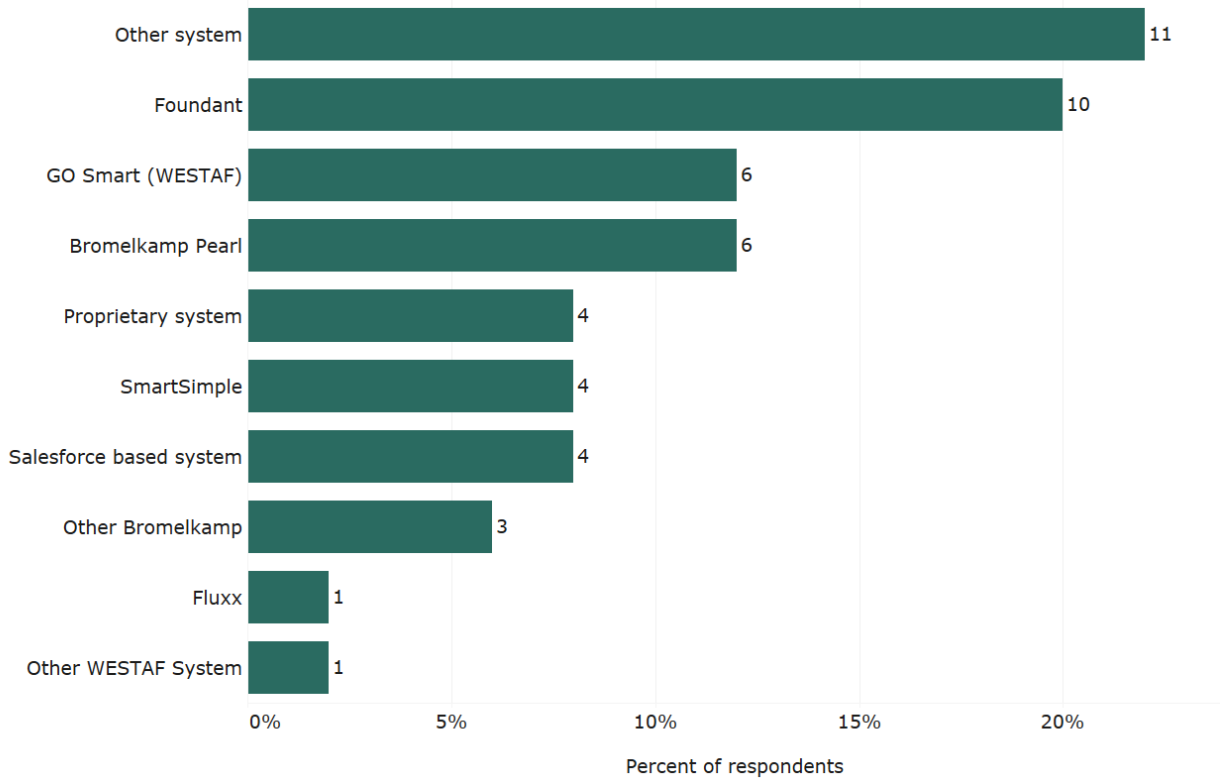
Key findings:

- SAAs reported a mixed bag of satisfaction with their current online application and final reports systems.
- Most SAAs are not seeking a new grants management system.
- But among those who are seeking a new GMS, ease of use is a top concern.
- Most SAAs pay their panelists.
- Expertise in the arts is the most common requirement for panelists.
- Recruiting panelists from diverse backgrounds is the most challenging for SAAs.
- Extensive self-evaluation is required for grantees.
- Most arts councils play an active role in the grant making process.
- Most SAAs make use of the Final Descriptive Report for their internal evaluation and reports to their council and the public.

Results

1) Number of SAAs that took the survey = 47

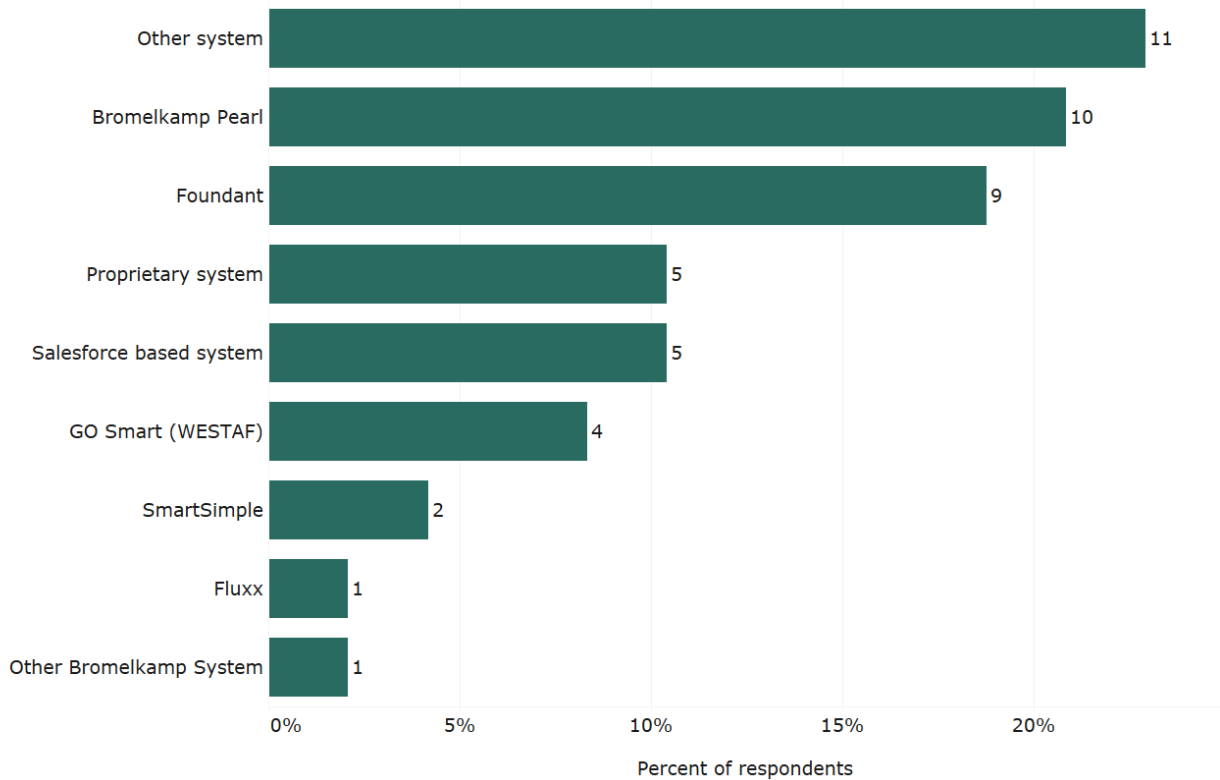
2a) What is your current system for collecting grant applications online?



2b) Comments from respondents who selected "Other".

- SlideRoom for application collection with Salesforce database
- WebGrants from Dulles - only our Quick grants at this time. All annual grants are paper applications.
- WebGrants by Dulles Technologies.

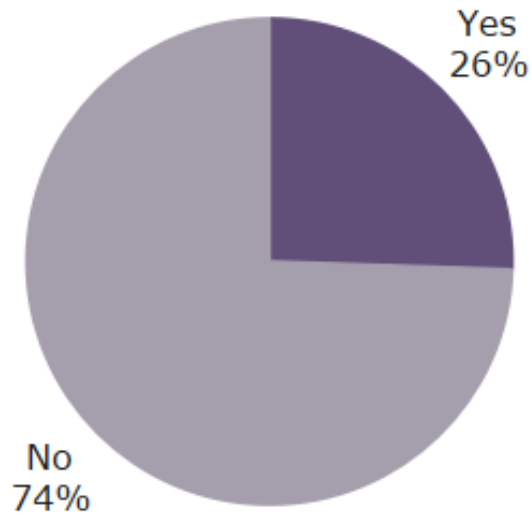
3a) What is your current system for preparing Final Descriptive Reports?



3b) Comments from respondents who selected "Other".

- WebGrants from Dulles - only our Quick grants at this time. All annual grants are paper final reports. Except our Arts Education annual grants, it is through our website. Created by internal staff. It is called, Making Learning Visible.
- SmartSimple & State of MO System
- Access 2013 network version.

4a) Are you actively seeking a new grants management system?



4b) SAAs seeking a new grants management system by the current online application system they are using.

Current system for grant applications online	Seeking a new GMS	
	No	Yes
Bromelkamp Pearl	50%	50%
Bromelkamp Pearl;GO Smart (WESTAF);SmartSimple		100%
Bromelkamp Pearl;Other Bromelkamp System		100%
Fluxx	100%	
Foundant	100%	
GO Smart (WESTAF)	40%	60%
Other Bromelkamp System	100%	
Other Bromelkamp System;SmartSimple	100%	
Other WESTAF System		100%
State's proprietary system	75%	25%
Salesforce based system	75%	25%
SmartSimple	100%	
Other	89%	11%

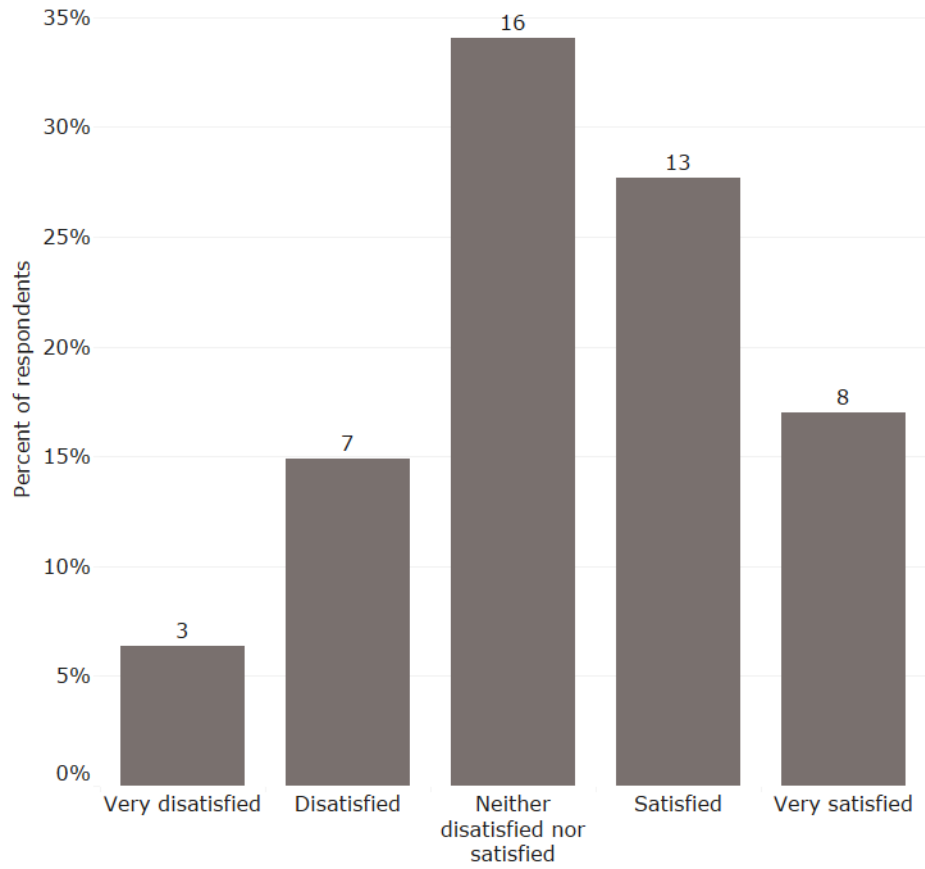
4c) SAAs seeking a new grants management system by the current final reporting system they are using.

Current system for preparing final reports	Seeking a new GMS	
	No	Yes
Bromelkamp Pearl	44%	56%
Bromelkamp Pearl;GO Smart (WESTAF)		100%
Fluxx	100%	
Foundant	100%	
GO Smart (WESTAF)	67%	33%
Other Bromelkamp System		100%
State's proprietary system	60%	40%
Salesforce based system	80%	20%
SmartSimple	100%	
Other	91%	9%

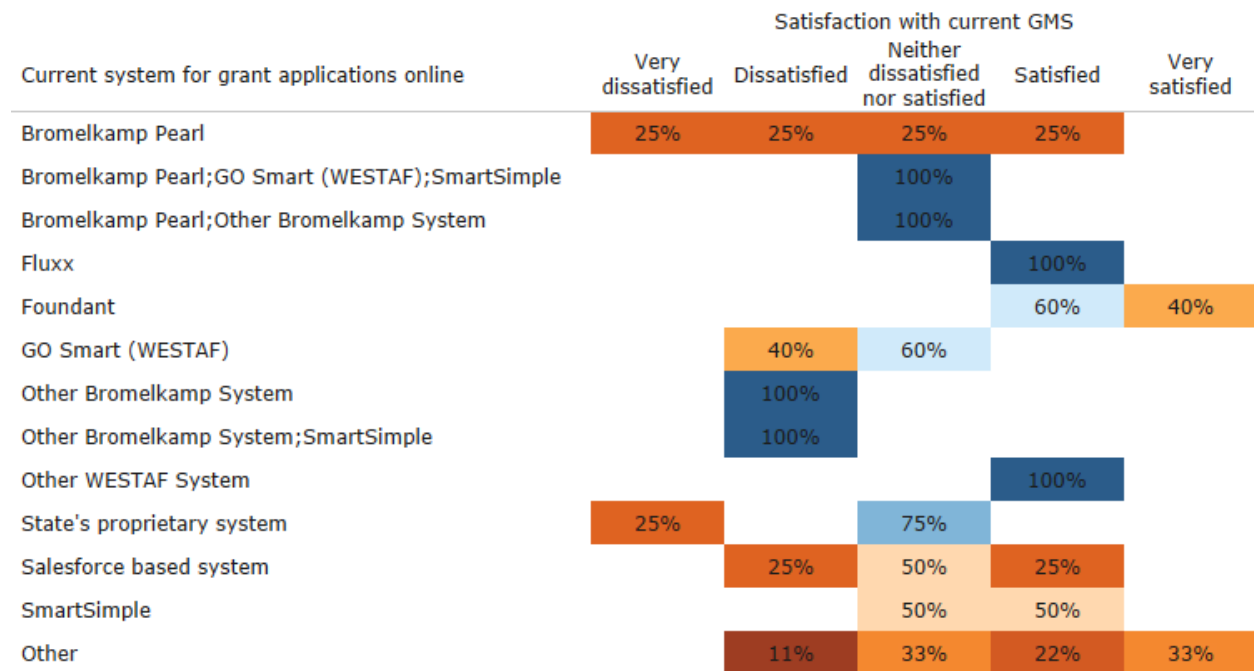
5) If transitioning between systems or planning a transition, how concerned are you with the following aspects of a transition?

	Not concerned	Slightly concerned	Moderately concerned	Very concerned
Ease of use for applicants	6.3%		15.6%	78.1%
Ease of use for grant panelists	6.3%		21.9%	71.9%
Ease of use for me and my agency	6.3%	3.1%	25.0%	65.6%
Ability of the new system to export data that I need	3.2%	9.7%	25.8%	61.3%
Ability of the new system to create Final Descriptive Reports	15.6%	3.1%	21.9%	59.4%
Transferring historical data to a new system		31.3%	15.6%	53.1%
Ability of the new system to accommodate multimedia applications	9.7%	12.9%	25.8%	51.6%
Stability of the new system at periods of high activity	9.4%	21.9%	21.9%	46.9%
Costs	6.3%	15.6%	34.4%	43.8%

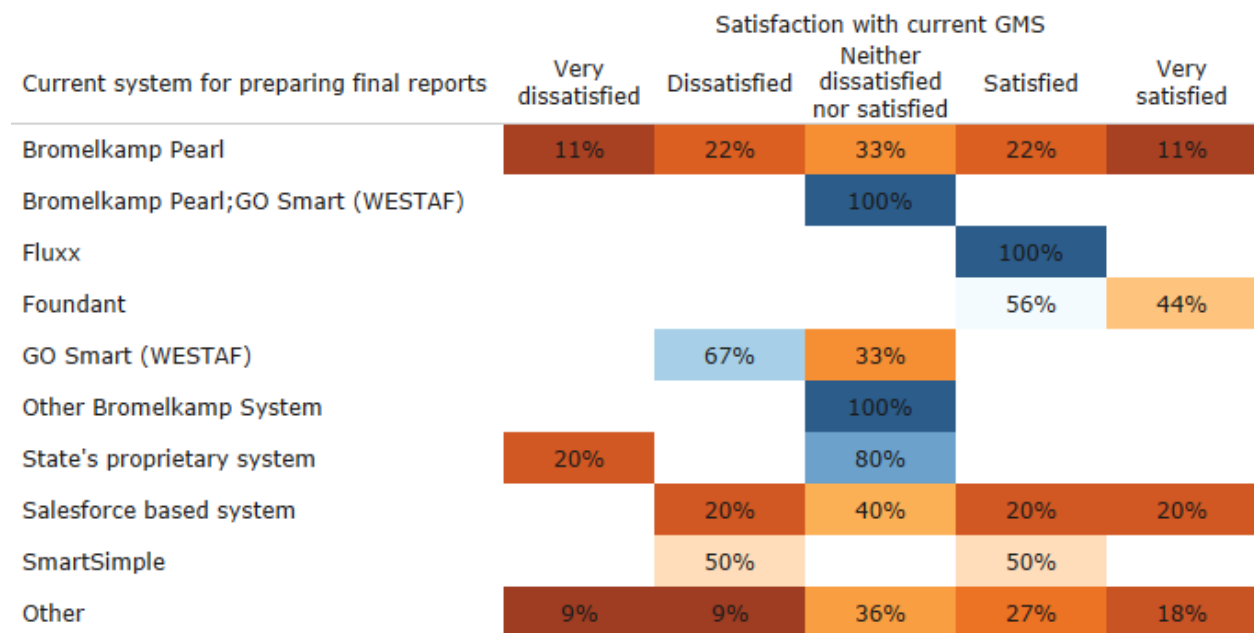
6a) What is your level of satisfaction with your current grants management system?



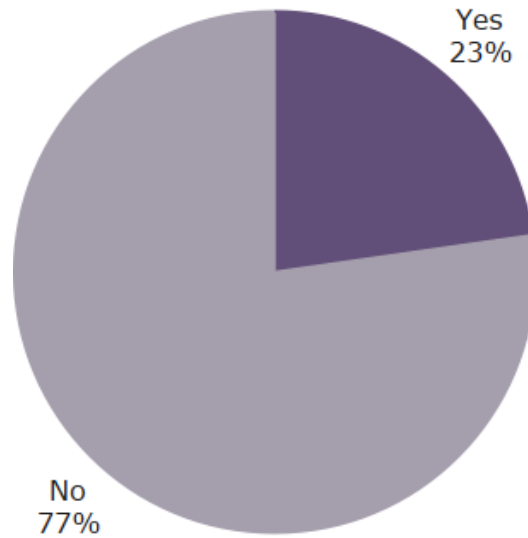
6b) SAAs' level of satisfaction by the current online application system they are using.



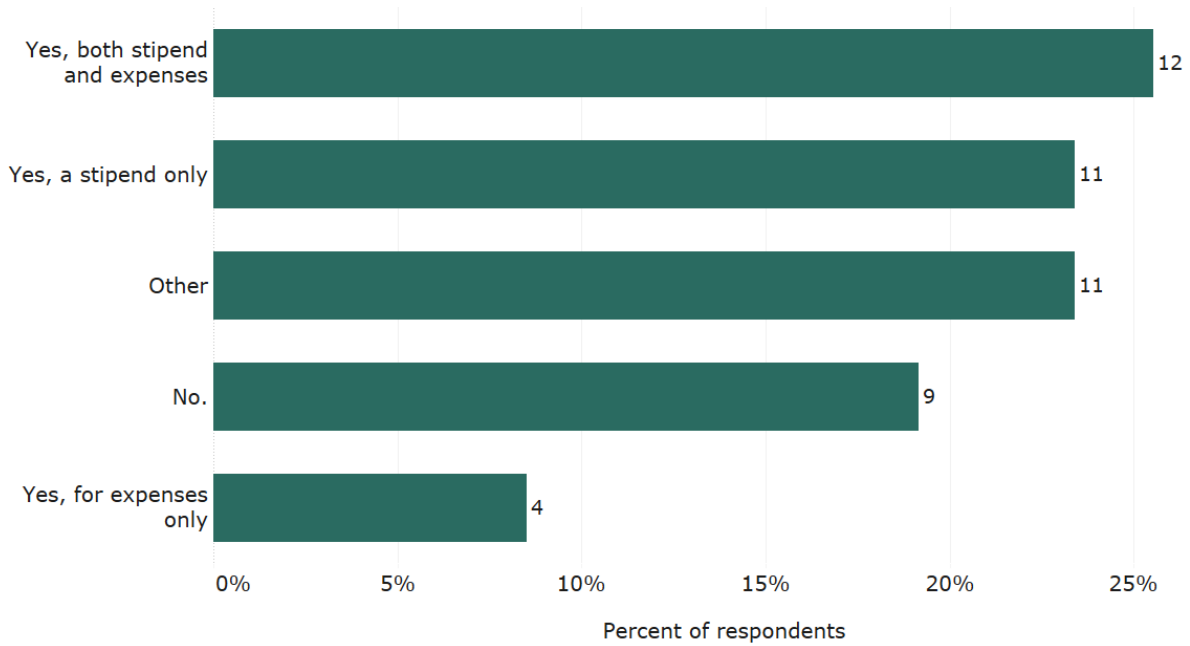
6c) SAAs' level of satisfaction by the current final reporting system they are using.



7) Do you participate in DataArts – formerly known as the Cultural Data Project?



8a) Do you pay your grants panelists?



8b) Comments from respondents who selected "Other".

- Mileage only.
- In person panels: we reimburse travel; Online panels: no payment.
- We pay some panelists for Artist Fellowships but not other panelists for set or floating grants.
- Provide lunch only.
- For panelists out of town, hotel and mileage.
- In past years, we paid for expenses. This year we gave some a stipend and others we paid expenses.
- Stipend and a mileage reimbursement for out of state folks.
- We do not pay for any food expenses. We have a donor that supplies coffee and water for our panelists.
- We provide lodging if needed and reimburse for travel.
- A small percentage of panelists receive a stipend.
- A \$50 Amazon gift card.
- Fellowship jurors are paid a stipend and no expenses. All others are paid expenses only.

9) If yes, what dollar amount is allowed for a grant panelist stipend?

- \$75
- \$100
- Varies (\$100 - \$350)
- \$200
- Varies
- \$75-125
- \$95
- \$500
- \$150.00 full day
- Depends on the program-\$50-\$250
- \$100 per Cycle- specific to grant program I oversee
- \$125

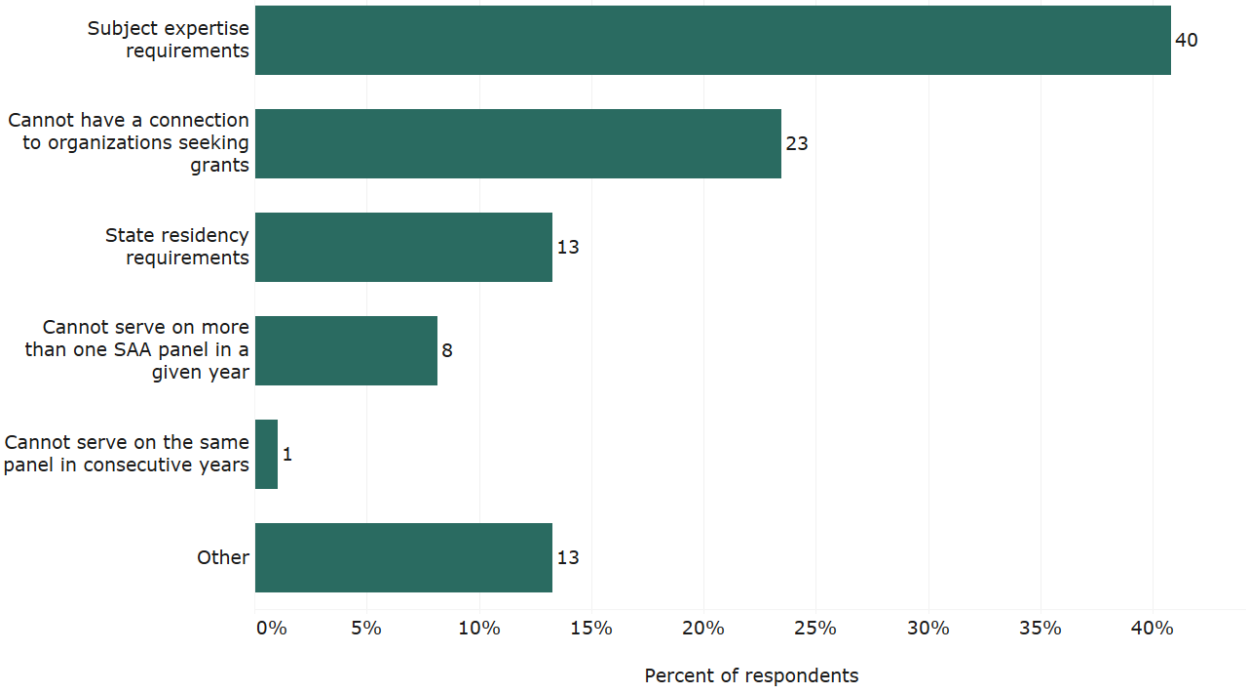
10) If yes, what dollar amount is allowed for a grant panelist expenses?

- We are exploring a flat honorarium in the future.
- Per diem cap plus mileage.
- Hotel & Travel depends on where they stay and how far they travel, for Meals \$7 per quarter.

11) If yes, what dollar amount is allowed for a grant panelist stipend & expenses?

- \$300 for stipend and we cover all expenses but stick to State travel policy rates for hotel, and per diem.
- \$1,000 for 2-day in person panel or 4 site visits and 1-day in person panel, \$750 for panels with 2 days of prep and 1-day in person panel, \$500 for one day prep and 1-day panel, \$250 for at-home scoring only (used to narrow pool for panel). We give all in-state panelists travel stipends based on mileage, and pay for a hotel for those that need it. We pay out-of-state panelists' travel costs plus hotel costs.
- Currently 250/day plus travel expenses (but looking at changing the stipend).
- \$150/honorarium and expenses at the state rate (meals, travel, lodging/direct billed).
- Varies by program. \$50/day of review stipend, 10cents/page if they print applications (or the option to have a hard-copy book mailed to them), if in-person then mileage, meals not provided and lodging.
- Differs per grant panel, complexity of application and number of applications...expense reimbursement is based on state travel regulations.
- \$75 stipend plus state rate accommodations and mileage for those greater than 60 miles away.
- \$75 for stipend; hotel and mileage as applicable at state rates.
- Varies. Stipend is \$200 + travel and lodging (when needed).
- Stipend varies between \$100-300; mileage is \$0.30/mile, per diem & lodging at state rates.
- Flexible.

12a) What requirements or restrictions do you have in selecting grant panelists?

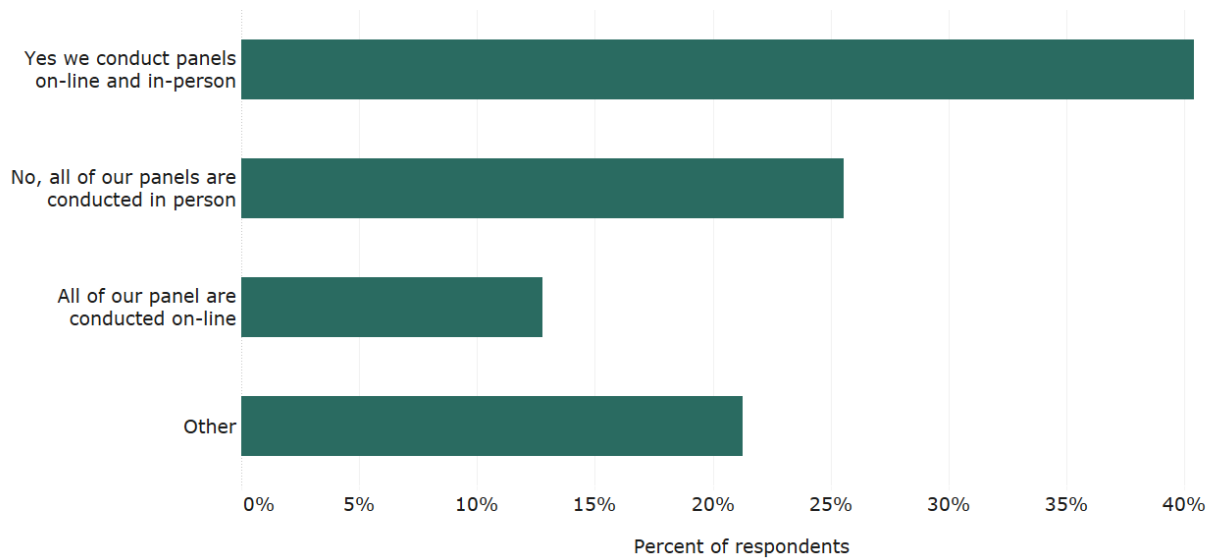


12b) Comments from respondents who selected "Other".

- We look for diversity--geographic, ethnic, gender, tenure, types of positions, disabilities, discipline expertise, etc.
- We do not have any requirements/restrictions except that they have to have a background in the arts or arts administration.
- Panel for Major Organizations include Out of State Members.
- If a panelist has connections to an applicant, they are recused from the discussion and vote.
- We try to make sure the panels are diverse in many ways: geographically, expertise, discipline, race, aesthetics, organization size, type, etc.
- Panelists can only serve on any one of our panels every three years.
- Max 3 consecutive years served/program.
- Must be a mix of new and experienced panelists.
- No panelist serves more than three consecutive years on the panel of any one program.
- At the beginning of each panel review we present definitions of conflict of interests as well as appearances of conflict of interest. These help ensure that panel review remain fair and balanced.
- We don't have an absolute residency restriction for all panelists, but instead try to staff all of our panels with South Dakota residents as well as at least one out-of-state panelist.

- Must work in or have worked in program area in order to qualify to being a panelist.

13a) Does your agency conduct panels on-line in addition to in-person panels?



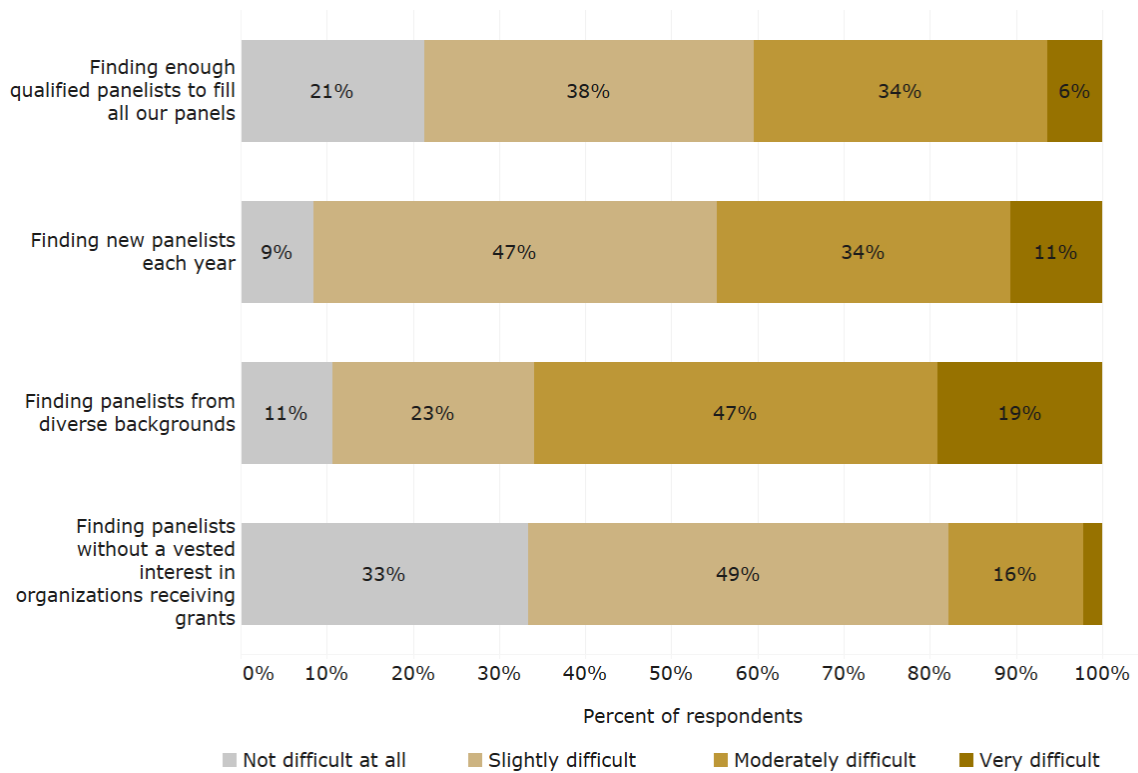
13b) Comments from respondents who selected "Other".

- Review process is web based & meeting is by conference call or where available in person.
- All grants have on-line review with scoring and comments and some grants have an in-person panels.
- Occasional fellowship and general operating support panels are conducted by phone or via video.
- Preliminary round is online. Final panels are conducted in-person.
- Or by conference call.
- Hybrid. The panelist review online, but we still convene a meeting.
- Phone.
- All panels are in person except where this is a hardship. Then usually via phone.
- Currently, the panels are teleconference. We have a couple of in person panels (Visual Arts). We may be transitioning to some on-line panels.
- This will be the first year we do panels online - haven't done one yet as of this writing.
- The vast majority of our panels conduct much of their work online, then come together for a teleconference call for any follow-up questions as well as funding discussion. Traditionally, only our visual arts panel meets in person.

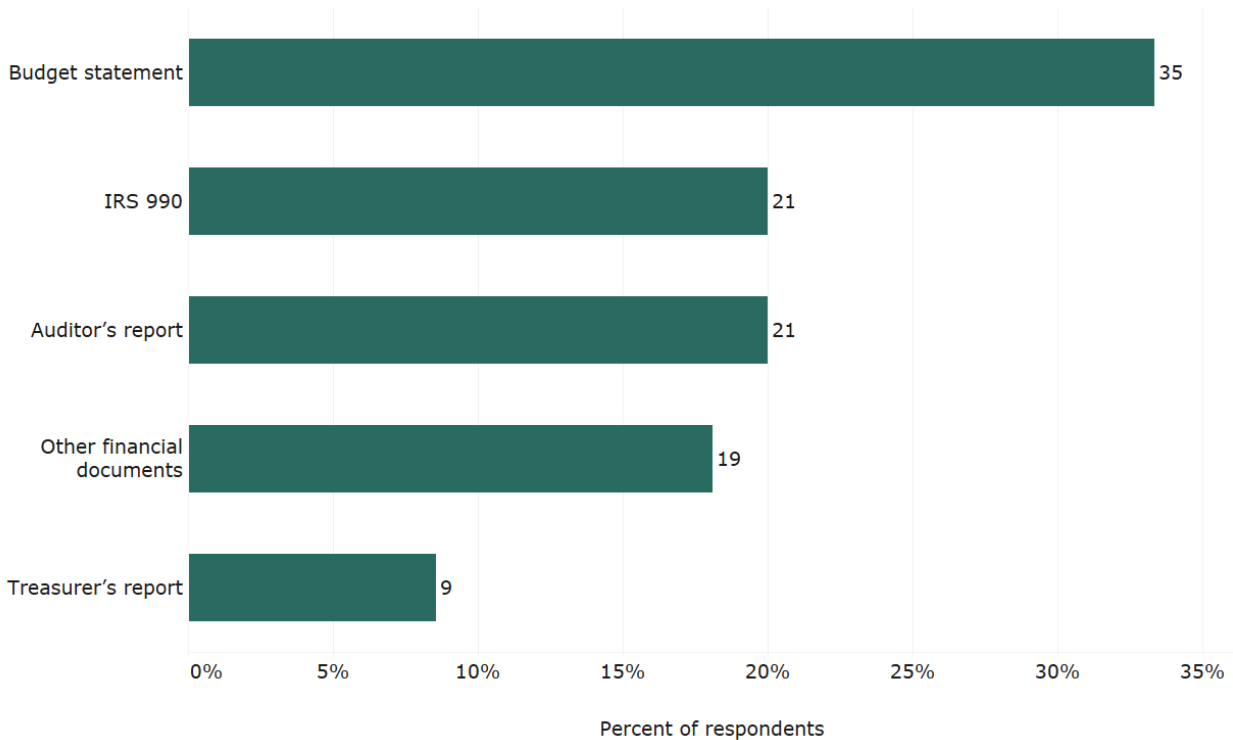
14) Do you prefer conducting on-line panels or in-person panels?
1 = on-line, 10 = in-person

Average of responses = **5.98 slight preference for in-person panels.**

15) For your organization, how difficult is it to meet the following aspirations for the grants panel process?



16a) When assessing the fiscal health of a grant applicant, which financial documents do you require them to submit?

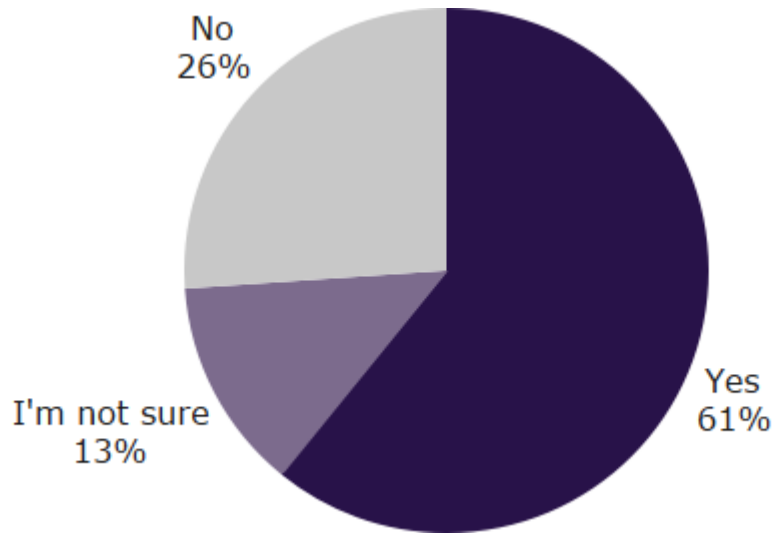


16b) Comments from respondents who selected "Other".

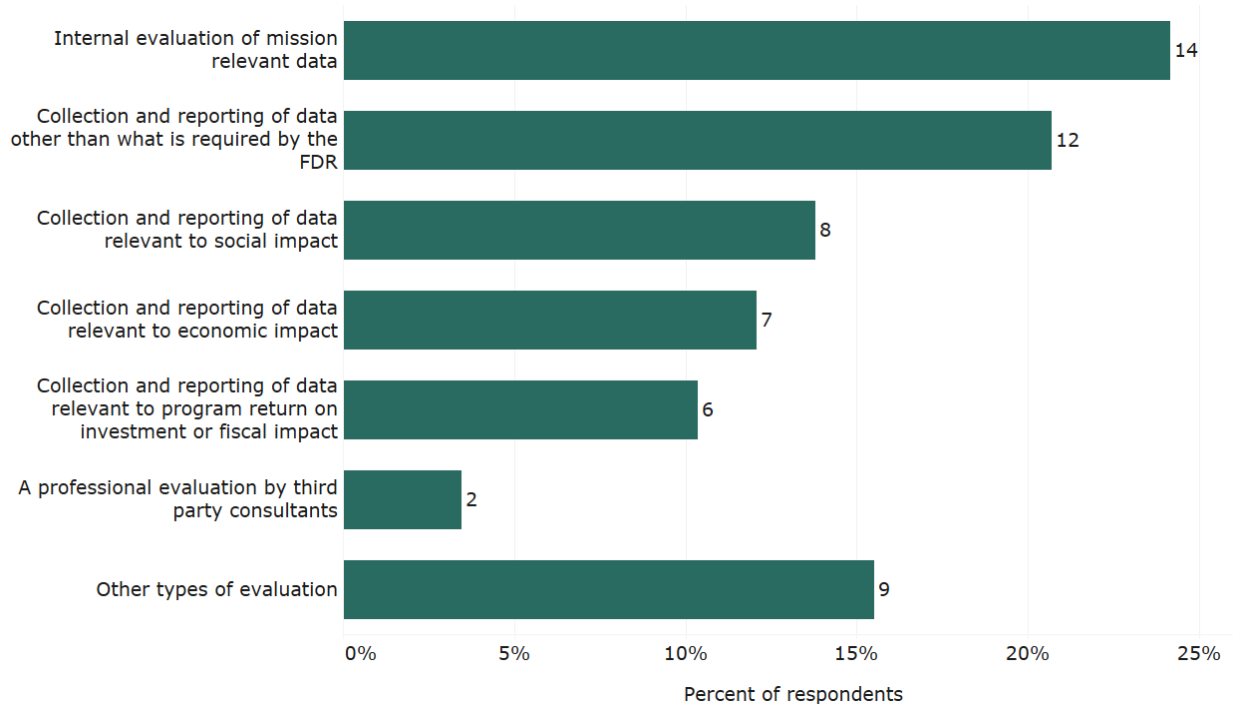
- Past, current, projected operating budget in our template.
- Board approved financials and a proprietary cash flow spreadsheet.
- Treasurer's report for organizations with budgets under \$600K. Audits for organizations with budgets over \$600K. Balance sheet from two months prior to the deadline for GOS and Project Grant applicants.
- Depends on budget size (Treasurer's Report of Audit for larger GOS orgs); Project Support just requires a project budget only; For GOS, we send these documents to a financial consultant (Your Part-time Controller) to come up with an assessment, summary and comments for each.
- For operating grants we check the audit or treasurer report depending on the size of the organization.
- For some categories we require financial statements for the 2 previous years.
- DataArts, P&L, Current Year's Budget (as approved by board).
- Income and Expense Statement
- DataArts Data Profile
- Financial statement (P&L and balance sheet).
- Cultural Data Profile.
- Depends on the program. Other documents may be required.
- We are in the process of experimenting with this requirement.

- Depending on the applicant's size and situation we require different combinations of these documents.
- Data Arts Funder's Report.
- In addition to a providing a financial report based on questions we ask, we require the submission of a year-end financial statement for the most recently completed fiscal year that is annotated to cross-reference the lines from the application's financial report. We also ask for a list of major contributors to verify diversification of private and public sources of funding.
- Requirements are dependent upon size of organization.
- Data Arts profile for our largest grant program.

17) Do you require grantees to evaluate their programs?



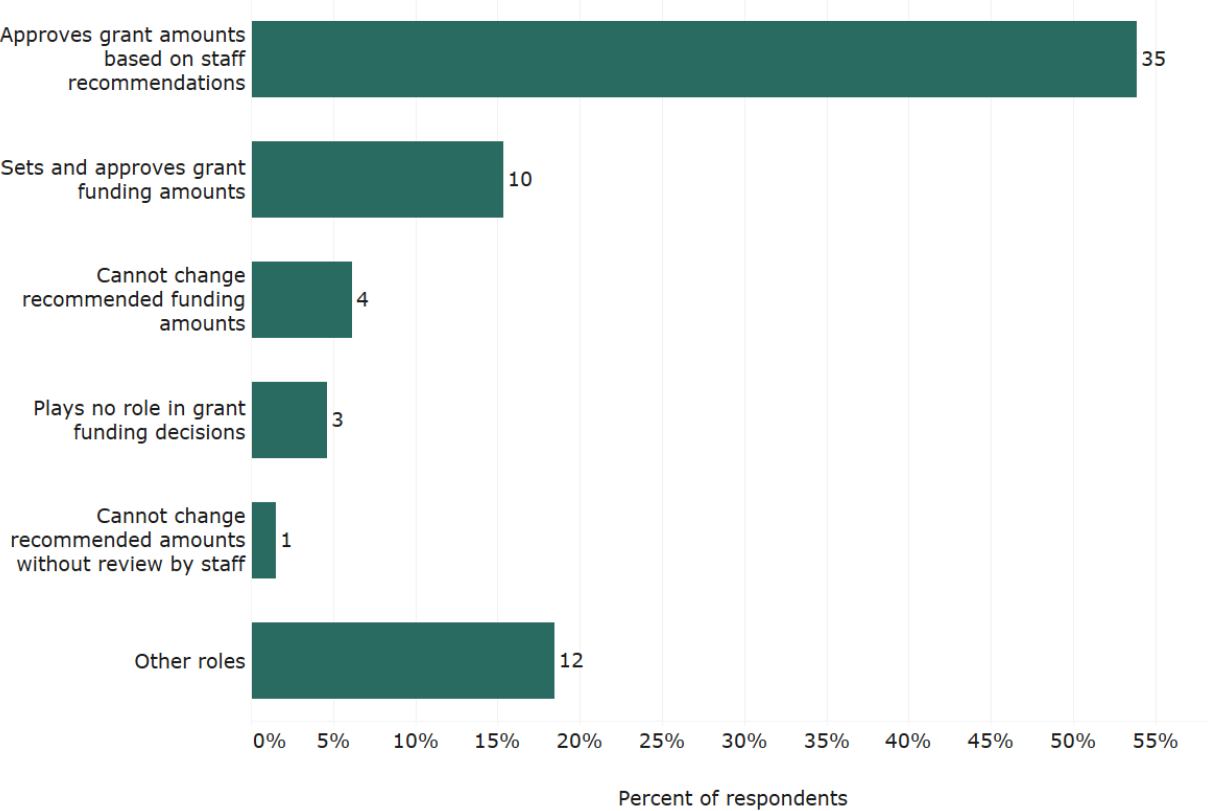
18a) If yes, what type of evaluation is required?



18b) Comments from respondents who selected "Other".

- We don't specify a type of evaluation.
- We ask an open ended question for them to tell us how they evaluated. We aren't as prescriptive as the examples above.
- We do not have a formal requirement but rather request information on how they plan to evaluate their programming in the application.
- Not really required, but we ask them to tell us how they will evaluate and we assess their plans as part of the application review.
- It is part of the narrative in which they explain the measures, outputs, and tools.
- It is a requirement generally, but not specifically. It is one of the questions that are scored, but there is not a prescription of process.
- We don't stipulate the method. It is usually internal and qualitative and quantitative.
- What is required on FDR and the community impact.
- Sustainability, planning and growth of the applicant, project or community.

19a) What role does your council/commission/board play in funding grants?

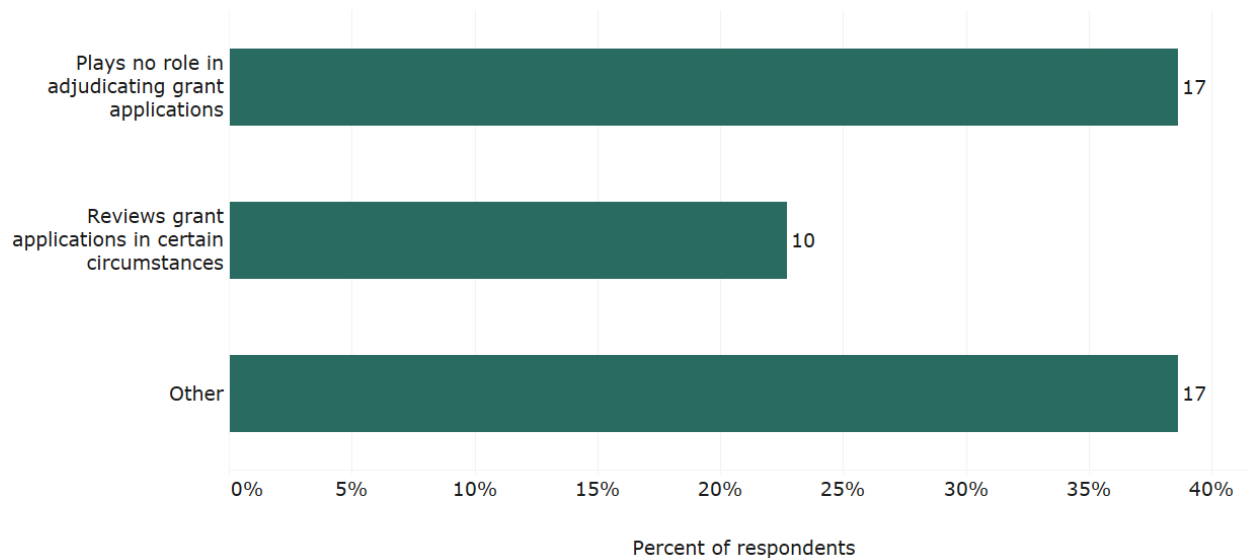


19b) Comments from respondents who selected "Other".

- Panel, and council. Staff can input.
- Staff recommendations for some of the rolling deadline (monthly) grants.
- Council reviews panel/staff recommendations and provides guidance/input. ED makes all final funding decisions.
- Our Board provides recommendations only.
- One of our programs has council members as the panel.
- Approves panel recommendations for each grant category.
- A board member serves as panel chair, however they do not score applicants or provide opinions of applicants. Our board approves grant amounts based on panelists' recommendations.
- SAA staff provides funding recommendations to the State Arts Council, who approves funding amounts.
- Our council approves grant funding amounts based on internal and panel scoring.
- Each one of our panels is chaired by a Council member, who has a say in establishing funding levels for certain grants being adjudicated; then each panel chair gives recommended funding levels for all grants reviewed by their panel to the Council at large for approval.

- Commission approves recommendations from panelists.
- Our Commission approves the process by which applications are reviewed. Process approval makes the grant legally binding

20a) What role does your council/commission/board play in adjudicating grants?

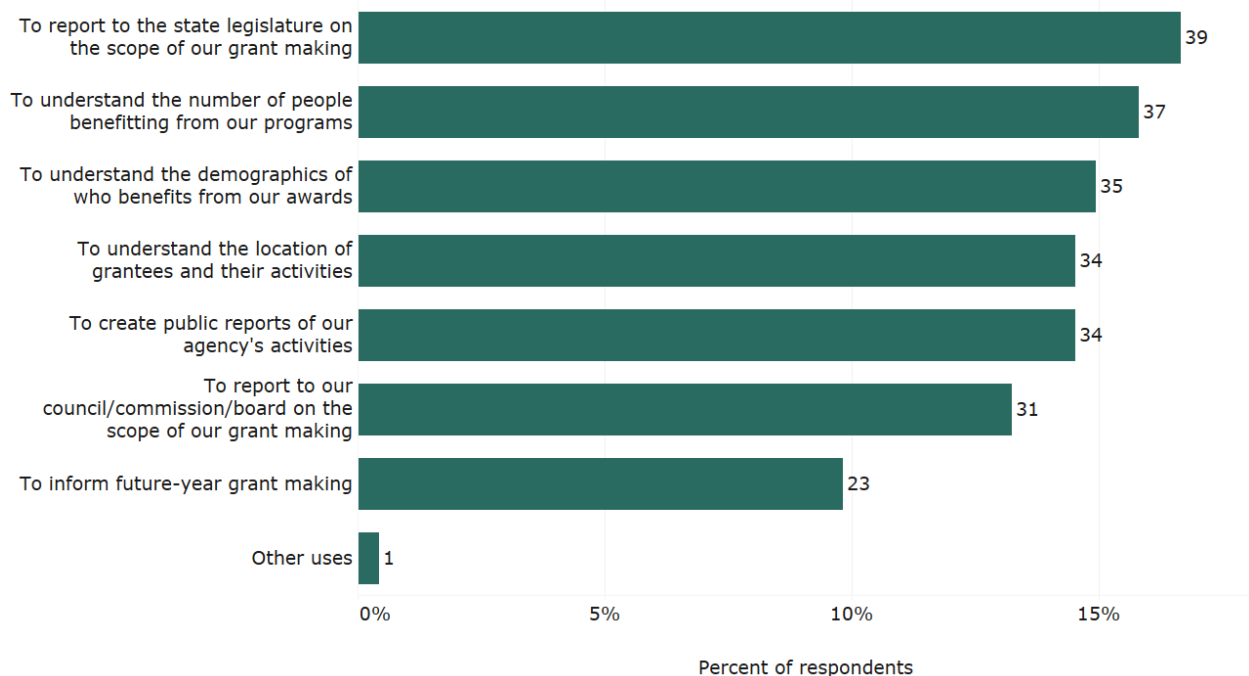


20b) Comments from respondents who selected "Other".

- Quality of the application.
- They also can serve as observers in panel review meetings.
- We try to have a board member serve on each of our panels but many of them have time commitments or are not qualified to do so.
- We have a Commissioner serve as Chair at the panel to make sure the process is fair. They are able to review the applications prior to the panel but they cannot comment on them.
- Council members serve as panelists.
- Commissioners will attend panel meetings in their congressional district as observers and give a brief overview of the process at the June Commission meeting where they make the final decisions on grants based on staff and panelists' recommendations.
- Council member chairs each panel and some Council members serve as panelists. All Council members have the opportunity to review all applications and provide input/suggestions on the panel recommendations (as long as they do not have a conflict). They vote to approve the recommendations but the ED has the final say.
- They are invited to participate in the panel review process.
- Our board oversees the panel review process.

- Board members convene panels (call to order, adjourn, ask for motion -- but mostly observatory).
- No role in evaluating and helps staff facilitate the in-person meeting.
- A board member serves as panel chair, however they do not score applicants or provide opinions of applicants. Board approval is not required for adjudicated grants.
- Staff reviews grants for eligibility, the panel reviews and scores the grant applications, and the State Arts Council approves funding recommendations made by staff.
- Commissioners serve as panelists as available.
- Commission will intervene in very rare occasions when there is an appeal.
- Our panels sometimes include a Commissioner as a voting member but that is being phased out.

21a) Other than reporting to the NEA, how does your agency use final report data from your grantees?



21b) Comments from respondents who selected "Other".

- It's not as much "public reports" as it is anecdotal "stories" to use on our website, social media, and some marketing materials. Mostly info from narratives and photos.