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National Endowment for the Arts

**Appropriations Request
For Fiscal Year 2019**

**Submitted to the Congress
February 2018**

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The National Endowment for the Arts

Appropriations Request For Fiscal Year 2019



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Overview

The Administration has proposed terminating funding for the National Endowment for the Arts (NEA) in FY 2019. Toward this end, the FY 2019 Budget requests \$28.949 million to begin the orderly closure of the agency. Please see the table below for a breakdown of the request in the table format used by the Appropriation Committee.

National Endowment for the Arts Fiscal Year 2019 Request – Appropriation Committee Format (\$ in thousands)

	FY 2017 Appropriation	FY 2018 Annualized Continuing Appropriations Act ^{1/}	FY 2019 Request
Direct Endowment Grants			
Project Support	63,906	63,472	0
Challenge America	<u>7,600</u>	<u>7,548</u>	<u>0</u>
Subtotal	71,506	71,020	0
State & Regional Partnerships			
Basic Plan Support	37,517	37,262	0
Underserved	<u>10,154</u>	<u>10,085</u>	<u>0</u>
Subtotal	47,671	47,347	0
TOTAL PROGRAM	119,177	118,367	0
PROGRAM SUPPORT	1,950	1,937	0
TOTAL PROGRAM & PROGRAM SUPPORT	121,127	120,304	0
SALARIES & EXPENSES	<u>28,722</u>	<u>28,527</u>	<u>28,949</u>
TOTAL REQUEST	149,849	148,831	28,949

1/ Reflects the annualized amount provided in the Continuing Appropriations Act, 2018 (Division D of P.L. 115-56).

Assumptions and Estimated Costs for Agency Shutdown Beginning in FY 2019

The NEA will fulfill its Federal responsibilities for grants and cooperative agreements awarded prior to FY 2019. While no new grants or cooperative agreements will be made beginning in FY 2019, the NEA will require funding to support a reduced staffing level and administrative costs needed to effectively shut down operations.

NEA is requesting \$28.949 million in FY 2019 for expenses listed in the table below. A table comparing Salaries & Expenses funding from FY 2017 to FY 2019 is also provided at the end of this section.

Estimates provided assume enactment of legislation terminating funding for NEA on October 1, 2018.

FY 2019 Request (\$ in Thousands)

Cost Category	FY 2019 Request
Personnel	22,602
Real Estate	3,691
Equipment	108
Contracts	1,539
Records Management	175
Finances	807
Other	27
TOTAL	28,949

Personnel: \$22,602,000 is requested for NEA to support a current staffing level of approximately 145 positions until March 31, 2019, the time estimated by the Office of Personnel Management to carry out a reduction in force (RIF). After the RIF, a reduced staffing level of approximately 70 employees will remain to continue to manage the shutdown of the agency. These employees will be responsible for conducting necessary oversight activities for the more than 5,000 active NEA grants and up to 36 cooperative agreements whose period of performance extend beyond September 30, 2018. Activities include responding to awardee inquiries, processing payments, and reviewing final reports. Staff also will continue the orderly shutdown of the agency's systems, publications, contractual arrangements, and interagency agreements.

For discontinued employees, all appropriate compensation will be provided, including, but not limited to, severance pay, lump-sum payments for unused annual leave, performance bonuses

generated by eligible employees' close-out performance appraisals, and unemployment compensation.

Real Estate: \$3,691,000 is requested for current office space needed to accommodate full staffing for six months and reduced office space for the remainder of the fiscal year to accommodate a staffing level of approximately 70 employees. Per the terms of the occupancy agreement NEA has with the General Services Administration, funding is also requested to pay for the unamortized tenant improvements that would have been paid over the life of the lease through FY 2024.

Equipment: \$108,000 is requested to support the supplies and equipment needs of staff members on board in FY 2019.

Contracts: \$1,539,000 is requested for contracts supporting staff operations. NEA will terminate contracts where possible. However, with full staff remaining for up to six months and approximately 70 staff remaining for an additional six months, most contracts will need to stay in place, with the possibility for reduction after the RIF.

NEA will require either interagency agreements with federal agencies or contracts with non-federal vendors to continue for the following (this is not an exhaustive list):

- IA with the Department of Health and Human Services for Grants.gov
- IA with the National Endowment for the Humanities for the grants management system
- IA with the National Finance Center for payroll processing
- IA with the Department of Homeland Security for guard services
- IA with the Department of Transportation for transit benefits
- IAs to support human resource services, such as the Employee Assistance Program
- Contracts for phone services, copiers, and information technology support services.

Records Management: \$175,000 is requested for the transfer of agency records to the National Archives and Records Administration (NARA) or other appropriate storage repositories. Funding also is requested for administrative services required to assist with records management.

Finances: \$807,000 is requested to support the interagency agreement NEA has with the U.S. Department of Transportation's Enterprise Services Center for an Oracle-based fully-compliant financial system (Delphi). Funding also is requested to support the audit of the agency's FY 2019 financial statements.

Other: \$27,000 is requested to support minimal travel requirements in FY 2019.

Office of Inspector General (OIG)

There is no separate appropriation for the OIG; the OIG's budget is funded within the NEA's total budget as listed in the table above. The FY 2019 request provides funding for 5 positions through March 31, 2019. A reduced staffing level of 3 employees will remain to continue to manage the shutdown of the agency through the end of FY 2019.

National Endowment for the Arts
Detail of Object Classification for Salaries & Expenses
(\$ in thousands)

	FY 2017 Obligations	FY 2018 Annualized Continuing Appropriations Act a/	FY 2019 Request
11.1 Full-Time Permanent	13,601	13,438	11,478
11.3 Other Than Full-Time Permanent	2,414	2,371	2,025
11.5 Other Personnel Compensation	268	264	221
11.8 Special Personal Services Payments	<u>0</u>	<u>0</u>	<u>0</u>
Total Personnel Compensation	16,283	16,073	13,724
12.1 Civilian Personnel Benefits	5,138	5,084	4,039
13.0 Benefits for Former Personnel	<u>89</u>	<u>10</u>	<u>4,839</u>
Total Personnel Benefits	5,227	5,094	8,878
Total Compensation & Benefits	21,510	21,167	22,602
21.0 Travel & Transportation of Persons	221	391	12
22.0 Transportation of Things	8	8	18
23.1 Rental Payments to GSA	2,905	2,947	3,691
23.3 Comm., Utilities & Misc. Charges	226	194	136
24.0 Printing and Reproduction	28	38	25
25.0 Other Services	3,706	3,469	2,360
26.0 Supplies and Materials	81	81	47
31.0 Equipment	92	232	58
42.0 Insurance Claims & Indemnities	<u>15</u>	<u>0</u>	<u>0</u>
Total Non-Pay	7,282	7,360	6,347
99.0 Total: Salaries and Expenses b/	28,792 c/	28,527	28,949

a/ Reflects the annualized amount provided in the Continuing Appropriations Act, 2018 (Division D of P.L. 115-56).

b/ Excludes Interagency and Gift funds.

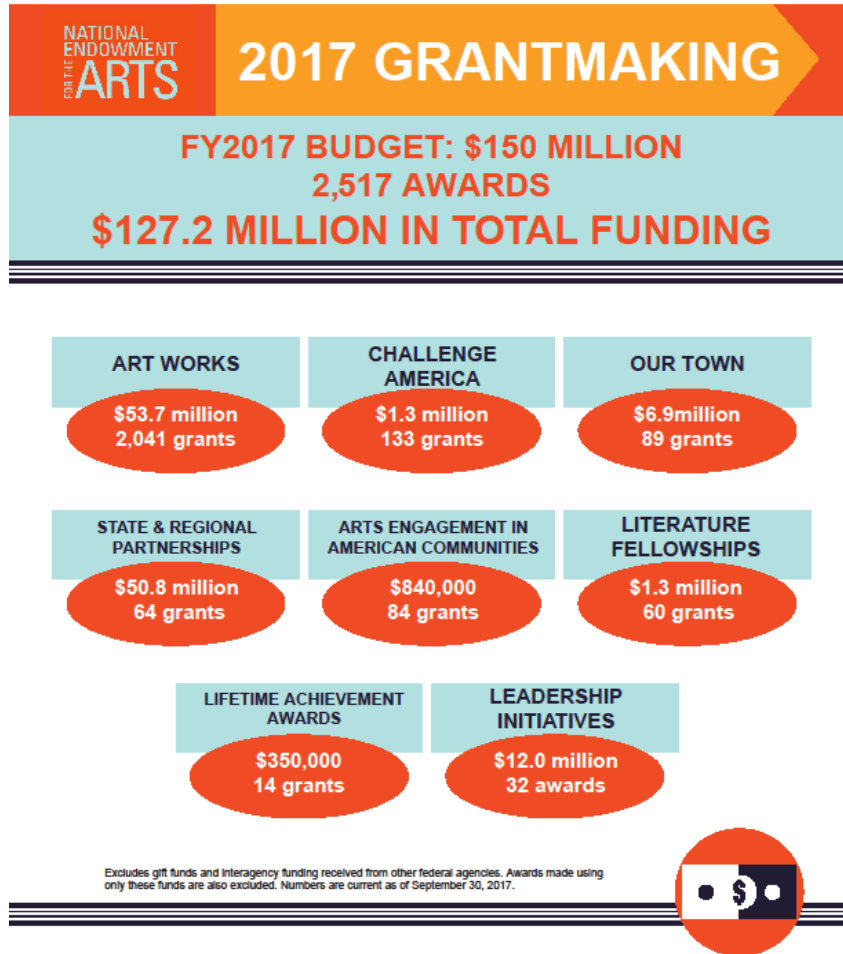
c/ Includes \$28,722K appropriated in FY2017, \$4,479K of carryover funds to FY 2017, and \$572K of prior year deobligations brought forward to FY2017.

FY 2017 and FY 2018 Accomplishments

Established by Congress in 1965, the NEA is the independent federal agency whose funding and support gives Americans the opportunity to participate in the arts, exercise their imaginations, and develop their creative capacities. Through partnerships with state arts agencies, local leaders, other federal agencies, and the philanthropic sector, the NEA supports arts learning, affirms and celebrates America’s rich and diverse cultural heritage, and extends its work to promote equal access to the arts in every community across America. The NEA is the sole entity, public or private, whose funding reaches every Congressional district in all 50 states, the District of Columbia, and the U.S. territories.

NEA’s Grantmaking

In FY 2017, the NEA made 2,517 programmatic awards, including 2,494 grants, 19 cooperative agreements, and 4 interagency agreements using its appropriated funds. The following graphic provides additional details on our grantmaking in FY 2017.



Highlights of the NEA's reach include:

- Annually recommending a grant award in all 50 states and 435 Congressional districts.
- Of the grants awarded in FY 2016, 40% of NEA-supported activities take place in high-poverty neighborhoods. We anticipate similar results for grants awarded in FY 2017.
- An average of 42.8 million adults and 8.3 million children annually engage with the arts through live events produced by NEA-funded projects. This does not include the additional millions of Americans touched by other NEA grants and subgrants.

NEA-funded arts activities are as diverse as the places that foster them. A folk festival in downtown Butte, Montana; a former gas station transformed into a glass foundry in Farmville, North Carolina; dance classes for children with special needs in Winter Park, Florida; and a playwrights workshop in New Harmony, Indiana are just a few of the projects funded in FY 2017.

NEA grants provide a significant return on investment of federal dollars. Based upon historical review of final reports filed by grantees, it is estimated that each \$1 awarded by the NEA in direct grants to nonprofit organizations will leverage \$9 from other non-federal sources. In FY 2017, this results in over \$500 million in matching support, far surpassing the required non-Federal match of at least one to one.

NEA Support for States

The NEA extends its influence through state arts agencies (SAAs) and regional arts organizations (RAOs), ensuring that programs reach even the smallest communities in remote rural areas. Through partnership agreements with these entities, the NEA translates national leadership into local and regional benefit. By Congressional statute, 40 percent of NEA's grantmaking funds are allocated to the 50 states, six special jurisdictions, and six RAOs. State governments match the federal NEA grant dollars to create additional investments that support programs and initiatives that respond to constituent needs in arts education, organizational and community development, preservation of diverse cultures, and providing access to the arts. In recent years, more than 4,400 communities have been served each year through grants made possible by partnership agreements with SAAs and RAOs.

NEA and Healing Arts

Creative Forces: NEA Military Healing Arts Network is a partnership of the NEA with the Departments of Defense and Veterans Affairs that serves the unique and special needs of military patients and veterans who have been diagnosed with traumatic brain injury and psychological health conditions, as well as their families and caregivers. The program has three components: **creative arts therapies**, which are at the core of patient-centered care in military and veteran medical facilities, as well as a telehealth program for patients in rural and remote areas; increased **community-based arts** opportunities for military and veteran family populations around clinical site locations; and investments in **capacity-building efforts**, including the development of manuals, training, and research on the impacts and benefits of the treatment methods.

The NEA funds creative arts therapists, equipment, and supplies at 11 clinical sites across the nation, and a telehealth program for patients in rural and remote areas. In clinical settings, creative arts therapists provide art and music therapy, as well as creative writing instruction. On average, creative arts therapists provide 1,000-1,200 clinical encounters, and treat approximately 200 new patients, per year. *Creative Forces* has provided 14 NEA-funded creative arts therapists, who will provide an estimated 14,000-16,800 clinical encounters, and serve approximately 2,800 new patients, per year in 2018 and 2019. Additional patients will be served via the telehealth program.

Creative Forces Clinical Sites	
Joint Base Elmendorf-Richardson (JBER), Anchorage AK	Marine Corps Base Camp Lejeune, Jacksonville, NC
Marine Corps Base Camp Pendleton, Oceanside, CA	Fort Hood, TX
Fort Carson, CO	Fort Belvoir, VA
James A. Haley Veterans' Hospital, Tampa, FL	Joint Expeditionary Base, Little Creek, VA
Fort Campbell, KY	Joint Base Lewis-McChord, Tacoma, WA
National Intrepid Center of Excellence (NICoE) at Walter Reed, Bethesda, MD	

NEA and Partnerships

NEA funding is project-based and goes to thousands of nonprofits each year, along with partnerships and special arts initiatives, research and other support that contribute to the vitality of our neighborhoods, engage our students and schools, and preserve our American culture. In addition to the work discussed above, the NEA has continued to grow its partnerships with other Federal agencies, state and local governments, state and regional arts agencies, and private nonprofits on projects that provide opportunities for thousands of Americans to experience quality arts programming throughout the country. These include, but are not limited to:

Poetry Foundation, State Arts Agencies, Mid Atlantic Arts Foundation and Poetry

Out Loud: *Poetry Out Loud* is a national arts education program that encourages high school students to learn about great poetry through memorization and performance. This program helps students master public speaking skills, build self-confidence, and learn about literary history and contemporary life. The program served approximately 310,000 students from every state, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands during the 2016-2017 school year. Students select, memorize, and recite poems from an anthology of more than 900 classic and contemporary poems. In the pyramid structure competition, winners advance from classroom recitation contests to school-wide competitions, then to the state competitions and, ultimately, to the National Finals in Washington, DC. As national partners, the NEA and the Poetry Foundation support the administration of the program, create educational materials and an online poetry anthology, and fund both the state and national finals. SAAs implement the program in high schools nationwide and organize state competitions, often in collaboration with local arts organizations. The Mid Atlantic Arts Foundation administers the *Poetry Out Loud* national finals. Since its start in

2005, more than 3 million students and 45,000 teachers from more than 10,000 high schools have participated in *Poetry Out Loud* nationwide.

Arts Midwest and NEA Big Read: [*NEA Big Read*](#) is a national literature program of the NEA in partnership with Arts Midwest. *NEA Big Read* broadens our understanding of our world, our communities, and ourselves through the joy of sharing a good book. Showcasing a diverse range of contemporary titles that reflect many different voices and perspectives, *NEA Big Read* aims to inspire conversation and discovery. *NEA Big Read* annually supports approximately 75 dynamic community reading programs, each designed around a single *NEA Big Read* selection. Each community program that receives an *NEA Big Read* grant—which ranges between \$5,000 and \$20,000—is also provided with resources, outreach materials, and training on various aspects such as working with local partners, developing public relations strategies, and leading book discussions and Q&As. For example, the Libraries of Greater Kansas City conducted programming around Tim O’Brien’s novel *The Things They Carried* in September and October 2017. Programming included exhibits, discussion groups, films, lectures, and workshops. Over the last decade, the NEA has funded more than 1,400 programs, providing more than \$19 million in grants to organizations in every Congressional district in the country. In turn, these organizations have leveraged nearly \$42 million in local funding to support their *NEA Big Read* programs. More than 4.8 million Americans have attended an *NEA Big Read* event, approximately 79,000 volunteers have participated at the local level, and over 37,000 community organizations have partnered to make *NEA Big Read* activities possible.

Department of Defense, Blue Star Families and Blue Star Museums: NEA partners with the Department of Defense, the nonprofit Blue Star Families, and museums across America to conduct the [*Blue Star Museums*](#) initiative. Each year, more than 2,000 museums participate, reaching on average more than 856,000 military members and their families.

Arts Midwest and Shakespeare in American Communities: [*Shakespeare in American Communities*](#) is a national theater program of the NEA in cooperation with Arts Midwest bringing performances and related educational activities to audiences across the country. Annually, up to 40 nonprofit theater companies are selected to receive \$25,000 grant awards to provide performances of a Shakespeare play and related educational activities for middle- and high-school students in underserved schools throughout the United States between August 1 and July 31. For example, the Cincinnati Shakespeare Company will present *A Midsummer Night’s Dream* while the Alabama Shakespeare Festival presents *Much Ado About Nothing* during the 2017-2018 program cycle. Since the program’s inception in 2003, *Shakespeare in American Communities* has introduced 2.5 million middle and high school students to the power of live theater and the masterpieces of William Shakespeare through performances and educational activities; 108 theater companies across the United States have taken part; 11,000 performances and more than 40,000 related educational activities at 9,800 schools in 4,200 communities in all 50 states, the District of Columbia, and the U.S. Virgin Islands have been supported.

United States Conference of Mayors and the Mayors’ Institute on City Design (MICD): [*MICD*](#) is a leadership initiative of the NEA in partnership with the United States

Conference of Mayors intended to protect and enhance the American built and natural environment, and strengthen American communities. *MICD* has helped prepare more than 1,100 mayors to be the chief urban designers of their cities and connected more than 700 design and development professionals to local governance. The program assists mayors in all 50 states, the District of Columbia, and Puerto Rico with their most pressing city development challenges. The structure of *MICD* is straight forward: eight mayors, eight designers, and eight problems. Each mayor brings his or her city's most critical urban design issue to discuss. Following a case-study method, general principles evolve out of specific problems. Mayors, architects, planners, landscape architects, and development experts discuss ideas and engage in animated debate. These dynamic sessions often advance creative solutions while imparting a healthy understanding of the value of good design. Many mayors have stated that attending the Institute was a seminal moment in their time as leader, changing the way that they ran their cities for the better.

United States Department of Agriculture (USDA) and the Citizens' Institute on Rural Design (CIRD): [*CIRD*](#) is a leadership initiative of the NEA in partnership with USDA and Project for Public Spaces, Inc., along with the Orton Family Foundation. *CIRD* provides rural communities with populations of 50,000 or less the opportunity to address challenges related to economic vitality and quality of life by employing design solutions. *CIRD* convenes two-day workshops with design professionals, local leaders, community organizations, and residents to create a plan for tackling issues around three topic areas – multimodal transportation, healthy living by design, and main street revitalization. The community receives additional support through webinars, conference calls, and web-based resources. Established in 1991, *CIRD* has convened more than 80 workshops in all regions of the country with results that range from strengthened local economies, enhanced rural character, the leveraging of cultural assets, and the design of recreational trails.

NEA and Disaster Recovery

The NEA is supporting the recovery of the arts and cultural communities devastated by Hurricanes Harvey, Irma, and Maria in the regions designated major disaster areas by FEMA in Texas, Florida, Puerto Rico, and the U.S. Virgin Islands. As the federal agency has done in other instances of natural disasters, the NEA is coordinating support through its state arts agency partners to direct funds to those arts and cultural entities in need of support.

NEA funds will be allocated to areas and constituents that may not have ready access to other sources of monetary assistance mobilized by local foundations, corporations, or insurance, etc. The funds may be designated for artists and nonprofit arts organizations and used to support expenses already allowed for NEA grantmaking activity such as:

- Projects and activities judged to have artistic excellence and artistic merit produced in new spaces, due to damage of existing space.
- Rental of venues or equipment.
- Purchase of replacement supplies and equipment utilized for administrative purposes or artistic purposes.
- Salaries, wages, fringe benefits for organizational staff, in the event of business disruption.

- Repair and conservation of artistic and cultural materials including costumes, performance sets, instruments, etc.
- Design fees for construction or renovation of spaces.
- Marketing/promotion expenses, publications, distribution.
- Access accommodations.

In many places the most important need right now is rebuilding infrastructure, so the NEA is also allowing funds to be used toward the purchase of building and construction supplies, although not for construction itself. Funds can also be used for fuel, to help museums with climate control for objects to combat mold infestation, or to help organizations get back to programmatic functionality with basic electricity for lights, computers, etc.

NEA and Arts Education

The NEA's arts education grant program is focused on pre-K to 12th-grade students, the educators and civic leaders who support them, and the schools and communities that serve them, helping ensure Americans of all ages have opportunities to learn, create, and grow. As studies have shown, students with an education rich in the arts have higher grade point averages and standardized test scores and lower drop-out rates.

- The NEA's direct learning grants increase student knowledge and skills in the arts through both school and community-based projects, helping them reach their full potential. In addition to providing in-depth instruction over an extended period of time, recommended projects provide "wraparound" services—homework help, counseling, professional artist mentors, and college counseling—for additional support for participating students from underserved and low-income communities.
- The NEA's professional development grants deepen understanding and strengthen practice of pre-K through 12th-grade teaching artists and teachers to teach the arts. These projects are building communities of practice, expanding to serve more educators, and providing coaching to sustain the change in teacher practice over time.
- The NEA's collective impact projects work to ensure that millions of students have opportunities to study the arts, thereby transforming schools, school districts, and communities.

NEA and Research

Research into the value and impact of the arts is a core function of the NEA. Through accurate, relevant, and timely analyses and reports, the NEA reveals the conditions and characteristics of the U.S. arts ecosystem and the impact of the arts on our everyday lives.

The NEA is the national agency of record for arts-related research. As an example, NEA's quadrennial Survey of Public Participation in the Arts (SPPA) is the most comprehensive survey of U.S. arts participation with a nationally representative sample exceeding 35,000 adults. The SPPA allows the NEA and other cultural policymakers, funders, practitioners, and researchers to understand artistic, technological, and socio-economic trends affecting arts engagement.

In November 2017, NEA published the research report [*Rural Arts, Design, and Innovation in America: Research Findings from the Rural Establishment Innovation Survey*](#) based primarily on 2014 data from the U.S. Department of Agriculture's Economic Research Service (ERS). The ERS's Rural Establishment Innovation Survey examines the type and breadth of innovation within rural businesses. *Rural Arts, Design, and Innovation in America* is important because until now, arts and economic impact theories have been built and tested only in urban environments. The report found that rural arts organizations draw more non-local audiences to their venues and report greater civic leadership and customer connectedness than their urban peers.

The NEA spearheads partnerships with other federal agencies to investigate areas of common interest. Beginning in 2011, the NEA has convened an [*Arts and Human Development Task Force*](#), a coalition of representatives from 19 federal entities, to encourage more and better research on how the arts can help people reach their full potential at all stages of life. For example, in December 2016, the NEA in coordination with the Task Force published [*The National Endowment for the Arts Guide to Community-Engaged Research in the Arts and Health*](#) in recognition of a growing movement to integrate the arts with health in community-based programs. The report is a blueprint for collaboration among academic researchers, arts organizations, and artists aiming to study the arts' effects on health and extend this research to arts programs or therapies.

In 2013, the NEA and the Bureau of Economic Analysis created the first-ever Arts and Cultural Production Satellite Account (ACPSA) to measure arts and cultural contributions to the gross domestic product (GDP). The most recent estimates showcase the long-term contributions of the arts to the GDP of this nation, specifically covering the period from 1998 to 2014. Among the findings are:

- In 2014, arts and cultural production contributed more than \$729.6 billion to the U.S. economy, or 4.2 percent to the GDP, more than construction (\$672 billion) or transportation and warehousing (\$510 billion).
- 4.8 million workers were employed in the production of arts and cultural goods, receiving \$355.2 billion in compensation.
- The U.S. exports roughly \$26 billion more in arts and cultural goods than it imports, resulting in a trade surplus.

Starting in FY 2017, for the first time, statistics have been produced spotlighting the economic impact of arts and cultural activities in each state and the District of Columbia. This data provides state leaders with a tool to assess and advance arts and culture for the benefit of their residents. For example, while employment in arts and cultural jobs is high in New York and California as would be expected, data shows that arts and culture account for a larger share of jobs in Wyoming, Utah, and Colorado than they do nationally.

2017 marked the sixth year that the NEA has offered funding for research by outside parties through the Office of Research & Analysis. Funded studies investigate research questions about the value and/or impact of the arts, or explore causal links between the arts and another domain of interest. For example; the Affordable Housing Management Company based in Fishers, Indiana received a grant to support a study examining the effects of music engagement on low-income, older adults.

NEA and Creative Placemaking

[*Our Town*](#) is the NEA's signature creative placemaking program that supports partnerships of artists, arts organizations, and municipal government that work to revitalize neighborhoods. This practice places arts at the table with land-use, transportation, economic development, education, housing, infrastructure, and public safety strategies to address a community's challenges. Creative placemaking highlights the distinctiveness of a place, encouraging residents to identify and build upon their local creative assets.

In FY 2017, projects supported communities ranging in size from all corners of our nation – from Haines, Alaska; to McCall, Idaho; to Wenatchee, Washington; to Spencer, Oklahoma; to Ajo, Arizona; to Muncie, Indiana; to Pascagoula, Mississippi; to Unicoi, Tennessee; to Fort Meyers, Florida. Awarded grants represent a mix of urban, tribal, suburban, and rural communities.

All *Our Town* grant awards are made to partnerships that consist of at least one nonprofit organization and a local government entity. Each of the recommended grants speaks to the role of arts practitioners and partners in building greater livability across a range of geographies and community types. Many communities have used these grants to support multi-partner, anchor investments in their communities' future, with the projects' artistic and creative interventions addressing a wide range of community challenges, such as improving public safety, stimulating the local economy, promoting healthier living, and strengthening transit access and public space.

In FY 2017, \$6.89 million was awarded through 75 grants funding arts engagement, design, and cultural planning, and 14 grants funding projects that build knowledge about creative placemaking. Examples of *Our Town*-supported projects are:

- A \$75,000 grant to the Arrow Rock Lyceum Theatre in Arrow Rock, Missouri to support community planning and design for the theater's expansion. The Lyceum is the only professional theater between Kansas City and St. Louis.
- A \$100,000 grant to the National Association of Counties Research Foundation to allow the foundation to train county staff and managers on how to do arts-based economic development across rural America.

In addition to funding, the NEA advances creative placemaking through publications and resource development. In December 2016, the NEA released [*How to Do Creative Placemaking*](#), a collection of essays and case studies.

The National Endowment for the Arts

Annual Performance Report Fiscal Year 2017



**National
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for the Arts**
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National Endowment for the Arts FY 2017 Annual Performance Report

This performance report is based on the agency's FY 2014-2018 Strategic Plan (located [here](#)). Performance and contextual indicators, prior year data, and current status have been provided below for each strategic objective.

The sources of data (and corresponding acronyms) that are used most frequently in this document are as follows:

FDR – **Final Descriptive Report**. At the completion of each grant, each grantee submits a Final Descriptive Report to the agency, which include data pertaining to many of the agency's strategic objectives. FDR data are reported as submitted by grantees and are not independently verified.

GMS – **Grants Management System**. This is the agency's internal Grants Management System, which tracks basic administrative data such as applications received, grants awarded, etc.

SPPA – **Survey of Public Participation in the Arts**. The SPPA is a comprehensive and detailed survey conducted by the U.S. Census Bureau every five years (as part of that agency's household surveys) and provides insight into the nature and extent of Americans' participation in the arts. The most recent survey took place in 2017, but the most recent SPPA data available for analysis is from 2012.

AABS – **Annual Arts Basic Survey**. The AABS is also conducted by the Census Bureau as a supplement to their Current Population Survey and features selected summary questions drawn from the SPPA. Although less detailed than the larger survey, the AABS provides estimates of U.S. participation in the arts during years in which the SPPA is not administered.

Throughout this document, data are reported through FY 2017 unless otherwise noted. A significant exception is FDR data. The most recent data available from grantees' FDRs are from FY 2016, due to a lag occurring from the time of the agency's award of a grant to the conclusion of the grant and extending to the grantee's submission of the FDR. For example, if a grant award is made at the beginning of FY 2013 and the performance period is one year, then the FDR from that grant will not have been submitted for up to 90 days into FY 2014. Accounting for this delay, FDR data are reported here by the fiscal year in which the respective grants were awarded, not by the date of FDR receipt. With reference to the example above, the FDR data are captured in FY 2013 because that is the performance period for the grant. For performance measures introduced in FY 2014, historical data may be unavailable.

Because many of the NEA's strategic objectives are interrelated, many performance and contextual indicators throughout this document utilize FDR data from the agency's entire grants portfolio, irrespective of any given grant's primary objective. For this reason it is important to identify the overall percentage of FDRs received to date in order to establish the context for these indicators,

particularly in light of the time lag noted above. The following table provides this information for the performance period reported throughout this document. Given that only 56% of FDRs have been received for grants awarded in FY 2016, data throughout this report for FY 2016 may be low compared to FY 2012 through FY 2015.

Number and Percentage of FDRs Received – 2012-2016					
	2012	2013	2014	2015	2016
Number of FDRs Received	2,163	2,084	2,152	2,111	1,350
Percentage Received	98.9%	98.1%	96.6%	91.2%	55.7%

GOAL: SUPPORT THE CREATION OF ART THAT MEETS THE HIGHEST STANDARDS OF EXCELLENCE

STRATEGIC OBJECTIVE 1.1: Expand the portfolio of American art by investing in projects dedicated to the creation of excellent art.

Performance Indicator 1.1.1

FY 2017 Performance: To assess performance on this strategic objective, the NEA examines the percentage of completed projects, across the agency’s grants portfolio, resulting in the creation of at least one new original work of art.

Performance Indicator 1.1.1 – The percentage of completed projects that resulted in the creation of at least one new, original work of art (not including student works).*					
Indicator	2012	2013	2014	2015	2016
Percentage of projects resulting in creation of new, original art	42.3%	42.1%	43.0%	38.0%	42.6%

Source: FDR

*Results for this performance indicator as published in the FY 2016 APR have been corrected in this report.

Notwithstanding the role of subjectivity in assessing artistic excellence—which the NEA accomplishes through rigorous peer-review by citizen-expert panels—the creation of new works of art is a measurable phenomenon that speaks to the achievement of this strategic objective and to the agency’s priority of funding projects that support the creation of new, original works of art. This measure does not include student works, adaptations, re-creations, or restagings of existing works.

Contextual Indicator 1.1.2

To supplement the perspective offered by Performance Indicator 1.1.1, the NEA uses a contextual indicator that provides the total number of new works of art that have been created as a result of NEA grants.

Contextual Indicator 1.1.2 – The number of original works of art created through NEA-supported projects (not including student works).					
Indicator	2012	2013	2014	2015	2016
Number of new, original works of art created	31,171	22,804	34,129	24,284	19,699

Source: FDR

The above tables (indicators 1.1.1 and 1.1.2) demonstrate that:

- A significant percentage of all NEA-funded projects – almost 42% since 2012 – have resulted in the creation of at least one new, original work of art, *and*
- In each year shown in the performance period above, tens of thousands of new, original works of art have been created as a direct result of the projects that the NEA funds. This investment in artistic creation has added over 132,000 new, original works to the canon of American art during this five-year span.

Contextual Indicators 1.1.3 – 1.1.6

FY 2017 Performance: The following table illustrates the agency's response, over the past five fiscal years, to requests for grants to be used primarily in support of creating new, original works of art. The table includes data on applications received and grants awarded, and obligated funds as well as matched funds supporting grant projects. All dollar values are expressed in millions and have been rounded to the nearest tenth of one million.

NEA Direct Awards – Creation						
Indicator Number	Measure	2013	2014	2015	2016	2017
1.1.3	Applications Received	2,063	2,300	2,553	2,833	2,434
1.1.4	Grants Awarded	431	495	459	501	457
1.1.5	Obligated Funds	\$12.3	\$12.6	\$11.9	\$12.6	\$11.6
1.1.6	Matched Funds	\$102.9	\$111.2	\$128.2	\$80.3	\$11.4
N/A	Number of FDRs Received	402	457	405	300	48
N/A	% of FDRs Received	93.3%	92.3%	88.2%	59.9%	10.5%

Source: GMS and FDR

GOAL: FOSTER PUBLIC ENGAGEMENT WITH DIVERSE AND EXCELLENT ART

STRATEGIC OBJECTIVE 2.1: Provide all Americans with opportunities for arts engagement by funding projects that create arts experiences.

Performance Indicator 2.1.1

FY 2017 Performance: To assess performance on this strategic objective, the NEA developed a measure that examines the percentage of completed projects with “live” arts events that resulted in cumulative, unduplicated attendance of 500 people or more.

Performance Indicator 2.1.1 – The percentage of completed projects with “live” arts events that resulted in cumulative, unduplicated attendance of 500 people or more.					
Measure	2012	2013	2014	2015	2016
Number of projects reported 500 or more “live” arts event attendees	1,543	1,512	1,563	1,556	997
Total FDRs received	2,026	1,950	2,017	1,978	1,246
Percentage of projects with attendance of ≥ 500 people	76%	78%	77%	79%	80%

Source: FDR

As seen in the table above, at least 75% of all grant projects produced live arts events (such as concerts, exhibitions, etc.) that resulted in at least 500 unique individuals attending over the course of the project period.

Contextual Indicator 2.1.2

FY 2017 Performance: To provide additional context for this strategic objective, the NEA also utilizes a contextual indicator, which provides further detail on those in attendance at live events (adults and children).

Contextual Indicator 2.1.2 – The number of reported unique (unduplicated) adults and children that engaged with the arts in-person through NEA funded projects.					
Measure	2012	2013	2014	2015	2016
# of Adults	38,011,380	53,983,786	44,817,104	41,319,818	35,910,421
# of Children	9,018,333	10,883,913	7,026,361	10,121,222	4,540,231
Total	47,029,713	64,867,699	51,843,465	51,441,040	40,450,652

Source: FDR

The above table shows that an average of **42.8 million adults and 8.3 million children per year** engaged with the arts through live events produced by NEA-funded projects over this five-year performance period. These counts are reported by recipients of NEA grant awards and are not independently verified.

Contextual Indicator 2.1.3

FY 2017 Performance: In addition to tracking the number of participants at these live events, the NEA also tracks the number and types of the events themselves, which are sorted into the categories seen in the table below.

Contextual Indicator 2.1.3 – Total number of “live” arts events broken down by event type (including the following: fairs, festivals, concerts, performances, readings, or exhibitions of visual arts, media arts, design, or film festivals).					
Measure	2012	2013	2014	2015	2016
Fairs / Festivals	881	797	720	764	435
Concerts / Performances	34,524	35,742	36,965	41,209	25,248
Lectures / Workshops	38,669	46,145	49,581	80,390	42,530
Exhibitions Presented	7,166	7,158	6,737	5,686	2,601
Total "Live" Arts Events	81,240	89,842	94,003	128,049	70,814

Source: FDR

The above table shows that NEA-funded grant projects produced an average of **92,790 live arts events per year** during this five-year performance period. These events included a diverse array of art forms presented in an assortment of formats and milieus all across the country, and in nearly every congressional district*, thereby supporting the strategic objective of providing all Americans with opportunities to engage with the arts in person.

*For more information on grant awards in relation to congressional districts, please see Cross-Cutting Objective Contextual Indicator CCO 1.1.3.

Contextual Indicator 2.1.4

FY 2017 Performance: In addition to engaging with the arts in person, numerous grantees in recent years have developed virtual arts experiences that provide individuals with an opportunity to participate through mobile apps and/or online programming, such as podcasts, web streaming, games, distance learning, online exhibitions, and more. Beginning in 2015, the NEA has collected data from grantees regarding arts engagement levels on these virtual platforms. The following table reflects output from this recent data-collection effort.

Contextual Indicator 2.1.4 – Total number of people who engaged through technology with the arts through NEA-funded projects.		
Measure	2015	2016
Number of Unique Individuals Engaging with Virtual Arts Experiences: INTERNET	63,232,887*	61,659,451
Number of Unique Individuals Engaging with Virtual Arts Experiences: MOBILE APPS	21,515,335	27,785,842
Total	84,748,222	89,445,293

Source: FDR

*Note that one grantee’s report of engaging 933,376,753 individuals with virtual arts experiences via the Internet was removed from this analysis, since there was not sufficient documentation to support this number and it inflated the overall 2015 count.

This indicator provides a sense of the additional reach that grantees have by utilizing technology to provide individuals with the opportunity to engage with the arts. During FY 2016, NEA grantees reported that **more than 61 million individuals engaged with the arts through the Internet and more than 27 million through mobile applications in NEA-funded projects**. These counts are reported by recipients of NEA grant awards and are not independently verified. The NEA does not envision virtual engagement as an ideal substitute for in-person engagement, but rather as an additional modality for individuals who would like to supplement their participation in live arts events; virtual engagement also provides a critical opportunity for people facing challenges with accessibility.

Contextual Indicator 2.1.5

FY 2017 Performance: In addition to reviewing NEA grant-making data, the agency relies on other indicators to illumine the greater context in which these projects are operating. For a national overview of Americans' cultural engagement patterns, the NEA's Survey of Public Participation in the Arts (SPPA, located [here](#)) is essential. Conducted in partnership with the U.S. Census Bureau as a supplement to the Current Population Survey, the SPPA allows the NEA and other cultural policymakers, funders, practitioners, and researchers to understand artistic, technological, and socio-economic trends affecting arts engagement.

Additionally, in partnership with the U.S. Census Bureau, the NEA has created a smaller version of the SPPA that can be conducted to produce an interim measure during non-SPPA survey years. The Annual Arts Basic Survey (AABS) contains a subset of questions from the SPPA, and is fielded as part of the Current Population Survey in years when the SPPA is not conducted. The following indicator reflects arts engagement trends captured in those surveys. Note that while the SPPA was administered in FY 2017, these data are not yet available.

Contextual Indicator 2.1.5 – The percent of adults experiencing art during the NEA’s most recent general population survey period (as measured by SPPA & AABS), including those who did any of the following in the previous 12 months: attended a live performing arts or visual arts event; created or performed art; or read a work of imaginative literature.

Measure	2014	2015	2016	2017
1) Attended a live performing arts or visual arts event, excluding movies	N/A	43.4%	N/A	*
2) Created or performed art, including social dancing	50.0%	N/A	45.1%	*
3) Read literature	N/A	43.1%	N/A	*

Source: AABS: 2014 and 2016 for measure 2, 2015 for measures 1 and 3; SPPA data will be used for 2017.

*2017 SPPA data are not yet available.

Note: AABS survey content currently alternates between odd and even years as shown in the above table.

More information on the above survey measures is provided below:

1) Attending live arts events – The first set of figures in the table above represents the percentage of adults who attended a live music, theater, or dance performance; saw an art exhibit; or toured historic neighborhoods, parks, or monuments.

2) Creating or performing art – The second set of figures represents the percentage of adults who created pottery, ceramics, or jewelry; create leatherwork, metalwork, or woodwork; did weaving, crocheting, quilting, or other textile arts; played a musical instrument; performed acting; performed or practiced dance; participated in social dancing; performed or practiced singing; created films or videos; created photography; created other visual arts (e.g., painting or sculpture); or did creative writing.

3) Reading literature – The third set of figures represents the percentage of adults who read at least one poem, play, short story, or novel.

Contextual Indicators 2.1.6 – 2.1.9

The following table illustrates the agency's response, over the past five fiscal years, to requests for grants to be used primarily for the purpose of providing Americans with opportunities to engage with the arts. All dollar values are expressed in millions and have been rounded to the nearest tenth of one million.

NEA Direct Awards – Engagement						
Indicator Number	Measure	2013	2014	2015	2016	2017
2.1.6	Applications Received	2,092	1,925	2,199	2,229	3,875
2.1.7	Grants Awarded	1,200	1,204	1,298	1,345	1,544
2.1.8	Obligated Funds	\$30.3	\$30.7	\$33.5	\$33.1	\$37.4
2.1.9	Matched Funds	\$312.5	\$354.8	\$351.7	\$239.0	\$31.6
N/A	Number of FDRs Received	1,192	1,192	1,247	836	147
N/A	% of FDRs Received	99.3%	99.0%	96.1%	62.2%	9.5%

Source: GMS, FDR

STRATEGIC OBJECTIVE 2.2: Enable Americans of all ages to acquire knowledge or skills in the arts by funding projects that address lifelong learning in the arts.

Performance Indicator 2.2.1

FY 2017 Performance: Measuring progress on this strategic objective involves reviewing the extent to which NEA-supported arts education projects lead to demonstrations of learning by students. With the exception of 2013, which included a significant outlier that skewed results in that year, arts education projects involving children / youth in recent years have consistently shown evidence of student learning.

Performance Indicator 2.2.1 – The percent of children / youth who demonstrated learning in arts education ‘Standards-Based’* projects.					
Measure	2012	2013	2014	2015	2016
# Children engaged as learners	287,232	1,092,373**	267,610	114,731	82,799
# Children who demonstrated learning in Arts Education Standards-Based projects	181,050	219,806	230,997	105,904	69,836
Percentage	63.03%	20.12%	86.32%	92.3%	84.3%

Source: FDR

*Note: The ‘Standards-Based’ designation was dropped from Arts Education FDRs in FY 2015, so that the term is attributable only to FY 2012-2014; however, the number and percentage of children engaged as learners and demonstrating learning (whether “standards”- or “non-standards”-based) was recorded in all FDRs and pertains to the full performance period shown above.

**Note: The significant increase in the number of children engaged as learners in 2013 was due to a single grant award to The John F. Kennedy Center for the Performing Arts for its Any Given Child Initiative.

Contextual Indicator 2.2.2

To provide additional perspective related to this strategic objective, the NEA is also utilizing the following contextual indicator, which shows the percent of adults (within a 12-month period) who took classes or lessons in: music or music appreciation; acting, theater, or dance; art appreciation or art history; creative writing; photography or filmmaking; or other visual arts. Data from the SPPA and AABS are used to populate this indicator. The SPPA was administered in FY 2017; however, these data are not yet available.

Contextual Indicator 2.2.3 – The percent of adults participating in at least one arts learning activity (e.g., class, lesson) during NEA’s most recent general population survey period.					
Measure	2013	2014	2015	2016	2017
Percent of adults taking an arts class in the past 12 months	8.2%	N/A	8.5%	N/A	*

Source: AABS, SPPA

*2017 SPPA data are not yet available.

Contextual Indicators 2.2.3 – 2.2.6

The following table illustrates the agency's response to requests, over the past five fiscal years, for grants to be used primarily for the purpose of lifelong learning. All dollar values are expressed in millions and have been rounded to the nearest tenth of one million.

NEA Direct Awards - Lifelong Learning						
Indicator Number	Measure	2013	2014	2015	2016	2017
2.2.3	Applications Received	786	812	739	658	572
2.2.4	Grants Awarded	324	353	350	363	332
2.2.5	Obligated Funds	\$9.7	\$10.0	\$9.6	\$9.7	\$9.3
2.2.6	Matched Funds	\$71.1	\$73.6	\$69.5	\$28.9	\$1.8
N/A	Number of FDRs Received	324	349	345	171	21
N/A	% of FDRs Received	100.0%	98.9%	98.6%	47.1%	6.3%

STRATEGIC OBJECTIVE 2.3: Strengthen American communities by investing in projects that seek to improve the livability of places through the arts.

Performance Indicator 2.3.1

FY 2017 Performance: To measure its performance on this strategic objective, the NEA assesses the percent of grants awarded for projects that demonstrate a commitment to improved livability in specific impact areas. The table below shows that for fiscal years 2012-2016, an overwhelming majority (96%) of grantees with a primary goal of improving livability in communities reported using at least one livability strategy.

Performance Indicator 2.3.1 – The percent of grants awarded for projects that demonstrate a commitment to improved livability in specific impact areas.					
Measure	2012	2013	2014	2015	2016
At Least One Livability Strategy Selected	125	82	72	57	39
Livability FDRs Received	131	85	75	60	40
Percentage Selecting at Least One Strategy	95%	96%	96%	95%	98%

The following supplemental data table shows each of the NEA-designated livability strategies, as well as the frequency with which grantees implementing livability projects utilized each strategy.

NEA-Designated Livability Strategies	2012	2013	2014	2015	2016
Develop Plans(s) for Cultural and/or Creative Sector Growth	36.5%	31.7%	39.7%	15.5%	12.8%
Use Design to Enhance/Revitalize Public Space(s)	46.0%	35.4%	42.5%	27.6%	20.5%
Commission and/or Install New Art to Improve Public Space(s)	40.5%	50.0%	39.7%	36.2%	25.6%
Plan and/or Conduct Arts Activities to Foster Interaction Among Community Members	58.7%	58.5%	65.8%	65.5%	76.9%
Engage Artists and/or Arts Organizations	74.6%	69.5%	78.1%	60.3%	61.5%
Other Strategies to Improve Livability through Arts and Design	37.3%	36.6%	37.0%	29.3%	17.9%

Source: FDR

Among these six strategies, the two most commonly employed in FY 2016 grants are:

- 1) Planning and/or Conducting Arts Activities to Foster Interaction among Community Members, and
- 2) Engaging Artists and/or Arts Organizations

The lasting benefits of creative placemaking projects are likely to emerge over time and may not be fully measurable during the period of a grant. Robust evaluation of the impacts achieved by such grants will require longer-term studies. As an initial step, the NEA developed a series of statistical indicators designed to capture the kinds of outcomes that practitioners of creative placemaking deem relevant to their projects. In FY 2014, the agency published *Validating Arts and Livability Indicators (VALI) Study: Results and Recommendations* (located [here](#)). In FY 2015, the agency released more resources related to these indicators as part of the NEA’s online *Arts Data Profile* series (located [here](#)). Also to assist practitioners, the NEA has launched the e-storybook, *Exploring Our Town* (located [here](#)), an online series of case studies and lessons learned that will illustrate key statistics and outcomes from creative placemaking projects supported by the agency. Lastly, in FY 2017, the agency developed a theory of change and measurement model for the agency’s creative placemaking grant program, *Our Town*, which will inform future grant guidelines and reporting requirements.

Contextual Indicator 2.3.2

FY 2017 Performance: In addition to the above performance indicator (2.3.1), the agency also collects information on the location of communities in which NEA-funded grant activities take place. In the case of grants with a primary goal of improving livability, the table below displays the number of unique communities represented by organizations that received a grant award with livability as the primary objective. If more than one grant award was awarded to organizations in a given community, the community itself was counted only once for this indicator.

Contextual Indicator 2.3.2 – Number of communities that enlist the arts in efforts to improve livability.					
Measure	2013	2014	2015	2016	2017
Number of Communities	78	77	99	104	84

Contextual Indicators 2.3.3 – 2.3.6

FY 2017 Performance: The following table illustrates the agency's response, over the past five fiscal years, to requests for grants to be used primarily for the purpose of livability. All dollar values are expressed in millions and have been rounded to the nearest tenth of one million.

NEA Direct Awards – Livability						
Indicator Number	Measure	2013	2014	2015	2016	2017
2.3.3	Applications	440	390	668	349	383
2.3.4	Grants Awarded	88	96	124	146	92
2.3.5	Obligated Funds	\$5.7	\$5.7	\$6.3	\$6.0	\$7.0
2.3.6	Matched Funds	\$16.1	\$14.5	\$10.9	\$8.1	\$0
N/A	% of FDRs Received	85	75	60	40	0

Source: GMS and FDR

CROSS-CUTTING OBJECTIVE (CCO): Ensure that NEA-funded activities reach Americans throughout the country by making awards for projects that address a diverse spectrum of artistic disciplines, geographic locations, and underserved populations.

CCO Performance Indicator 1.1

FY 2017 Performance: To assess performance on this cross-cutting agency objective, the NEA monitors the geographic distribution of grant awards in relation to the number of applications received, as well as where grant-funded activities occur on the rural-urban continuum.

CCO Performance Indicator 1.1 – Geographic Distribution of Applications Received, Grants Awarded, and Project Activity Locations					
Year	2013	2014	2015	2016	2017
Applications Received	4,151	3,965	4,856	4,879	5,415
Grants Awarded	2,002	2,119	2,208	2,330	2,347
% of Applications from Urban Areas	92.2%	92.2%	91.7%	91.7%	92.7%
% of Grants in Urban Areas	93.8%	93.9%	92.6%	93.1%	93.1%
% of Applications from Rural Areas	7.8%	6.8%	8.3%	8.3%	7.3%
% of Grants in Rural Areas	6.2%	6.1%	7.4%	6.9%	6.9%
Project Activity Locations	20,351	19,462	17,068	19,507	N/A
% of Project Activity Locations in Urban Areas	86.3%	86.7%	86.2%	87.1%	N/A
% of Project Activity Locations in Rural Areas	13.7%	13.3%	13.8%	12.9%	N/A

Source: GMS and FDR

The above table shows that each year, the percentage of grants awarded to organizations in rural vs. urban settings is roughly proportional to the percentage of applications received from those organizations, although there is a pattern of applications from urban organizations having a slightly higher success rate each year. However, NEA-funded projects produce arts events (such as festivals, plays, concerts, etc.) at locations other than just each grantee organization’s address. At the conclusion of each project, grantees report this assortment of Project Activity Locations on their FDRs, and each year these data (presented in the final three rows of the above table) demonstrate that these activities occur with more frequency in rural areas than would be expected based on the ratio of grant awards. In other words, NEA grants often support project activities in rural areas even when the organizations themselves are located in urban areas. In fact, in each year shown in the table above, approximately 6%-7% of grants were awarded to rural organizations; however, an average of 13% of all NEA-funded project activities occurred in rural areas in each of those years. The distribution of FY 2016 NEA-funded project activities is similar to the distribution of the U.S. population, in that approximately 14% of U.S. residents live in rural/non-metropolitan areas.¹

¹ Source: FDR and U.S. Census Bureau, Population Division.

CCO Performance Indicator 1.2

FY 2017 Performance: Beyond the simple categorization of urban versus rural, geographic diversity is also shown by the relative population sizes of communities where NEA-funded arts events occurred. Within the designation of urban/metro areas, there are four subdivisions used by the U.S. Census to characterize metro areas of different sizes. This performance indicator tracks the percentage of NEA-funded grant activities in relation to the percentage of the population in those metro-area categories. Rows 1 and 2 display the binary distinction of metro vs. non-metro, whereas rows 3-6 display gradations within the broader metro category, i.e., with rows 3-6 as a refined subset of row 2. Please note that all U.S. population figures shown below are estimates made by the U.S. Census Bureau as of July 1 in each respective year.

As seen in the table below, the distribution of NEA-funded project activities roughly mirrors the geographic distribution of the U.S. population. This proportional relationship is true in the broad sense as evidenced in rows 1 and 2 at the top of the table, which compare metro vs. non-metro areas, but it is also largely true even when accounting for the gradations in metro size and population density shown in rows 3-6.

CCO Performance Indicator 1.2 –Percentage of NEA-funded activities occurring in each segment of the rural-urban continuum compared to the percentage of the population that lives in those respective locations.											
	2012		2013		2014		2015		2016		
	NEA Activities (n=17,602)	% Population in Location (316.1M)	NEA Activities (n=19,811)	% Population in Location (320.1M)	NEA Activities (n=21,948)	% Population in Location (322.4M)	NEA Activities (n=17,068)	% Population in Location (324.9 M)	NEA Activities (n=19,507)	% Population in Location (326.5 M)	
1) Non-metro, rural areas	14.0%	14.6%	13.4%	14.5%	12.4%	14.4%	13.8%	14.3%	12.9%	14.1%	
2) Metro, urban areas	86.0%	85.4%	86.6%	85.5%	87.6%	85.6%	86.2%	85.7%	87.1%	85.9%	
3) Metro pop < 250K	9.9%	9.1%	9.1%	9.2%	8.9%	9.1%	9.0%	9.0%	8.5%	9.0%	
4) Metro pop >= 250K but < 1M	17.2%	20.9%	16.1%	20.9%	15.2%	20.6%	15.6%	20.7%	16.8%	20.8%	
5) Metro pop >= 1M but < 4.6M	26.6%	28.8%	27.0%	29.2%	26.7%	29.6%	25.8%	28.3%	21.4%	27.0%	
6) Metro pop >= 4.6M	32.4%	26.5%	34.5%	26.2%	36.8%	26.3%	35.8%	27.7%	40.4%	29.1%	

Source: FDR and U.S. Census Bureau, Population Division

Contextual Indicator CCO 1.1.3

FY 2017 Performance: The NEA has long held an internal goal of awarding at least one grant in every congressional district. The following table illustrates the extent to which the agency has been successful in this regard. This chart includes all grant awards and does not exclude grants that may have been withdrawn at a later date.

Contextual Indicator CCO 1.1.3 – Percent of congressional districts receiving an award.					
	2013	2014	2015	2016	2017
Number of Congressional Districts Receiving an Award	435	435	435	434	435
Percent	100.0%	100.0%	100.0%	99.8%	100.0%

Source: GMS and prior year Annual Performance Reports

Contextual Indicator CCO 1.1.4

FY 2017 Performance: The NEA prioritizes reaching underserved communities and populations with its grant-making. To enable the NEA to track this goal, applicants are asked to state on their applications whether they intend to reach underserved groups with their proposed project, and grantees are asked to identify on their FDRs whether at least 25% of their project’s participants and/or audience consisted of any of the following underserved groups: individuals with disabilities, individuals in institutions (including people living in hospitals nursing homes, assisted care facilities, correctional facilities, and homeless shelters), individuals living below the poverty line, individuals with limited English proficiency, military veterans/active duty personnel, and, beginning in FY 2015, youth at risk. The following table demonstrates the percentage of projects that served one or more of these groups.

Contextual Indicator CCO 1.1.4 – Percentage of projects reaching underserved populations					
	2012	2013	2014	2015	2016
Percentage of Projects	33.0%	32.8%	33.2%	28.4%	16.7%

Source: FDR

Additional note: The agency’s FDR form was revised in FY 2015, and one of the revisions was to the way the “underserved”-related question was phrased. This change stipulated that at least 25 percent of people, within one or more traditionally underserved groups listed on the form, must have benefited from the project in order for the grantee to count underserved populations among its beneficiaries. Previously, in contrast, there had been no numeric threshold for reporting. For this reason, the percentage of FDRs which reported reaching underserved groups in FY 2015 and FY 2016 was markedly lower than in previous years.

GOAL: PROMOTE PUBLIC KNOWLEDGE AND UNDERSTANDING ABOUT THE CONTRIBUTIONS OF THE ARTS

STRATEGIC OBJECTIVE 3.1: Expand and promote evidence of the value and/or impact of the arts by fulfilling a long-term research agenda and by using traditional and social media channels to distribute findings and new information.

Performance Indicator 3.1.1

FY 2017 Performance: In FY 2017, the NEA’s Office of Research & Analysis published a new five-year research agenda* that guides the agency’s efforts to promote public knowledge and understanding about the contributions of the arts. With the launch of this new agenda, the performance indicator has been modified to track the launch and completion of research projects designated for the five-year period.

Performance Indicator 3.1.1 – Percent of NEA Research Agenda projects launched and/or completed
At the time of this report – at the completion of this first year of the 2017-2021 research agenda – the NEA has completed 18% (4 of 22) and launched an additional 18% (4 of 22) of the projects designated for the five-year period.

*For reference, the NEA’s 2017-2021 research agenda and a 2017 progress report on the research agenda can be found [here](#).

Contextual Indicator 3.1.2

FY 2017 Performance: Each year, the NEA’s Office of Research and Analysis produces research publications featuring the work of ORA researchers as well as contractors that the office hires to complete specific studies. This indicator tracks the public reach of these publications as measured by the annual number of NEA research publications and NEA research-related articles and/or citations that appear in academic journals and non-academic news outlets.

NEA-generated and NEA-funded research is sometimes cited in both academic and non-academic formats, with the latter including consumer and trade news outlets in print, broadcast, and online formats, as well as social media channels. The agency has been tracking academic citations since 2010, and in 2014 the agency began tracking non-academic citations as well. In an effort to measure the reach of non-academic citations, the NEA’s Office of Public Affairs tracks these occurrences primarily via Google News, as well as in specific publications such as Artsjournal and Createquity. In addition, NEA staff and grantees frequently bring NEA-related media articles to the attention of Public Affairs staff. The office uses roughly 20 different search terms to help capture the relevant articles, to include but not limited to: “Jane Chu”, “National Council on the Arts”, “Walter Reed Arts Therapy”, “Belvoir Arts Therapy”, “NICoE Arts Therapy”, “National Intrepid Arts Therapy”, “NEA”, “National Endowment for the Arts”, and “President’s Committee on the Arts.” The following table is a summary of the number of academic and non-academic citations for the past five years, as well as the number of NEA research publications.

Contextual Indicator 3.1.2 – Public reach as measured by the annual number of NEA research publications and the annual number of NEA research-related articles and/or citations in academic journals and non-academic news outlets.					
Measure	2013	2014	2015	2016	2017
# of NEA Research Publications*	4	2	3	5	5
# of Academic Citations/Articles**	3	0	55	79	50
# of Non-Academic Citations/Articles	N/A	31	157	173	123

*Note: In fiscal years 2013-2015 this measure captured grant application data reflecting grantees' aspirations for publishing their research in academic papers or presenting their work at academic conferences. However, in order to shift the focus of this measure from aspirations to performance, beginning in fiscal year 2016 this measure captures the number of research publications produced in whole or in part by the NEA's Office of Research and Analysis (ORA) or its contractors. The five publications noted for 2017 are three Arts Data Profiles: [Arts Participation and Health Outcomes in Older Adults \(2014\)](#); [State-Level Estimates of Arts and Cultural Employment \(2001-2014\)](#); and [The U.S. Arts and Cultural Production Satellite Account \(1998-2014\)](#). Other research publications include [Staying Engaged: Health Patterns of Older Americans Who Participate in the Arts \(2017\)](#) and [The National Endowment for the Arts Guide to Community-Engaged Research in the Arts and Health \(2016\)](#).

**Source 2012-2014: Scopus database search. Source 2015-2016: Scopus, Academic Search Premier, EconLit with Full Text, ERIC, PsycINFO, Social Sciences Full Text (H.W. Wilson), Education Source, ProQuest Dissertations, and Jstor database searches conducted in November 2017. Note: Due to a significantly greater number of databases searched in 2015-2016, those years reflect a greater number of academic citations than in previous years. The 2016 data point also captures all citations for FY 2016 and includes citations up to April 2017; this occurred as a result of a later than normal submission of the FY 2016 annual performance report. As a result, this number is higher than might be expected for a one-year period. Similarly, the 2017 data point only includes citations for the time period of May through September 2017.

Contextual Indicators 3.1.3 - 3.1.6

FY 2017 Performance: The following table illustrates the agency's response, over the past five fiscal years, to requests for grants to be used primarily for the purpose of understanding the value and/or impact of the arts.

NEA Direct Awards – Understanding the Value and/or Impact of the Arts						
Indicator Number	Measure	2013	2014	2015	2016	2017
3.1.3	Applications Received	100	82	28	31	43
3.1.4	Grants Awarded	18	19	21	17	20
3.1.5	Obligated Funds	\$371,298	\$285,027	\$499,035	\$300,000	\$1,109,500
3.1.6	Matched Funds*	\$254,838	\$475,840	\$229,477	\$30,772	\$0
N/A	FDRs Received	17	19	10	2	0
N/A	Percentage of FDRs Received	94.4%	100.0%	47.6%	11.8%	0.0%

*Please note that matched funds were not a requirement for Research grants until FY 2014.

STRATEGIC OBJECTIVE 3.2: Increase the domestic and international impact of the arts by establishing strategic partnerships with public and private organizations.

Performance Indicator 3.2.1

FY 2017 Performance: In fiscal year 2017, the NEA was engaged in 15 Federal partnerships, enabling other Federal agencies and/or departments to include the arts in their program planning. Federal partnership activities were facilitated through interagency agreements. Partners included, but were not limited to, the Department of Defense; Department of Veterans Affairs; the U.S. Department of Commerce, Bureau of Economic Analysis; Department of Agriculture, Economic Research Service; Department of Education; Department of State; Institute of Museum and Library Services; National Institutes of Health; the Department of Justice, Bureau of Prisons; Census Bureau; Library of Congress; the National Endowment for the Humanities; Delta Regional Authority; President’s Committee for the Arts and the Humanities; and the Smithsonian Institution. The following table reflects the number of Federal partnerships that the NEA has engaged in over the past five fiscal years. Note that in addition to the agency’s Federal partnerships, the NEA also engaged in partnerships with other entities, including Blue Star Families, Kennedy Center, Woodrow Wilson Center, and the Poetry Foundation, which are not reflected in this indicator.

Performance Indicator 3.2.1 – Number of Federal partnerships that facilitate increased arts programming.					
Year	2013	2014	2015	2016	2017
Partnerships	15	18	15	18	15

Note: In the agency’s FY 2015 performance report, this indicator had been phrased as: “Number of partnerships that result in increased arts programming.” The phrase “result in” has been changed to “facilitate” in last year’s report in order to clarify that the agency is not intending to make direct causal attributions pertaining to the outcomes of these partnerships.

Performance Indicator 3.2.2

FY 2017 Performance: In addition to partnerships with a domestic focus, the NEA also utilizes partnerships to promote American art and artists abroad and to bring art and artists from other countries to U.S. audiences. This indicator counts all approved applications for international partnerships. In FY 2017, partnership activities included, but were not limited to, the Mid Atlantic Arts Foundation-USArtists International and Southern Exposure: Performing Arts of Latin America; the six Regional Arts Organizations for Performing Arts Discovery; Arts Midwest for China Performing Arts Exchange; the US/Japan Friendship Commission-Japan U.S. Creative Artists Program; and the U.S. Department of State – Venice Biennale in Visual Arts and Architecture.

Performance Indicator 3.2.2 – Number of partnerships that promote American art and artists internationally or bring art and artists from other countries to U.S. audiences.					
Year	2013	2014	2015	2016	2017
Partnerships	6	6	6	7	6

MANAGEMENT GOAL: ENABLE THE NEA MISSION THROUGH ORGANIZATIONAL EXCELLENCE

MANAGEMENT OBJECTIVE 1.1: Provide the American people with outstanding service by attracting, maintaining, and optimizing a diverse, creative, productive, and motivated workforce.

Performance Indicator MO 1.1.1

FY 2017 Performance: To maintain the highest standard of organizational excellence, the agency regularly monitors employee feedback. A key strategy for collecting employee feedback is the OPM Federal Employee Viewpoint Survey (FEVS), which, among other things, identifies specific areas needing improvement. Using this data, the agency tracks the percent of NEA employees reporting positive responses to key questions on this survey. Information collected from the survey is used to improve recruitment and retention strategies for high-performing workers.

Performance Indicator MO 1.1.1 – Percent of NEA employees reporting positive responses to key questions on OPM’s annual Federal Employee Viewpoint Survey.					
Survey Item	2013	2014	2015	2016	2017
Reported a positive response to the statement "My agency is successful at accomplishing its mission."	91.20%	87.60%	83.80%	95.20%	97.94%
Reported a positive response to the statement "I know how my work relates to the agency's goals and priorities."	89.80%	89.60%	82.90%	96.00%	98.10%
Reported a positive response to the statement "I am held accountable for achieving results."	87.70%	90.50%	86.30%	95.00%	94.53%
Reported a positive response to the statement "I am constantly looking for ways to do my job better."	92.50%	87.60%	94.20%	94.30%	92.63%
Employee satisfaction and commitment score	N/A	69.40%	69.30%	86.30%	76.45%
Average positive response score of leadership/supervision	N/A	77.50%	75.00%	85.50%	82.65%

As evidenced in the table above, a significant majority of the NEA’s employees have expressed positive responses to key questions on the FEVS over the past five years, with a noticeable uptick across categories in 2016 that was mostly sustained in 2017. Based on FY 2016 survey results, the NEA was ranked as the best place to work out of 29 small Federal agencies; 2017 agency rankings were not available at the time this report was prepared.

MANAGEMENT OBJECTIVE 1.2: Be an effective and vigilant steward of public funds by sustaining transparent and efficient grant-making and administrative processes.

Performance Indicator MO 1.2.1

FY 2017 Performance: To monitor the agency’s success in its efforts to be an effective and vigilant steward of public funds, the NEA tracks applicant satisfaction with the application guidance provided by the agency. The NEA implemented an applicant satisfaction survey in 2013 and has been conducting it each year since. The survey consists of 13 questions, the responses to which provide the agency with a snapshot of how applicants viewed their most recent experience using and understanding the grant application guidelines on the NEA website. When applicable, applicants also evaluate the usefulness of guideline webinars as well as the quality of interactions with NEA staff while preparing applications. Of the 13 total survey questions, there are 7 which are specifically designed to collect feedback on the different forms of applicant guidance. Therefore, calculating the average percentage of the total positive responses for each of the 7 questions divided by the total completed responses for each question yields an estimate of each applicant’s overall satisfaction with the application process and guidelines. The following table demonstrates the overall applicant satisfaction rate by fiscal year.

Performance Indicator MO 1.2.1 – Applicant satisfaction with application guidance.					
Measure	2013	2014	2015	2016	2017
Estimated applicant satisfaction rate	81.5%	84.0%	82.0%	82.9%	84.0%

As evidenced in the table above, the vast majority of applicants (over 80%) have been satisfied with the grant application process and guidelines in each of the past five fiscal years.

Performance Indicator MO 1.2.2

FY 2017 Performance: Another measure that indicates the NEA’s commitment to vigilant stewardship of public funds is demonstrated by its sound financial management. In keeping with this, the agency received an unqualified opinion on its FY 2017 financial statements, as it has consistently done since its first independent audit in 2003.

Performance Indicator MO 1.2.2 - NEA’s financial statements audit opinion					
Measure	2013	2014	2015	2016	2017
Audit opinion	Unqualified opinion	Unqualified opinion	Unqualified opinion	Unqualified opinion	Unqualified opinion

The National Endowment for the Arts

Annual Performance Plan Fiscal Year 2018-2019



**National
Endowment
for the Arts**
arts.gov

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Introduction

“The arts . . . belong to all the people of the United States.”¹

As the premier arts agency of the U.S. government, the National Endowment for the Arts has established itself as a vital and sustaining force in American culture, committed to serving all Americans by bringing the arts into their lives, schools, and communities.

Over the past 50 years, the NEA has become the largest funder of the arts and arts education nationwide and, as a catalyst of public and private support for the arts, an essential institution. Established by Congress in 1965, the NEA annually awards an average of approximately 2,300 grants and cooperative agreements exceeding \$117 million, funding the arts in all 50 states and six U.S. jurisdictions, including rural and urban areas, and reaching civilian and military populations. The agency also exercises leadership through targeted support of key initiatives, research and evaluation, and domestic and international partnerships. An organizational chart detailing the structure of the agency is presented following this section.

NEA grantees include nonprofit organizations; units of state and local government; federally recognized tribal communities or tribes; and, where permitted, individuals. The NEA awards dollar-for-dollar matching grants to support exemplary projects in the following areas:

Accessibility	Museums
Artist Communities	Music
Arts Education	Musical Theater
Dance	Opera
Design & Creative Placemaking	Presenting & Multidisciplinary Works
Folk and Traditional Arts	Research
International	State & Regional Arts Organizations
Literature	Theater
Local Arts Agencies	Visual Arts
Media Arts	

All grant applications to the NEA are reviewed on the basis of artistic excellence and artistic merit. Applications generally receive three levels of review. First, they are evaluated by advisory panels composed of a diverse group of disciplinary experts and other individuals, including at least one knowledgeable layperson. Panels make recommendations that are forwarded to the National Council on the Arts.

The National Council on the Arts, the NEA's standing advisory body, is comprised of nationally and internationally renowned artists, distinguished scholars, and arts patrons appointed by the

¹ National Foundation on the Arts and the Humanities Act of 1965, as amended.

President and confirmed by the Senate. The Council also includes non-voting Congressional members that are appointed by Senate and House leadership from both sides of the aisle. The Council reviews and votes to approve or reject the applications. Its recommendations for funding are sent to the NEA chairman, who reviews those applications and makes the final decision on all grant awards.

By law, 40 percent of the NEA's grantmaking dollars are awarded to the nation's 56 state and jurisdictional arts agencies (SAAs) and the six regional arts organizations (RAOs). These funds are administered through Partnership Agreements with the SAAs and RAOs—an investment that catalyzes arts projects in thousands of communities across the country. Partnership Agreements allow the NEA to build and sustain local capacity for planning, programming, evaluation, and communications.

Through these agreements, moreover, the NEA supports creation and implementation of statewide and region-wide plans for strengthening arts education and fostering the arts in underserved communities. Each plan reflects the priorities of the state's or region's citizens, whose views are solicited by each SAA/RAO through public hearings.

Together with the dollars that the NEA's grants routinely leverage, the agreements vastly extend the agency's reach and impact, aligning national leadership with local benefits. These partners are critical to the NEA's ability to fulfill its mission.

Mission: To strengthen the creative capacity of our communities by providing all Americans with diverse opportunities for arts participation.

The NEA mission is based on an abiding conviction that the arts play an integral role in national life and public discourse. The first half of the statement refers to the NEA's deep-rooted investment in the artistic and creative assets of diverse places and people throughout the country. The agency is committed to helping organizations that seek to leverage these assets more effectively as part of a comprehensive strategy to integrate the arts into the fabric of community life.

The second half identifies the need to reach every individual with multiple channels for engaging with artistic excellence, thus improving the likelihood that Americans from all backgrounds will benefit directly from the NEA's activities.

The inspirational values of artistic excellence and creativity that define the agency's role within the federal government and the nation are articulated by the National Foundation on the Arts and Humanities Act of 1965, as amended. These “Declarations of Findings and Purposes” include:

- “An advanced civilization must not limit its efforts to science and technology alone, but must give full value and support to the other branches of scholarly and cultural activity in order to achieve a better understanding of the past, a better analysis of the present, and a better view of the future.”
- “Democracy demands wisdom and vision in its citizens. It must therefore foster and support a form of education, and access to the arts...designed to make people of all

backgrounds and wherever located masters of their technology and not its unthinking servants.”

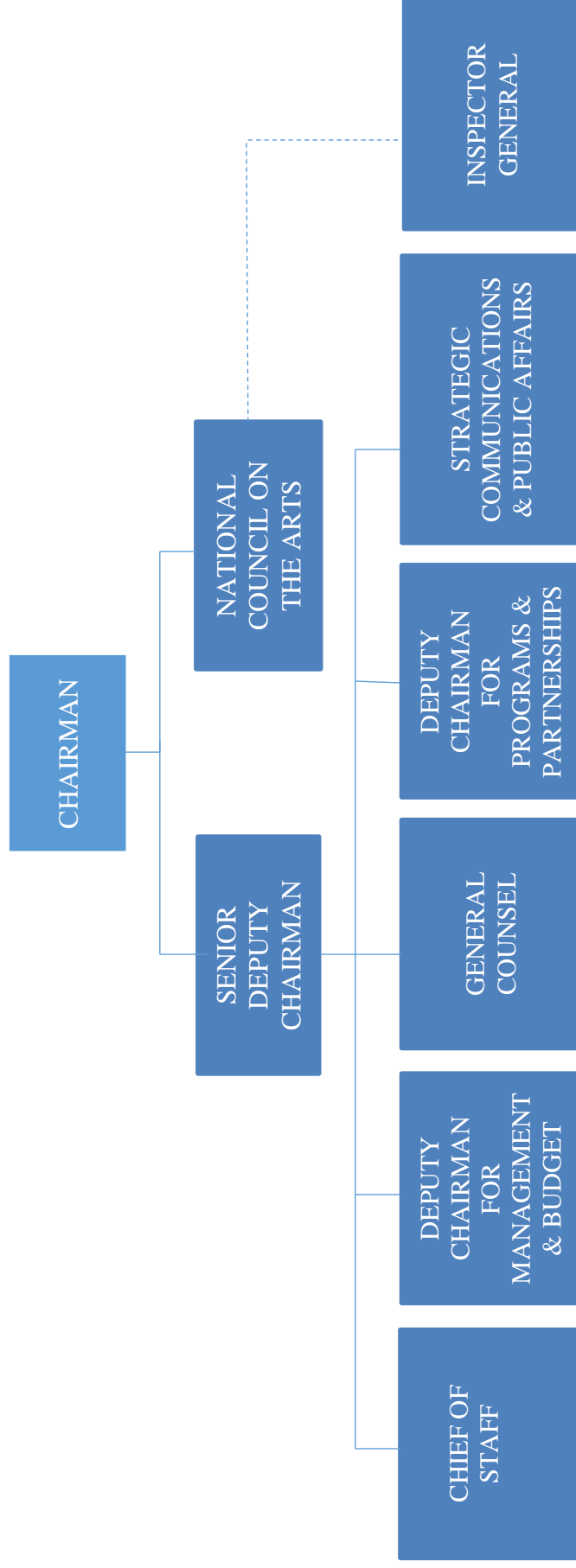
- "While no government can call a great artist or scholar into existence, it is necessary and appropriate for the federal government to help create and sustain not only a climate encouraging freedom of thought, imagination, and inquiry but also the material conditions facilitating the release of this creative talent."
- “To fulfill its educational mission, achieve an orderly continuation of free society, and provide models of excellence to the American people, the federal government must transmit the achievement and values of civilization from the past via the present to the future, and make widely available the greatest achievements of art.”

The NEA's vision statement rests on those enduring claims. The arts allow Americans to dream of fresh possibilities and to expand their horizons as thinkers and citizens in a world of complex ideas and technologies, as well as to contribute to the cultural legacy of the nation. Access to imagination and artistic creativity is an inherent good; it also can awaken the potential for a better quality of life. Engagement with the arts will allow Americans to fully realize their creative and imaginative potential as individuals and as communities.

Vision Statement: A nation in which every American benefits from arts engagement, and every community recognizes and celebrates its aspirations and achievements through the arts.

The agency's goals, and the objectives and strategies to achieve them, including cross-agency collaborations, are detailed in The National Endowment for the Arts Strategic Plan, Fiscal Years 2018-2022, which was issued in February 2018. This annual performance plan is based on the Strategic Plan and describes the performance goals and indicators necessary to assess the agency's progress in accomplishing its strategic objectives. The plan also describes planned actions and milestones to address the agency's management priority, research and evaluation activities that supported the development of the annual performance plan and strategic plan, and information on data validation and verification.

Fig. 1. National Endowment for the Arts Organizational Structure



Performance Framework

The Fiscal Year (FY) 2018-19 Annual Performance Plan (APP) supports the NEA Strategic Plan: FY 2018-2022, which is posted on the NEA website. The Strategic Plan outlines the agency's strategic goals and objectives and the means and strategies to accomplish them. The APP sets out performance goals and indicators in support of the strategic objectives.

The 2019 Budget eliminates the agency after orderly termination of operations and funding. To meet GPRA requirements, the APP is based on the Agency operations continuing at a level that reflects steady state resources. Because of the many new performance measurement areas, clear and emphatic baseline data – including performance data – does not exist. Therefore, we have not identified specific targets within this APP. Targets will be provided once this baseline data is available.

The NEA APP has three major components: (1) strategic goals and objectives; (2) performance goals; and (3) performance and other indicators.

The **strategic goals and objectives**, which are outlined in the Strategic Plan, are the starting point for the FY 2018-19 APP. This nexus between the Strategic Plan and the APP helps to ensure that the performance goals are integrated with the Agency's mission. Goal leaders are identified for each strategic objective.

The **performance goals** in the APP link directly to each strategic objective in the NEA Strategic Plan. The NEA selected these performance goals because they are intermediate outcomes or outputs necessary to achieve the strategic objectives.

The **performance and other indicators** are those measures that the NEA intends to assess during FY 2018-2019. In many cases, these indicators track incremental progress toward achieving the performance goals. Since many performance indicators are new, targets have not yet been established pending collection of baseline data and/or development of data collection instruments during FY 2018. Documentation on data validation and verification is presented later in this plan document.

During the term of the FY 2018-2022 Strategic Plan, the NEA may adjust performance measures, including revising or introducing new indicators. We are, for example, examining the feasibility of introducing additional geographical indicators. Implementation of the proposed Annual Performance Plan is contingent upon maintaining appropriate funding levels and staffing for this work.

Strategic Goal 1. Support Art that Meets the Highest Standards of Excellence

Strategic Objective 1.1

Honor and Support Artistic Activities and Traditions across the Nation

Goal Leader: Deputy Chairman for Programs and Partnerships

The NEA has continually lauded and preserved significant cultural contributions and traditions as part of the country's artistic legacy. For example, in 1982 the agency recognized the need to preserve the distinctly American art form of jazz as well as folk and traditional art forms in order that they may be practiced and enjoyed by new generations of Americans. This recognition spurred creation of two lifetime awards honoring artists in these fields: NEA Jazz Masters Fellowships and NEA National Heritage Fellowships.

The comprehensive scope and variety of artistic offerings supported by the NEA presents myriad opportunities to engage Americans with new and old artistic traditions. By funding these opportunities, but also through national leadership initiatives and strategic partnerships, the NEA promotes civic dialogue around vital and constantly reinvigorated artistic practices, shaped by values and standards of excellence that are passed from generation to generation.

Performance Goal 1.1.1. Each year the NEA supports archival, documentation, and preservation projects and mentorship and apprenticeships that sustain artistic traditions.	
Indicators	Indicator Type
1. The % of direct grants awarded by the NEA with the intent of sustaining artistic traditions	Performance
2. The % of NEA direct grants awarded by artistic discipline with the intent of sustaining artistic traditions	Other
3. Obligated funds for direct grants awarded by the NEA with the intent of sustaining artistic traditions	Other
4. The # of individuals who participated in NEA-supported activities that sustained artistic traditions	Other

Strategic Objective 1.2

Expand the portfolio of American art

Goal Leader: Deputy Chairman for Programs and Partnerships

American art affirms the creative genius of the nation's spirit, assesses the full range of individual and societal experiences composing the nation's identity and that of its peoples, meditates on its struggles and conflicts, and envisions new prospects for the future. The NEA is committed to enriching the nation's artistic output. It does so by funding projects that

commission original artistic pieces, and by providing direct support to creative writers of distinction.

Performance Goal 1.2.1. Annually, the NEA supports projects with the intent of creating or commissioning original works of art. Original works of art do not include student works, adaptations, re-creations, or restaging of existing works.	
Indicators	Indicator Type
1. The % of direct grants awarded by the NEA with the intent of creating or commissioning original works of art	Performance
2. The % of NEA direct grants awarded by artistic discipline with the intent of creating or commissioning original works of art	Other
3. Obligated funds for direct grants awarded by the NEA with the intent of creating or commissioning original works of art	Other
4. The # of professional original works of art created as a result of NEA direct grant awards	Other

Strategic Objective 1.3

Strengthen the cultural infrastructure of the nation

Goal Leader: Deputy Chairman for Programs and Partnerships

The NEA’s founding legislation states: “It is necessary and appropriate for the federal government to help create and sustain not only a climate encouraging freedom of thought, imagination, and inquiry, but also the material conditions facilitating the release of this creative talent.” These “material conditions” include the financial and human resources needed for designing, planning, and executing projects showcasing artistic excellence. Although it is unreasonable to suppose that any single federal agency can fully support this vast cultural enterprise, the NEA is positioned to shape key components of it—through direct grantmaking and State/Regional Partnerships, but also through research, publications, and convenings.

Performance Goal 1.3.1. Each year the NEA supports professional development opportunities and other services with the intent of strengthening the U.S. cultural infrastructure.	
Indicators	Indicator Type
1. The % of direct grants awarded by the NEA with the intent of strengthening the U.S. cultural infrastructure	Performance
2. The % of NEA direct grants awarded by artistic discipline with the intent of strengthening the U.S. cultural infrastructure	Other
3. Obligated funds for direct grants awarded by the NEA with the intent of strengthening the U.S. cultural infrastructure	Other
4. The # of individuals who participated in NEA-supported activities that strengthened the U.S. cultural infrastructure	Other
Performance Goal 1.3.2. Each year, the NEA holds convenings and/or produces reports on needs and opportunities affecting the U.S. cultural infrastructure.	
Indicators	Indicator Type
1. The # of reports and/or convenings produced annually by the NEA on needs and opportunities affecting the U.S. cultural infrastructure	Performance

Strategic Goal 2. Cultivate Public Engagement with, and Access to, Various Forms of Excellent Art across the Nation

Strategic Objective 2.1

Provide opportunities for the American people to engage with the arts

Goal Leader: Deputy Chairman for Programs and Partnerships

Arts experiences open new vistas of possibility, they challenge our aesthetic, emotional, and intellectual constructs, and they enlarge our understanding of what it means to be human.

Americans connect with art by attending music, dance, and theater performances; by touring architectural sites and art exhibits; and by reading works of literature. They participate through electronic media—including TV, radio, handheld or mobile devices, and the internet—whether sampling a video clip, curating a playlist, or downloading a blog entry about graphic art. Furthermore, American audiences and artists are constantly discovering the potential for immersive storytelling technologies such as virtual and augmented reality.

The NEA's grantmaking programs are responsive to the changing landscape of arts participation. The agency rewards innovative strategies and models for engaging the public directly with arts experiences and for making them accessible to all.

Similarly, just as the NEA is charged with helping to preserve America's great artistic traditions in all their variety, it also has a responsibility to bring those works and artistic practices into diverse populations and thereby stimulate new discoveries for all people. This emphasis on art "delivery" systems is in keeping with a new generation of arts audiences who, faced with many competing options for spending discretionary time, nevertheless appear to prefer personal participation in the arts over passive spectatorship.

Performance Goal 2.1.1. Each year the NEA supports opportunities for the American people to engage with the arts.	
Indicators	Indicator Type
1. The % of direct grants awarded by the NEA with the intent of providing opportunities for the American people to engage with the arts	Performance
2. The % of NEA direct grants awarded by artistic discipline with the intent of providing opportunities for the American people to engage with the arts	Other
3. Obligated funds for direct grants awarded by the NEA with the intent of providing opportunities for the American people to engage with the arts	Other
Performance Goal 2.1.2. Grants awarded annually by the NEA produce in-person arts events resulting in significant public engagement.	
Indicators	Indicator Type
1. The % of NEA direct grant awards that produced in-person arts events resulting in a cumulative attendance of 500 people or more	Performance
2. The % of NEA direct grants awarded by artistic discipline that produced in-person arts events resulting in cumulative attendance of 500 people or more	Other
3. The # of individuals engaged in-person through arts events supported by NEA direct grant awards	Other
4. The % of adults that attended a live performing arts or visual arts event, excluding movies, during the NEA's most recent general population survey period (as measured by SPPA & AABS)	Other
Performance Goal 2.1.3. Each year, grant projects supported by the NEA facilitate virtual arts experiences resulting in significant public engagement.	
Indicators	Indicator Type
1. The % of NEA direct grant awards that supported virtual arts experiences that engaged at least 5,000 people	Performance
2. The % of NEA direct grants awarded by artistic discipline that supported virtual arts experiences that engaged at least 5,000 people	Other
3. The # of individuals engaged in virtual arts experiences supported by NEA grant awards	Other

Strategic Objective 2.2

Provide opportunities for the American people to acquire knowledge and skills in the arts at all stages of life

Goal Leader: Deputy Chairman for Programs and Partnerships

By helping to foster public appreciation and understanding of various art forms, genres, and artistic traditions, the NEA will build public capacity for lifelong participation in the arts. For audiences, the result will be a richer and more complex and meaningful arts experience. For artists and teachers, the NEA will facilitate the transfer of critical knowledge and skills that will enable them to refine their abilities and improve their work.

Beyond enriching the quality of personal arts experiences, arts education is a hallmark of civilization. The Every Student Succeeds Act (ESSA), enacted in 2015, recognizes the arts as core to a well-rounded education. ESSA discusses the provision of well-rounded educational experiences to all students, including female students, minority students, English learners, children with disabilities, and low-income students who often go underrepresented in critical and enriching subjects. These well-rounded experiences include increasing student access to the arts and improving student engagement and achievement in arts activities and programs.

The benefits of an arts education throughout life have been reported by numerous research studies and publications. For example, socioeconomically disadvantaged children and teenagers who participate in arts-intensive learning have shown greater academic, social, and civic engagement compared with peers who did not participate in such opportunities. Similarly, research and evaluation have demonstrated the potential benefits of arts education when integrated with STEM disciplines in formal learning environments.

Performance Goal 2.2.1. Annually, the NEA provides opportunities for the American people to acquire knowledge and skills across a spectrum of artistic disciplines at all stages of life.	
Indicators	Indicator Type
1. The % of direct grants awarded by the NEA with the intent of providing opportunities for the American people to acquire knowledge and skills across a spectrum of artistic disciplines at all stages of life	Performance
2. The % of NEA direct grants awarded by artistic discipline with the intent of providing opportunities for the American people to acquire knowledge and skills across a spectrum of artistic disciplines at all stages of life	Other
3. Obligated funds for direct grants awarded by the NEA with the intent of providing opportunities for the American people to acquire knowledge and skills across a spectrum of artistic disciplines at all stages of life	Other
4. The % of the nation’s rural and high-poverty tracts that hosted activities supported by the NEA that enabled the American people to acquire knowledge and skills across a spectrum of artistic disciplines at all stages of life	Other
5. The # and age category of individuals who participated in NEA-supported activities that provided opportunities to acquire knowledge and skills across a spectrum of artistic disciplines at all stages of life	Other
6. The % of adults participating in at least one arts learning activity (e.g., class, lesson) during the NEA’s most recent general population survey period (SPPA/AABS)	Other
Performance Goal 2.2.2. Annually, arts education activities supported by NEA direct grants enable K-12 students to acquire knowledge and skills in the arts across a spectrum of geographic locations.	
Indicators	Indicator Type
1. The % of NEA direct grants with Learning as a primary outcome that report K-12 students’ acquisition of knowledge and/or skills in the arts.	Performance
2. The # of K-12 students who have acquired knowledge and/or skills in the arts as a result of participation in activities supported by the NEA.	Other

Strategic Objective 2.3

Provide opportunities for the arts to be integrated into the fabric of community life

Goal Leader: Deputy Chairman for Programs and Partnerships

Artists, arts workers, and arts industries play a critical role in helping communities flourish as lively, beautiful, and resilient places. Through the arts, communities can imagine new possibilities—a new future or a new approach to problem-solving. The arts also provide a means for bringing together communities, people, places, and economic opportunity via physical spaces or new relationships.

In service of this objective, the NEA supports grants to organizations across a diverse spectrum of artistic disciplines and geographic areas. For instance, the NEA has supported festivals of traditional American music and dance that amplify a region's cultural heritage. It has also supported arts activities that engage local residents in art-making in public spaces. Other NEA-funded projects serving this objective have expanded local creative industries.

The most prominent NEA activity that provides opportunities for the arts to be integrated with community life is creative placemaking. The benefits of creative placemaking are visible in both rural and urban communities when artists, arts organizations, and community development practitioners deliberately integrate arts and culture into community revitalization work—placing the arts at the table with land use, transportation, economic development, education, housing, infrastructure, and public safety strategies. Our Town grants, awarded by the National Endowment for the Arts, help to advance and sustain the increased utilization of art, culture, and design activities in community development through diverse, cross-sector partners.

Performance Goal 2.3.1. Each year, the NEA supports across a broad geographic spectrum opportunities for the arts to be integrated into the fabric of community life.	
Indicators	Indicator Type
1. The % of direct grants awarded by the NEA with the intent of providing opportunities for the arts to be integrated into the fabric of community life	Performance
2. The % of NEA direct grants awarded by artistic discipline with the intent of providing opportunities for the arts to be integrated into the fabric of community life	Other
3. Obligated funds for direct grants awarded by the NEA with the intent of providing opportunities for the arts to be integrated into the fabric of community life	Other
4. The # of individuals who participated in NEA-supported activities that integrated the arts into the fabric of community life	Other
Performance Goal 2.3.2. Each year, NEA grant awards support projects that result in economic, social, or physical changes in communities and/or results in a sustained change in how the arts are integrated with local economic and community development.	
Indicators	Indicator Type
1. The % of NEA direct grants with Strengthening Communities as a primary outcome that provide evidence of economic, social, or physical changes in communities and/or a sustained change in how the arts are integrated with local economic and community development.	Performance

Strategic Objective 2.4

Support access to creative arts therapies and evidence-based programs in arts and health

Goal Leader: Deputy Chairman for Programs and Partnerships

Creative arts therapies refer collectively to music therapy, visual art therapy, dance/movement therapy, drama therapy, and several other arts-based forms of therapy. Arts-in-medicine and arts-in-healing programs contribute further to the arts’ delivery in clinical settings. Application of the arts to promote health and well-being has also arisen in non-clinical contexts, including arts programs in correctional institutions, in after-school programs for at-risk youth, and in community programs for older adults or military veterans.

The NEA supports projects that deliver creative arts therapies in clinical and non-clinical settings alike. Similarly, the agency supports arts programming that is integrated in healthcare settings or in health interventions. For example, NEA grants have supported poetry and storytelling in community settings for older adults with dementia, as well as artist residencies in healthcare settings.

In addition, the NEA chairs the Interagency Task Force on the Arts and Human Development, which encourages more and better research across federal government on how the arts can help people reach their full potential at all stages of life. This foundational work has contributed in part to recent initiatives such as Sound Health, an ongoing collaboration between the Kennedy

Center and the National Institutes of Health, in association with the National Endowment for the Arts, which seeks to explore the intersections of music, the brain, and wellness.

An NEA leadership initiative that supports access to creative arts therapies and evidence-based programs in the arts and health is Creative Forces: NEA Military Healing Arts Network. More than 500,000 U.S. service members and veterans are living with Traumatic Brain Injury (TBI) or Post Traumatic Stress Disorder (PTSD), including 10-20 percent of all service members deployed in Iraq and Afghanistan. TBI and PTSD are known to contribute to depression, and to the estimated 20 suicides committed by veterans each day. Creative Forces was established to serve the unique and special needs of military patients and veterans who have been diagnosed with traumatic brain injury and psychological health conditions, and to serve the needs of their families and caregivers.

Performance Goal 2.4.1. Annually, the NEA supports access to creative arts therapies and evidence-based programs in the arts and health.	
Indicators	Indicator Type
1. The % of direct grants awarded by the NEA with the intent of providing access to creative arts therapies and evidence-based programs in the arts and health	Performance
2. The % of NEA direct grants awarded by artistic discipline with the intent of providing access to creative arts therapies and evidence-based programs in the arts and health	Other
3. Obligated funds for direct grants awarded by the NEA with the intent of providing access to creative arts therapies and evidence-based programs in the arts and health	Other
4. The # of individuals who participated in NEA-supported activities that provided access to creative arts therapies and evidence-based programs in the arts and health	Other
Performance Goal 2.4.2. The Creative Forces clinical creative arts therapies program serves new patients and facilitates multiple encounters per therapist each year.	
Indicators	Indicator Type
1. The count of service members served by Creative Forces clinical creative arts therapists	Performance
2. The count of therapeutic encounters facilitated by Creative Forces clinical creative arts therapists	Performance

Strategic Goal 3. Promote Public Knowledge and Understanding about the Contributions of the Arts

Strategic Objective 3.1

Inform and engage with the American people about arts activities and artists in communities across the country and their importance to the vitality of the nation

Goal Leaders: Assistant Director, Publications; Assistant Director, Press

Apart from supporting arts activities throughout the country, the NEA fosters greater appreciation and understanding of the arts among the American people. Knowing about the arts, and especially about activities in one's community, offers people a chance to connect with each other through a shared arts experience, or to find a different way of perceiving and interpreting their surroundings. By promoting knowledge and understanding about arts activities and artists in U.S. communities, the NEA helps people better appreciate the arts' value and makes them more inclined to engage with the arts, thereby expanding creativity and innovation within the nation as a whole.

The NEA is also a leading national source for data and analyses about the U.S. arts sector. It provides credible, evidence-based information about the value and impact of the arts. By making these data and analyses publicly available, the agency plays a crucial role in assisting arts-related organizations and government policymakers in understanding the place of arts and culture in their programs and communities. This service can result in authoritative evidence of the arts' contributions to social, economic, and civic conditions.

To further promote the arts' importance, the NEA provides opportunities for U.S. artists and artworks to reach global audiences through international residencies and through participation in foreign arts events. Similarly, U.S. audiences, artists, and communities benefit from opportunities to appreciate and understand international artists and artworks. Such efforts, across national boundaries, can significantly extend the reach, understanding, and impact of the arts—broadening the American people's perspectives, encouraging empathy, and familiarizing the unfamiliar.

Performance Goal 3.1.1. Annually, the NEA promotes the arts and engages with communities in every state, territory, and the District of Columbia through traditional media, social media, and the agency’s website and publications.	
Indicators	Indicator Type
1. The % of states and U.S. jurisdictions, including the District of Columbia, in which NEA-related articles appeared in news outlets and interact with the NEA through the website and social media	Performance
2. The # of NEA-related articles appearing in news outlets throughout the country	Other
3. The # of visitors to the NEA website from locations within the U.S.	Other
4. The # of followers on the various NEA social media channels	Other

Strategic Objective 3.2

Expand and promote evidence of the value and impact of the arts for the benefit of the American people

Goal Leader: Director, Office of Research & Analysis

Research and evaluation are essential to the NEA’s ability to monitor and improve its overall performance, but this capacity also benefits the public more directly. Arts workers and arts industries depend on timely information and analyses to track patterns of employment, fiscal health, and public demand for their goods and services. Outside the arts sector, individuals and communities require statistically reliable data on the relationship of arts and culture to other aspects of everyday life. The general public needs to know whether and how the arts should factor into decisions about where to live, how to spend one’s discretionary time, and what kind of education to provide for one’s children. The NEA thus helps the American people to achieve—in the words of its founding legislation—“a better understanding of the past, a better analysis of the present, and a better view of the future.”

Performance Goal 3.2.1. The NEA’s Office of Research & Analysis annually completes 15% of research projects on the agency’s five-year research agenda.	
Indicators	Indicator Type
1. The % of NEA Research Agenda projects completed ²	Performance
2. The % of NEA Research Agenda projects launched	Other
Performance Goal 3.2.2. Annually, NEA research-related articles and/or citations appear in academic journals specializing in disciplines other than the arts and in non-academic news outlets.	
Indicators	Indicator Type
1. The # of NEA research related articles and/or citations in academic journals specializing in disciplines other than the arts	Performance
2. The # of NEA research related articles and/or citations in non-academic news outlets	Performance

Strategic Objective 3.3

Provide opportunities for the international exchange of artists, artworks, and arts activities

**Goal Leader: Director, Artist Communities, Presenting & Multidisciplinary Works
Director, International Activities Coordinator**

U.S. artists and artworks already attract global recognition, so the National Endowment for the Arts provides opportunities for them to be showcased for other audiences through participation in global arts events. Similarly, U.S. audiences, artists, and communities can benefit from opportunities to appreciate and understand international artists and artworks.

The NEA, as the lead federal agency in supporting the arts, is constantly examining opportunities with other federal agencies, nonprofit arts organizations, state arts agencies and regional arts organizations, and international collaborators to partner on activities to raise awareness of the arts for domestic and foreign audiences. The agency is also a key point of contact for international cultural visitors and those interested in the infrastructure for arts support in the United States, hosting an average of 50 international delegations annually.

² Projects will be considered completed if a study product/publication is published on the NEA website.

Performance Goal 3.3.1. The NEA builds and maintains partnerships that promote American art and artists internationally each year.	
Indicators	Indicator Type
1. The # of American artists who visit another country with support from the NEA's strategic partnerships with other funders	Performance
2. The # of countries visited by American artists with support from the NEA's strategic partnerships with other funders	Performance
Performance Goal 3.3.2. Each year, the NEA builds and maintains partnerships that bring art and artists from other countries to U.S. audiences.	
Indicators	Indicator Type
1. The number of international artists in residencies across the nation with support from the NEA's strategic partnerships with other funders	Performance
Performance Goal 3.3.3. During the five-year term of this strategic plan, NEA-supported international exchanges have a demonstrable benefit on the careers of participating American artists.	
Indicators	Indicator Type
1. The % of American artists that report benefits of their participation in NEA-supported international exchanges.	Performance

Strategic Goal 4. Enable the NEA Mission through Organizational Excellence

Strategic Objective 4.1

Be an effective and vigilant steward of public funds

Goal Leader: Deputy Chairman for Management & Budget

Entrusted with public funds to pursue the NEA’s mission, the agency’s employees strive to build and sustain public confidence that the agency’s business processes and procedures reflect the highest standards of effective and vigilant stewardship.

Performance Goal 4.1.1. Each year, the NEA ensures that public funds are used and accounted for appropriately.	
Indicators	Indicator Type
1. Annual receipt of an unqualified audit opinion	Performance

Strategic Objective 4.2

Be transparent and accountable to the public

Goal Leader: Deputy Chairman for Management & Budget

As with all government agencies, the NEA must be accountable to the public, providing readily available information and data about its operations and decision-making. The agency maintains and continually improves upon policies, processes, and systems that ensure optimal transparency and accountability. Chief among these is our grant application review process, at the heart of which is review panels comprised of citizen panels—both experts in the various arts fields, as well as laypersons with knowledge in the relevant fields, whose names are made publicly available after each panel concludes. In addition, our state and regional partnership agreement review panels are conducted in the open—accessible in real time via internet and/or teleconferencing.

Performance Goal 4.2.1. The NEA ensures transparency to the public by providing accurate reporting of grant data on a quarterly basis.	
Indicators	Indicator Type
1. The % of data submitted to USASpending.gov that is accurate, complete, and in accordance with government-wide data standards as reported in Auditor's Report on the NEA’s compliance with the DATA Act of 2014	Performance

Strategic Objective 4.3

Attract and maintain a diverse, creative, knowledgeable, productive, and motivated workforce

Goal Leader: Director, Human Resources

The NEA's workforce is at the heart of its ability to provide the American people with the highest level of service. The NEA identifies critical workforce needs; it recruits strategically and in compliance with government hiring principles; it provides its workforce with incentives such as training and advancement opportunities, as appropriate; and it develops and maintains policies and processes to ensure excellent performance and accountability.

Performance Goal 4.3.1. Annually, the NEA exceeds the requirements of the 80-day hiring model, through which talented and skilled applicants are identified and on-boarded in a minimal amount of time.	
Indicators	Indicator Type
1. The average time for the identification and on-boarding of new NEA hires will not exceed 80 days	Performance
Performance Goal 4.3.2. Annually, NEA employees report a high degree of satisfaction working at the NEA.	
Indicators	Indicator Type
1. The % of NEA employees reporting positive responses to key questions on OPM's annual Federal Employee Viewpoint Survey.	Performance

Strategic Objective 4.4

Recruit and engage citizens as panelists who will make recommendations for NEA awards that meet the highest standards of excellence.

Goal Leader: Director, Guidelines and Panel Operations

Performance Goal 4.4.1. Annually, the NEA recruits and engages citizens as panelists from each state and the District of Columbia.	
Indicators	Indicator Type
1. The % of states, including the District of Columbia, represented by individuals serving on NEA panels	Performance

Cross-Cutting Objective (CCO)

Through strategic partnerships and award-making, ensure that NEA-funded activities reach a wide breadth of geographic locations and underserved populations across the country

Goal Leader: Deputy Chairman for Programs and Partnerships

In its founding legislation, the NEA was charged with the responsibility of widening the availability of art, particularly to historically underserved populations—those whose opportunities to experience the arts are limited by geography, ethnicity, economics, or disability. Since its creation, the NEA has dedicated considerable resources, developed several leadership initiatives, and strengthened its partnerships with state arts agencies (SAAs) and regional arts organizations (RAOs) to realize the vision of a nation in which the arts enrich the lives of all Americans.

Of particular concern with regard to underserved groups is the connection between income and arts participation. National survey data show large disparities in arts participation rates by income and education level. Despite this challenge, an analysis of NEA grants awarded in FY 2016 shows that more than 41 percent of arts activities sponsored by NEA grants are held in Census tracts where 20 percent or more of the population live below the poverty line. In addition, a portion of each state arts agency partnership grant is designated for reaching underserved communities within the state, and a portion of each regional arts organization grant is designated for touring arts activities to underserved populations within the region.

Performance Goal CCO 1.1. Annually, NEA-funded activities take place in a diverse spectrum of geographic locations.	
Indicators	Indicator Type
1. The geographic distribution of applications received, grants awarded, and project activity locations	Performance
2. The % of NEA-funded activities occurring in each segment of the rural-urban continuum compared to the percentage of the population that lives in those respective locations	Performance
Performance Goal CCO 1.2. Each year, NEA direct grants are awarded in every congressional district.	
Indicators	Indicator Type
1. The % of congressional districts receiving an NEA direct grant	Performance
Performance Goal CCO 1.3. NEA direct grants engages underserved populations with the arts every year.	
Indicators	Indicator Type
1. The % of NEA direct grant awards that engage underserved populations	Performance

Management Priority

Goal Leader: Deputy Chairman for Management & Budget

The NEA identified one major management priority for FY 2018-19 in addition to priorities shown in our strategic framework:

1. Institutionalization of the processes surrounding the recently implemented eGMS (Electronic Grants Management System).

Planned actions, performance indicators, milestones, and timelines for this management priority follow:

Management Priority 1. Institutionalization of the processes surrounding the recently implemented eGMS (Electronic Grants Management System).	
Planned Action	NEA will be working with our Shared Service provider to develop a way to obtain federal financial assistance awardees reporting data via web-based submission into the eGMS.
Performance Indicators/ Milestones and Timeline	<ul style="list-style-type: none"> Joint working group gather needs requirements for final reports and other reports needing to use web-based submission in Q3 FY2018. Developers propose options and wireframes for agreed-upon reports in Q3 FY2018. Testing July 2018; refine and complete final testing in Q4 FY2018. Implement web-based solution for federal financial assistance final reports no later than Q1 FY2019. Once completed, determine additional web-form based needs upon and carry out activities in Q1-2 FY2019 in the same manner as the final reports effort described above.

Research and Evaluation

The NEA continuously uses research and evaluation across the four strategic goals to inform strategies and identify opportunities to improve agency performance and increase effectiveness of its activities. The NEA uses internal and external resources and a variety of processes to conduct research and evaluation and apply findings to its programs and practices. The following highlights research and evaluation efforts undertaken by the NEA that informed the performance plan. Current or future research and evaluation activities are described in the agency's Strategic Plan.

Goal 1

The NEA supports its goal to strengthen the cultural infrastructure of the nation through targeted research and evaluation studies. Research studies have examined the nature of specific arts fields, including their challenges and opportunities, while evaluation studies have examined the NEA's role in effecting change in the nation's cultural infrastructure. Specific studies that were done during the term of the last strategic plan include:

- Released in FY 2017 in partnership with the International Documentary Association (IDA), the [State of the Field: A Report from the Documentary Sustainability Summit](#) report explored issues facing the documentary film community, with a goal of articulating tangible, actionable strategies and initiatives to positively impact the field and contribute to a sustainable and healthy ecosystem for documentary professionals.
- In FY 2017, a [qualitative analysis](#) was conducted of the NEA's Folk Arts Partnerships grants, identifying how these projects fortify and celebrate cultural heritage while connecting underserved communities to the resources of state arts agencies. Data were drawn from the applications and final reports from FY13-15 of all Folk Arts Partnerships. A follow-up study scheduled for FY 2018 extends this analysis to other NEA Folk & Traditional Arts grant programs.
- The FY 2016 report, [Creativity Connects: Trends and Conditions Affecting U.S. Artists](#), updated the findings of the Urban Institute's 2003 study Investing in Creativity, which identified support systems necessary for artists, including material supports, validation, markets, networks, training, and information.

Goal 2

Through this goal, the NEA intends to positively affect people – to enrich and improve their lives and the communities in which they live. Research studies are intended to inform the agency's efforts in support of this goal, while evaluation studies support program improvement or assess the effectiveness of current grant-making activities. Specific research and evaluation studies that have been done include:

- In FY 2017, the agency concluded its work developing a theory of change and measurement model to support the Our Town grant program. This work built upon a FY

2014 report, [The Validating Arts & Livability Indicators \(VALI\) Study: Results and Recommendations](#), which validated the NEA's proposed Arts & Livability Indicators. Findings from this study informed a revision of the FY 2019 grant guidelines and will be used to update reporting requirements.

- In FY 2015, the NEA published [When Going Gets Tough: Barriers and Motivations Affecting Arts Attendance](#), a report which examined demographic and socio-economic characteristics of adults who attended visual and performing arts activities in 2012. Unlike prior NEA research, it also offered in-depth perspectives on attitudes, motivations, and barriers concerning arts attendance based on a NEA module to the 2012 General Social Survey (GSS).
- The FY 2013 report, [How a Nation Engages with Art: Highlights from the 2012 Survey of Public Participation in the Arts \(SPPA\)](#), presented results from an analysis of the 2012 Survey of Public Participation in the Arts, a national survey conducted in partnership with the U.S. Census Bureau. It contains statistics with demographic insights about U.S. adults' participation across five modes of art activity: attending; reading books and literature; consuming through electronic media; making and sharing; and learning.

Goal 3

The NEA supports its goal to promote public knowledge and understanding about the contributions of the arts primarily through its research program. External research on the impacts of the arts on individuals and communities is supported by the NEA through its Research: Arts Works grant program, which offered grants for research examining the value and impact of the arts. The NEA's Research Labs program, which was launched in FY 2017, funds transdisciplinary research teams, grounded in the social and behavioral sciences, to engage with the [NEA's five-year research agenda](#). Research studies in support of the NEA research agenda are also undertaken directly by NEA staff and contractors. Completed research studies that have focused on the impacts of the arts include:

- The FY 2016 report, [The Arts in Early Childhood: Social and Emotional Benefits of Arts Participation](#), reviewed recent research about the arts' relationship to social-emotional benefits in early childhood. Music-based activities, drama/theater, and visual arts and crafts were among the types of arts participation studied.
- The FY 2015 paper, [Results from a Music, Imagery, and Movement Treatment Intervention in a Long-Term Care Facility](#), resulted from a Research: Art Works grant awarded to a group of researchers at George Mason University. Study findings suggested that creative arts participation enhances positive social engagement.
- In FY 2015, the NEA published [How Creativity Works in the Brain](#), which summarized themes and trends emerging from psychological and neurobiological studies of creativity. It explored models for trans-disciplinary research collaborations and it foregrounded artistic creation as a process worthy of more rigorous study. Based on a two-day

workshop held in Santa Fe, New Mexico in July 2014, the report also discussed the urgency of such research for broader societal gains.

Goal 4

The NEA rigorously reviews its management functions. With respect to financial management, the NEA's Office of Inspector General (OIG) oversees an annual audit, which encompasses an independent and thorough review to ensure the agency's financial statements accurately and completely represent the agency's financial position. The OIG also oversees the annual review of the agency's compliance with the Federal Information Security Modernization Act (FISMA). The financial statement audit and FISMA review typically result in recommendations for improvement that inform the agency's strategic plan and efforts for improved programs and processes.

Human capital management reviews are essential for hiring, managing, training and retaining talented and high performing employees. To that end, the NEA regularly evaluates and acts on its human capital programs via Office of Personnel Management (OPM) audits and assessments and Equal Employment Opportunity Commission (EEOC) reviews. In addition, results from OPM's Federal Employee Viewpoint Survey, provide important data on employee engagement, sense of inclusion, dedication to the NEA mission, and commitment to personal accountability. Surveys of panelists participating in reviews of funding applications provide information used to improve the peer review process.

Specific audits and evaluations that were done include:

- The FY 2016 audit of the agency's financial statements resulted in recommendations that assisted the agency in being more timely and effective in using its financial resources. The audit also resulted in the NEA initiating a more robust and comprehensive Enterprise Risk Management (ERM) program during 2017 to assess risks systematically across major program and functional areas. The enhanced ERM program assesses the full spectrum of the agency's risks and will assist agency leaders in making better operational and program decisions.
- The FY 2017 FISMA review resulted in a number of recommendations to improve agency information security required by the Department of Homeland Security (DHS) and the Office of Management and Budget (OMB). The report included specific actions needed to ensure the agency's information systems comply with DHS and OMB information security standards.
- The FY 2017 Federal Employee Viewpoint Survey found that over 98% of NEA employees understood how their work related to the agency's goals and priorities, while nearly 95% reported that they were held accountable for achieving results. In 2017, the agency was ranked [third out of 28 small Federal agencies](#) in the annual Best Places to Work in the Federal Government® rankings produced by the nonprofit, nonpartisan Partnership for Public Service and Deloitte.

Data Validation and Verification

The NEA ensures the accuracy and reliability of the performance data in its Annual Performance Report in accordance with the five data quality specifications in the GPRA Modernization Act of 2010 for:

- **Means used to verify and validate measured values:** All performance data reported in the Annual Performance Report are subject to internal data verification and validation by the agency's Office of Research & Analysis (ORA). A key component of data validation is agency staff consultation. Agency staff are consulted during indicator development to assess whether data collected and measures are a true reflection of the performance being measured and have a clear relationship to the mission and strategic objectives of the agency. Data verification procedures are in place to assess data accuracy, completeness, consistency, and availability. The NEA creates an internal guidance document for performance measure reporting, including in a detailed matrix its indicators, data sources, analytical methods (including formulas), and verification procedures specific to individual indicators. Prior to indicator analysis and reporting, ORA staff review datasets for completeness; missing data are identified and reported in the Annual Performance Report. Methods for handling anomalous data are established and used. In some cases, data are re-checked against source information (e.g., grantee final reports). Confirmatory analyses are undertaken to confirm findings.
- **Sources for the data:** Data sources for performance reporting include both external data collections and internal administrative data. These data are tracked and maintained in separate systems, including spreadsheets. Following review by the providing office, data are collected, reviewed, integrated, and maintained by the NEA's Office of Research & Analysis and reported in the agency's Annual Performance Report that is available on the agency's website on its Open Government page.

The following sources of data used most frequently for reporting on NEA indicators are described below. Limitations to the accuracy of data from these sources are also described.

- **FDR – Final Descriptive Report.** At the completion of each grant, each grantee submits a Final Descriptive Report to the agency, which include data pertaining to many of the agency's strategic objectives. FDR data are reported as submitted by grantees and are not independently verified. For performance reporting, data from the most recently completed fiscal year are used; the most recent data available from grantees' FDRs are from two years earlier, due to a lag occurring from the time of the agency's award of a grant to the conclusion of the grant and extending to the grantee's submission of the FDR.
- **eGMS – Electronic Grants Management System.** This is the agency's internal grants management system, which tracks basic administrative data such as

applications received, grants awarded, etc. eGMS also includes grant application data submitted by applicants; not all application data are independently verified.

- SPPA – Survey of Public Participation in the Arts. The SPPA is a comprehensive and detailed representative survey conducted by the U.S. Census Bureau every five years (as part of that agency’s household surveys) and provides insight into the nature and extent of Americans’ participation in the arts. The most recent survey took place in 2017, but the most recent SPPA data available for analysis is from 2012.
- AABS – Annual Arts Basic Survey. The AABS is also conducted by the Census Bureau as a supplement to their Current Population Survey and features selected summary questions drawn from the SPPA. Although less detailed than the larger survey, the AABS provides estimates of U.S. participation in the arts during years in which the SPPA is not administered.
- **Level of accuracy required for the intended use of the data**: Performance data reported in the Annual Performance Report are used for management purposes, as a representative indicator of progress in relation to an established target or goal. The accuracy of the data is that which is considered necessary to provide a reasonable representation of the progress made relative to a target or goal for discussion purposes, enabling the NEA senior management to determine if progress is adequate.
- **Limitations to the data at the required level of accuracy**: NEA performance data are subject to potential errors from: the use of estimations and extrapolations, especially where direct measurement is impractical and/or considered too costly; incomplete data; and/or failure to effectively employ the guidance described in the NEA’s internal performance measure documentation. The most significant limitation related to grant report data is the self-reported nature of data. As noted above, grant data are reported as submitted by grantees and are not independently verified. In addition, since grantee report data must be extracted from PDF forms and converted into a dataset, data inaccuracies due to programming errors is possible. See Management Priority on page 58 for more information on efforts to improve the quality of grants data reporting.
- **How the agency has compensated for such limitations if needed to reach the required level of accuracy**: The measurement procedures for each performance measure used in the Annual Performance Report will be described/documented in accompanying documentation. Submitted data are reviewed within the context of the scope and nature of the activity, plans, reports, and past experience to help confirm accuracy. Following review and verification by the submitting office, the data are reviewed within its corresponding trends and programmatic context by the ORA to determine if further review is necessary to adjust or correct the reported data before publication. Senior management and leadership consider this level of accuracy to be acceptable in their use of the data. Past experience in using the data, and historical trend and programmatic

context assessments, indicate that the limitations are considered minor and compensating measures are not considered necessary.