

CFDA No. 45.024
NEAPS1801

Program Solicitation: National Endowment for the Arts Research Labs

Proposal Receipt Deadline: July 19, 2018

The National Endowment for the Arts (NEA) requires organizations to submit their proposals electronically through Grants.gov, the federal government's online application system. The Grants.gov system must receive your validated and accepted proposal no later than 11:59 p.m., Eastern Time, on the deadline date above. We strongly recommend that you **submit your application by July 9, 2018** to give yourself ample time to resolve any problems that you might encounter.

Background

Our five-year **research agenda** aims to build public knowledge about the arts' contributions to individuals and society. Through the NEA Research Labs ("Research Labs"), we seek to extend this agenda and its impact by cultivating a series of transdisciplinary research partnerships, grounded in the social and behavioral sciences, to produce and report empirical insights about the arts for the benefit of arts and non-arts sectors alike.

Each Research Lab will define its own agenda, conduct a research program to implement that agenda, and prepare reports that will contribute substantively to a wider understanding of one of three areas of special interest to the NEA:

1. The Arts, Health, and Social/Emotional Well-Being
 - a. Therapeutic Approaches and Benefits
 - b. Non-Therapeutic Approaches and Benefits
2. The Arts, Creativity, Cognition, and Learning
3. The Arts, Entrepreneurship, and Innovation

We anticipate that a sustained engagement with these topic areas, and with the corresponding research questions we frame below, will have distinctive benefits not only for the arts community, but also for sectors such as healthcare, education, and business or management.

The Research Labs are intended to serve as "hubs" or centers of excellence in the domain of interest. Each Research Lab will develop a pipeline of projects or products, even while conducting at least one major study. In addition, Research Labs will be positioned to fulfill *ad hoc* analyses or information requests concerning the research

agenda being pursued, as may be required during the project period of performance. Such requests will not involve new data collection.

Priority will be given to applications that show capacity to design and implement a series of studies and/or a research program that includes theory-driven research questions and methodologies that will yield important information about the impact of the arts within the selected topic area. Research methodologies may include such approaches as quasi-experimental or experimental designs, or analyses that use primary and/or secondary data. Competitive applications will take into account any extant research that serves as a basis for a theoretical framework and helps to motivate the proposed project. We also welcome novel and promising research approaches, such as rigorous analyses of organizational, social networks, and/or social media data, and statistically driven meta-analyses. In addition, we are interested in translational research that moves scientific evidence toward the development, testing, and standardization of new arts-related programs, practices, models, or tools that can be used easily by other practitioners and researchers.

We welcome use of data in either the public or private domain, including commercial and/or administrative data sources. For a list of publicly available datasets that include arts-related variables, [click here](#).

Institutions of higher education and/or nonprofit research and policy organizations may submit applications to undertake this program (see Applicant Eligibility for more information). Applicants must identify one nonprofit arts partner at the time of application. In addition, we strongly encourage applicants to partner with other non-arts or arts partners from the for-profit or nonprofit sectors, as appropriate to the project. Each team must include individuals representing at least two research specialties.

Scope of Work

The purpose of this Program Solicitation is to select an organization(s) (Cooperator) to undertake the Research Labs program. In brief, the Cooperator will:

- Plan and implement a research program, including an exemplar study, in one of the NEA's three proposed topic areas.
- The research program must include these components:
 1. Development of an evidence-based research agenda;
 2. Planning and implementation of a keystone (i.e., an exemplar) study, or a series of studies;
 3. Production of at least one research report for each research study;
 4. Fulfilling ad hoc analyses or information requests concerning the Research Lab research agenda;
 5. Dissemination of findings, research products, tools or services, data, and communications to project stakeholders and to the public; and

6. Preparation and delivery of a briefing to the NEA on needs for continued work in the proposed research topic area, with recommendations both on how other research organizations working in the proposed area could be better supported by the agency and how the Research Lab can be sustained in the future.

Details for each of these program elements can be found under Detailed Requirements below.

Detailed Requirements

The Cooperator will work with the NEA Project Director, and through the NEA Project Director with other NEA staff as appropriate, on all aspects of this program. The NEA Project Director will be the NEA Director of Research & Analysis or a designated official within the Office of Research & Analysis. The Cooperator will consult with, and will secure the approval of, the NEA Project Director in carrying out the responsibilities below.

The Cooperator will:

Research Program: Agenda, Keystone Study, and Related Projects

- Develop a multiyear research agenda that includes at least one keystone (i.e., an exemplar) study to be completed within the period of performance. The research agenda may include, but need not be limited to: key research questions, including an evidence-based rationale and/or hypothesis for each question; research designs, methods, and personnel that will be used to answer the questions; project schedules; a list of products that will result; and an annotated references list. The final research agenda should show alignment with the NEA's own **research agenda**.
- As part of the entity's research agenda, plan and conduct a keystone research study, or series of studies, in one of the three topic areas below. Address at least two of the questions within the proposed topic area.

1. The Arts, Health, and Social/Emotional Well-Being

a. Therapeutic Approaches and Benefits

- What changes in physical or mental health outcomes are experienced by subjects receiving creative arts therapies to treat one or more disease, disorder, or health conditions?
- What is the physiological or psychological mechanism of action for a creative arts therapy in treating a disease or disorder or in improving symptoms for a chronic disease, disorder, or health condition?

- What are the comparative therapeutic benefits of creative arts therapies relative to each other or to non-arts-based interventions?
- What is the comparative cost-effectiveness of a creative arts therapy and one or more non-arts-based interventions?
- How does dosage (i.e., frequency, duration, or intensity) of a creative arts therapy relate to individual or program-level outcomes?
- How does creative arts therapy benefit caregivers or family members?

Note: By “creative arts therapies,” we refer to a gamut of arts-based therapies including visual art therapy, music therapy, dance/movement therapy, drama therapy, and poetry therapy. For this topic area, we especially welcome proposals involving one or more of the following study populations: individuals with cancer, neurodegenerative diseases, substance use disorders, developmental disabilities, traumatic brain injury, post-traumatic stress, and other health conditions. Families or caregivers of these individuals may be among the populations studied.

b. Non-Therapeutic Approaches and Benefits

- What are the social, emotional, physical, and/or physiological health benefits of the arts for individuals, groups, or societies?
- What physiological or psychological mechanisms or group dynamics are at work in achieving those benefits or related outcomes?
- What kinds of art forms are invoked in these relationships, and at what levels of participation?
- How do these benefits or related outcomes vary by age, socioeconomic characteristics, other demographic and behavioral patterns, and/or by health or disability status?
- How do these benefits and related outcomes compare with those achieved by other health and wellness strategies or interventions?

2. The Arts, Creativity, Cognition, and Learning

- What is the relationship between one or more forms of arts participation and other forms of creativity?
- What are the cognitive and/or social processes of arts-based creativity, and how do they affect learning-related outcomes?
- How do learning-related outcomes associated with arts participation vary by age, socioeconomic characteristics, other demographic and behavioral patterns, and/or by health or disability status?
- How do these benefits and related outcomes compare with those achieved by non-arts approaches (e.g., non-arts extracurricular programs; non-arts integrated curricula)?
- What are the most effective neurocognitive tests and technologies to measure those outcomes?

3. *The Arts, Entrepreneurship, and Innovation*

- How do entrepreneurship and innovation reveal themselves differently in the arts relative to other sectors? What about similarly?
 - What is the link between artists (including designers) and broad societal innovation, particularly with regard to economic and job growth?
 - How does the nonprofit arts sector contribute directly to innovation in commercial settings, within or outside the arts?
 - What role do arts and cultural assets play in promoting civic and/or corporate innovation in a community?
 - What individual, organizational, or regional characteristics can positively affect the arts' relationship to entrepreneurship and innovation?
 - In which industries, sectors, or geographic areas is arts-driven innovation visible and measurable?
 - How do nonprofit and for-profit organizations; federal, state, and local governments; and/or fiscal sponsorships affect how artists and/or arts organizations function and innovate?
 - How do arts-based entrepreneurship and innovation benefits and related outcomes compare with those achieved by non-arts approaches?
- Produce at least one research report that fully documents the methods and findings of each research study.

Products and Services

- Prepare a short summary report of ongoing projects at the Research Lab for publication on the NEA's website, [arts.gov](https://www.arts.gov).
- Develop a public website housed with the Cooperator that is specifically about the Research Lab, and which will have additional materials beyond what is included on the website hosted by the NEA. All website content must be approved by the NEA Project Director. The Research Lab visual identifier should be included on the website.
- On a quarterly basis, disseminate research reports or other products, tools or services, data, or communications (e.g. literature reviews, research or policy briefs, white papers, blog posts, podcasts, webinars, and technical guides) to research program stakeholders and the public.
- Prepare and deliver at least two presentations per year, one to a community of researchers and the other to a community of arts practitioners.
- Prepare and deliver an infrastructure needs briefing to the NEA on the Cooperator's needs for continued work in the proposed research area, with recommendations both on how other research organizations working in the proposed research area could be better supported by the NEA, and how the work

of the Research Lab can be sustained beyond the conclusion of the Cooperative Agreement's period of performance.

Administrative

- Work with the NEA Project Director to refine the details and schedule of all project components.
 - Submit, revise, and refine a research agenda within six months of award receipt; submit the research study report(s) and conduct the infrastructure needs briefing three months before the conclusion of the period of performance.
- Provide the NEA Project Director with project updates, in a mutually agreed upon format and schedule. This will include monthly conference calls, preceded by written memos by the Cooperator that will be the basis for the calls (as needed) between the Cooperator and NEA staff, to update on research goals and progress.
- Respond in a timely manner to *ad hoc* requests from the NEA for analyses or information concerning the research agenda being pursued at the Research Lab. Such requests will not involve new data collection.
- Through discussions with the NEA's Office of Public Affairs (OPA), facilitated by the NEA Project Director, produce all reports in a format and style compatible for dissemination through the agency's website and other online platforms.
 - All public communications, materials, presentations, and press releases, as well as speaking engagements, contacts with press, and publications, must be approved by the NEA Project Director in consultation with the OPA.
 - In any and all written and oral communications, the Cooperator and the NEA will credit the program as such: "The NEA Research Lab is a project of the National Endowment for the Arts in cooperation with [Cooperator Name]." To the extent possible, include the Research Labs visual identifier in all materials.
- Establish and support a technical working group, including representatives from partner organizations and other experts in your field or a related field, to offer feedback on key project deliverables to the Cooperator. The technical working group will periodically review the activities conducted under this agreement and report back to the Cooperator.
- Participate in transdisciplinary Research Lab meetings that include multiple Labs awarded under the Research Labs program. This will include a tele-web

conference every six months. The NEA will organize and schedule these meetings.

- As part of, or in addition to, these transdisciplinary Lab meetings, one meeting may be in person. That meeting is tentatively scheduled for spring 2019. Cost for travel for this meeting will be covered by the NEA using funding outside this Cooperative Agreement, pending availability of funds.
- Secure approval from the NEA Project Director of any staff, consultants, contractors, technical working group members, or partner organizations that will be working on this program, before they are engaged.
- Maintain regularly updated, detailed, and accurate records of all activities carried out under the Cooperative Agreement to date, including a work and data management plan. Provide monthly research work and data management updates, and quarterly project activity updates to the NEA Project Director, and any other project information requested by the NEA in a timely manner.
- Follow the Cooperator's approved written procurement policies if consultants or vendors are selected by the Cooperator as part of this project. In addition, the Cooperator should be aware of and comply with all requirements of the Uniform Guidance procurement standards described in 2 CFR 200.318. Consultants or vendors engaged by the Cooperator as part of this project will be required to agree that any information gathered will be used only for the purposes described in the Cooperative Agreement. The Cooperator will coordinate and make payment for all travel arrangements of consultants or vendors selected by the Cooperator as part of this project.
- Obtain any necessary rights, permissions, licenses, and releases as appropriate to the project (the "Rights"), and provide to the NEA Project Director. The Rights may include, but are not limited to, approval from Institutional Review Boards (IRBs), and/or data licensing for the acquisition of existing data, as may be required (see Responsible Conduct of Research section below). If relevant, the National Endowment for the Arts Project Director will coordinate discussions or meetings between the Cooperator and the Office of General Counsel to ensure that the rights secured meet the NEA's needs. The NEA reserves the right, in its sole discretion, to determine whether the Rights provided are satisfactory to it. The Cooperator accepts sole responsibility, and will defend, indemnify and hold harmless the NEA from, any liability arising from deficient Rights and/or the Cooperator's warrants or statements about the Rights.
- No later than 90 days after the completion or termination of the Cooperative Agreement, submit, through the Cooperator's NEA REACH account, a Final Descriptive Report (FDR) and a Federal Financial Report (FFR), Standard Form 425. The FDR must include recommendations for the future.

Responsibilities of the NEA Project Director

The NEA Project Director will:

- Work with the Cooperator, along with designated NEA staff, to refine the details and schedule of all project components, serving as liaison between the Cooperator and any other NEA staff (e.g., Offices of General Counsel, Public Affairs) that might be involved in this project.
- Make recommendations on, review, and/or approve, as relevant:
 - Project staff, consultants, contractors, and technical working group members to carry out all aspects of the project.
 - Evidence-based research agenda.
 - Project summary report for the NEA's website.
 - Research study report(s) and briefs.
 - Briefing on future research-infrastructure needs.
 - All public communications (overall strategy, resource materials, press releases, presentations, as well as speaking engagements, contacts with press, and publications). Review and approval of all communications will be in conjunction with the NEA's Office of Public Affairs.
 - Monthly research work/data management reports and quarterly project activity reports from the Cooperator.
- Facilitate discussions between the Cooperator and the NEA's Office of Public Affairs to ensure that research reports, research data, and project resource materials are in a format and style ready for public dissemination and use by ORA.
- Provide crediting requirements to the Cooperator.

Estimated Schedule

The Cooperative Agreement resulting from this Program Solicitation can start no earlier than March 1, 2019. The NEA will work with the Cooperator to identify dates related to specific project activities before the Cooperative Agreement is finalized.

Cooperative Agreement Amount

Contingent upon the agency's Fiscal Year 2019 budget, the NEA expects to award Cooperative Agreements of up to \$150,000 to each Research Lab. This Cooperative Agreement requires a nonfederal cost share of at least 1 to 1. Matching funds cannot include funds from any NEA or other federal sources.

An organization may not receive more than one NEA award for the same costs during the same or an overlapping period of performance. In addition, different awardees may

not receive federal funds for the same project costs during the same or an overlapping period of performance.

Period of Performance

This Cooperative Agreement will begin no earlier than March 1, 2019, and extend for up to 24 months.

We may enter into subsequent awards with the organization selected as a result of the Program Solicitation. See "Subsequent Awards" below.

Applicant Eligibility

The official applicant must be 1) a U.S. institution of higher education, or 2) a nonprofit, tax-exempt 501(c)(3), U.S. organization with their core components having research and policy as a principal focus, either as the primary work or as part of a transdisciplinary mission. This nonprofit organization also must have a three-year history of commissioning and conducting research in the behavioral or social sciences, and communicating research findings and policy implications through reports and/or convenings, at the time of application.

The official applicant must meet the eligibility requirements, submit the application, and assume full responsibility for the cooperative agreement.

To be eligible, the applicant organization must:

- Meet the NEA's "**Legal Requirements**" at the time of application.
- Have submitted acceptable Final Report packages by the due date(s) for all NEA award(s) previously received.

The following are not eligible to apply as the official applicant organization:

- Organizations that served as the official applicant for any previous Research Labs award. For a listing of previously awarded Research Labs, see the [Research Labs webpage](#).
- Organizations whose primary purpose is to channel resources (financial, human, or other) to an affiliated organization if the affiliated organization also submits its own application. This prohibition applies even if each organization has its own 501(c)(3) status. For example, the "Friends of ABC Organization" may not apply if the ABC Organization applies.
- Organizations whose partnership organizations (see "Required Partnership" section, below) are listed on more than one application for this solicitation. For example, two different organizations may not both apply listing the same nonprofit arts partner. This prohibition applies, as listed in the paragraph above, to organizations whose primary purpose is to channel resources to an affiliated organization if the affiliated organization is also a partner on another application.

An organization may submit only one proposal under this program solicitation.

NOTE: Competition for Research Labs is extremely rigorous. It is expected that an applicant selected to receive a Cooperative Agreement will complete the research program. We will not transfer the award to another organization.

You may apply to other NEA funding opportunities, including Art Works and Research: Art Works, in addition to this program solicitation. In each case, the request must be for a **distinctly different project**.

Required Partnership

We aim to make arts-relevant research a shared endeavor (with shared benefits) for academic researchers, arts practitioners, and policy-makers. As such, Research Labs require a partnership between the official applicant organization (the Cooperator) and a nonprofit arts organization confirmed at the time of application.

Applicants are also strongly encouraged to partner with other non-arts or arts organizations (for-profit or nonprofit entities) with expertise in the proposed research topic area. We welcome organizations from sectors such as health, business, and science, and educational entities such as school districts or individual schools.

The proposed partnership organizations (official applicant, required nonprofit arts partner, and optional other non-arts and arts partners) must include individuals representing at least two research specialties.

How to Prepare and Submit an Application

You are **required** to submit your application electronically through Grants.gov, the federal government's online application system. **The Grants.gov system must receive your validated and accepted application no later than 11:59 p.m., Eastern Time, on July 19, 2018.** We strongly recommend that you submit your application by July 9, 2018 to give yourself ample time to resolve any problems that you might encounter.

Submitting an application is a two-step process:

1. Before you submit through Grants.gov for the first time, you must be registered. This is a multi-step process for which you should allow at least two weeks. Registration must be completed before you can apply. See "[Get Registered](#)" for details. If you have already registered with Grants.gov, renew/verify your registration with Grants.gov and make sure that all of your information is current before you apply. Before you submit through Grants.gov for the first time, see "Apply Electronically through Grants.gov" beginning on page 17 for further instructions.

2. Follow the detailed instructions for submitting items such as the application narrative, bios, project budget, and supporting information in the "How to Prepare and Submit an Application" section beginning on page 23.

ALERT: If you are registering a new entity in SAM.gov, or updating or renewing your SAM.gov registration, you must provide an original, signed notarized letter stating that you are the authorized Entity Administrator before your registration will be activated, updated, or renewed.

- This requirement went into effect on March 22, 2018, for new entities registering in SAM.gov.
- This requirement went into effect April 27, 2018, for existing registrations being updated or renewed.

START THIS PROCESS AS EARLY AS POSSIBLE AS THIS MAY AFFECT THE TIME IT TAKES TO ACTIVATE OR RENEW YOUR REGISTRATION. **Read the FAQs** on SAM.gov to learn more about this process change.

NOTE: Unfortunately, the NEA has no control over the new SAM requirements and we are unable to allow extensions to posted deadlines due to delays caused by the new SAM requirements.

Application Review

Proposals will be reviewed on the basis of the following criteria:

The **artistic excellence** of the project, which includes the:

- Clarity of the research program, including short- and long-term project objectives.
- Clarity of the proposed keystone research study, including the conceptual framework, research design, and analytical methods to be used, and the relationship of these elements to the proposed research questions.
- Degree to which the mission and experience of the proposed research partners, or the nature of the collaboration, advance the purpose of the Research Lab program and the proposed keystone study.
- Qualifications of the key project personnel, including ethics training as appropriate, as well as the proposed technical working group.
- Research qualifications of the applicant organization, including current or recent activities in research and distribution of findings/results.

The **artistic merit** of the project, which includes the:

- Potential of the project to yield empirical insights about the arts for the benefit of arts and non-arts sectors alike.
- Plans for creation and timely dissemination throughout the period of performance of novel research reports or other products, tools or services, data, and communications for the benefit of arts and non-arts sectors alike.
- Potential for raw- and/or meta-data to be shared with other researchers and the public, as applicable.
- Ability to carry out the project on time and within budget including the reasonableness of the budget.
- The potential for a sustained research program beyond the period of performance.

Priority will be given to applications that show capacity to design and implement a series of studies and/or a research program that includes theory-driven research questions and methodologies that will yield important information about the impact of the arts within the selected topic area.

All applications are reviewed by an advisory panel. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all federal financial assistance awards. It is anticipated that applicants will be notified of award or rejection in November 2018.

NOTE: All recommended NEA applications undergo a review prior to the agency making an award to evaluate risk posed by the applicant. This may include past performance on grants, meeting reporting deadlines, compliance with terms and conditions, audit findings, etc.

Travel Policy

Travel costs – including lodging, meals, and incidental expenses – must be reasonable and allowable in accordance with 2 CFR Part 200.474 as applicable. These costs must not exceed:

- Travel charges normally allowed by the applicant's institutional policy. (The selected organization must submit a copy of this policy, if it exists, to our Grants Office before a Cooperative Agreement can be finalized.)
- In the absence of an institutional policy on travel costs, costs established in the government-wide Federal Travel Regulation.

No federal or matching funds can be used to support federal staff or National Council on the Arts Members' travel.

Award Administration

Crediting Requirement

In all publications related to this project, acknowledgement of the NEA must be prominently displayed. In all other places (including but not limited to presentations concerning the project and material created for social media), the Cooperator must clearly acknowledge support from the NEA, regardless of the medium of the material, except as noted in the section titled “Responsible Conduct of Research,” below. We will provide the Cooperator with specific requirements for this acknowledgment in this solicitation and elsewhere.

Subsequent Awards

The NEA may enter into up to four subsequent awards with the recipient of this Cooperative Agreement for a project consistent with the intent of this program solicitation. Any such future awards, however, would be subject to agency priorities, the availability of funds, Cooperator performance, and the agency’s regular review process.

Ownership of Materials

Any materials resulting from this cooperative agreement, including but not limited to products, training materials, research, and data, whether tangible or intangible (the “Work Product”), are deemed to be owned by the Cooperator. The Cooperator agrees to only make use of the Work Product in a manner consistent with the agreement (including but not limited to crediting requirements) in perpetuity, and agrees that such restrictions shall inure to any of the Cooperator’s successors in interest, including any such successors not yet known to the Cooperator. The NEA reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish or otherwise use the products submitted by the Cooperator under the terms of any resulting Cooperative Agreement for federal purposes and to authorize others to do so.

Responsible Conduct of Research

The NEA is committed to the responsible conduct of research. As such, the NEA requires Cooperators to comply with all applicable laws and regulations governing the conduct of research in the United States. We further require Cooperators to obtain permissions from all appropriate entities for conducting the proposed research program and to include evidence of such permissions in the application material. These may include, but are not limited to, approval from Institutional Review Boards (IRBs), and/or data licensing for the acquisition of existing data, as may be required.

Data collection activities conducted under this award are the sole responsibility of the recipient organization, and the NEA support of the research program does not constitute approval of those data collection procedures. As such, data collected from respondents/participants will be conducted by the Cooperator or at the Cooperator’s

direction, and any NEA-funded researchers collecting data from respondents/participants may not represent to those subjects that such data are being collected on behalf of the NEA.

Cooperators who propose *primary data collection* as part of their research programs are required to show evidence of federally-sponsored ethics training in the conduct of human subjects research, including such aspects as the role of IRBs. Evidence can take the form of a certificate of completion of a training module from the National Institutes of Health (see **Protecting Human Research Participants**, a free module that takes approximately 1 hour to complete), the Department of Defense, or from another U.S. federal agency or department. Training evidence must be submitted for all key personnel involved with human research subjects and/or human subjects data.

In addition, Cooperators who include *primary data collection* as a proposed research program activity are required to provide documentation showing whether IRB approval is needed to execute the research program. If the documentation states that IRB approval is required, then Cooperators also must indicate the measures they have taken or plan on taking to obtain IRB approval. If multiple organizations are directly involved in human subjects research for a proposed research program, then the Cooperator must provide documentation from those organizations as well.

If your institution or organization does not already have an IRB, we encourage you to partner and/or consult with another institution or organization that does to determine whether IRB approval is necessary for your research program. Costs of submitting research proposals to IRBs are allowable if this activity takes place during the cooperative agreement period of performance. Cooperators will be asked to provide evidence that they have consulted with their preferred IRB or IRBs. The NEA may withhold funds until IRB approval is demonstrated.

The U.S. **Department of Health and Human Services** provides additional guidance and resources for learning about the responsible conduct of research, including a database of **registered IRBs**; the **National Science Foundation** also has resources related to IRB and human subjects protections.

Data Management and Sharing

We intend primarily for the Research Labs program to generate new findings that will inform the public about the impact of the arts within the selected topic area. To help build capacity and continuity for such research in subsequent years, we will require Cooperators to submit a *data management plan* documenting how any raw data and meta-data resulting from the proposed research program will be maintained during and beyond the life of the cooperative agreement; Cooperators should discuss the **HIPAA Privacy Rule**, de-identification of personally identifiable information, and IRB as appropriate.

At a minimum, data management plans should address:

- *Types of raw data (e.g., results of data collection) and meta-data (e.g., data collection instruments, codebooks) produced in the course of the research program.*
- *Standards used for raw- and meta-data format and content.* Where existing standards are absent or inadequate, this should be documented along with any proposed solutions or remedies.
- *Policies for sharing the raw- and meta-data with researchers and the public,* including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements. To the degree possible, factors that may affect making the data publicly available must be explained. If appropriate, the lowest level of aggregated data that will be shared with others must be explained.
- *Plans for archiving the raw- and meta-data, and for ensuring continuous access to them beyond the research program period of support.* Physical and virtual resources and/or facilities that will be used for data preservation must be described, including any third-party data repositories. Changes to any roles and responsibilities that will occur if the research program leaders leave the applicant organization or research program must be described.

A valid data management plan may include only the statement that no detailed plan is needed, as long as the statement is accompanied by a clear justification.

Research programs that offer plans to make data available to researchers and the public will be given special consideration in the application review process. This emphasis is in keeping with the White House's Open Government Initiative, particularly guidance from the Office of Science and Technology Policy about data and findings generated by federally sponsored research. Costs of storing and/or sharing data are allowable if these data management activities take place during the cooperative agreement period.

In addition, the [National Archive of Data on Arts and Culture \(NADAC\)](#) is a public repository that facilitates research on arts and culture by acquiring and archiving data, particularly those funded by federal agencies and other public organizations, and making the data and a variety of data tools freely available to researchers, policymakers, arts and cultural practitioners, and the general public. Contact nearesearchgrants@arts.gov to learn about opportunities to deposit raw- and meta-data into this archive.

General Terms and Conditions

National Endowment for the Arts Cooperative Agreements are subject to the [General Terms and Conditions for Grants and Cooperative Agreements to Organizations](#).

Project Reporting and Evaluation

Through this program we intend to achieve the following objective: *Understanding: Evidence of the value and/or impact of the arts is expanded and promoted.* If an award is received, the Cooperator also will be asked to provide evidence of those results. Before applying, please review the [reporting requirements](#).

Agency Contacts

If you have questions about programmatic requirements, contact:

Sunil Iyengar
Director of Research & Analysis, National Endowment for the Arts
202/682-5654
iyengars@arts.gov

If you have questions about administrative requirements, contact:

Nicki Jacobs
Director of the Office of Grants Management, National Endowment for the Arts
202/682-5403
jacobsn@arts.gov

REMINDER: If you have questions about your Grants.gov registration or the mechanics of getting your application through the Grants.gov system, you should contact Grants.gov, not the NEA. Call the Grants.gov help desk at 1-800-518-4726, e-mail support@grants.gov, or consult the information posted on the Grants.gov website at **Support**. The Grants.gov Contact Center is available 24 hours per day, seven days a week.

Paperwork Reduction Act Statement

The public reporting burden for this collection of information is estimated at an average of 20 hours per response including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. We welcome any suggestions that you might have on improving its Program Solicitations and making them as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: webmgr@arts.gov, attention: Reporting Burden. Note: Applicants are not required to respond to the collection of information unless it displays a currently valid U.S. Office of Management and Budget (OMB) control number.

OMB No. 3135
Expires 12/31/2019

Apply Electronically Through Grants.gov

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The Grants.gov system must receive your validated and accepted application no later than 11:59 p.m., Eastern Time, on July 19, 2018. We strongly recommend that you submit your application by July 9, 2018 to give yourself ample time to resolve any problems that you might encounter. The National Endowment for the Arts will not accept late applications.

Register or Renew/Verify Your Registration with Grants.gov

It is your organization's responsibility to create and maintain a regularly updated registration with Grants.gov. This includes registration with the **System for Award Management (SAM)**, where your organization's information must be renewed annually. **Finalize a new or renew an existing registration at least two weeks before the application deadline.** This should allow you time to resolve any issues that may arise with Grants.gov or SAM. Failure to comply with these requirements may result in your inability to submit your application.

If your organization is not yet registered, go to Grants.gov's **Get Registered**. **Allow a minimum of two weeks for this multi-step, one-time process.** If your organization already has registered, **renew your registration with SAM and verify that your registration with Grants.gov is current.**

If you have problems with registration:

- SAM Federal Service Desk: Call 1-866-606-8220 or see the information posted on the SAM website at **SAM User Help**.
- Grants.gov Contact Center: Call 1-800-518-4726, e-mail **support@grants.gov**, or consult the information posted on the Grants.gov website at **Support**. The Grants.gov Contact Center is available 24 hours a day, 7 days a week.

Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline.

You do not need to complete the registration process to download the application package and begin to prepare your material (see below). However, you will need your Grants.gov Username and Password that you obtain during the registration process to submit your application.

Registration Tips:

- **Register early.** Registration is by far the hardest part of the whole process. Don't put it off to the last minute. Grants.gov advises that registration usually takes up to 5 business days but it can take longer; we recommend that you allow at least two weeks.
- **Be extremely careful when entering your registration information and make sure your information on file with the entities involved is correct and consistent.** In the second step of the registration process, your information will be validated with the IRS and Dun & Bradstreet (D&B). If your information doesn't match exactly -- like having a comma in your organization's name on file with the IRS, but not with D&B -- it can snag your registration.
- **Make sure your registration information is up to date.** Your organization's System for Award Management (SAM) registration -- part of the Grants.gov registration process -- must be renewed every year. SAM will alert your organization's SAM Point of Contact when it is time for renewal. You can check your current SAM registration status by entering your DUNS number at "[Search SAM](#)" at www.sam.gov. Also verify your registration with Grants.gov and make sure it is current before you apply, especially if your e-mail address has changed.
- **Even if you aren't registered, you can work on an electronic application.** While you need to be registered in order to submit an application, you don't need to be registered (or an AOR) in order to work on one.

ALERT: If you are registering a new entity in SAM.gov, or updating or renewing your SAM.gov registration, you must provide an original, signed notarized letter stating that you are the authorized Entity Administrator before your registration will be activated, updated, or renewed.

- This requirement went into effect on March 22, 2018, for new entities registering in SAM.gov.
- This requirement went into effect April 27, 2018, for existing registrations being updated or renewed.

START THIS PROCESS AS EARLY AS POSSIBLE AS THIS MAY AFFECT THE TIME IT TAKES TO ACTIVATE OR RENEW YOUR REGISTRATION. **Read the FAQs on SAM.gov** to learn more about this process change.

NOTE: Unfortunately, the NEA has no control over the new SAM requirements and we are unable to allow extensions to posted deadlines due to delays caused by the new SAM requirements.

Download the Application Package

1. Verify your software.

You must have a version of Adobe Reader that is supported by Grants.gov installed on your computer before you download your application package from Grants.gov. Non-compatible versions of Adobe Reader or other Adobe products will lead to errors and prevent you from submitting your application. If more than one computer will be involved in the preparation of the application package, ensure that the same version of Adobe Reader is used.

Please go to "[Recommended Software](#)" to see the compatible versions of Adobe Reader or to download and install Adobe Reader. Please see important information about versions of Adobe Reader DC [here](#).

2. Access the application package on Grants.gov by clicking on the link below:

DOWNLOAD

[Funding Opportunity Number: NEAPS1801]

When you download the application package, the Grants.gov "View Grant Opportunity" screen will open. Choose "Apply" and follow the screens from there. You will be prompted to apply using a Grants.gov Workspace. If you want to learn more about using Grants.gov's Workspace, [see here](#).

You must be logged on to Grants.gov in order to create a Workspace. Look for the "Application Filing Name" field above the "Create Workspace" button. Enter the legal name of your organization here and then click the "Create Workspace" button.

3. You can access each Mandatory form by clicking on it OR you can scroll down your screen and you will come to each form in succession.

The two forms are:

- **Application for Federal Domestic Assistance/Short Organizational Form (SF-424)**: This form asks for basic information about your organization and project. Complete this form first. Data entered here will populate fields of other forms where possible. Instructions for completing this form begin on page 20.
- **Attachments Form**: This is not a form in the conventional sense, but rather a place to attach additional items (e.g., your application narrative and the Project Budget Form) that must be included for your Grants.gov application package to be considered complete. Instructions for completing this form begin on page 22.

Application Instructions

For a complete application, follow Steps 1 and 2 below:

Step 1: Fill out the Application for Federal Domestic Assistance/Short Organizational Form (SF-424)

NOTE: All asterisked (*) items and yellow fields on this form are required and must be completed before you will be able to submit the form. Do not type in all capital letters when completing the form. Enter information directly into the form. Do not copy from an old application package or another document and paste into the form.

1. Name of Federal Agency: Pre-populated.

2. Catalog of Federal Domestic Assistance Number: Pre-populated.

3. Date Received: This will be filled automatically with the date that you submit your application; leave blank.

4. Funding Opportunity Number: Pre-populated.

5. Applicant Information:

a. Legal Name: Enter the legal name of your organization as it appears in the current IRS 501(c)(3) status letter or in the official document that identifies the organization as a unit of state or local government, or as a federally recognized tribal community or tribe. (Do not use your organization's popular name, if different.)

b. Address: Use Street 1 for your street address or post office box number, whichever is used for your U.S. Postal Service mailing address. Street 2 is not a required field and should be used **only** when a Suite or Room Number or other similar information is a necessary part of your address. Do **not** use Street 2 to give a second address for your organization.

In the Zip/Postal Code box, enter your **full 9-digit zip code that was assigned by the U.S. Postal Service.** (You may look it up at www.usps.com/zip4/.)

d. Type of Applicant: Select the item that best characterizes your organization from the menu in the first drop down box. Additional choices are optional.

e. Employer/Taxpayer Identification Number (EIN/TIN): Enter the 9-digit number that was assigned by the Internal Revenue Service; do not use a Social Security Number.

f. Organizational DUNS: All organizational applicants for federal funds must have a DUNS number, which is recognized as the universal standard for identifying organizations worldwide. **The number that you enter here must agree with the number (either 9 or 13 digits) that you used with the SAM (System for Award Management) as part of the Grants.gov registration. Otherwise, your application will not be validated by Grants.gov and will be rejected.**

g. Congressional District: Enter the number of the Congressional District where the applicant organization is located. Use the following format: 2 character State Abbreviation-3 character District Number. For example, if your organization is located in the 5th Congressional District of California, enter "CA-005." If your state has a single At-Large Representative or your territory has a single Delegate, enter your two-digit state/territory abbreviation and "-000." If you need help determining your district, go to www.house.gov and use the "Find Your Representative" tool.

6. Project Information:

a. Project Title: NEA Research Labs.

b. Project Description: Provide a two or three sentence summary description.

Please note: This field on the form has a character limit of 1,000. Even if you have less than 1,000 characters, Grants.gov may translate special characters (e.g., apostrophes) in a way that will cause your application to be rejected. This can happen if you copy from an old application package or another document and paste into the form. We strongly encourage you to write a succinct project description and double check the number of characters.

c. Proposed Project Start Date/End Date: Enter a start date no earlier than March 1, 2019. Your project may extend for up to 24 months.

7. Project Director: Provide the requested information for the Project Director. Select a Prefix (e.g., Ms., Mr.) even though this is not a required field. Provide contact information, including an e-mail address that will be valid throughout the proposed period of performance. Due to restrictions from the Department of Homeland Security we are not able to send emails to alias addresses that forward to another email account. Please do not enter this type of email address.

8. Primary Contact/Grant Administrator: Provide the requested information for the individual who should be contacted on all matters involving this application and the administration of any Cooperative Agreement that may be awarded. Select a Prefix even though this is not a required field. Due to restrictions from the Department of Homeland Security we are not able to send emails to alias addresses that forward to another email account. Please do not enter this type of email address.

If this individual is the same as the Project Director, you may check the "Same as Project Director" box and not repeat information that you have already provided in Item 7. (If the Primary Contact/Grant Administrator is the same as the Authorizing Official, please complete all items under both 8 and 9 even though there will be some repetition.)

9. Authorized Representative: Enter the requested information for the AOR (Authorized Organization Representative) who will be submitting this application to Grants.gov. Select a Prefix even though this is not a required field. The AOR must have the legal authority to obligate your organization. By clicking the "I Agree" box at the top of Item 9, this individual will be certifying compliance with relevant federal requirements on your organization's behalf. (These requirements can be found in the "**Assurance of Compliance**" section.) The "Signature of Authorized Representative" and "Date Signed" boxes will be populated by Grants.gov upon submission of the application. Due to restrictions from the Department of Homeland Security we are not able to send emails to alias addresses that forward to another email account. Please do not enter this type of email address.

Step 2: Complete and Attach Required Items to the Attachments Form

This "form" is not a form in the conventional sense. Rather, it is a place to attach documents that you have completed and saved elsewhere on your computer.

Several important points:

1. Attachment 1 is a fillable form; you will link to find it. This form can be filled in, saved to your computer, and attached without the need for special software or conversion to PDF. **Please be sure you are using Adobe Reader** (version 9 or higher) when filling out our PDF forms.

Note to Mac users: Your computer may be set to open PDF files using Preview (you can tell which program is being used to view a PDF file by looking at the left-most item in the menu bar). Please verify that you are using Adobe Reader and not Preview. If you don't have Adobe Reader installed, you can download it here: <http://get.adobe.com/reader/>.

2. All other attachments are documents (e.g., narratives, bios) that you will develop in accordance with the instructions provided. **These items must be submitted as PDF files.**

Do not create PDFs of your electronic documents by scanning. In the past, some applicants have printed their electronic documents and then scanned them, saving the scan in PDF format. PDFs created this way are much larger, and of lower quality, than PDFs created by the methods we recommend. **Do not embed non-printable media files (video and/or sound) in your PDF documents.**

Static images (e.g., pictures) are acceptable. Please do not enable any document security settings or password-protect any PDF file you submit to us.

3. No attachment should be more than 2 MB. For non-form documents, label pages clearly with the name of the item (e.g., Application Narrative) and your organization's legal name. **Leave a margin of at least one inch at the top, bottom, and sides of all pages. Do not reduce type below 12 point font size.** Do not type in all capital letters. Within each attachment, number pages sequentially; place numbers on the bottom right hand corner of each page. **Excess pages will be removed and not be reviewed.**
4. **Name your files as indicated below and attach them in the proper order.** Limit file names to 50 or fewer characters and use only the following characters when naming your attachments: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, and period. If you do not follow this rule, your application may be rejected. Please note that you cannot change the name of a file on the Attachments Form. Therefore make certain that each file is named correctly **before** you attach it.

When you open the Grants.gov Attachments Form, you will find 15 attachment buttons. By clicking on a button, you will be able to choose the PDF file from your computer that you wish to attach. Please attach the proper file to the proper button as listed below.

How to Prepare and Submit an Application

These application guidelines provide all of the information that you need to submit an application. We urge you to read these instructions in their entirety before you begin the application process. You also may want to keep these instructions open in a window in your computer as they contain helpful links to information that you will need as you complete your application.

In addition to these instructions, you should periodically check the [Grants.gov blog](#) or the [Grants.gov homepage](#) for tips, updates, and alerts.

The Attachments

Do not submit web links in any of the attachments as the content in those web links will not be reviewed.

ATTACHMENT 1: To this button attach a **narrative** (no more than 10 pages in length) that addresses the points below. The file name should indicate the name of your organization or a recognizable acronym followed by "Narrative" (e.g., "ABCOrgNarrative").

The information that you provide will be reviewed in accordance with the "Review Criteria" for this initiative. Please organize your response a), b), c), etc., and use the boldfaced language below as a heading for each item.

- a) Your organization's **mission** and how it relates to this program.
- b) Your organization's **experience** in commissioning and conducting research in the behavioral or social sciences, and communicating research findings and policy implications through reports and convenings.¹
- c) **Proposed project activities.** Be as specific as possible. Describe your plans for accomplishing all aspects of the project as detailed in the Scope of Work and Detailed Requirements section of this Program Solicitation.
 - 1) Identify **only one topic area and at least two research questions within the topic area** that your program will be designed to investigate. Describe the overall vision for the Research Lab and its research agenda. Include brief descriptions of any studies that are likely to be conducted as part of that agenda.
 - 2) Provide a more detailed plan for a "keystone" study to be conducted and completed during the period of performance. Include: the study's research questions and hypotheses, as appropriate; a description of the study's design; identification of data sources; data collection methods and instruments; an analytical plan; sampling strategy; and approach to the protection of human subjects and/or to a consent strategy, as appropriate.

Discuss any proposed consultants, partners, technical working group members, or special resources that might be needed.

- d) **Schedule** of key project planning and implementation dates, including the projected release dates of products. Include proposed time frames for the NEA and the technical working group to respond to tasks and material that need their review and approval. Distinguish between studies or related projects that could occur during the period of performance (the base year/s), and any studies or related projects that might occur in subsequent years, were the cooperative agreement to be renewed.
- e) Your **dissemination** of ideas, information, findings, raw- and or meta-data, research products or tools related to the selected topic area. Describe the format of the products, taking into account the national scope of the project and its audience, and propose a timeline for their release. Describe how your program will engage with other entities conducting research or practice in the selected topic area. Describe any flexibility the Research Lab will have in responding to *ad*

¹ Nonprofit research and policy organizations must, at the time of application, demonstrate a three-year history of commissioning and conducting research in the behavioral or social sciences, and communicating research findings and policy implications through reports and/or convenings.

hoc requests from the NEA for analyses or information related to studies on the research agenda.

ATTACHMENT 2: To this button, attach up to five **bios** (no more than three pages each in length) for the key personnel to be involved in the project, and one technical working group roster (up to three pages collectively of one-to-two paragraph biographies). The file name should indicate the name of your organization or a recognizable acronym followed by "Bios" (e.g., "ABCOrgBios").

For each individual, briefly describe the qualifications, roles, responsibilities, and percent of time to be devoted to the project. Identify if the individual will be involved with human subjects research and/or human subjects data.

As appropriate, include: education; professional experience and honors; selected peer-review and non-peer review publications, including manuscripts in preparation or under review; history of ongoing and completed research support, including sources of support; and research skills.

ATTACHMENT 3: To this button, attach the completed **Project Budget Form** [[PDF Instructions](#)]. The file name should indicate the name of your organization or a recognizable acronym followed by "Budget" (e.g., "ABCOrgBudget").

You may request an award amount of up to \$150,000.

ATTACHMENT 4: To this button, attach a **statement of support from your required nonprofit arts partner** (no more than one page in length) reflecting its support for and involvement in the project. (If you have more than one nonprofit arts partner, you can include one letter from each of those partners in Attachment 8.) Do not provide a general statement of support for your organization. The statement should include the name, affiliation, phone number, and e-mail address of the individual who provided it. The file name should indicate the name of your organization or a recognizable acronym followed by "Letter" (e.g., "ABCOrgLetter").

ATTACHMENT 5: To this button, attach a list of **works cited, references, and/or a bibliography** relevant to the proposed area of research (no more than one page in length). The file name should indicate the name of your organization or a recognizable acronym followed by "WorksCited" (e.g., "ABCOrgWorksCited").

ATTACHMENT 6: To this button, attach evidence of **Human Ethics in Research Training** for each key personnel involved with participants and/or involved with human subjects data if the proposed project involves *primary data collection* from human research subjects. Evidence can be demonstrated by providing a certificate of completion from the *Protecting Human Research Participants* free training module offered through the National Institutes of Health (NIH), or from a comparable training program sponsored by another U.S. federal agency or department. The National

Endowment for the Arts may contact you for documentation of IRB status and human ethics research training at any time.

The file name should indicate the name of your organization or a recognizable acronym followed by "HumanEthics" (e.g., "ABCOrgHumanEthics").

ATTACHMENT 7: To this button, attach a data management plan (no more than two pages in length).

ATTACHMENT 8 (Optional): To this button, attach any additional supporting information that you think necessary (no more than five pages in length).

You may attach a PDF with relevant materials. Remember, do not submit web links as the content in those web links will not be reviewed. The file name should indicate the name of your organization or a recognizable acronym followed by "SupportInfo" (e.g., "ABCOrgSupportInfo").

Leave all remaining Attachment buttons blank.

If you try to view an attachment by clicking the "View Attachment" button on the Attachments Form but are unsuccessful, check the bottom of the screen for the message: "Pop-ups were blocked on this page." If you see this message, press "Ctrl" and "View Attachment" to see the attachment.

Submit Your Electronic Application

1. Check the size of your electronic application. The total size should not exceed 10 MB.
2. To begin the submission process, click the "**Save & Submit**" button. [This button will not become active (and turn from light to dark gray) until you have saved your application with all required fields completed. Clicking this button will prompt you to save your application package one last time. When asked if you want to replace the existing file, click "Yes." You will then be reconnected to Grants.gov and the Internet.] **You will be prompted to provide your Grants.gov Username and Password that you obtained during registration.**
3. Click the "**Login**" button. This will bring you to the "Application Submission Verification and Signature" screen, which provides a summary of the Funding Opportunity for which you are applying. Click the "Sign and Submit Application" button to complete the process. **Be certain that you are satisfied with your application before you click this button. No revisions to your application are possible through Grants.gov once it is submitted.** If you have difficulty submitting, go to [Adobe Reader Error Messages](#) or [Applicant Resources](#) for several tools and documents to help you.

4. Ensure that your application was validated and accepted by the Grants.gov system. Go to [Track My Application](#) to track the validation and progress of your application submission through Grants.gov.