

## Program Solicitation: NEA Research Labs



### Application Deadline: July 15, 2019

Applications must be submitted 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 the deadline date above. The National Endowment for the Arts ("Arts Endowment") strongly recommends that you submit your application by July 5, 2019 to give yourself ample time to resolve any problems that you might encounter.

### Background

The Arts Endowment's five-year [research agenda](#) aims to build public knowledge about the arts' contributions to individuals and society. Through the NEA Research Labs program, 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 NEA Research Lab will define its own agenda, conduct project activities 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 Arts Endowment:

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.

NEA Research Labs are intended to serve as “hubs” or centers of excellence in the domain of interest. Each NEA Research Lab will develop a pipeline of projects or products, even while conducting at least one major study. In addition, NEA 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 based on 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 studies. We also welcome novel and promising research approaches, such as rigorous analyses of organizational or 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 projects, models, tools, or techniques 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 activities. 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) (the “Cooperator”) to participate in the NEA Research Labs program. In brief, the Cooperator will plan and implement research project activities in one of the Arts Endowment’s three proposed topic areas. Each NEA Research Lab must include these activities:

1. Design and publish an evidence-based research agenda;
2. As part of the agenda, plan and implement a keystone (i.e., an exemplar) study, or a series of studies;
3. Produce at least one research report for each research study;

4. Fulfill ad hoc analyses or information requests concerning the NEA Research Lab's research agenda;
5. Disseminate study findings, research products, data, tools, or services to other researchers, arts practitioners, and the general public; and
6. Prepare and deliver a briefing to the Arts Endowment on needs for the proposed research topic area, with recommendations on how these needs could be supported by the Arts Endowment and how the NEA Research Lab can be sustained in the future.

NEA Research Lab awards will be made as cooperative agreements. The Arts Endowment uses two types of awards to fund project activities: cooperative agreements and grants. A cooperative agreement is different from a grant in that the Arts Endowment is substantially involved with the awardee in the direction and accomplishment of the program. Both funding mechanisms are subject to Title 2 of the Code of Federal Regulations, Part 200.

More information can be found under "Detailed Requirements" below.

### **Detailed Requirements**

The Cooperator will work with the Arts Endowment Project Director, and through the Arts Endowment Project Director with other agency staff as appropriate, on all aspects of this project. The Arts Endowment's Project Director will be the 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 Arts Endowment Project Director in carrying out the responsibilities below.

The Cooperator will design and execute:

#### Research 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 Arts Endowment'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 diseases, disorders, 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, and the use of trained and credentialed arts therapists to deliver/implement 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 to learning (e.g., non-arts extracurricular programs; non-arts integrated curricula)?
- What are the most effective neurocognitive tests and technologies to measure those outcomes?
- What are the benefits and related outcomes for specific approaches to arts learning in formal or informal settings?

### *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 the benefits and related outcomes of arts-based entrepreneurship and innovation 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

- Develop a public website housed with the Cooperator that is specifically about the NEA Research Lab, and which will have additional materials beyond what is included on the website hosted by the Arts Endowment. All website content must be approved by the Arts Endowment Project Director. The NEA Research Labs visual identifier should be included in a prominent area of the website, and the NEA Research Lab funding source should be clearly acknowledged.

- 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 researchers, arts practitioners, and the general 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 a briefing to the Arts Endowment on the needs for the proposed research area, with recommendations for how these needs could be better supported by the Arts Endowment, and how the NEA Research Lab can be sustained in the future.

### Administrative

- Work with the Arts Endowment 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 needs briefing six months before the conclusion of the period of performance.
- Provide the Arts Endowment Project Director with NEA Research Lab activity updates, in a mutually agreed upon format and schedule. This will include monthly conference calls, preceded by written memos by the Cooperator (as needed) that will be the basis for the calls between the Cooperator and Arts Endowment staff, to update on research goals and progress.
- Respond in a timely manner to *ad hoc* requests from the Arts Endowment for analyses or information concerning the research agenda being pursued at the NEA Research Lab. Such requests will not involve new data collection.
- Through discussions with the Arts Endowment's Office of Public Affairs (OPA), facilitated by the Arts Endowment 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 Arts Endowment Project Director in consultation with the OPA.
  - In any and all written and oral communications, the Cooperator and the Arts Endowment will credit project activities as such: "The NEA Research Lab is a project of the National Endowment for the Arts in cooperation with

[Cooperator Name].” Include appropriate disclaimers, depending on the nature of the product. To the extent possible, include the NEA 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 to the Cooperator 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 NEA Research Lab meetings that include multiple Labs awarded under the NEA Research Labs program. This will include a tele-web conference every six months. The Arts Endowment will organize and schedule these meetings.
  - As part of, or in addition to, these transdisciplinary Lab meetings, one meeting per year may be in person. Cost for travel for these meetings will be covered by the Arts Endowment using funding outside this Cooperative Agreement, pending availability of funds.
- Secure approval from the Arts Endowment Project Director of any staff, consultants, contractors, technical working group members, or partner organizations that will be working on project activities, before these entities 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 Arts Endowment Project Director, and any other project information requested by the Arts Endowment in a timely manner.
- Follow the Cooperator's approved written procurement policies if consultants or vendors are selected by the Cooperator as part of the NEA Research Lab's project activities. 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 NEA Research Lab 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 NEA Research Lab.
- Obtain any necessary intellectual property rights, permissions, consents, licenses, and releases as appropriate to the project activities (the “Rights”), and provide to the Arts Endowment 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 Arts Endowment Project Director will coordinate discussions or meetings between the Cooperator and the Arts Endowment Office of General Counsel to ensure that the rights secured meet the Arts Endowment's needs. The Arts Endowment 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 Arts Endowment 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 Arts Endowment 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 Arts Endowment Project Director**

The Arts Endowment Project Director will:

- Work with the Cooperator, along with designated Arts Endowment staff, to refine the details and schedule of all project components, serving as liaison between the Cooperator and any other Arts Endowment staff (e.g., Offices of General Counsel, Public Affairs, etc.) that might be involved in this NEA Research Lab.
- 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 Arts Endowment'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 Arts Endowment'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 Arts Endowment'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, 2020. The Arts Endowment 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 2020 budget, Cooperative Agreements of up to \$150,000 to each NEA Research Lab will be awarded. The Arts Endowment's legislation and policies generally require that each Cooperative Agreement includes a nonfederal cost share of at least 1 to 1. At its discretion, the Arts Endowment may choose to negotiate a lesser cost share rate at the time of the award. Matching funds cannot include funds from any federal sources, including the Arts Endowment.

An organization may not receive more than one Arts Endowment 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, 2020, and extend for up to 24 months and no fewer than 12 months.

## **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 Arts Endowment's "[Legal Requirements](#)" at the time of application.
- Have submitted acceptable Final Report packages by the due date(s) for all Arts Endowment 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 NEA Research Labs award in any topic area. For a listing of previously awarded NEA Research Labs, see the [NEA 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.

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

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

NOTE: This year (FY 2020), Research Grants and NEA Research Labs fall on different deadlines. For FY 2021, Research Grants and NEA Research Labs are expected to have the **same** deadline, estimated to be in March of 2020. Monitor our website, [arts.gov](https://www.arts.gov), for more information.

### **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, NEA 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

Applications must be submitted 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 15, 2019.** We strongly recommend that you submit by July 5, 2019 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 "[Organization Registration](#)" 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 Use the Attachments Form" section beginning on page 21.

## Application Review

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

The **artistic excellence** of the planned project activities, specifically the:

- Clarity of the research agenda and project activities, including short- and long-term project objectives. This includes the appropriateness of the research project/s for the NEA Research Labs program.
- 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. This includes, if relevant, the keystone study's Institutional Review Board plans and/or status.
- Degree to which the mission and experience of the proposed research partners, or the nature of the interdisciplinary collaboration, advance the purposes of the NEA Research Lab program and the proposed keystone study.
- Qualifications of the key project personnel, including active ethics training certificates 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 planned project activities, specifically the:

- Potential of the project activities 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. This includes distribution strategies that make the research findings, products, and data accessible to both the public and to other researchers and practitioners.
- 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.
- 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 based on 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 2019.

NOTE: All recommended Arts Endowment 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 Arts Endowment 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 Arts Endowment, 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 Arts Endowment 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. At its discretion, the Arts Endowment may choose to issue subsequent awards as grants and not cooperative agreements. 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 and Use 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 Arts Endowment reserves a perpetual, 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 (2 CFR 200.315).

### **Responsible Conduct of Research**

The Arts Endowment is committed to the responsible conduct of research. As such, the Arts Endowment 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 activities 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 Arts Endowment support of the NEA Research Lab 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 Arts Endowment-funded researchers collecting data from respondents/participants may not represent to those subjects that such data are being collected on behalf of the Arts Endowment.

Cooperators who propose *primary data collection* as part of their research projects 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 an active, unexpired certificate of completion of a training module. The Arts Endowment does not specify or endorse any specific educational programs. Training evidence must be submitted at the time of application for all key personnel involved with primary data collection or analysis of personally identifiable information from human subjects.

In addition, Cooperators who include *primary data collection* as a proposed research project activity are required to provide documentation showing whether IRB approval is needed to execute the research project. 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 project, then the Cooperator must provide documentation from those organizations as well. Cooperators are required to submit IRB approval documentation to the Arts Endowment prior to engaging in any activity determined to require IRB approval. The Arts Endowment may withhold funds until IRB approval is demonstrated.

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 project/s. 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 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.

## Rights to Access Data in the Keystone Study

We require applicants to submit a document outlining the applicant's *rights to access data in the keystone study*.

Include all documentation that applies:

- Evidence that the data is in the public domain.
- Written permission that grants you the right to access the data specified in the keystone study of your application. The written permission must explicitly identify the holder of the access and the date of consent, and, if applicable, time restrictions or other restrictions for accessing the data and the cost of the data.
- If you will be including the purchase of the data in your Official Arts Endowment Project Budget, evidence that guarantees that you will have the right to access the dataset(s) upon purchase. Detail the process that you will use, the date by which you will purchase the data and secure access rights, and the cost of the data.
- Applicants who include primary data collection as a proposed project activity are required to provide documentation regarding whether or not IRB approval is needed to execute the keystone study project. If the documentation states that IRB approval is required, then applicants also must indicate the measures they have taken or plan on taking to gain IRB approval, including evidence that they have reached out to their preferred IRB or IRBs. If IRB approval is needed, then you should begin working with an IRB office as soon as possible. If you are awarded a cooperative agreement, you will be expected to submit a confirmation letter on the approval of your IRB submission prior to engaging in any activity requiring IRB approval. If you receive an award, the Arts Endowment may withhold funds until IRB approval is demonstrated.

## Data Management and Sharing

We intend primarily for the NEA 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 project/s 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 NEA Research Lab.
- *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 project 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 project leaders leave the applicant organization or research project 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.

Costs of storing and/or sharing data collected under the NEA Research Lab, including costs associated with protecting the privacy of individuals and subjects involved, 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](mailto: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, review the [reporting requirements](#).



CFDA No. 45.024  
NEAPS1901

## **Agency Contacts**

If you have questions about programmatic requirements, contact:

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**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 Arts Endowment. Call the Grants.gov help desk at 800-518-4726, email [support@grants.gov](mailto: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 our 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](mailto: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.

## **Apply Electronically Through Grants.gov**

Applications must be submitted electronically through Grants.gov, the federal government's online application system.

You will need to refer to the instructions below as you fill out the Grants.gov forms as well as complete the attachments described below.

### **Register or Renew/Verify Registration with Grants.gov and SAM.gov:**

- It is your organization's responsibility to create and maintain a regularly updated registration with both Grants.gov and the System for Award Management (SAM). Grants.gov and SAM.gov registration and maintenance is always free.
- **Grants.gov Contact Center:** Call 800-518-4726, email [support@grants.gov](mailto: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.
- **SAM Federal Service Desk:** Call 866-606-8220 or see the information posted on the SAM website at [SAM User Help](#).

### **Go to the Grant Opportunity Package:**

- Access the Grant Opportunity Package on Grants.gov by clicking on the link below:

**[CLICK HERE TO GO TO THE GRANT OPPORTUNITY PACKAGE](#)**

### **Funding Opportunity Number: NEAPS1901**

- When you go to Grants.gov through the link above, the Grants.gov "View Grant Opportunity" screen will open. Choose "Apply" in the "Action" area. On the next screen, chose "Apply" again. You will be prompted to enter your Grants.gov Username and Password.
- You will apply using a Grants.gov Workspace. To create a Workspace, look for the "Application Filing Name" field above the "Create Workspace" button. Enter your organization's legal name in this field. If you want to learn more about using Grants.gov's Workspace, see [here](#).
- After creating a Workspace, you will see two forms:
  1. Application for Federal Domestic Assistance/Short Organizational Form: This form asks for basic information about your organization and project.
  2. Attachments Form: This is not a form in the conventional sense, but rather a place to attach additional required items that must be included for your Grants.gov application package to be considered complete.

## Instructions for the Application for Federal Domestic Assistance/Short Organizational Form:

**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.
  - b. Address: Use Street 1 for your organization's physical street address. This address should agree with the address that you used with the SAM (System for Award Management). In addition, use Street 2 for your organization's mailing address if it differs from the physical street address.
  - c. In the Zip/Postal Code box, enter your **full 9-digit zip code**. (You may look it up at [www.usps.com/zip4/](http://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 or 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 physically located. Use the following format: 2 letter State Postal Abbreviation-3 digit District Number. For example, if your organization is located in the 5th Congressional District of California, enter "CA-005." If you need help determining your current district, go to [www.house.gov](http://www.house.gov) and use the "Find Your Representative" tool.

6. Project Information:

a. Project Title: Enter NEA Research Labs.

b. Project Description: Provide a two- or three-sentence summary that briefly describes the specific activities that will be included in the project budget.

**NOTE:** This field on the form has a character limit of 1,000. Even if you have fewer 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 description and double-check the number of characters.

c. Proposed Project Start Date/End Date: Enter a start date on or after March 1, 2020. The start date should be the first day of a month, and the end date should be the last day of a month. This is the period of performance for your proposed project, which should not exceed 24 months. **Project activities must occur, and the costs you include in your Project Budget must be incurred, within your period of performance.**

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.

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. 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. Select a Prefix.

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, complete all items under both 8 and 9 even though there will be some repetition.)

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. Do not enter this type of email address.

#### 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. Do not enter this type of email address.

#### How to Use the Attachments Form:

The "Attachments Form" is not a form in the conventional sense. Rather, it is a place to attach documents that you have completed and saved as portable document format (PDF) files elsewhere on your computer.

Several important points:

1. Attachment 3, the Project Budget Form, is a National Endowment for the Arts fillable form; you will find a link below. This form can be filled in, saved to your computer, and attached without the need for special software or conversion to PDF.

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). 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 non-form documents that you will compose 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 enable any document security settings or password-protect any PDF file you submit to us.

No attachment should be more than 2 MB.

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. Attach the proper file to the proper button as listed below.

## 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. 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.<sup>1</sup>
- c) **Proposed research project agenda and activities.** Be as specific as possible. Describe your plans for accomplishing all aspects of the project/s 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 NEA Research Lab will be designed to investigate. Describe the overall vision for the NEA Research Lab and its research

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<sup>1</sup> 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.

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 Arts Endowment 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 award 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 NEA Research Lab will engage with other entities conducting research or practice in the selected topic area. Describe any flexibility the NEA Research Lab will have in responding to *ad hoc* requests from the Arts Endowment 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 NEA Research Lab. 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.

In addition, include information about the types of expertise and organizational characteristics that the applicant is looking for in their technical working group

(specific names of individuals and their qualifications are not necessary) (up to one page).

**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 9.) 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 primary data collection or analysis of personally identifiable information from human subjects if the proposed project involves *primary data collection* from human research subjects. Evidence can be demonstrated by providing an active, unexpired certificate of completion of a training program. The National Endowment for the Arts may contact you for documentation of 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 information that documents your organization's right to access the data and/or collect the data specified in your keystone study (no more than five pages in length). The Arts Endowment may contact you for IRB status update at any time and may withhold funds until IRB approval is demonstrated.

**ATTACHMENT 8:** To this button, attach a data management plan (no more than two pages in length).

**ATTACHMENT 9 (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.

### **How to Submit Your Electronic Application**

1. When you have completed all of the Grants.gov forms noted above and attached the additional documents as PDFs, check the size of your electronic application. The total size should not exceed 10 MB. It is strongly recommended that you print out a copy of your application for your files.
2. To begin the submission process, log on to Grants.gov and go to the Forms tab on the Manage Workspace page. Click the "Sign and Submit" button, under the Forms tab. **Be certain that you are satisfied with your application before you submit. No revisions to your application are possible through Grants.gov once it is submitted.**

If you have difficulty submitting, go to [Encountering Error Messages](#) or [Support](#) for several tools and documents to help you.

3. Once you complete and submit your application, you will see a confirmation screen explaining that your submission is being processed. Retain the Grants.gov Tracking Number that you receive in the application submission confirmation screen.
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.