

CFDA No. 45.024
NEAPS1602

Program Solicitation: National Endowment for the Arts Research Labs

Proposal Receipt Deadline: July 12, 2016

The National Endowment for the Arts 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 2, 2016** to give yourself ample time to resolve any problems that you might encounter.

Background

In recent years, the National Endowment for the Arts' research portfolio has focused on yielding new knowledge about the value and impact of the arts. Through a new program, the National Endowment for the Arts Research Labs (NEA Research Labs), we seek to support 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 a research 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 National Endowment for the Arts:

1. The Arts, Health, and Social/Emotional Well-Being
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 for the arts community, but also for sectors such as healthcare, education, and business or management.

Priority will be given to applications that propose quasi-experimental or experimental studies with theory-driven research questions and methodologies that will yield important information about the impact of the arts within the selected topic area. 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 or social networks and/or social media data. 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.

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 National Endowment for the Arts Research Labs program. In brief, the Cooperator will:

- Plan and implement a research program in one of the National Endowment for the Arts' 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 research study, or a series of studies;
 3. Production of at least one research report for each research study;
 4. Dissemination of findings, data, and tools to project stakeholders and to the public; and
 5. Preparation and delivery of a briefing to the National Endowment for the Arts on needs for continued work in the proposed research topic area, with recommendations both on how other research organizations working in the proposed research area could be better supported by the agency and how the NEA 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 National Endowment for the Arts Project Director, and through the National Endowment for the Arts Project Director with other National Endowment for the Arts staff as appropriate, on all aspects of this program. The National Endowment for the Arts Project Director will be the Director of Research & Analysis. The Cooperator will consult with, and will secure the approval of, the National Endowment for the Arts Project Director in carrying out the responsibilities below.

The Cooperator will:

Research Agenda

- Develop a research agenda within the proposed topic area, which may include, but need not be limited to: identification of 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.

Research Study

- Based on the approved research agenda, plan and conduct a 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

- What are the social and/or emotional-related 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 one's socioeconomic characteristics, by other demographic and behavioral patterns, and/or by one's stage of life?
- 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 processes of arts-based creativity, and how do they affect learning-related outcomes?
- How do those outcomes vary by socioeconomic characteristics, by other demographic patterns, and/or by one's stage of life?
- What are the most effective neurocognitive tests and technologies to measure those outcomes?

3. The Arts, Entrepreneurship, and Innovation

- What is the link between artists (including designers) and broad societal innovation, particularly with regard to economic and job growth?
- What role do arts organizations play in promoting civic and/or corporate innovation in a community?

- In which industries, sectors, or geographic areas is arts-driven innovation visible and measurable?
- Produce at least one research report that fully documents the methods and findings of each research study.

Dissemination, Documentation, & Recommendations

- Disseminate research report(s), briefs, data, and other tools to project stakeholders and the public through the National Endowment for the Arts' website and other means, such as conferences and peer-reviewed journals.
- Prepare a short summary report of ongoing projects at the NEA Research Lab for publication on the National Endowment for the Arts' website.
- Prepare and deliver a briefing to the National Endowment for the Arts 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 National Endowment for the Arts, and how the work of the NEA Research Lab can be sustained beyond the conclusion of the Cooperative Agreement's period of performance.

Administrative

- Work with the National Endowment for the Arts Project Director to refine the details and schedule of all project components.
 - Submit the 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 National Endowment for the Arts Project Director with project updates, in a mutually agreed upon format and schedule.
- Through discussions with the National Endowment for the Arts' Office of Public Affairs (OPA), facilitated by the National Endowment for the Arts 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 National Endowment for the Arts Project Director in consultation with the OPA.
 - In any and all written and oral communications, the Cooperator and the National Endowment for the Arts 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].”

- Establish and support a technical working group composed of representatives from partner organizations 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 Cooperator.
- Secure approval from the National Endowment for the Arts 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.
- Provide payments to consultants and other contractors in a timely manner.
- 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, quarterly project activity updates to the National Endowment for the Arts Project Director, and any other project information requested by the National Endowment for the Arts 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”). 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 National Endowment for the Arts’ needs. The National Endowment for the Arts 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 National Endowment for the Arts 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 electronically to the Grants & Contracts Office and to the National Endowment for the Arts Project Director, 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 National Endowment for the Arts Project Director

The National Endowment for the Arts Project Director will:

- Work with the Cooperator, along with designated National Endowment for the Arts staff, to refine the details and schedule of all project components.
- Act as liaison between the Cooperator and any other National Endowment for the Arts 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 National Endowment for the Arts' 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 National Endowment for the Arts' 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 National Endowment for the Arts' 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, 2017. The National Endowment for the Arts will work with the Cooperator

to identify dates related to specific project activities before the Cooperative Agreement is finalized.

Cooperative Agreement Amount

We expect to award Cooperative Agreements of up to \$150,000 for each NEA Research Lab, contingent upon the availability of funds. This Cooperative Agreement requires a nonfederal match of at least 1 to 1. Matching funds cannot include funds from any National Endowment for the Arts or other federal grants.

Period of Performance

This Cooperative Agreement will begin no earlier than March 1, 2017, and extend for up to 24 months.

An organization may not receive more than one National Endowment for the Arts 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.

We may enter into subsequent Cooperative Agreements with the organization selected as a result of the Program Solicitation. See "Subsequent Cooperative Agreements" 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 grant.

To be eligible, the applicant organization must:

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

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

- 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 National Endowment for the Arts 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

The National Endowment for the Arts aims 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, 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 12, 2016. We strongly recommend that you submit your application by July 2, 2016 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 14 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 on pages 22-24.

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 the conceptual framework, research design, and analytical methods to be used, in addition to the relationship of these elements to the proposed research questions.
- Degree to which the mission, experience, and nature of the collaboration between the lead applicant and partner organizations advance the purpose of the project.
- Qualifications of the key project personnel, including ethics training as appropriate.
- Quality of other research activities undertaken by the applicant organization.

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

- Potential to produce empirical insights about the arts for the benefit of arts and non-arts sectors alike.
- Plans for dissemination of the project results.
- 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.

Priority will be given to applications that present quasi-experimental or experimental studies with 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 2016.

NOTE: All recommended National Endowment for the Arts applications undergo a review to evaluate risk posed by the applicant prior to making a federal award. 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 & Contracts 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 National Endowment for the Arts 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 National Endowment for the Arts, 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 Cooperative Agreements

The National Endowment for the Arts may enter into up to four subsequent awards with the recipient of this Cooperative Agreement. Any such future Cooperative Agreements, 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. 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 Cooperator's successors in interest, including any such successors not yet known to Cooperator. The National Endowment for the Arts 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

We are committed to the responsible conduct of research. As such, the National Endowment for the Arts requires applicants to comply with all applicable laws and regulations governing the conduct of research in the United States. We further require applicants to obtain permissions from all appropriate entities for conducting the proposed project 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 National Endowment for the Arts' support of the project 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 National Endowment for the Arts-funded researchers collecting data from respondents/participants may not represent to those subjects that such data are being collected on behalf of the National Endowment for the Arts.

Applicants who propose *primary data collection* as part of their 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 Institutional Review Boards. 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, applicants who include *primary data collection* as a proposed project activity are required to provide documentation showing whether IRB approval is needed to execute the 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. If multiple organizations are directly involved in human subjects research for a proposed project, then the applicant 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 project. Costs of submitting research proposals to IRBs are allowable if this activity takes place during the grant period. Grantees will be asked to provide evidence that they have consulted with their preferred IRB or IRBs. If you receive a grant, we 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 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 grantees to submit a *data management plan* documenting how any raw data and meta-data resulting from the proposed project will be maintained during and beyond the life of the cooperative agreement; grantees 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 project.*
- *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 project period. 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 project leaders leave the applicant organization or 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.

Research projects 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 grant period.

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 or technical requirements, contact:

Nicki Jacobs
Director of Grants & Contracts, 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 National Endowment for the Arts. 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.

Reporting Burden

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.

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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 12, 2016. We strongly recommend that you submit your application by July 2, 2016 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

NOTE: Applicants are required to change their Grants.gov passwords every 60 days. See www.grants.gov for more details on requirements for Usernames and Passwords.

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. For help, call the Grants.gov Contact Center 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 a day, 7 days a week.

- **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.

Creating your application:

- **Review the Grants.gov software requirements.** You must have a version of Adobe Reader that is supported by Grants.gov installed on your computer in order to access, complete, and submit applications. 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.
- **Yes, the DUNS is important.** The DUNS you enter on the SF-424 form must match exactly the DUNS you used when you registered with SAM. If it doesn't match -- even if you just transpose two digits -- we won't get your application because the Grants.gov system will kick it back to you. If your organization has more than one DUNS (many do), make sure you're using the right one for applying via Grants.gov.
- **You're the only one who can ensure that your application is complete.** Yes, the Check Package for Errors function on the forms will tell you if you missed a required field but it can't tell you if your application was validated and accepted by Grants.gov. See below.

Submitting your application:

- Submit your application by July 2, 2016 to give yourself ample time to resolve any problems that you might encounter. You take a significant risk by waiting until the day of the deadline to submit.
- **Just because Grants.gov received your application doesn't mean it's been accepted.** 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. There are several

reasons applications may not be validated. Maybe there was a problem with the DUNS (see above). Bottom line: Don't wait until just before the deadline to submit. If you turn off your computer right after submitting, you may not learn the application was kicked back until too late. Give yourself some extra time to make adjustments and resubmit, if necessary.

- **Sometimes the problem isn't Grants.gov or you, it's your computer.** You'll need to work with your own IT administrator to fix the problem. It may be due to the presets on your computer or your Internet Service Provider. If your IT administrator isn't available, just try submitting from another computer and see if that works. Another reason to submit early!

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: NEAPS1602]

This will bring you to the "Selected Grant Applications for Download" screen.

Download the application package and follow the instructions below. **It is not necessary to download the instructions from Grants.gov as you will merely be directed back to the instructions in this document.**

Do not open a Grants.gov "Workspace" environment to create, prepare, or submit your application materials.

3. When you download the application package, the Grants.gov "Grant Application Package" screen will open. Click on the "Save" button and **save the application package to a location on your computer or network where you can find it readily.** Save your application each time that you work on it. You will get the

message: "The File already exists. Replace existing file?" Click "Yes" to ensure that you always save the most recent version.

4. 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 15.
- **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 17.

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.

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: Enter 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, 2017. Your project may extend until February 28, 2019.

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.

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.

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.

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. Attachments 2 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 (portable document format) 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

The Attachments

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.

Identify one topic area and at least two research questions within that topic area. Describe your plan for the proposed research that includes research questions and hypotheses, as appropriate; a description of the research design; identification of data sources; data collection methods and instruments; an analytical plan; sampling strategy; and approach to the protection of human subjects/consent strategy, as appropriate.

Discuss any proposed consultants, partners, or special resources that might be needed.

- d) **Schedule** of key project planning and implementation dates.
- e) Your **dissemination** plans for sharing research findings through various means to arts organizations, policy-makers, stakeholders, and the general public.

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. 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.

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.

ATTACHMENT 3: To this button, attach the completed **Project Budget Form**, Parts 1 and 2 [[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. 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 any additional supporting information that you think necessary. (Optional)

You may attach a PDF with web links to relevant materials. In this case, list the URL for the page to be shown and include any necessary navigation paths and any information on required plug-ins. Do not submit a website that requires a password. Do not submit a link to a site that requires material to be downloaded (e.g., Dropbox). The file name should indicate the name of your organization or a recognizable acronym followed by "SupportInfo" (e.g., "ABCOrgSupportInfo").

NOTE:

Required Human Ethics in Research Training: If the proposed project involves *primary data collection* from human research subjects, evidence of ethics training must be included in Attachment 5 for each key personnel involved with participants and/or involved with human subjects data. 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.

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.