

Research: Art Works, FY 2017

**NATIONAL ENDOWMENT FOR THE ARTS
APPLICATION GUIDELINES**

Research: Art Works

Awards to support research that investigates the value and/or impact of the arts, either as individual components of the U.S. arts ecology or as they interact with each other and/or with other domains of American life. Research: Art Works offers support for projects in two areas:

- **Track One: Value and Impact.** These research projects aim to examine the value and/or impact of the arts in any topic area(s) by using data and methods appropriate to the proposed research questions. Matching grants range from \$10,000-\$30,000.
- **Track Two: Experimental and Quasi-Experimental Designs.** These research projects aim to test the causal or inferred-causal impact of the arts on individual or cohort outcomes by using experimental or quasi-experimental design methods appropriate to the proposed research questions. Matching grants range from \$30,000-\$100,000.

Step 1 - Submit SF-424 to Grants.gov	October 11, 2016
Step 2 - Submit Materials to NEA-GO	October 18, 2016 to October 25, 2016
Earliest Announcement of Grant Award or Rejection	April 2017
Earliest Beginning Date for National Endowment for the Arts Period of Performance	May 1, 2017

Research: Art Works

The National Endowment for the Arts' Office of Research & Analysis makes awards to support research that investigates the value and/or impact of the arts, either as individual components of the U.S. arts ecology or as they interact with each other and/or with other domains of American life.

In past years, the Research: Art Works category has invited researchers to propose studies that examine topics related to any area(s) on the *How Art Works* system map (see Grant Program Description). These projects have used quantitative, qualitative, or mixed-methods approaches, and have relied on primary and/or secondary data for analysis. Examples of previously funded research can be found via the "[Grant Search](#)" engine or by viewing [Research: Art Works Grants Final Papers](#).

This year, Research: Art Works offers support for projects in two areas:

- **Track One: Value and Impact.** These research projects aim to examine the value and/or impact of the arts in any topic area(s) by using data and methods appropriate to the proposed research questions. Matching grants range from \$10,000-\$30,000.
 - Projects relying primarily on experimental/quasi-experimental design methods are **not** eligible under this Track and should apply to Track Two.
- **Track Two: Experimental and Quasi-Experimental Designs.** These research projects aim to test the causal or inferred-causal impact of the arts on individual or cohort outcomes by using experimental or quasi-experimental design methods appropriate to the proposed research questions. Matching grants range from \$30,000-\$100,000.
 - This Track is **only** for projects relying primarily on experimental or quasi-experimental research methods.

NOTE: Applications **will not** be transferred from one Track to the other after the deadline.

By providing financial support to deserving projects, this program will spur growth in the number of people —across diverse fields of inquiry— who are experienced in and knowledgeable about arts-related research. This program also seeks to heighten the relevance and significance of arts-related research to policy and practice.

If you have questions, please contact the staff at nearesearchgrants@arts.gov

RESEARCH: ART WORKS: Grant Program Description

Background

In September 2012, the National Endowment for the Arts' Office of Research & Analysis published a five-year research agenda, supported by a system map and measurement model. Titled *How Art Works*, the report offers a framework for studying research topics critical to a broader public understanding of the arts' value and/or impact for individuals and communities.

"Value"-oriented research measures or otherwise clarifies one or more factors, characteristics, or conditions of the U.S. arts ecosystem. Examples may include but are not limited to descriptive studies of arts participation and arts learners, artists and art workers, arts organizations and arts industries, and arts funders and arts volunteers. Such research also may examine the underlying

conditions and vehicles for arts participation. For instance, it can examine how training and education affects arts creation, arts audiences, or other aspects of arts engagement.

Separately, research on "impact" investigates direct and indirect pathways of arts participation to economic prosperity; individual health and well-being; individual cognitive capacity, learning, and creativity; community livability; and other areas of human endeavor. Research also could examine the effects of arts participation on broader-level outcomes, such as new forms of self-expression, new outlets for creative activity, and the overall creative and expressive capacity of U.S. society.

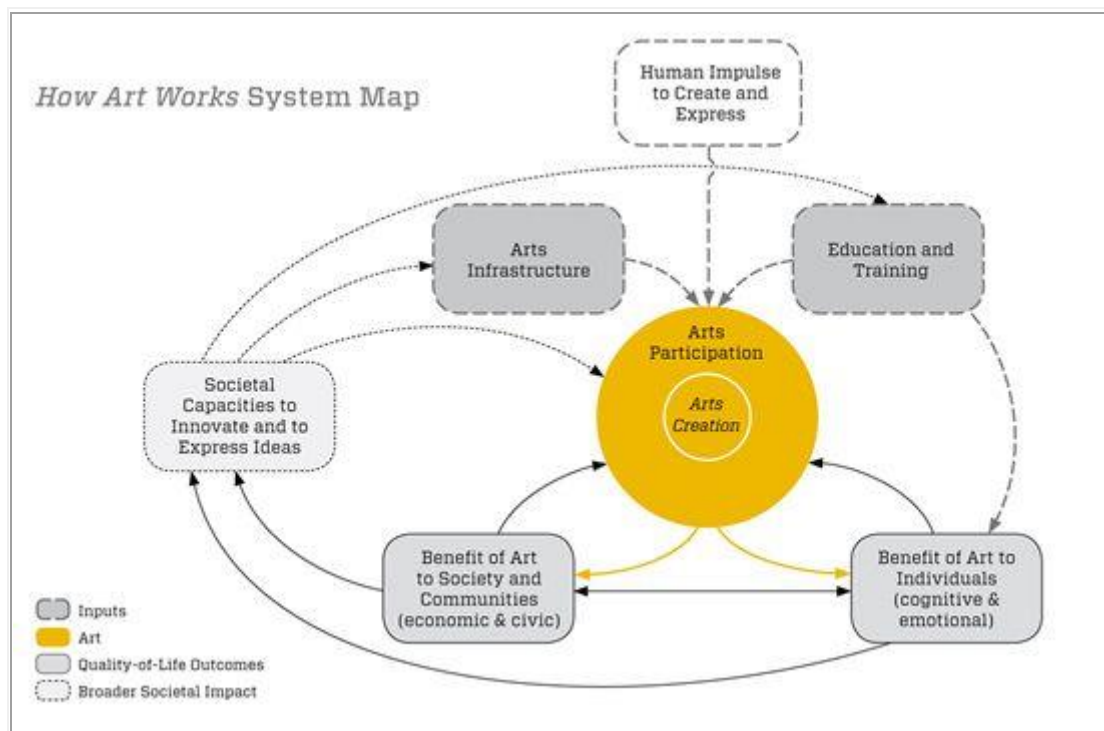
The *How Art Works* system map (*see below*) presents several different research areas that focus on the value and/or impact of the arts for individuals, organizations, and communities, each ripe for fresh inquiry. To obtain a better understanding of each area of the map, researchers can collect and analyze data on a host of variables. Research areas include the system's core components of Arts Participation and Arts Creation; the system's inputs (Arts Infrastructure and Education & Training); and the system's main outcomes, e.g., civic or economic benefits to communities, or cognitive or emotional benefits to individuals. The system map is not prescriptive. It is intended primarily to communicate to potential applicants a cluster of topics and relationships that the National Endowment for the Arts has been exploring as part of its most recent five-year research agenda.

Funds will be given for projects that involve analyses of primary and/or secondary data. Primary data collection is an allowable activity under these grants, *as long as a proposed project also includes analysis of that data*. We will not fund projects that focus exclusively on data acquisition. Projects may include, but are not limited to, primary and/or secondary data analyses; economic impact studies; organizational research; psychological studies that take place in clinical or non-clinical settings; third-party evaluations of an arts program's effectiveness and impact; and statistically-driven meta-analyses of existing research so as to provide a fresh understanding of the value and/or impact of the arts. We also 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.

Data Sources and Samples

Applicants may propose projects that focus on quantitative, qualitative, and/or mixed-method approaches using data gleaned from primary or secondary sources. These may include but are not limited to, surveys, censuses, biological or medical experiments, observations, interviews, focus groups, social media, administrative data, and transactional/financial data. Other examples of data sources include archived materials such as written documents, audio/video recordings, or photographs and images.

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



 [enlarge map](#)

Track One: Value and Impact

Some of the most compelling research about the arts has originated in non-arts specialties: labor economics, for example, with its lessons about the arts' impact on national and local productivity; cognitive neuroscience, with its discoveries about the arts' role in shaping learning-related outcomes; urban planning work that seeks to understand the arts as a marker of community vitality; and psychological and clinical studies that posit the arts' relationship to health and well-being across the lifespan. We encourage applications from diverse research fields (e.g., economics, psychology, education, sociology, medicine and health, communications, and urban and regional planning) in addition to projects that address a diverse array of topics concerning the value and/or impact of the arts.

For this Track, priority will be given to projects that present **theory-driven and evidence-based research questions and methodologies** that will yield important information about the value and/or impact of the arts on individuals and communities, and/or that use **novel and promising research approaches**, such as rigorous analyses of organizational or social networks and/or social media data.

Projects with a primary focus on experimental/quasi-experimental design methods are **not** eligible under this Track and should apply to Track Two.

Track Two: Experimental and Quasi-Experimental Designs

Despite compelling research conclusions from studies such as *The Arts and Achievement in At-Risk Youth* (National Endowment for the Arts, 2012), there is a lack of findings about the causal relationship between the arts and short- or long-term individual or community benefits.

Particularly in assessing the effects of a program, policy, or practice (referred to here as an “intervention”), more rigorous methods are needed to isolate—to the greatest extent possible—the impacts of the intervention from those associated with other influences (e.g., geographic or temporal factors, or pre-existing differences between participants and non-participants). For questions about causality, experimental approaches such as randomized controlled trials (RCTs) are generally preferred. When experimental approaches are not feasible, high-quality, quasi-experimental design studies offer an attractive alternative.

We encourage applications from diverse research fields (e.g., economics, psychology, education, sociology, medicine and health, communications, and urban and regional planning) and that use experimental or quasi-experimental design methods to test the impact that the arts can have on a variety of possible outcomes.

Experimental designs, or RCTs, include study participants who are assigned randomly to form two or more groups that are differentiated by whether or not they receive the intervention under study. Such projects may include between-subject designs, within-subject designs, waitlist-controls, repeated measures, and/or other design characteristics. The studies may employ assignment or analysis at the individual or cluster level (e.g., examining groups of individuals, such as within a school, a therapy group, or a broader community).

Random assignment also may include blocking the sample into groups before random assignment, random subsampling, using groups with different populations, or using groups of different size. At the time the sample is identified (and before the intervention), the groups should be similar, on average, on both observable and unobservable characteristics. These types of research designs incorporate robust statistical controls, and may include mixed-method studies that pair qualitative and quantitative methods. Experimental designs allow any subsequent (i.e., post-intervention) differences in outcomes between the intervention and comparison groups to be attributed solely to the intervention.

A quasi-experimental design compares outcomes for individuals or clusters who had access to the intervention with those who did not but were similar on observable characteristics. Importantly, quasi-experimental design studies, while rigorous, are less able to determine causation, since even with equivalence on observable characteristics, there may be differences in unobservable characteristics that could introduce bias into an estimate of the effect of the intervention.

More information on experimental and quasi-experimental design studies can be found in a number of federal resources, such as the [Department of Education's What Works Clearinghouse's Handbook](#) and the [Clearinghouse for Labor Evaluation and Research's Causal Evidence Guidelines](#).

For this Track, priority will be given to projects that present **theory-driven and evidence-based research questions and methodologies** that will yield important information about the value and/or impact of the arts for individuals or communities.

NOTE: Applications **will not** be transferred from one Track to the other after the deadline.

RESEARCH: ARTS WORKS: Award Information

Grant Amounts and Matching Funds

Track One: Value and Impact

We anticipate awarding up to 20 grants, based on the availability of funding.

Grants will range from \$10,000 to \$30,000. Award amounts will be based on the level of excellence and merit demonstrated in the proposal, as outlined in the Review Criteria. Priority will be given to projects that present theory-driven and evidence-based research questions and methodologies, and/or that use novel and promising research approaches.

Track Two: Experimental and Quasi-Experimental Designs

We anticipate awarding up to 5 grants, based on the availability of funding.

Grants will range from \$30,000 to \$100,000. Award amounts will be based on the level of excellence and merit demonstrated in the proposal, as outlined in the Review Criteria. Priority will be given to projects that present theory-driven and evidence-based research questions and methodologies.

All Grants

All grants require a nonfederal match of at least 1 to 1. These matching funds may be all cash or a combination of cash and in-kind contributions, and can include federally-negotiated indirect costs. You may include in your Project Budget matching funds that are proposed but not yet committed at the time of the application deadline.

We reserve the right to limit our support of a project to a particular phase(s) or cost(s). All costs included in your Project Budget must be expended during your period of performance. Costs associated with other federal funds, whether direct or indirect (e.g., flow down through a state arts agency), can't be included in your Project Budget. No pre-award costs are allowable in the Project Budget. **Costs incurred before the earliest project start date of May 1, 2017, can't be included in your budget or match.**

All applications submitted and grants made in response to these guidelines are subject to the National Endowment for the Arts' grant regulations and terms and conditions.

Period of Performance

Our support of a project may start on May 1, 2017, or any time thereafter. Grants generally may cover a period of performance of up to two years, with an exception for projects that include *primary data collection* as part of the proposed activity. Projects that include *primary data collection* may request up to three years. Projects that extend beyond one year will be required to submit an annual progress report.

A grantee may not receive more than one National Endowment for the Arts grant for the same project during the same period of performance.

RESEARCH: ARTS WORKS: Applicant Eligibility

Official applicant organizations must be nonprofit, tax-exempt 501(c)(3), U.S. organizations; units of state or local government; or federally recognized tribal communities or tribes. This may include, but is not limited to, colleges and universities.

See "How to Prepare and Submit an Application" for the documentation that is required to demonstrate eligibility. Ineligible applications will not be reviewed.

For projects that involve multiple organizations, *one organization that meets the eligibility requirements below must act as the official applicant*, submit the application, and assume full responsibility for the grant. Partnering organizations are not required to meet the same eligibility requirements as the official applicant organization.

To be eligible, the official applicant organization **must**:

- Meet the National Endowment for the Arts' "[Legal Requirements](#)," including nonprofit, tax-exempt status at the time of application.
- Have three consecutive years of operating history prior to the application deadline.
- Have submitted acceptable Final Report packages by the due date(s) for all National Endowment for the Arts award(s) previously received.

All applicants must have a DUNS number (www.dnb.com) and be registered with the System for Award Management (SAM, www.sam.gov) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award.

Organizations that are **not** eligible to apply *as the official applicant organization*:

- The designated fifty state and six jurisdictional arts agencies (SAAs) and their regional arts organizations (RAOs). SAAs and RAOs may serve as partners in projects. However, they may not receive National Endowment for the Arts funds (except as provided through their designated grant programs), and SAA/RAO costs may not be included as part of the required match. SAAs and RAOs are eligible to apply through the Partnership Agreements guidelines.
- An organization whose primary purpose is to channel resources (financial, human, or other) to an affiliated organization if the affiliated organization submits its own application. This prohibition applies even if each organization has its own 501(c)(3) status. For example, the "Friends of ABC Museum" may not apply if the ABC Museum applies. See more about [fiscal sponsorships](#).

Ineligible applications will not be reviewed.

Application Limits

- An organization may submit more than one application under these Research: Art Works guidelines. In each case, the request must be for a **distinctly different project**.
- An application in response to this announcement does not preclude an organization from applying under other National Endowment for the Arts funding opportunities including [Art Works](#). In each case, the request must be for a **distinctly different project**.

SIDEBAR

TO APPLY

- [Application Calendar](#)
- [Grant Program Description](#)
- [Award Information](#)
- [Applicant Eligibility](#)
- How to Apply
 - [How to Prepare and Submit an Application](#)
 - [Step 1: Submit the SF-424 to Grants.gov](#)
 - [Step 2: Submit Materials Through NEA-GO](#)
- Other Requirements and Priorities
- [Application Review](#)
- [Award Administration](#)
- Contacts: nearesearchgrants@arts.gov
- [Other Information](#)
- [FAQs](#)

Applicant Resources

- [Guidelines Webinar](#)
- [Online Tutorial: Using the Grant Application Form \(GAF\)](#)
- [Sample Application Narratives](#)
- Art Works Blog: Tips for Applicants
- [Research: Art Works Final Papers](#)
- [Publicly Available Data Sources](#)

RESEARCH: ARTS WORKS: Application Calendar

Category	Application Deadline	Earliest Announcement of Grant Award or Rejection	Earliest Beginning Date for National Endowment for the Arts Period of Performance
Research: Art Works	October 11, 2016	April 2017	May 1, 2017

You are required to use Grants.gov. See "[How to Prepare and Submit an Application](#)" for further information.

Before you apply through Grants.gov for the first time, you must be registered. Registration with Grants.gov:

- Is a multi-step process.
- Takes time; allow two weeks.
- Must be completed before you can submit your application.

Late, ineligible, and incomplete applications will not be reviewed.

In the event of a major emergency (e.g., a hurricane or Grants.gov technological failure), the National Endowment for the Arts Chairman may adjust application deadlines for affected applicants. If a deadline is extended for any reason, an announcement will be posted on our website.

If you have questions:

Email: nearesearchgrants@arts.gov



202/682-5082 Voice/T.T.Y. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing)



Individuals who do not use conventional print may access these guidelines on the website or contact our Office for Accessibility at 202/682-5532 for help in acquiring an audio recording of these guidelines.

OMB No. 3135-0112 Expires 11/30/2016

CFDA No. 45.024

August 2016

RESEARCH: ART WORKS: How to Prepare and Submit an Application

These instructions provide all of the information that you need to submit an application. Submitting an application is a multi-step process. You will interact with the NEA's website, Grants.gov, and the NEA GrantsOnline™ System (NEA-GO). We urge you to read these instructions in their entirety before you begin the application process.

Deadline:

Step 1 - Submit SF-424 to Grants.gov	October 11, 2016 by 11:59 p.m., Eastern Time
Step 2 - Submit Materials to NEA-GO	October 18, 2016 to 11:59 p.m., Eastern Time on October 25, 2016

1. View the Research: Art Works Guidelines Webinar:
 - We will conduct a live webinar on September 7, 2016, at 3:00 p.m. Eastern Time featuring an overview presentation followed by a Q&A session. [Click here to register](#) for the upcoming webinar and for an [archive of the webinar](#) after it is concluded.
2. Step 1 – Submit the SF-424 to Grants.gov:
 - [The SF-424 \(Application for Federal Domestic Assistance\)](#)
3. View the NEA Grant Application Form (GAF) Tutorial:
 - [Online Tutorial: Using the NEA Grant Application Form](#)
4. Step 2 – Submit Materials to NEA-GO:
 - [Fill out and submit the NEA Grant Application Form and upload items to NEA-GO.](#)
5. Application updates after submission:

Send new information that significantly affects your application (such as changes in project personnel, confirmed funding commitments, or IRB status) as soon as possible to the staff. Remember to include your organization's name and NEA application number.

If you have questions about your application, please contact the staff at nearesearchgrants@arts.gov.

RESEARCH: ART WORKS: Step 1: Submit the SF-424 to Grants.gov

Complete and submit the SF-424 (Application for Federal Domestic Assistance/Short Organizational Form) to Grants.gov.

[Register or renew/verify Grants.gov and SAM.gov registration](#) | [Download the SF-424](#) | [Fill-out the SF-424](#) | [Submit the SF-424 to Grants.gov](#) | [Track Your Application](#)

Deadline:

Step 1 - Submit SF-424 to Grants.gov	October 11, 2016 by 11:59 p.m., Eastern Time
Step 2 - Submit Materials to NEA-GO	October 18, 2016 to 11:59 p.m., Eastern Time on October 25, 2016

1. Register or renew/verify Grants.gov and SAM.gov registration:

- Before submitting the SF-424, your organization must register or renew/verify its current registration with both **Grants.gov** and the **System for Award Management (SAM)**. Failure to comply with these requirements may result in your inability to submit your SF-424.
- Go to Grants.gov's **Organization Registration** to create a new organization registration.
- **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.
- **SAM Federal Service Desk:** Call 1-866-606-8220 or see the information posted on the SAM website at **SAM User Help**.
- You do not need to complete the registration process to download the SF-424 and begin to prepare your material (see below). However, you will need the Grants.gov Username and Password that you obtain during the registration process to submit your SF-424.
- Exceptions to the deadline will be considered only for those issues related to registration or renewal. Maintain documentation (with dates) of your efforts to register or renew by at least September 20 with the Data Universal Numbering System (DUNS), System for Award Management (SAM), or Grants.gov.
- In addition to these instructions, you should periodically check the [Grants.gov blog](#) or the [Grants.gov homepage](#) for tips, updates, and alerts.

2. Download the SF-424:

- First, verify your software. You must have a version of Adobe Reader that is supported by Grants.gov installed on your computer before you download the application package containing the SF-424 from Grants.gov. Please go to "[Download Software](#)" to see the compatible versions of Adobe Reader or to download and install Adobe Reader. See important information about versions of Adobe Reader DC [here](#) LINK.
- Access the SF-424 on Grants.gov by clicking on the link for your deadline:

[DOWNLOAD](#)

[Funding Opportunity Number 2017NEAORA]

This will bring you to the “Selected Grant Applications for Download” screen. Next, download the Grants.gov “Grant Application Package.” Enter the name of your organization in the “Application Filing Name” yellow field. Click on the “Save” button and **save the application package to a location on your computer or network where you can find it readily**. Please note that Grants.gov uses the term “application” and “application package” when all you’ll submit is the SF-424 form (Application for Federal Domestic Assistance). Please note that you will submit the substantial part of your application during Step 2.

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

3. Fill out the 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 SF-424 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 SF-424; leave blank.

4. Funding Opportunity Number: Pre-populated.

5. Applicant Information:

a. Legal Name: The name provided here must be the applicant's legal name 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, organizations in the United States should enter the **full 9-digit zip code** that was assigned by the U.S. Postal Service. If you do not know your full zip code, 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 SF-424 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 2 character 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: Provide a brief descriptive title for your proposed project. For example: To support An Exhibition of the Works of Georgia O'Keeffe.

b. Project Description: In two or three **brief** sentences, clearly describe your specific project, not your organization. Begin the first sentence with "To support" and include the name of the project. Follow this with up to two more sentences that describe the type of project, the target population that will be served, and where the project will take place during the requested period of performance. For examples, see **Recent Grants**.

Please note:

This field on the form has a character limit of 1,000, including spaces. 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 SF-424 to be rejected. This can happen if you "cut and paste" from an old SF-424 or another document 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 the beginning and ending dates for your requested period of performance, i.e., the span of time necessary to plan, execute, and close out

your proposed project. The start date should be the first day of the month, and the end date should be the last day of the month. Our support of a project may start on or after **May 1, 2017**. A grant period should not exceed two years; for projects that include *primary data collection* the grant period should not exceed three years. Your budget should include only the activities and costs incurred during the requested 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.

Provide contact information, including an e-mail address, that will be valid through the announcement date for your category.

This person should be the Principal Investigator who has the authority and responsibility for the proper conduct of the research, including the appropriate use of federal funds. This individual will have primary responsibility for communicating on the scientific and related budgetary aspects of the project.

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 grant that may be awarded. For colleges and universities, this person is often a Sponsored Research, Sponsored Programs, or Contracts and Grants Officer. Select a Prefix even though this is not a required field. For the Telephone number field, use the following format: 000-000-0000.

In some organizations, particularly smaller ones, this individual may be the same as the Project Director. If this is the case, 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 is authorized to submit 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 (e. g., be a senior member of the staff such as an ED, Director of Development, etc.). See specific requirements for who can serve as an AOR for colleges and universities. Contractors or administrative support staff cannot serve as an AOR. 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 of these guidelines.) The "Signature of Authorized Representative" and "Date Signed" boxes will be populated by Grants.gov upon submission of the SF-424.

4. Submit the SF-424 to Grants.gov:

- 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 SF-424 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.**
- 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 SF-424 before you click this button. No revisions to your SF-424 are possible through Grants.gov once it is submitted.**
- Submit your SF-424 no later than October 1 to give yourself ample time to resolve any problems you might encounter. You take a significant risk by waiting until the day of the deadline to submit.
- We will not accept late SF-424s or late SF-424s that are the result of user error, including failure to verify that your SF-424 was validated and accepted by the Grants.gov system through [Track My Application](#). Exceptions may be made if you can provide documentation dating from October 1 that, in the judgment of the National Endowment for the Arts, indicates a technological failure on the part of Grants.gov. We will consider and address your situation as appropriate.
- Failure to successfully submit the SF-424 form through Grants.gov will make you ineligible to complete Step 2 of the application process.

5. Track Your Application:

- Verify that your SF-424 was validated and accepted by the Grants.gov system. Go to [Track My Application](#) to confirm the validation and track the progress of your SF-424 submission through Grants.gov. Do not wait until the day of the deadline to verify your submission in case you encounter any difficulties.

6. Prepare to Complete Step 2:

- Read the **Step 2 instructions** to learn about how and when to access the NEA-GO system to fill out and submit the NEA Grant Application Form and upload items to NEA-GO.

Additional Help

For additional help on how to use Grants.gov, please see the Grants.gov website at [Support](#). You also can send e-mail to the Grants.gov Contact Center at support@grants.gov or call them at 1-800-518-4726, 24 hours a day, 7 days a week.

RESEARCH: ART WORKS: Step 2: Submit Through NEA-GO

Fill out and submit the NEA Grant Application Form and upload items to NEA-GO.

You will use the NEA GrantsOnline™ System (NEA-GO) to complete Step 2 of the application process. You must first have successfully completed Step 1 (submitting the SF-424 to Grants.gov) by the application deadline of record.

Deadline:

Step 1 - Submit SF-424 to Grants.gov	October 11, 2016 by 11:59 pm Eastern Time
Step 2 - Submit Materials to NEA-GO	October 18, 2016 to 11:59 pm Eastern Time on October 25, 2016

Do not attempt to complete Step 2 before NEA-GO becomes available to you on these dates. Your log on credentials will be created for you. Do not log in to the system early and create your own NEA-GO registration. If you do, it will prevent you from accessing the system.

1. Accessing NEA-GO:

<ul style="list-style-type: none"> Log on to NEA-GO at: http://nea.cloud.culturegrants.org/index/login
<ul style="list-style-type: none"> User Name = Grants.gov Tracking Number (Example: "GRANT12345678")
<ul style="list-style-type: none"> Password = Agency Tracking Number/NEA Application Number (Example: "17-123456")
<ul style="list-style-type: none"> Once you are logged on to NEA-GO, select the "Link to Formset" icon on the My Forms page to access the Grant Application Form

How do I find my Grants.gov tracking number? Your Grants.gov tracking number is assigned to you by Grants.gov at the time you submit your SF-424. A confirmation screen will appear once your SF-424 submission is complete. Your Grants.gov tracking number will be provided at the bottom of this screen. Remember to save this number.

How do I find my Agency Tracking #/NEA Application Number? The NEA assigns the number to your application 1-2 business days after you submit your SF-424, but no earlier than October 1. The number is not available before this date. Log on to Grants.gov with the Grants.gov Username and Password that you used to submit your SF-424. Select the *Check My Application* feature to find your Agency Tracking#/NEA Application Number. NOTE: *Check My Application* is a separate feature from Track My Application at Grants.gov.

For specific help on how to complete your application, please review the instructions in these guidelines or **contact the staff at nearesearchgrants@arts.gov**

2. Fill out the Grant Application Form

You will submit a substantial part of your application through the Grant Application Form (GAF) in NEA-GO, including:

- Answers to narrative questions about your organization and project.
- Financial information about your organization and project.
- Bios of key individuals.

Click below to see the application questions, instructions, and information about required application materials that you will submit through the Grant Application Form in NEA-GO.

Research: Art Works FY17 Step 2 Application Instructions:

[DOWNLOAD INSTRUCTIONS](#)

You should prepare your responses and material well in advance of the deadline and have them fully ready to upload once NEA-GO opens for you. You will not have access to the Grant Application Form until NEA-GO opens for you to submit your application materials on the dates noted above.

Note: We strongly urge you to complete and submit the Grant Application Form and upload materials outside of NEA-GO's hours of heaviest usage, generally 8:00 pm to 11:59 p.m., Eastern Time, on the day of the deadline.

HELPFUL TIPS:

1. Submit your materials to NEA-GO prior to the deadline 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.
 - Most problems can be solved by changing your browser. If that doesn't work, change devices.
 - NEA staff will not be available to help you after 5:30 p.m., Eastern Time, on the day of the deadline.
2. Don't forget to hit the "Submit" button when you are ready to submit your application. If you do not hit the "Submit" button, your application will not be received.
3. NEA-GO closes at 11:59 p.m., Eastern Time, on the day of the deadline. Be sure you have finished uploading your materials and hit the "Submit" button prior to that time.

4. You will receive confirmation of your successful submission in two ways: 1) a pop up on your screen, and 2) an email from noreply at culturegrants.org. Maintain documentation of your successful submission. If you modify your application after you submit, you will not receive additional confirmations.

You also can confirm that your application was received when you log in to NEA-GO. On the first screen it will say "Received" if your application has been received. If your application has not yet been received, it will say "In Progress."

5. After submitting your application, you may log back into NEA-GO and make modifications to your submission up until the system closes on the day of the deadline. Remember to hit the "Save" and "Submit" button again prior the deadline.
6. You may print a copy of your application at any time, whether in draft or final form, for your records. The print icon is located on the My Forms page.
7. Some special characters (such as ampersands, quotation marks, apostrophes, and angle brackets) take up more character counts than others in webforms, including the Grant Application Form. This is because certain characters are translated into HTML code which takes up more than one character space. If you notice a higher than expected character count when you enter information directly into the Grant Application Form or copy and paste from your word processing program, here are a few tips:
 - Transfer your text into a text-only utility like Notepad before pasting it into the Grant Application Form. This will delete hidden HTML code to ensure the proper capture of your text. However, any formatting you had will be deleted.
 - Use a solution other than special characters. For example, instead of using quotation marks for titles of works, put them in italics and that won't affect character count.
 - Use only one space after the end of sentences. Single spaces after punctuation marks (periods, commas, colons, etc.) only reduce the character counter by one character. If you enter two spaces after a period, HTML coding adds extra spaces.

Also, save character space by limiting the use of tabs.

8. View the [Grant Application Form Tutorial](#) for other helpful tips to assist you in completing the online form.

RESEARCH: ART WORKS: Other Requirements and Priorities

Research Partnerships

We are committed to supporting research teams that demonstrate interdisciplinary partnerships between arts practitioners and researchers/evaluators. Although not required, **applicants are strongly encouraged to include project teams of arts practitioners and researchers/evaluators.** If applicants do not already have research staff in their organization, then they are encouraged to form collaborations with other organizations, entities, or individuals who will be able to support the technical requirements of the research project.

Responsible Conduct of Research

We are committed to the responsible conduct of research. As such, the agency 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 an 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 grantee or at the grantee'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 at the time of application 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; however, the application proposal must include evidence that the applicant has 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.

Research about Arts Education

Through a partnership with the U.S. Department of Education, the National Endowment for the Arts supports the Arts Education Partnership, which has launched an online clearinghouse of more than 200 studies of student and educator outcomes associated with arts education in both in-school and out-of-school settings. If you are interested in submitting a proposal to investigate some aspect of arts education or related variables and outcomes, you are encouraged to explore [ArtsEdSearch](#) for summaries of previous studies, [criteria for inclusion in the ArtsEdSearch database](#), discussion of policy implications, and suggested areas for future research. See [here](#), for a recent webinar on ArtsEdSearch. In addition, you are encouraged to explore the [Department of Education's What Works Clearinghouse's Handbook](#) for more information about evidence-based research study designs, such as randomized control trials and quasi-experimental research design studies in education.

Data Management and Sharing

We intend primarily for the Research: Art Works category to generate new findings that will inform the public about the value and/or impact of the arts in American life. To help build capacity and continuity for such research in subsequent years, we require applicants 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 grant. Applicants should discuss the [HIPAA Privacy Rule](#), de-identification of personally identifiable information, and IRB status as appropriate.

Costs of storing and/or sharing data are allowable if these data management activities take place during the grant period.

National Archive of Data on Arts and Culture (NADAC)

The [National Archive of Data on Arts and Culture \(NADAC\)](#) is a repository that facilitates research on arts and culture by acquiring and archiving data, particularly those funded by federal agencies and other public organizations, and making the data and a variety of data tools freely available to researchers, policymakers, arts and cultural practitioners, and the general public.

Contact nearesearchgrants@arts.gov to learn about opportunities for Research: Art Works grantees to deposit their raw- and meta-data in the archive.

RESEARCH: ART WORKS: Application Review

Review Criteria

Applications will be reviewed on the basis of agency-wide criteria of artistic **excellence** and artistic **merit**.

The following are considered during the review of all applications under the Research: Art Works category, in both Track One: Value and Impact and Track Two: Experimental and Quasi-Experimental Designs:

Artistic Excellence of the Project:

- **Is the research plan clear?** This includes the conceptual framework, research design and data collections, and the analytical methods to be used, in addition to the relationship of these elements to the proposed research questions.
- **Is there an evidence base for the research plan?** This includes evidence that the research plan is informed by a literature review and/or citations of previous work or research (either published or unpublished) that support the conceptual framework and proposed research approach. It also includes justifying the research design, methods, and data sources as the most appropriate for the proposed research questions.
- **Is there novelty within the research plan?** This includes evidence that the project has a high likelihood to add significant new knowledge to the field of arts-related research. This may include evidence that the study design, methods, and/or data sources have high potential to spur innovations in the field of arts-related research.
- **Are the organization, its partners, and project personnel qualified to execute the research plan?** This includes credentials and past accomplishments in conducting research of the type proposed. As appropriate, this also includes personnel ethics training in human research, and the project's IRB plans and/or status.

Artistic Merit of the Project:

- **Does the project have a potential to elevate the public profile of arts-related research in at least one of the following ways:**
 - Increase the variety of knowledge domains or fields of technical expertise that contribute to arts-related research. This may include evidence of transdisciplinary research teams, such as researchers/evaluators working alongside arts practitioners.
 - Create novel partnerships, with potential for different sectors to contribute to and benefit from arts-related research.
 - Heighten the relevance and significance of arts-related research to policy and practice.
- **Does the project include effective strategies to document progress and success during the period of performance?** This includes any milestones that the organization plans to achieve during the project as well as beyond the life of the grant.

- **Does the project include effective strategies to document and disseminate the project results, products, and data?** This includes distribution strategies to make the research findings, products, and data accessible to the public and to other researchers and practitioners, beyond the materials that would be posted to the National Endowment for the Arts' website. This also may include a record of past accomplishments in publishing or distributing research results, and plans for sharing meta-data and/or raw data, as appropriate.
- **Have the organization and partners devoted adequate resources to execute this particular project?** This includes appropriateness of the budget, other resources, and the degree of involvement by project personnel.

For Track One: Value and Impact, priority will be given to projects that present theory-driven and evidence-based research questions and methodologies that will yield important information about the value and/or impact of the arts on individuals and communities, and/or that use novel and promising research approaches.

For Track Two: Experimental and Quasi-Experimental Designs, priority will be given to projects that present theory-driven and evidence-based research questions and methodologies that will yield important information about the value and/or impact of the arts on individuals and communities.

What Happens to Your Application

After processing by our staff, applications are reviewed, in closed session, by interdisciplinary research and evaluation advisory panelists. Each panel comprises a diverse group of arts-research experts and other individuals, including at least one knowledgeable layperson. Panels are convened remotely. Panel membership changes regularly. The panel recommends the projects to be supported, and the staff reconciles panel recommendations with the funds that are available. These recommendations are forwarded to the National Council on the Arts, where they are reviewed in open session.

The Council makes recommendations to the Chairman of the National Endowment for the Arts.

The Chairman reviews the recommendations for grants in all funding categories and makes the final decision on all grant awards. Applicants are then notified of funding decisions. It is anticipated that applicants will be notified of award or rejection in April 2017.

NOTE: All recommended applications undergo 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.

After notification, applicants with questions may contact the staff. **Any applicant whose request has not been recommended may ask for an explanation of the basis for denial. In such instances, the National Endowment for the Arts must be contacted no later than 30 calendar days after the official notification.**

RESEARCH: ART WORKS: Award Administration

Changes in Projects

Applicants must notify the National Endowment for the Arts immediately of any significant changes in their project that occur after they have submitted their application. If the project or the organization's capacity changes significantly before an award is made, any funding recommendation may be revised or withdrawn.

Grantees are expected to carry out a project that is consistent with the proposal that was approved for funding by the National Endowment for the Arts. If changes in the project are believed to be necessary, the grantee must send a written request, with justification, to the Grants & Contracts Office prior to the expenditure of grant funds. Approval is not guaranteed. Detailed information is included in the NEA General Terms & Conditions for Grants to Organizations.

Project Reporting and Evaluation

We ask all applicants to define what they would like to achieve, how they will evaluate the degree to which it is achieved, and, upon completion of the project, what they have learned from their experiences. Such feedback need not entail large-scale or expensive evaluation efforts. You should do what is feasible and appropriate for your organization and project. When a grant is completed, you must submit a final report and answer questions on your achievements and how these were determined. We recognize that some projects involve risk, and we want to hear about both your successes and failures. Failures can provide valuable learning experiences, and reporting them will have no effect on your ability to receive NEA funds in the future.

All Research: Art Works grantees will be assigned the agency's Understanding objective. Before applying, please review the reporting requirements for the agency's Understanding objective: [Understanding](#).

Implementation of Title 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

This guidance from the federal government's Office of Management and Budget (OMB) combines eight separate documents into one, and is intended to improve clarity and consistency of the pre- and post-award requirements applicable to federal grantees. Changes are also intended to strengthen accountability for federal dollars by improving policies that protect against waste, fraud, and abuse.

Under the authority listed above, the National Endowment for the Arts (NEA) adopts the Office of Management and Budget (OMB) Guidance in 2 CFR part 200 under §3255.1 Adoption of 2

CFR Part 200. This part gives regulatory effect to the OMB guidance and supplements the guidance as needed for the NEA.

Crediting Requirement

Grantees must clearly acknowledge support from the National Endowment for the Arts in their programs and related promotional material including publications and websites. In *publications* of the data and the findings, acknowledgment of the National Endowment for the Arts must be prominently displayed, including the Research: Art Works grant number. For *print and online materials*, a phrase acknowledging support from the National Endowment for the Arts is a basic requirement. Additional acknowledgment requirements are provided under the [Manage Your Award](#) page, and also may be provided later.

Administrative Requirements

Any project that extends beyond one year is required to submit an annual progress report.

At the end of the grant period, grantees will be required to submit a 20-50 page research paper of that, at a minimum, includes two separate components: an abstract/executive summary and a full research paper:

- The *abstract/executive summary* of the project should consist of a 1-5 page summary of the study's research goals, methods, findings, conclusions, and implications for research and policy and/or practice.

Abstracts/executive summaries must be targeted toward both technical and non-technical audiences.

In addition, *full research papers* (excluding the abstract and executive summary) typically are comprehensive accounts of the project. The exact format and organization of the full research papers may vary depending on the project scope and distribution plans; see "[Research: Art Works Grants Final Papers](#)" page for examples of previous grantees' final research products. These include but are not limited to academic research articles; white or grey papers; and books, handbooks, or book chapters.

Full research papers usually contain the following components:

- An explanation of why the research topic and related question(s) are important.
- A review of existing literature or previous work on the topic, if any, including a description of the theory being tested and hypotheses, if appropriate.
- A description of the methods, such as the descriptions of the research participants, sample characteristics and/or data source characteristics, procedures, measures and assessments, and the data analysis plan.

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- A summary of the analysis conducted, and related findings.
 - A conclusions section, including interpretations of the findings and discussion of whether the results supported or did not support any research hypotheses as appropriate; strengths and limitations of the research; future directions; and research and/or policy recommendations, based on the findings.
 - A works cited or references list.
 - Tables and figures, as appropriate (these can be included in the body of the paper if desired, rather than at the end).
 - Any appendices or supplementary material.
 - Contact information of the corresponding author (name and email at minimum) and websites for where the papers, products, and data of the project may be available beyond our website, if applicable. This section should also include whether raw-data and/or meta-data will be accessible or shared, and procedures to obtain that information if it is, in the case that the National Endowment for the Arts, other researchers, or non-researchers are interested in obtaining updated papers, data, or other resources (these can be included in the title page of the paper).

For translational research projects, grantees are encouraged, but not required, to also submit a research product that can be used easily by practitioners or researchers who might be interested in developing a similar program, model, or tool.

We reserve a royalty-free, nonexclusive, and irrevocable right to reproduce, publish or otherwise use these materials for federal purposes and to authorize others to do so (see 2CFR Part 200.315, Intangible Property).

It is our intention to publish grantees' research papers on our website. We also understand that some of our grantees may desire to publish their work in other venues, such as peer-review research journals, in books, or in other types of publications. With this possibility in mind, we intend to post final research papers as "working papers;" if the papers are copyrighted or become copyrighted, then we will replace any working papers with the copyrighted versions. However, you may request a one-year embargo (a restriction) on electronic access to your final research papers through the [Research: Art Works Grants Final Papers](#) page. Should we agree to restrict access to your final paper, then your name, the title of your work, a description of your research, and the abstract will be available via our website, but the full text version will not be available for viewing or download until the embargo period has passed.

Accessibility requirements for the Final Paper: Ensure that your paper is developed in a format that is readable by screen reading software so that it is accessible to individuals with vision disabilities. Use the built-in accessibility features of your software to create content in an accessible format. Provide a text equivalent for every non-text element, such as tables, charts, and photos by tagging them with alternate text descriptions (alt text) and captions. Do not use color-coding as the only method of conveying information. More resources regarding Accessibility is located at <http://arts.gov/accessibility/accessibility-resources>.

Award Notices

Grant decisions for Research: Art Works are expected to be announced in April 2017.

Note that an "announcement" is likely to take the form of a preliminary congratulatory note, a request for revisions, or a rejection notification. Official grant award notification (i.e., the grant award letter that is signed by the National Endowment for the Arts Chairman) is the only legal and valid confirmation of award. This can take several months to reach you depending on a number of factors such as whether a revised budget is needed for your project, the number of awards to be processed, whether the agency has its appropriation from Congress, etc.

General Terms & Conditions

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our [General Terms & Conditions](#). The GTC incorporates the adoption of 2 CFR Part 200 by reference. The document also explicitly identifies where the National Endowment for the Arts has selected options offered in the regulation, such as budget waivers and requirements for use of program income. It also includes agency requirements for matching funds reporting requirements, amendment processes, and termination actions. Grantees must review, understand, and comply with these requirements. Failure to do so may result in having a grant terminated and/or returning funds to the National Endowment for the Arts, among other things.

Legal Requirements

PLEASE NOTE: This list highlights some of the significant legal requirements that may apply to an applicant or grantee however, it is not exhaustive. More information regarding these and other legal requirements may be found at [Appendix A of our General Terms & Conditions](#) (GTC) which sets forth the National Policy and Other Legal Requirements, Statutes, and Regulations that Govern Your Award. Please note that there may be other applicable legal requirements that are not listed here.

1. By law, the National Endowment for the Arts may support only those organizations that:
 - **Are tax-exempt.** Organizations qualifying for this status must meet the following criteria:
 1. No part of net earnings may benefit a private stockholder or individual.
 2. Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended.

For further information, go to the [Internal Revenue Service's \(IRS\) website](#).

Note that organizations who have had their IRS status revoked are not eligible for National Endowment for the Arts support. It is your responsibility to ensure that your status is current at the time of the application and throughout the life of your award.

- **Compensate all professional performers and related or supporting professional personnel on National Endowment for the Arts-supported projects at no less than the prevailing minimum compensation.** (This requirement is in accordance with regulations that have been issued by the Secretary of Labor in [29 C.F.R. Part 505](#). This part does not provide information on specific compensation levels.)
 - **Ensure that no part of any National Endowment for the Arts-supported project will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous** to the health and safety of the employees involved.
2. **Some legal requirements apply to every applicant, for example:**
- **Compliance with the federal requirements that are outlined in the "[Assurance of Compliance](#)"** below.
 - **[Debarment and Suspension procedures](#).** The applicant must comply with the record keeping and other requirements set forth in Subpart C of 2 CFR 180, as adopted by the Arts Endowment in 2 CFR 32.3254. Failure to comply may result in the debarment or suspension of the grantee and the NEA suspending, terminating and/or recovering funds.
 - **Federal Debt Status ([OMB Circular A-129](#)).** Processing of applications will be suspended when applicants are delinquent on federal tax or non-tax debts, including judgment liens against property for a debt to the federal government. An organization's debt status is displayed in the System for Award Management (SAM). New awards will not be made if an applicant is still in debt status as of September 1.
 - **Labor Standards ([29 C.F.R. pt 505](#)).** If a grant is awarded, the grantee must comply with the standards set out in Labor Standards on Projects or Productions Assisted by Grants from the National Endowments for the Arts and Humanities.
 - **[The Drug-Free Workplace Act of 1988](#)** (41 U.S.C. 701 et seq. and 2 C.F.R. Part 3256). The grantee is required to publish a statement regarding its drug-free workplace program as well as comply with other requirements.
3. **Some legal requirements apply depending upon what the grant is funding, for example:**

If your project activities have the potential to impact any structure that is eligible for or on the National Register of Historic Places, adjacent to a structure that is eligible for or on the National Register of Historic Places, or located in an historic district, you will be asked to provide additional information about your project or take additional action so that the agency can review and comply with the [National Historic Preservation Act](#) (NHPA). NHPA also applies to any planning activities that may affect historic properties or districts. The additional agency review must be completed prior to any agency funds being released.

- If your project activities have the potential to impact the environment or environmentally sensitive resources, you will be required to provide information in accordance with the [National Environmental Policy Act](#) (NEPA). The

additional agency review must be completed prior to any agency funds being released.

- **If your** contract is over \$2,000 and involves the construction, alteration, or repair of public buildings or public works, it must contain a clause setting forth the minimum wages to be paid to laborers and mechanics employed under the contract in accordance with [The Davis-Bacon and Related Acts](#) (DBRA)
4. **Some legal requirements apply depending upon who the Applicant is, for example:**

[The Native American Graves Protection and Repatriation Act of 1990](#) (25 U.S.C. 3001 et seq.) – which applies to any organization that controls or possesses Native American human remains and associated funerary objects and receives Federal funding, even for a purpose unrelated to the Act (25 USC 3001 et seq.)

Assurance of Compliance

By signing and submitting its application form on Grants.gov, the Applicant certifies that it is in compliance with the statutes outlined below and all related National Endowment for the Arts regulations and will maintain records and submit the reports that are necessary to determine compliance.

The Applicant certifies that it is in compliance with the statutes outlined below and all related Arts Endowment regulations and will maintain records and submit the reports that are necessary to determine compliance.

The Arts Endowment may conduct a review of your organization to ensure that it is in compliance. If the Endowment determines that a grantee has failed to comply with these statutes, it may suspend, terminate, and/or recover funds. This assurance is subject to judicial enforcement.

The Applicant certifies that it does not discriminate:

- On the grounds of race, color, or national origin, in accordance with **Title VI of the Civil Rights Act of 1964**, as amended (42 U.S.C. 2000d et seq.), implemented by the NEA at 45 U.S.C.1110;
- On the grounds of disability, in accordance with **Section 504 of the Rehabilitation Act of 1973** (29 U.S.C. 794) and the **Americans with Disabilities Act of 1990** ("ADA"), as amended, (42 U.S.C. 12101-12213), implemented by the NEA at 45 U.S.C. 1151. The ADA's requirements apply regardless of whether you receive federal funds.
- On the basis of age, in accordance with the **Age Discrimination Act of 1975** (42 U.S.C. 6101 et seq.) implemented by the NEA at 45 U.S.C.1156.
- On the basis of sex, in any education program or activity, in accordance with **Title IX of the Education Amendments of 1972** (20 U.S.C. 1681 et seq.).

Applicant will inform the public that persons who believe they have been discriminated against on the basis of race, color, national origin, disability, sex, or age may file a complaint with the Director of Civil Rights at the NEA.

Applicant will forward all complaints for investigation and any finding issued by a Federal or state court or by a Federal or state administrative agency to:

Director, Office of Civil Rights
National Endowment for the Arts
400 7th Street, SW
Washington, DC 20506

Applicant shall maintain records of its compliance and submission for three (3) years. The Applicant will compile, maintain and permit access to records as required by applicable regulations, guidelines or other directives.

The Applicant must also certify that it will obtain assurances of compliance from all subrecipients and will require all subrecipients of NEA funds to comply with these requirements.

The United States has the right to seek judicial or administrative enforcement of this assurance.

For further information and copies of the nondiscrimination regulations identified above, please contact the Office of Civil Rights at 202/682-5454 or 202/682-5082 Voice/T.T.Y. For inquiries about limited English proficiency, please go to <http://www.lep.gov>, the [FOIA Reading Room](#), or contact the Office of General Counsel at GeneralCounsel@arts.gov or 202/682-5418.

RESEARCH: ART WORKS: Other Information

Staff Visits

Applicants may be asked to provide up to four complimentary tickets for staff visits.

Access for Individuals with Disabilities

Our Accessibility Office assists applicants in making accessibility an integral part of their planning so that organizations and activities are inclusive for staff, panelists, artists, and audiences. For more information, resources, and technical assistance, contact the Accessibility Office at 202/682-5532 or 202/682-5082 Voice/T.T.Y., or see the [Accessibility section of the website](#). Our Office of Civil Rights at 202/682-5454 or 202/682-5082 Voice/T.T.Y. also provides technical assistance on how to make projects fully accessible.

Civil Rights

Our Office of Civil Rights at 202/682-5454 or 202/682-5082 Voice/T.T.Y. is available to investigate complaints about compliance with accessibility standards as well as other federal civil rights statutes. For inquiries about limited English proficiency, go to <http://www.lep.gov>, the [FOIA Reading Room](#), or contact the Office of General Counsel at ogc@arts.gov or 202/682-5418.

Standards for Service

The National Endowment for the Arts has set the following standards for serving applicants. We pledge to:

- Treat you with courtesy and efficiency.
- Respond to inquiries and correspondence promptly.
- Provide clear and accurate information about our policies and procedures.
- Provide timely information about funding opportunities and make guidelines available promptly.
- Promptly acknowledge the receipt of your application.
- Ensure that all eligible applications are reviewed thoughtfully and fairly.

We welcome your comments on how we are meeting these standards. Please email: webmgr@arts.gov, attention: Standards for Service. For questions about these guidelines or your application, see "[Agency Contacts](#)." In addition, applicants will receive an invitation to participate in a voluntary survey to provide feedback on the grant application guidelines on our website and any experiences consulting with our staff.

Reporting Burden

The public reporting burden for this collection of information is estimated at an average of 29.5 hours per response. This includes 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 the guidelines 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.

RESEARCH: ART WORKS: Frequently Asked Questions

How can I find out when new guidelines are released?

Research: Art Works guidelines are modified every year and generally released on or around August, with a deadline in October. Email nearesearchgrants@arts.gov to sign up for our listserv to receive updates for when they are released. You can also sign up via Grants.gov.

Would it be possible for someone that is not employed by the official applicant organization to serve as the Principal Investigator/Project Director?

Yes; however, the official applicant organization is the **legally binding agent** for the application, and thus is agreeing to be responsible for the actions of the principal investigator/project director.

I am a state arts agency (SAA) or a regional arts organization (RAO), and I am interested in applying for an application for a Research: Art Works grant. Can I apply?

No, SAAs and RAOs cannot apply for this opportunity as the authorizing organization, but can apply as the official applicant under the [Partnership Agreements](#) category.

I am a SAA or RAO, and I am interested in being a partner on an application for a Research: Art Works grant. Can I serve as a partner?

Yes, SAAs or RAOs may participate as a partner for this opportunity; however, no federal or matching funds included in the [Partnership Agreement](#) can be given to or provided by the SAA or RAO.

Do I need to include citation references in my proposal and if so, where do I put them?

Including references is not a requirement, but highly encouraged. References can be included in the project narrative of the Grant Application Form.

If I include citation references, what method of citation is preferred?

We do not currently have any requirements regarding the style of citation. Common citation formats include but are not limited to APA, AMA, Chicago, and MLA. Do not use footnoting in the text fields of the Grant Application Form, though this is acceptable for any PDF attachments.

Will you contact me if my application is missing anything?

No. Because of the volume of applications, we have a strict approach to incomplete applications. For your application to be considered complete, every item that is required **MUST** be included in your application package, which must be submitted no later than the application deadline date under which you are applying. Staff will not contact applicants to request missing material, and incomplete applications will be returned to you. Please don't let that happen. Use the "How to Prepare and Submit an Application" section for your category to make sure that you have

included every item. Have the completeness and accuracy of your application package double-checked by a responsible staff member who understands the importance of this task. Allow at least six weeks to prepare your application and other supplementary information. And do not wait until the day of the deadline to submit!

If my application is determined to be incomplete, may I add the missing item(s) and resubmit the application?

No. The staff has to check thousands of applications. By the time that an application is identified as incomplete, it will likely be several weeks after the application deadline. An organization cannot add missing items and resubmit the application after the application deadline. We encourage you to double-check your application package against the "How to Prepare and Submit an Application" section to make sure that nothing is missing.

For Research: Art Works, if new or updated information that significantly affects your application becomes available after the deadline, you may send it to the Research: Art Works staff at nearesearchgrants@arts.gov

One of the proposed research staff is unable to complete the human subjects ethics training and thus cannot supply the required certificate of completion of the training. Is there an alternative to the requirement for this person that would allow him/her to continue as a researcher on the project without the certificate?

We require all researchers involved in human subjects data to demonstrate completion of a federally sponsored human ethics training course. If a particular researcher is unable to provide evidence of this training, then they cannot have a researcher role on a project, but may serve as a consultant.

Can I get a sample application?

Yes. Please see the [FOIA Reading Room, Frequently Requested Records](#) for information on what is available as sample application material and how to request it.

How soon after the "Earliest Beginning Date for National Endowment for the Arts Period of Performance" for my deadline does my project have to begin?

Our support can start any time on or after that date.

Can my project start before this date?

No project activities for which you're requesting support can take place before this date. Plan your project so that it does not need an earlier starting date; or ask the National Endowment for the Arts to assist a portion of your project that will take place after the "Earliest Beginning Date for National Endowment for the Arts Period of Performance." If project costs that are incurred before the "Earliest Beginning Date for National Endowment for the Arts Period of Performance" are included in your Project Budget, they will be removed.

How long can my project last? May I apply for another project during this period?

Research: Art Works generally allows a period of performance of up to three years, depending on the project type and scope. Within the limits of the guidelines, ask for the amount of time that you think is necessary.

If you get close to the end of your grant period and think you need more time, you may request an extension, but approval is not guaranteed.

As long as it meets all other eligibility requirements, an organization may apply for another project (with totally different project costs) the following year even if a National Endowment for the Arts-supported project is still underway. Note that if you do receive an extension on a previous year's project, it may affect your grant period for your new proposed project. Please email your requests to grants@arts.gov, and include your grant number.

If my application is rejected, can I find out why?

After notification, applicants who have questions may contact the staff responsible for handling their application. Any applicant whose request has not been recommended may ask for an explanation of the basis for rejection. In such instances, we must receive the request no later than 30 days after the official notification.

Publicly Available Data Sources

Below is a list of publicly accessible data sources that include arts-related variables (some restrictions may apply). This list is by no means exhaustive. If you know of a dataset that belongs on this list, please email nearesearchgrants@arts.gov.

Federal Agencies

National Endowment for the Arts

[National Archive of Data on Arts & Culture \(NADAC\)](#) Note: NADAC is a data repository that includes numerous datasets which are fit for exploration of arts research topics, some of which are listed below.

[1982-2008 Survey of Public Participation in the Arts \(SPPA\)](#)

[2012 Survey of Public Participation in the Arts \(SPPA\)](#)

[2013-2015 Annual Arts Benchmark Survey \(AABS\)](#)

[American Housing Survey \(AHS\) Arts Supplement](#) (in 2015 wave)

[Arts and Cultural Production Satellite Account \(ACPSA\)](#)

[General Social Survey \(GSS\) Arts Supplement](#) (in 2012 wave)

[Health and Retirement Study \(HRS\) Arts and Culture Supplement](#) (in 2014 wave)

National Children's Study (NCS) Vanguard Study Arts module

Administration for Children and Families (ACF), U.S. Department of Health and Human Services

[Building Strong Families \(BSF\) 2005-2008](#)

[Head Start Family and Child Experiences Survey \(FACES\)](#)

U.S. Bureau of Economic Analysis, U.S. Department of Commerce

[Arts and Cultural Production Satellite Account \(ACPSA\)](#)

[National Income and Product Accounts Data \(NIPA\)](#), such as Artistic Originals (Table 5.6.5)

U.S. Bureau of Labor Statistics, U.S. Department of Labor

[American Time Use Survey](#)

[Consumer Expenditure Survey](#)

[Job Openings and Labor Turnover Survey](#)

[Occupational Employment and Wages/Occupational Employment Statistics](#)

[Quarterly Census of Employment and Wages/Location Quotient](#)

U.S. Census Bureau, U.S. Department of Commerce

[American Community Survey](#)

[County Business Patterns](#)

[Current Population Survey and related supplements](#) (e.g., Volunteers Supplement)

[Economic Census](#)

[Service Annual Survey](#)

U.S. Department of Housing and Urban Development
[American Housing Survey](#)

[Institute of Museum and Library Services](#) (IMLS).

Note: IMLS is a data repository that includes numerous datasets which are fit for exploration of arts research topics.

International Trade Administration, U.S. Department of Commerce
[Survey of International Air Travelers](#)

[National Center for Education Statistics, U.S. Department of Education.](#)

Note: additional datasets beyond the list below may exist that are also appropriate for exploration of arts research topics.

[Baccalaureate and Beyond Longitudinal Study](#)

[Beginning Teacher Longitudinal Study](#)

[Early Childhood Longitudinal Program \(ECLS\)](#)

[Education Longitudinal Study of 2002 \(ELS:2002\)](#)

[Fast Response Survey System](#)

[High School Longitudinal Study of 2009 \(HSL:09\)](#)

[High School Transcript Study](#)

[National Assessment of Adult Literacy \(NAAL\)](#)

[National Assessment of Educational Progress \(NAEP\)](#)

[National Education Longitudinal Study of 1988 \(NELS:88\)](#)

[National Household Education Surveys \(NHES\) Program](#)

[Program for International Student Assessment \(PISA\) 2012](#)

[Schools & Staffing Survey \(SASS\)](#), Teacher Follow-up Survey (TFS), and Principal Follow-up Survey (PFS)

National Institute of Child Health and Human Development (NICHD), U.S. National Institutes of Health

[Study of Early Child Care and Youth Development \(SECCYD\)](#)

[National Survey of Children's Health](#) (with Centers for Disease Control and Prevention)

National Children's Study (NCS) Vanguard Study

Universities and Non-Profit Organizations

[Data Arts](#)

[DonorsChoose.org](#). Note: DonorsChoose is a data repository that includes numerous datasets, many on this list, which are fit for exploration of arts research topics.

Gallup

[Soul of the Community](#) (Knight Foundation)

Indiana University

[National Survey of Student Engagement and High School Survey of Student Engagement](#)

[Strategic National Arts Alumni Project](#)

International Association for the Evaluation of Educational Achievement

[Civic Education Study \(CivEd\)](#)

[International Civic and Citizenship Education Study \(ICCS\) 2009](#)

[Progress in International Reading Study \(PIRLS\)](#)

[Trends in International Mathematics and Science Study \(TIMSS\)](#)

NORC at the University of Chicago

[General Social Survey \(GSS\)](#), including Topical Modules on Culture

National Archive of Data on Arts & Culture (NADAC)

[National Archive of Data on Arts & Culture \(NADAC\)](#) is part of the [Inter-university Consortium for Political and Social Research \(ICPSR\)](#) at the University of Michigan. This data archive includes numerous datasets, many on this list, which are fit for exploration of arts research topics. In addition to free downloading and data analysis on the NADAC website, researchers can find survey questionnaires and related technical documentation.

University of North Carolina, Chapel Hill

[ADDHealth](#) (UNC Carolina Population Study)

Urban Institute

[IRS Form 990 Filings](#) (National Center for Charitable Statistics)