Research Awards

The National Endowment for the Arts invites applicants to engage with the agency's five-year research agenda through two funding opportunities for research projects:

- **Research Grants in the Arts** funds 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. Matching/cost share grants of $10,000 to $100,000 will be awarded.

- **NEA Research Labs** funds transdisciplinary research teams grounded in the social and behavioral sciences, yielding empirical insights about the arts for the benefit of arts and non-arts sectors alike. Matching/cost share cooperative agreements of up to $150,000 will be awarded.

Research Grants in the Arts offers grants, and NEA Research Labs offers cooperative agreements. The difference between grants and cooperative agreements is the Arts Endowment's involvement. The Arts Endowment is substantially involved with cooperative agreements. Therefore, the Arts Endowment will be substantially involved in the direction and accomplishments of NEA Research Labs.

Deadlines:

Part 1 - Submit to Grants.gov	March 30, 2020
Prepare application material so that it's ready to upload when the Applicant Portal opens	
Part 2 - Submit to Applicant Portal	April 2-9, 2020
Earliest Announcement of Award or Rejection	November 2020
Earliest Beginning Date for National Endowment for the Arts Period of Performance	Research Grants in the Arts: January 1, 2021 NEA Research Labs: March 1, 2021

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TO APPLY

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- **Sample Application Narratives**
- **Research Grants in the Arts Study Findings**
- **Publicly Available Data Sources**

RESEARCH AWARDS: Application Calendar

Part 1 - Submit to Grants.gov	March 30, 2020
Prepare application material so that it's ready to upload when the Applicant Portal opens	
Part 2 - Submit to Applicant Portal	**April 2-9, 2020**
Earliest Announcement of Award or Rejection	**November 2020**
Earliest Beginning Date for National Endowment for the Arts Period of Performance	**Research Grants in the Arts: January 1, 2021** **NEA Research Labs: March 1, 2021**

To allow time to resolve any problems you might encounter, we strongly recommend that you register/renew your Grants.gov/SAM registration by at least March 9, 2020 and submit to Grants.gov by at least March 20, 2020.

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.

Please do not seek information on the status of your application before the announcement date that is listed above.

If you have questions:

Email: nearesearchgrants@arts.gov

202-682-5496 Voice/T.T.Y. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing.)

Individuals who do not use conventional print should contact the Office of Accessibility at 202-682-5532 for help in acquiring an audio recording of these guidelines.

January 2020

RESEARCH GRANTS IN THE ARTS: Program Description

Part 1 - Submit to Grants.gov	March 30, 2020
Prepare application material so that it's ready to upload when the Applicant Portal opens	
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To allow time to resolve any problems you might encounter, we strongly recommend that you register/renew your Grants.gov/SAM registration by at least March 9, 2020 and submit to Grants.gov by at least March 20, 2020.

Research Grants in the Arts 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 Grants in the Arts provides an opportunity to engage with the National Endowment for the Arts' **five-year agenda for 2017-2021**. The research agenda offers guidance on the types of study questions and topics that to appeal to the agency's long-term research goals.

We are interested in research that identifies and examines:

- Factors that enhance or inhibit arts participation or arts/cultural assets;
- Detailed characteristics of arts participation or arts/cultural assets, and their interrelationships;
- Individual-level outcomes of arts participation, specifically outcomes corresponding with the following domains:
  - o   social and emotional well-being

- o creativity, cognition, and learning
- o physiological processes of health and healing; and
- Societal or community-level outcomes of arts/cultural assets, specifically outcomes corresponding with the following domains:
  - o civic and corporate innovation
  - o attraction for neighborhoods and businesses
  - o national and/or state-level economic growth

The National Endowment for the Arts is committed to diversity, equity, inclusion, and fostering mutual respect for the diverse beliefs and values of all individuals and groups.

Projects

Projects may include, but are not limited to:

- Primary and/or secondary data analyses.
- Economic impact studies.
- Organizational research.
- Psychological and physical health-related or therapeutic studies that take place in clinical or non-clinical settings.
- Education studies in a variety of contexts (e.g., classrooms, informal venues, distance learning, or home-school environments).
- Dosage studies.
- Third-party evaluations of an arts program's effectiveness and impact, such as applied evaluation studies/analyses that measure the impact or effectiveness of an organization's arts program or project.
- Comparison studies of arts interventions.
- Statistically-driven meta-analyses of existing research that can yield a fresh understanding of the value and/or impact of the arts.
- 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.

Research methodologies may include analyses that use primary and/or secondary data, and quasi-experimental or experimental designs.

Primary data collection projects must include:
- Data analysis. We do not fund projects that focus exclusively on data acquisition.
- Plans to ensure fidelity of the data collection and program/therapy implementation through routine monitoring and oversight.

Experiment and Quasi-Experimental Projects

For projects that explore the causal links between the arts and individual or community outcomes, experimental approaches such as randomized controlled trials are generally preferred. When experimental approaches are not feasible, then high-quality, quasi-experimental design studies offer an attractive alternative.

Information on experimental and quasi-experimental design studies can be found in a number of federal resources, such as the **U.S. Department of Education's What Works Clearinghouse's Handbook** and the **Clearinghouse for Labor Evaluation and Research's Causal Evidence Guidelines**.

We are especially interested in projects that use experimental/quasi-experimental design methods that include at least one arts-based intervention group and at least one non-arts-based control/comparison group.

Below are examples of arts-based intervention groups and non-arts-based control/comparison groups:

- A painting group compared to a no-intervention group or to a social interaction group.

- A music group compared to a soccer group.

- A fiction reading group versus a non-fiction reading group versus a no-reading group.

The following examples are groups that are arts-based only, and will not be prioritized for funding:

- A visual arts group compared to a theater arts group.

- An active music engagement group, such as a singing group or an instrument-playing group, versus a music appreciation or music-listening group.

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 partial list of publicly available datasets that include arts-related variables, **click here**. Some of these datasets are also available through the Arts Endowment's public data repository: the **National Archive of Data on Arts & Culture (NADAC)**.

Recommended 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.

Award Information

We anticipate awarding 10 to 15 grants, based on the availability of funding.

Grants will range from $10,000 to $100,000. Award amounts will be based on the level of artistic excellence and merit demonstrated in the proposal, as outlined in the Review Criteria. Although most awards will be between $10,000 and $30,000, higher amounts will be awarded to experimental or quasi-experimental projects that include at least one arts-based intervention group *and* at least one non-arts-based control/comparison group. Higher amounts also will be awarded for applied evaluation studies/analyses that measure the impact or effectiveness of an organization's arts program or project, and that have potential for high utility to arts practitioners, policy-makers, or the general public.

Our grants cannot exceed 50% of the total cost of the project. All grants require a nonfederal cost share/match of at least 1 to 1. These cost share/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 cost share/matching funds that are proposed but not yet committed at the time of the application deadline.

In developing an application, we urge all applicants to consider the level of recent awards and to request a realistic grant amount. Applicants should review the **lists of grants** on our website to see recent grant award levels and project types.

Applicants whose grants are recommended for less than the requested amount will have the opportunity to revise the project budget to reflect any necessary changes to the project, based on the recommended funding amount.

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 January 1, 2021, can't be included in your budget or cost share/match.**

We expect our awards portfolio to be diverse in terms of research focus area, research design, and geographical distribution.

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 or after January 1, 2021. 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, and must include updated human ethics training and Institutional Review Board (IRB) materials as necessary.

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

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.

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. (All organizations must apply directly on their own behalf. Applications through a fiscal sponsor/agent are not allowed. **See more information on fiscal sponsors/agents**.)
- 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.

The following 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 cost share/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.

Ineligible applications will not be reviewed.

Competition for Research Grants in the Arts is extremely rigorous. It is expected that an applicant selected to receive an award will complete the research project. We will not transfer the award to another organization.

Application Limits

- An organization may submit more than one application under these Research Grants in the Arts guidelines. In each case, the request must be for a **distinctly different project.** However**,** an organization will not receive more than one Research Grants in the Arts award in any given cycle.
- You may apply to other National Endowment for the Arts funding opportunities, including NEA Research Labs*,* in addition to Grants in the Arts. In each case, the request must be for a **distinctly different project.**

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 applications:

Artistic Excellence of the Project:
- **Is the research plan clear?** This includes the conceptual framework, research design, sampling techniques, and/or data sources, and the proposed analytical methods, 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.
- **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 active 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**:
  - o Create novel partnerships, with potential for different fields or sectors to contribute to and benefit from arts-related research.
  - o Heighten the relevance and significance of arts-related research to policy and practice, suggesting high potential for generalizability of findings, even for discrete populations or practitioner groups.
- **Does the project include effective strategies, including quality control measures, 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 the data management plan, 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.

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 November 2020.

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.**

NEA RESEARCH LABS: Program Description

The National Endowment for the Arts' five-year <u>research agenda</u> aims to build public knowledge about the arts' contributions to individuals and society. Through NEA Research Labs, we extend this agenda and its impact by cultivating a series of transdisciplinary research partnerships, grounded in the social and behavioral sciences, to produce and report empirical insights about the arts for the benefit of arts and also for non-arts sectors such as healthcare, education, and business or management. Institutions of higher education and/or nonprofit research and policy organizations may submit applications to be NEA Research Labs.

NEA Research Labs will define their own related agendas, conduct project activities to implement that agenda, and prepare reports that will contribute substantively to a wider understanding of one of three areas of special interest to the Arts Endowment:

- The Arts, Health, and Social/Emotional Well-Being
  - Therapeutic Approaches and Benefits
  - Non-Therapeutic Approaches and Benefits
- The Arts, Creativity, Cognition, and Learning
- The Arts, Entrepreneurship, and Innovation

NEA Research Labs serve as "hubs" or centers of excellence in the domain of interest. Each NEA Research Lab will develop a pipeline of projects or products, while conducting at least one major study. In addition, NEA Research Labs also may be required to provide *ad hoc* analyses or fulfill information requests from the Arts Endowment concerning the research agenda. Such requests will not involve new data collection and will take place only during the Arts Endowment's period of performance.

Each NEA Research Lab must include these activities:

1. Design and publish an evidence-based research agenda;
2. Plan and implement a keystone study, or a series of studies;
3. Produce at least one research report for each research study;
4. Provide ad hoc analyses or fulfill information requests concerning the NEA Research Lab's research agenda; and
5. Disseminate study findings, research products, data, tools, or services to other researchers, arts practitioners, and the general public

Competitive applications will, as appropriate:

- Demonstrate the capacity to design and implement a series of studies based on theory-driven research questions and methodologies that will yield important information about the impact of the arts within the selected topic area.

- Take into account any extant research that serves as a basis for a theoretical framework and helps to motivate the proposed studies.
- Propose novel and promising research approaches, such as rigorous analyses of organizational or social networks, and/or social media data, and statistically driven meta-analyses.
- Involve translational research that moves scientific evidence toward the development, testing, and standardization of new arts-related projects, models, tools, or techniques that can be used easily by other practitioners and researchers.

Research methodologies may include approaches such as quasi-experimental or experimental designs, or analyses that use primary and/or secondary data. We welcome use of data in either the public or private domain, including commercial and/or administrative data sources. For a list of publicly available datasets that include arts-related variables, click here.

NEA Research Lab awards will be made as cooperative agreements. The Arts Endowment uses two types of awards to fund project activities: cooperative agreements and grants. A cooperative agreement is different from a grant in that the Arts Endowment is substantially involved with a cooperative agreement. Therefore, the Arts Endowment will be substantially involved in the direction and accomplishments of NEA Research Labs.

The National Endowment for the Arts is committed to diversity, equity, inclusion, and fostering mutual respect for the diverse beliefs and values of all individuals and groups.

Required Partnership

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

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

Responsibilities of a NEA Research Lab

Each NEA Research Lab will work with the Arts Endowment Project Director, and through the Arts Endowment Project Director with other agency staff as appropriate, on all aspects of the project. The Arts Endowment's Project Director will be the Director of Research & Analysis or a designated official within the Office of Research & Analysis. The NEA Research Lab will consult with, and will secure the approval of, the Arts Endowment Project Director in carrying out the responsibilities below.

Each NEA Research Lab will design and execute:

Research Agenda, Keystone Study, and Related Projects

- Develop a multiyear research agenda to be completed within the period of performance. The research agenda may include, but need not be limited to: key research questions, including an evidence-based rationale and/or hypothesis for each question; research designs, methods, and personnel that will be used to answer the questions; project schedules; a list of products that will result; and an annotated references list. The final research agenda should show alignment with the Arts Endowment's own research agenda.

- Plan and conduct a keystone research study, or series of studies, in one of the three topic areas below. At least two of the questions within the proposed topic area below must be addressed.

  - *The Arts, Health, and Social/Emotional Well-Being*

    a. *Therapeutic Approaches and Benefits*

       – What changes in physical or mental health outcomes are experienced by subjects receiving creative arts therapies to treat one or more diseases, disorders, or health conditions?
       – What is the physiological or psychological mechanism of action for a creative arts therapy in treating a disease or disorder or in improving symptoms for a chronic disease, disorder, or health condition?
       – What are the comparative therapeutic benefits of creative arts therapies relative to each other or to non-arts-based interventions?
       – What is the comparative cost-effectiveness of a creative arts therapy and one or more non-arts-based interventions?
       – How does dosage (i.e., frequency, duration, or intensity) of a creative arts therapy relate to individual or program-level outcomes?
       – How does creative arts therapy benefit caregivers or family members?

       "Creative arts therapy" refers to a gamut of arts-based therapies including visual art therapy, music therapy, dance/movement therapy, drama therapy, and poetry therapy, and the use of trained and credentialed arts therapists to deliver/implement therapy. For projects investigating creative arts therapies, we especially welcome proposals involving one or more of the following study populations: individuals with cancer, neurodegenerative diseases, substance use disorders, developmental disabilities, traumatic brain injury, post-traumatic stress, and other health conditions. Families or caregivers of these individuals may be among the populations studied.

b. *Non-Therapeutic Approaches and Benefits*

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

- *The Arts, Creativity, Cognition, and Learning*

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

- *The Arts, Entrepreneurship, and Innovation*

- How do entrepreneurship and innovation reveal themselves differently in the arts relative to other sectors? What about similarly?
- What is the link between artists (including designers) and broad societal innovation, particularly with regard to economic and job growth?
- How does the nonprofit arts sector contribute directly to innovation in commercial settings, within or outside the arts?
- What role do arts and cultural assets play in promoting civic and/or corporate innovation in a community?
- What individual, organizational, or regional characteristics can positively affect the arts' relationship to entrepreneurship and innovation?

- In which industries, sectors, or geographic areas is arts-driven innovation visible and measurable?
- How do nonprofit and for-profit organizations; federal, state, and local governments; and/or fiscal sponsorships affect how artists and/or arts organizations function and innovate?
- How do the benefits and related outcomes of arts-based entrepreneurship and innovation compare with those achieved by non-arts approaches?

- Produce at least one research report that documents the methods and findings of each research study.

Products and Services

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

- Disseminate quarterly research reports or other products, tools or services, data, or communications (e.g., literature reviews, research or policy briefs, white papers, blog posts, podcasts, webinars, and technical guides) to researchers, arts practitioners, and the general public.

- Prepare and deliver at least two presentations per year, one to a community of researchers and the other to a community of arts practitioners.

Administration

- Work with the Arts Endowment Project Director to refine the details and schedule of all project components.

  - Submit, revise, and refine a research agenda within six months of award receipt; submit the research study report(s) and conduct the needs briefing six months before the conclusion of the period of performance.

- Provide the Arts Endowment Project Director with NEA Research Lab activity updates, in a mutually agreed upon format and schedule.

- Respond in a timely manner to *ad hoc* requests from the Arts Endowment for analyses or information concerning the research agenda being pursued at the NEA Research Lab. Such requests will not involve new data collection.

- Through discussions with the Arts Endowment's Office of Public Affairs (OPA), facilitated by the Arts Endowment Project Director, produce all reports in a format and style compatible for dissemination through the agency's website and other online platforms.

    – All public communications, materials, presentations, and press releases, as well as speaking engagements, contacts with press, and publications, must be approved by the Arts Endowment Project Director in consultation with the OPA.

    – In any and all written and oral communications, the NEA Research Lab and the Arts Endowment will credit project activities as such: "The NEA Research Lab is a project of the National Endowment for the Arts in cooperation with [NEA Research Lab Name]." Include appropriate disclaimers, depending on the nature of the product. To the extent possible, include the NEA Research Labs visual identifier in all materials.

- Establish and support a technical working group, including representatives from partner organizations and other experts in your field or a related field, to offer feedback to the NEA Research Lab on key project deliverables to the NEA Research Lab. The technical working group will periodically review the activities conducted under this agreement and report back to the NEA Research Lab.

- Participate in transdisciplinary NEA Research Lab meetings that include multiple Labs awarded under the NEA Research Labs program. This will include a tele-web conference every six months. The Arts Endowment will organize and schedule these meetings.

    – As part of, or in addition to, these transdisciplinary Lab meetings, one meeting per year may be in person. Cost for travel for these meetings will be covered by the Arts Endowment using funding outside this cooperative agreement, pending availability of funds.

- Secure approval from the Arts Endowment Project Director of any staff, consultants, contractors, technical working group members, or partner organizations that will be working on project activities, before these entities are engaged.

- Maintain regularly updated, detailed, and accurate records of all activities carried out under the cooperative agreement to date, including a work and data management plan. Provide monthly research work and data management updates, and quarterly project activity updates to the Arts Endowment Project Director, and any other project information requested by the Arts Endowment in a timely manner.

- Follow the NEA Research Lab 's approved written procurement policies if consultants or vendors are selected by the NEA Research Lab as part of the project activities. In addition, the NEA Research Lab 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 NEA Research Lab 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 NEA Research Lab will coordinate and make payment for all travel arrangements of consultants or vendors selected by the NEA Research Lab as part of this project.

- Obtain any necessary intellectual property rights, permissions, consents, licenses, and releases as appropriate to the project activities (the "Rights"), and provide to the Arts Endowment Project Director. The Rights may include, but are not limited to, approval from Institutional Review Boards (IRBs), and/or data licensing for the acquisition of existing data, as may be required (see Responsible Conduct of Research section below). If relevant, the Arts Endowment Project Director will coordinate discussions or meetings between the NEA Research Lab and the Arts Endowment Office of General Counsel to ensure that the rights secured meet the Arts Endowment's needs. The Arts Endowment reserves the right, in its sole discretion, to determine whether the Rights provided are satisfactory to it. The NEA Research Lab accepts sole responsibility, and will defend, indemnify and hold harmless the Arts Endowment from, any liability arising from deficient Rights and/or the NEA Research Lab's warrants or statements about the Rights.

- No later than 90 days after the completion or termination of the cooperative agreement, submit, through the NEA Research Lab's Arts Endowment REACH account, a Final Descriptive Report (FDR) and a Federal Financial Report (FFR), Standard Form 425. The FDR must include recommendations for the future.

Responsibilities of the Arts Endowment Project Director

The Arts Endowment Project Director will:

- Work with the NEA Research Lab, along with designated Arts Endowment staff, to refine the details and schedule of all project components, serving as liaison between the NEA Research Lab and any other Arts Endowment staff (e.g., Offices of General Counsel, Public Affairs, etc.) that might be involved in this NEA Research Lab.

- Make recommendations on, review, and/or approve, as relevant:

  – Project staff, consultants, contractors, and technical working group members to carry out all aspects of the project.
  – Evidence-based research agenda.
  – Project summary report for the Arts Endowment's website.
  – Research study report(s) and briefs.

- Briefing on future research-infrastructure needs.
- All public communications (overall strategy, resource materials, press releases, presentations, as well as speaking engagements, contacts with press, and publications). Review and approval of all communications will be in conjunction with the Arts Endowment's Office of Public Affairs.
- Research work/data management reports and quarterly project activity reports from the NEA Research Lab.

- Facilitate discussions between the NEA Research Lab and the Arts Endowment's Office of Public Affairs to ensure that research reports, research data, and project resource materials are in a format and style ready for public dissemination and use by ORA.

- Provide crediting requirements to the NEA Research Lab.

Award Information

Based on the availability of funding, cooperative agreements of up to $150,000 will be awarded. The Arts Endowment's legislation and policies generally require that each cooperative agreement includes a nonfederal match/cost share of at least 1 to 1. At its discretion, the Arts Endowment may choose to negotiate a lesser match/cost share rate at the time of the award. Matching/cost share funds cannot include funds from any federal sources, including the Arts Endowment.

Applicants whose projects are recommended will work with the Arts Endowment to develop and agree to the specific plans, schedules, activities, and terms for the cooperative agreement before it is finalized. This will include the opportunity to revise the project budget to reflect any necessary changes to the project, based on the recommended funding amount.

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 March 1, 2021, can't be included in your budget or cost share/match.**

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

Period of Performance

Our support of a project may start on or after March 1, 2021. The period of performance is a minimum of 12 months and a maximum of 24 months. Applicants whose projects are recommended will work with the Arts Endowment to develop and agree to the specific plans, schedules, activities, and terms for the cooperative agreement before it is finalized

An awardee may not receive more than one National Endowment for the Arts award for the same project during the same period of performance.

Subsequent Awards

The Arts Endowment may enter into up to four subsequent awards with the recipient of a NEA Research Lab cooperative agreement for a project consistent with the intent of the program. At its discretion, the Arts Endowment may choose to issue subsequent awards as grants and not cooperative agreements. Any such future awards, however, would be subject to agency priorities, the availability of funds, awardee performance, and the agency's regular review process.

Applicant Eligibility

The official applicant must be an organization with research and policy as a principal focus for its core components, either as the primary work or as part of a transdisciplinary mission. Eligible official applicants are:

- U.S. institutions of higher education, or
- Nonprofit, tax-exempt 501(c)(3), U.S. organizations with 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.

NEA Research Labs require a partnership that involves 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 cooperative agreement. Partnering organizations are not required to meet the same eligibility requirements as the official applicant organization.

To be eligible, the applicant organization must:

- Meet the Arts Endowment's "Legal Requirements" at the time of application. (All organizations must apply directly on their own behalf. Applications through a fiscal sponsor/agent are not allowed. **See more information on fiscal sponsors/agents**.)

- Have submitted acceptable Final Report packages by the due date(s) for all Arts Endowment 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 an award be made, throughout the life of the award.

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

- Organizations that served as the official applicant for any previous NEA Research Labs award in any topic area. For a listing of previously awarded NEA Research Labs, see the NEA Research Labs webpage.

- Organizations whose primary purpose is to channel resources (financial, human, or other) to an affiliated organization if the affiliated organization also submits its own application. This prohibition applies even if each organization has its own 501(c)(3) status. For example, the "Friends of ABC Organization" may not apply if the ABC Organization applies.

- Organizations whose partnership organizations (see "Required Partnership" section, below) are listed on more than one application for this opportunity. 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.

Ineligible applications will not be reviewed.

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

Application Limits

- An organization may submit more than one application under these NEA Research Labs guidelines. In each case, the request must be for a **distinctly different project.** However, an organization will not receive more than one NEA Research Labs award in any topic area. If more than one research team within an organization is interested in applying, we encourage the teams to work together to submit one application on behalf of the organization rather than separate applications.

- You may apply to other National Endowment for the Arts funding opportunities, including Research Grants in the Arts, in addition to NEA Research Labs. In each case, the request must be for a **distinctly different project.**

Application Review

The following are considered during the review of applications:

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

- Clarity of the research agenda and project activities, including short- and long-term project objectives. This includes the appropriateness of the research project/s for the NEA Research Labs program.
- Clarity of the proposed keystone research study, including the conceptual framework, research design, and analytical methods to be used, and the relationship of these elements

to the proposed research questions. This includes, if relevant, the keystone study's Institutional Review Board plans and/or status.

- Degree to which the mission and experience of the proposed research partners, or the nature of the interdisciplinary collaboration, advance the purposes of the NEA Research Lab program and the proposed keystone study.
- Qualifications of the key project personnel, including active ethics training certificates as appropriate, as well as the proposed technical working group.
- Research qualifications of the applicant organization, including current or recent activities in research and distribution of findings/results.

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

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

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 November 2020.

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.

ALL AWARDS: 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 Arts Endowment's website, Grants.gov, and the Arts Endowment's Applicant Portal. We urge you to read these instructions in their entirety before you begin the application process.

Part 1 - Submit to Grants.gov	March 30, 2020 by 11:59 p.m., Eastern Time
Prepare application material so that it's ready to upload when the Applicant Portal opens	
Part 2 - Submit to Applicant Portal	April 2, 2020 at 9:00 a.m., Eastern Time, to April 9, 2020 at 11:59 p.m., Eastern Time

1. Part 1 – Submit to Grants.gov:

   o **The Application for Federal Domestic Assistance/Short Organizational Form**

Prepare application material so that it's ready to upload when the Applicant Portal opens

2. View the Grant Application Form (GAF) Tutorial:

   o **Online Tutorial: Using the Grant Application Form**
3. Part 2 – Submit to the Applicant Portal:

   o **Fill out and submit the Grant Application Form and upload items to the Applicant Portal**.
4. 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 National Endowment for the Arts application number.

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

ALL AWARDS: Part 1: Submit to Grants.gov
Complete and submit the Application for Federal Domestic Assistance/Short Organizational Form to Grants.gov

Register or renew/verify Grants.gov and SAM.gov registration | Go to the Grant Opportunity Package | Fill out the Application for Federal Domestic Assistance/Short Organizational Form | Submit your application to Grants.gov | Track Your Application

Part 1 - Submit to Grants.gov	March 30, 2020 by 11:59 p.m., Eastern Time
Prepare application material so that it's ready to upload when the Applicant Portal opens	
Part 2 - Submit to Applicant Portal	April 2, 2020 at 9:00 a.m., Eastern Time, to April 9, 2020 at 11:59 p.m., Eastern Time

Note: To allow time to resolve any problems you might encounter, we strongly recommend that you register/renew your Grants.gov/SAM registration by at least March 9, 2020 and submit to Grants.gov by at least March 20, 2020.

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

- Before submitting to Grants.gov, 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 to Grants.gov.
- 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**.
- Registration can take several weeks. 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 March 9 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. Go to the Grant Opportunity Package:

Access the Grant Opportunity Package with the Application for Federal Domestic Assistance/Short Organizational Form on Grants.gov by clicking on the link for your deadline:

CLICK HERE TO GO TO THE GRANT OPPORTUNITY PACKAGE ON GRANTS.GOV
Research Grants in the Arts [Funding Opportunity Number 2020NEA01ORAGRANTS]

CLICK HERE TO GO TO THE GRANT OPPORTUNITY PACKAGE ON GRANTS.GOV
NEA Research Labs [Funding Opportunity Number 2020NEA01ORALABS]

When you go to Grants.gov through the link above, the Grants.gov "View Grant Opportunity" screen will open. Choose "Apply" in the "Action" area. On the next screen, choose "Apply" again. You will be prompted to enter your Grants.gov Username and Password.

You will apply using a Grants.gov Workspace. To create a Workspace, look for the "Application Filing Name" field above the "Create Workspace" button (you must be logged in as the Authorized Organization Representative or AOR to be able to see this button and create the Workspace). Enter the legal name of your organization, click the "Create Workspace" button, and follow the screens from there. If you want to learn more about using Grants.gov's Workspace, see here.

Note that you will submit the substantial part of your application during Part 2.

3. Fill out the Application for Federal Domestic Assistance/Short Organizational Form:

NOTE: All asterisked (*) items and yellow fields on this form are required and must be completed before you will be able to submit the form. Do not type in all capital letters when completing the form. Enter information directly into the form. Do not copy from an old Application for Federal Domestic Assistance/Short Organizational Form 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: 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 organization's physical street address. This address should agree with the address that you used with the SAM (System for Award Management). In addition, use Street 2 for your organization's mailing address if it differs from the physical street address.

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 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 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: Enter "N/A." You will provide a project title in the Arts Endowment's Applicant Portal during Part 2 of the application process, not in Grants.gov. Anything you enter in Grants.gov will not be used in the review of your application.

b. Project Description: Enter "N/A." You will provide a project description in the Arts Endowment's Applicant Portal during Part 2 of the application process, not in Grants.gov. Anything you enter in Grants.gov will not be used in the review of your application.

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.

For Research Grants in the Arts applicants: Our support of a project may start on or after **January 1, 2021**; A grant period should not exceed two years; for projects that include *primary data collection* the grant period should not exceed three years.

For NEA Research Labs: Our support of a project may start on or after **March 1, 2021**. The period of performance is a minimum of 12 months and a maximum of 24 months.

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. Due to restrictions from the Department of Homeland Security we are not able to send emails to alias addresses that forward to another email account. Do not enter this type of email address.

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. Due to restrictions from the Department of Homeland Security we are not able to send emails to alias addresses that forward to another email account Do not enter this type of email address.

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, 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. Due to restrictions from the Department of Homeland Security we are not able to send emails to alias addresses that forward to another email account. Do not enter this type of email address.

The AOR must have the legal authority to obligate your organization (e. g., be a senior member of the staff such as an Executive Director, Director of Development). 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 application.

4. Submit your application to Grants.gov:

- To begin the submission process, log on to Grants.gov and go to the Forms tab on the Manage Workspace page. Click the "Sign and Submit" button, under the Forms tab.
- **Be certain that you are satisfied with your Application for Federal Domestic Assistance/Short Organizational Form before you click this button. No revisions to your form are possible through Grants.gov once it is submitted**.
- Once you complete and submit your application, you will see a confirmation screen explaining that your submission is being processed. Retain the Grants.gov Tracking Number that you receive in the application submission confirmation screen.
- If you wait until the day of the deadline to submit your application, you are taking a significant risk! We strongly suggest that you submit your application no later than March 20 to give yourself ample time to resolve any problems you might encounter.
- We will not accept late applications. The only exception is for a technological failure on the part of Grants.gov, as determined by the National Endowment for the Arts. To be considered for this exception, you must provide documentation of a Grants.gov technological failure dating from March 20.

  We will consider and address your situation as appropriate. We will not make exceptions for applications that are the result of user error, including failure to verify that your application was validated by the Grants.gov system through **Track My Application.**

- Failure to successfully submit the Application for Federal Domestic Assistance/Short Organizational Form through Grants.gov will make you ineligible to complete Part 2 of the application process.

5. Track Your Application:

Verify that your application was validated by the Grants.gov system. Go to **Track My Application** to confirm the validation and track the progress of your application 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 Part 2:

- Read the **Part 2 instructions** of the program you are applying to learn about how and when to access the Applicant Portal to submit material and upload items.
- To access the Applicant Portal, you'll need your **Agency Tracking Number/NEA Application Number**. We assign the number to your application 1-2 business days after you submit your Grants.gov application.

Additional Help

For additional help on how to use Grants.gov, see the Grants.gov website at **Support**. You also can send email 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.

ALL AWARDS: Part 2: Submit to the Applicant Portal
Fill out and submit the Grant Application Form and upload items to the Applicant Portal.

You will use the Arts Endowment's Applicant Portal to complete Part 2 of the application process. You must first have successfully completed Part 1 (submitting to Grants.gov) by the application deadline of record.

Deadlines:

Part 1 - Submit to Grants.gov	**March 30, 2020 by 11:59 p.m., Eastern Time**
Prepare application material so that it's ready to upload when the Applicant Portal opens	
Part 2 - Submit to Applicant Portal	**April 2, 2020 at 9:00 a.m., Eastern Time, to April 9, 2020 at 11:59 p.m., Eastern Time**

Note: To allow time to resolve any problems you might encounter, we strongly recommend that you register/renew your Grants.gov/SAM registration by at least March 9, 2020 and submit to Grants.gov by at least March 20, 2020.

Do not attempt to complete Part 2 before the Applicant Portal becomes available to you on these dates. Your log on credentials will be created for you.

1. Access the Applicant Portal:

• **Log on to Applicant Portal at: https://applicantportal.arts.gov**
• **User Name = Grants.gov Tracking Number** (Example: "GRANT12345678")
• **Password = Agency Tracking Number/National Endowment for the Arts Application Number** (Example: "1234567")

The User Name and Password can only be used by one person at a time in the Applicant Portal. If multiple people use the User Name and Password at the same time to work on an application, data will be lost.

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 application. A confirmation screen will appear once your 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 #/National Endowment for the Arts Application Number? We assign the number to your application 1-2 business days after you submit your application. Log on to Grants.gov with your Grants.gov Username and Password. Under Grant Applications, select Check Application Status. Once in the Check Application Status feature, look for your Grants.gov tracking number and select Details under the Actions column. You'll be taken to the Submission Details screen to find your Agency Tracking#/National Endowment for the Alerts Application Number. NOTE: Check Application Status is a separate feature from Track My Application at Grants.gov.

For specific help on how to complete your application, 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 the Applicant Portal, 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.

Research Grants in the Arts FY21 Part 2 Application Instructions:

CLICK HERE TO DOWNLOAD INSTRUCTIONS (PDF)

NEA Research Labs FY21 Part 2 Application Instructions:
CLICK HERE TO DOWNLOAD INSTRUCTIONS (PDF)

You should prepare your responses and material well in advance of the deadline and have them fully ready to upload once the Applicant Portal opens for you. You will not have access to the Grant Application Form until the Applicant Portal 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 the Applicant Portal's hours of heaviest usage, generally 8:00 p.m. to 11:59 p.m., Eastern Time, on the day of the deadline.

3. Submit the Grant Application Form in the Applicant Portal:

- 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.

- After submitting your application, you may log back into the Applicant Portal and make modifications to your submission up until the system closes at 11:59 p.m., Eastern Time, on the day of the deadline.

- Ensure that your application was received by logging in to the Applicant Portal. On the first screen it will say "Submitted" if your application has been received. If your application has not yet been received, it will say "In Progress." You can maintain documentation of your successful submission by taking a screenshot. You also may receive a courtesy confirmation email.

- You may print a copy of your application at any time, whether in draft or final form, for your records.

HELPFUL TIPS:

1. Submit your materials to the Applicant Portal 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.
2. Arts Endowment staff will not be available to help you after 5:30 p.m., Eastern Time, on the day of the deadline.
3. Make sure you use the Part 2 Application Instructions PDF that corresponds to the category to which you are applying. Requirements vary.
4. When in doubt, contact the staff at nearesearchgrants@arts.gov.
5. 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.
- Save character space by limiting the use of tabs.

6. View the Grant Application Form Tutorial for other helpful tips to assist you in completing the online form.

ALL AWARDS: Other Requirements and Priorities

Responsible Conduct of Research

We are committed to the responsible conduct of research. 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 awardee or at the awardee's direction, and any Arts Endowment-funded researchers collecting data from respondents/participants may not represent to those subjects that such data are being collected on behalf of the National Endowment for the Arts.

Applicants who propose *primary data collection* as part of their projects are required to show evidence of ethics training in the conduct of human subjects research, including such aspects as the role of IRBs. Evidence can take the form of an active, unexpired certificate of completion of a training module. The Arts Endowment does not specify or endorse any specific educational programs. Training evidence must be submitted at the time of application for **all key personnel** involved with primary data collection or analysis of personally identifiable information from human subjects. The National Endowment for the Arts will not reimburse costs for ethics training under either the Research Grants in the Arts program or the NEA Research Labs cooperative agreement program.

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 award period of performance; however, the application proposal must include evidence that the applicant has consulted with their preferred IRB or IRBs. If you receive an award, 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 Arts Endowment 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.

Data Management and Sharing
We intend primarily for the Research Grants in the Arts category and the NEA Research Labs program 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 award. 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 award 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 awardees to deposit their raw- and meta-data in the archive.

ALL AWARDS: Award Administration

Accessibility
Federal regulations require that all Arts Endowment-funded projects be accessible to people with disabilities. Funded activities must be held in an accessible venue and program access and effective communication must be provided for participants and audience members with disabilities. If your project is recommended for funding, you will be asked to provide information describing how you will make your project physically and programmatically accessible to people with disabilities:

- Buildings and facilities (including projects held in historic facilities), should be physically accessible. This includes, but is not limited to: ground-level entry, ramped access, and/or elevators to the venue; integrated and dispersed wheelchair seating in assembly areas; wheelchair-accessible box office, stage, and dressing rooms; wheelchair-accessible display cases, exhibit areas, and counters; and wheelchair-accessible restrooms and water fountains.

- The programmatic offering should be accessible either as part of the funded activity or upon request, where relevant. This can include, but is not limited to: contact information for requesting accommodations; electronic materials and websites; print materials in alternative formats, such as large-print brochures/labels, Braille, and electronic/digital formats; accommodations for performance, tours, and lectures, such as audio description, tactile opportunities, sign language interpretation, and real-time captioning; closed/open captioning of video and film; and assistive listening devices.

See the "Nondiscrimination Statutes" in our "Assurance of Compliance" for additional information. For technical assistance on how to make your project fully accessible, contact the Accessibility Office at **accessibility@arts.gov**, 202-682-5532 Voice or the Civil Rights Office at 202-682-5454 or 202-682-5082 Voice/T.T.Y., or see our online **Accessibility Resources**.

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.

Awardees 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 awardee must submit a request through a proper REACH account for the award, with justification, for review by the Office of Grants Management. Approval is not guaranteed. Detailed information is included in the National Endowment for the Arts 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 accomplishments, who benefited, and the resulting impact as well as list the involvement of key partners, funders, and artists. 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 Arts Endowment funds in the future. Through Research awards, 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 awardee also will be asked to provide evidence of those results. Before applying, review the reporting requirements. LINK TO MANAGE YOUR AWARD PAGE, NOT INDIVIDUAL FDRs

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) establishes clarity and consistency of the pre- and post-award requirements applicable to federal grantees.

Under the authority listed above, the National Endowment for the Arts adopts the 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 Arts Endowment.

Crediting Requirement
Awardees 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 Grants in the Arts or NEA Research Labs award number. In all other places (including but not limited to presentations concerning the project and material created for social media), the awardee must clearly acknowledge support from the Arts Endowment, regardless of the medium of the material, except as noted in the section titled "Responsible Conduct of Research." Additional acknowledgment requirements are provided under the **Manage Your Award** page, and also may be provided later.

Ownership and Use of Materials
Any materials resulting from a Research Grant in the Arts or NEA Research Lab award, 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 awardee. The awardee agrees to only make use of the Work Product in a manner consistent with the award terms and conditions (including but not limited to crediting requirements) in perpetuity, and agrees that such restrictions shall inure to any of the awardee's successors in interest, including any such successors not yet known to the awardee. The Arts Endowment reserves a perpetual, royalty-free, nonexclusive, and irrevocable right to reproduce, publish or otherwise use the products

submitted by the awardee under the terms of any resulting award for federal purposes and to authorize others to do so (2 CFR 200.315).

Accessibility requirements for products resulting from a Research Grant in the Arts or NEA Research Lab award

Ensure that your products are 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 **https://www.arts.gov/accessibility/accessibility-resources**.

Product Requirement for Research Grants in the Arts:
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 Grants in the Arts Study Findings** 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.
- 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 the Arts Endowment 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 details 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.

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 Grants in the Arts Study Findings** 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.

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

Award Notices
Award decisions for Research Grants in the Arts and NEA Research Labs are expected to be announced in November 2020.

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., a notice of action authorized by the National Endowment for the Arts Office of Grants Management) 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 and cooperative agreements awarded by the National Endowment for the Arts are highlighted in our *General Terms & Conditions* (GTC).

The GTC incorporates the adoption of 2 CFR Part 200 by reference. The document also explicitly identifies where the Arts Endowment has selected options offered in the regulation, such as budget waivers and requirements for use of program income. It also includes agency requirements for cost share/matching funds reporting requirements, amendment processes, and termination actions.

Awardees must review, understand, and comply with these requirements.

Legal Requirements:

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 <u>Appendix A of our General Terms & Conditions</u> which sets forth the National Policy and Other Legal Requirements, Statutes, and Regulations that Govern Your Award. 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 "<u>Assurance of Compliance</u>"** below.
   - **<u>Debarment and Suspension procedures</u>**. 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 awardee and the Arts Endowment 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 or cooperative agreement is awarded, the awardee 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 awardee 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 or cooperative agreement 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.

We may conduct a review of your organization to ensure that it is in compliance. If the National Endowment for the Arts determines that an awardee 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 National Endowment for the Arts 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 National Endowment for the Arts 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 National Endowment for the Arts 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 National Endowment for the Arts.

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 National Endowment for the Arts 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, contact the Office of Civil Rights at 202-682-5454 or 202-682-5082 Voice/T.T.Y. For inquiries about limited English proficiency, 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.

ALL AWARDS: Other Information

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 202682-5454 or 202682-5082 Voice/T.T.Y. also provides technical assistance on how to make projects fully accessible.

Civil Rights

Our Office of Civil Rights at 202682-5454 or 202682-5082 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.
Email: **webmgr@arts.gov**, attention: Standards for Service. For questions about these guidelines or your application, see "**Agency Contacts**." In addition, applicants may 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.

Paperwork Reduction Act Statement
The public reporting burden for this collection of information is estimated at an average of TBD 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 AWARDS: Frequently Asked Questions

How can I find out when new guidelines are released?
Guidelines are generally modified every year. Email **nearesearchgrants@arts.gov** to sign up for our distribution list to receive updates for when they are released. You can also sign up via Grants.gov.

What is the difference between the Research Grants in the Arts program and the NEA Research Labs program?

Both program invite applicants to engage with the agency's five-year research agenda with research projects:

Research Grants in the Arts funds 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. Examples of previous Research Grants in the Arts projects can be found here.

NEA Research Labs funds transdisciplinary research teams, grounded in the social and behavioral sciences, to engage with the **NEA's five-year research agenda**. NEA Research Labs yield empirical insights about the arts for the benefit of arts and non-arts sectors alike.

Beyond the subject matter of the two funding opportunities, there is another distinction. The Arts Endowment uses two types of awards to fund project activities: cooperative agreements and grants. A cooperative agreement is different from a grant in that the Arts Endowment is substantially involved with the awardee in the direction and accomplishments of the program. Both funding mechanisms are subject to Title 2 of the Code of Federal Regulations, Part 200.

Research Grants in the Arts is a grant program, and NEA Research Labs is a cooperative agreement program. The Arts Endowment will be substantially involved in the direction and accomplishments of NEA Research Labs.

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 Grants in the Arts grant or an NEA Research Lab award. Can I apply?

No, SAAs and RAOs cannot apply for either 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 Grants in the Arts grant or an NEA Research Lab award. Can I serve as a partner?
Yes, SAAs or RAOs may participate as a partner for either opportunity; however, no federal or cost share/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?
Yes, references should be included in the project narrative of the Grant Application Form.

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.
If new or updated information that significantly affects your application becomes available after the deadline, you may send it to the Research 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 he or she may not collect, process, or analyze data from human subjects as part of the project, but may serve in another research capacity.

Can I get a sample application?
Examples under the Research Grants in the Arts category (previously known as Research: Art Works grant category) can be found in the **FOIA Reading Room, Frequently Requested Records** for information on what is available as sample application material. We do not have sample applications available for the NEA Research Labs program.

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. Proposed project activities for which you're requesting support cannot take place before this date. Ask the National Endowment for the Arts to fund only the portion of your project that will take place after the "Earliest Beginning Date for National Endowment for the Arts Period of Performance." If you include project costs that are incurred before the "Earliest Beginning Date for National Endowment for the Arts Period of Performance" in your Project Budget, they will be removed.

How long can my project last? May I apply for another project during this period?
Research Grants in the Arts 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.

NEA Research Lab awards generally allows a period of performance of up to two years, and may be renewed up to four times. The life of Arts Endowment funding of an NEA Research Lab could be up to ten years, including all renewal awards.

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. Requests for extensions must be submitted through a proper REACH account for the award.

Can federally recognized tribes apply?
Yes, but under the Research Grants in the Arts category only. In keeping with federal policies of **Tribal Self Governance** and **Self-Determination**, we may provide support for a project with a primary audience restricted to enrolled members of a federally recognized tribe. Applicants (federally recognized tribal governments, nonprofits situated on federally recognized tribal lands, or other nonprofits whose mission primarily serves federally recognized tribal enrollees) should consult with **our staff** to verify their eligibility before preparing an application.

Can non-federally recognized tribes apply?
Yes, but under the Research Grants in the Arts category only, and as long as the applicant is a nonprofit, tax-exempt 501(c)(3), U.S. organization. Projects for non-federally recognized tribes and indigenous groups may be supported, but project participation can't be restricted to only tribal members.

Can Native Hawaiian groups apply?
Yes, but under the Research Grants in the Arts category only, and as long as the applicant is a nonprofit, tax-exempt 501(c)(3), U.S. organization. Projects for Native Hawaiians may be supported, but project participation can't be restricted to only Native Hawaiians.

Specific Questions for FY2021

I applied to the FY20 Research Grants in the Arts deadline this past October, can I apply for the FY21 deadline?
Yes, however, the FY20 Research Grant in the Arts application will still be pending by the application deadline for FY21. Therefore, the FY21 request must be for a **distinctly different project**.

I applied to the FY20 NEA Research Labs deadline this past July, can I apply for the FY21 deadline?
Yes, however, per the eligibility requirements for this program, organizations may not receive more than one NEA Research Lab award.

My organization received a NEA Research Lab award last year or in prior years, are we eligible?
As an official applicant, you are not eligible to apply for this round. However, you can serve as a partner on another application from an eligible applicant organization.