

National Endowment for the Arts

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Grants :: Apply for a Grant

Research: Art Works

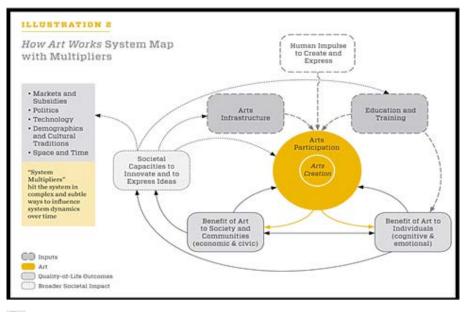
Grant Program Description

Background

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

The *How Art Works* map (*see below*) presents several different research areas, each ripe for fresh inquiry. To obtain an accurate understanding of each area of the map, researchers can collect and analyze data on a host of variables. Research areas include the system's core components of Arts Participation and Arts Creation; the system's inputs (Arts Infrastructure and Education & Training); and the system's main outcomes, e.g., cognitive or emotional benefits to individuals, or civic or economic benefits to communities.

The map is not prescriptive. It is intended primarily to communicate to potential applicants a cluster of topics and relationships that the NEA aims to explore.



enlarge map

The *Research: Art Works* grants program is a vehicle for promoting rigorous study of these research areas, contributing to public knowledge about the arts' role in American life.

Research Opportunity

The NEA's Office of Research & Analysis will make awards to support research that investigates the value and/or impact of the arts, either as individual components within the U.S. arts ecology or as they interact with each other and/or with other domains of American life.

"Value"-oriented research measures or otherwise clarifies one or more factors, characteristics, and conditions of the U.S. arts ecosystem as illustrated above. Examples may include but are not limited to descriptive studies of arts participation and arts learners, artists and art workers, arts organizations and arts industries, and arts funders and arts volunteers. Such research also may probe the underlying conditions and vehicles for arts participation. For instance, it can examine how key inputs such as training, education, and infrastructure directly affect arts creation, arts audiences, or other aspects of arts engagement.

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

Priority will be given to applications that present theory-driven research questions and methodologies that will yield important information about the value and/or impact of the arts. Competitive applications will take into account any extant research that serves as a basis for a theoretical framework, and helps to motivate the proposed project.

By providing financial support to deserving projects, the NEA anticipates that this program will spur growth in the number of people experienced in and knowledgeable about arts-related research in the U.S. To date, some of the most compelling research about the arts has originated in non-arts specialties: cognitive neuroscience, for example, with its discoveries about the arts' role in shaping learning-related outcomes; labor economics, with its lessons about the arts' bearing on national and local productivity; urban planning work that seeks to understand the arts as a marker of community vitality; and psychological studies that posit the arts' relationship to health and well-being across the lifespan. In this spirit, the NEA encourages applications from diverse research fields (e.g., sociology, economics, anthropology, psychology, medicine and health, education, communications, and urban and regional planning) in addition to projects that address a diverse array of topics concerning the value and/or impact of the arts.

Funds will be given for projects that involve analyses of primary and/or secondary data. In contrast to prior *Research: Art Works* grant cycles, primary data collection is now an allowable activity under these grants. Projects may include, but are not limited to, primary and/or secondary data analyses; psychological studies that take place in clinical and non-clinical settings; third-party evaluations of an arts program's effectiveness and impact; and statistically-driven meta-analyses of existing bodies of research so as to provide a fresh understanding of the value and/or impact of the arts.

Data Sources

Applicants may propose projects that focus on analyses of qualitative and/or quantitative data gleaned from either primary or secondary sources. These may include surveys, censuses, biological experiments, observations, and interviews and focus groups. Other examples of data sources include archived materials such as written documents, audio/video recordings, or photographs.

Funds will be given for projects that include primary data collection and the purchase of existing data as long as the analyses of these data are also included in the project being proposed for NEA funding. The NEA will not fund projects that focus exclusively on data acquisition.

The NEA welcomes the use of data in both the public and private domain, including commercial and/or administrative data sources. For a list of additional publicly available datasets that include arts-related variables, click here. The NEA is particularly interested in applications that propose to analyze the following new data sources, which are expected to be available by the start of the FY 2014 grant period:

- 2012 Survey of Public Participation in the Arts (SPPA). Data from the 2012 SPPA, conducted as part of the U.S. Census Bureau's Current Population Survey, are expected for release by the end of 2013. See a list of the survey questions.
- General Social Survey (GSS) Arts Supplement. Data from the 2012 GSS Arts Supplement, administered by NORC at the University of Chicago, are available here

Research about Arts Education

Through a partnership with the U.S. Department of Education, the NEA 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 outcomes, you are encouraged to explore ArtsEdSearch for summaries of previous studies, criteria for inclusion in the database, discussion of policy implications, and suggested areas for future research .

Responsible Conduct of Research

The NEA is committed to the responsible conduct of research. As such, the agency requires applicants to obtain permissions from all appropriate entities for conducting the proposed project and 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 responsibility of the recipient organization, and NEA support of the project does not constitute approval of the data collection procedures. The recipient cannot represent to respondents that such data are being collected on behalf of the NEA. However, this requirement is not intended to preclude mention of NEA support of the project in the publication of these data. In publications of the data and the findings, acknowledgment of the National Endowment for the Arts must be prominently displayed. For print and online materials, a phrase acknowledging support from the National Endowment for the Arts is a basic requirement. For more information regarding use of the NEA logo and recommended language for additional publicity formats, see "Award Administration."

Applicants who propose *primary data collection* as part of their projects are required to complete federally sponsored ethics training on the conduct of human subjects research, including such aspects as the role of Institutional Review Boards (IRBs). Evidence of this training must be provided as part of the grant application submission. Evidence can be in the form of a certificate of completion of a training module from the National Institutes of Health (*Protecting Human Research Participants*, a free module that takes approximately 1 hour to complete), the Department of Defense, or from another U.S. federal agency or department. All applicants must give evidence of such training for *each* researcher as part of the application. The U.S. Department of Health and Human Services provides additional guidance and resources for learning about the responsible conduct of research.

In addition, applicants that include *primary data collection* as a proposed project activity are required to provide documentation regarding 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.

Data Management and Sharing

The NEA intends primarily for the *Research: Art Works* 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, however, the NEA requires applicants to submit a *data management plan* documenting how any raw data and meta-data resulting from the proposed project will be maintained during and beyond the life of the grant. Research projects that offer plans to make data available to researchers and the public will be given special consideration in the application review process. This emphasis is in keeping with the White House's Open Government Initiative, particularly recent guidance from the Office of Science and Technology about data and findings generated by federally sponsored research. Costs of storing and/or sharing data are allowable if these data management activities take place during the grant period.

Intended Outcome

The agency has determined that all grants awarded under thiscategorywill have the following as their primary outcome:

• **Understanding**: Evidence of the value and/or impact of the arts is expanded and promoted.

Organizations are asked to address the anticipated results of their projects in their applications. Grantees will be asked to provide evidence of these results in their

final reports. Before applying, please review the reporting requirements on the National Endowment for the Arts Final Descriptive Report form and the "Administrative Requirements" for information about a final work product research report.

Deadline Date

You are required to submit your application electronically through Grants.gov, the federal government's online application system. The Grants.gov system must receive your validated and accepted application no later than 11:59 p.m., Eastern Time, on November 5, 2013. We strongly recommend that you submit at least 10 days in advance of the deadline to give yourself ample time to resolve any problems that you might encounter. We will not accept late applications.

The Grants.gov Contact Center is available 24 hours a day, 7 days a week.

National Endowment for the Arts \cdot an independent federal agency 1100 Pennsylvania Avenue NW Washington, DC 20506



National Endowment for the Arts

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Grants :: Apply for a Grant

RESEARCH: Art Works

How to Prepare and Submit an Application

These application guidelines provide all of the information that you need to submit an application. Your application will consist of a combination of material that you obtain from Grants.gov (certain forms) and our website (additional forms and other items you must submit). We urge you to read these instructions in their entirety before you begin the application process. You also may want to keep these instructions open in a window in your computer as they contain helpful links to information that you will need as you complete your application.

In addition to these instructions, you should periodically check the **Grants.gov blog** or the **Grants.gov homepage** for tips, updates, and alerts.

IMPORTANT NOTICE: Electronic application through Grants.gov is MANDATORY

- 1. Verify that your organization has completed <u>all steps</u> of the registration process. If you have already successfully submitted an electronic application, renew/verify your registration.
- Verify that you have a version of Adobe Reader (version 9 or higher) that is supported by Grants.gov installed on your computer <u>before</u> you download your new application package from Grants.gov.
- Submit your application <u>no later than 10 days</u> 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.
 - The Grants.gov Contact Center is available 24 hours a day, 7 days a week. (Phone: 1-800-518-4726.)
 - Submit your application outside of Grants.gov's hours of heaviest usage, generally 12 noon to 5:00 p.m., Eastern Time.
 - The Arts Endowment will not accept late applications.

The Grants.gov system must receive your validated and accepted application no later than 11:59 p.m., Eastern Time, on November 5, 2013.

If you are unable to submit your application electronically, you may request a waiver. A waiver will be granted for the following reasons only:

- Internet access is not available within a 30-mile radius of your organization's business office.
- Disability prevents the submission of an electronic application.

Your waiver request must be in writing and must be received (not postmarked) at the Arts Endowment at least three weeks before the application deadline. Click here for more information on waivers.

Using Grants.gov

Register or Renew/Verify Registration with Grants.gov

Using Grants.gov

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- Register or Renew/Verify Registration with Grants.gov
- Download the application package using Adobe Reader
- Submit your electronic application
- ▶ Grants.gov Tips

Application Instructions

What makes a complete application

<u>Step 1</u>

Fill out the Application for Federal Domestic Assistance (SF-424)

Step 2 Fill out the

Project/Performance Site Location(s) Form

<u>Step 3</u> Fill out the NEA Organization & Project

Profile Form Step 4

Complete and attach items required for the Attachments Form (narratives, budget forms, etc.)

<u>Step 5</u> Submit items in Steps 1-4 electronically through Grants.gov [Back to Top]

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

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

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

If you have problems with registration:

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

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

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

Download the Application Package [Back to Top]

1. Verify your software

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

Please go to "**Download Software**" to see the compatible versions of Adobe Reader or to download and install Adobe Reader.

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

DOWNLOAD

[Funding Opportunity Number 2014NEAORA]

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

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

3. When you download the application package, the Grants.gov "Grant Application Package" screen will open. Click on the "Save" button and save the application package to a location on your computer or network where you can find it readily. Save your application each time you work on it. You will get the message: "The File already exists. Replace existing file?" Click "Yes" to ensure that you always save the most recent version. 4. You can access each Mandatory form by clicking on it OR you can scroll down your screen and you will come to each form in succession.

The forms are:

Application for Federal Domestic Assistance/Short Organizational Form

(SF-424): This form asks for basic information about your organization and project. Complete this form first. Data entered here will populate fields of other forms where possible. See instructions for completing this form below.

- <u>Project/Performance Site Location(s) Form</u>: This form collects information about the primary site location where the project will be performed. See instructions for completing this form below.
- <u>NEA Organization & Project Profile Form</u>: This form asks for some additional information about your organization and project. See instructions for completing this form below.
- <u>Attachments Form</u>: This is not a form in the conventional sense, but rather a place to attach additional items (e.g., your application narrative and the Project Budget Form) that must be included for your Grants.gov application package to be considered complete. See instructions for completing this form below.

Submit Your Electronic Application [Back to Top]

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

If you have difficulty submitting, go to **Adobe Reader Error Messages** or **Applicant Resources** for several tools and documents to help you.

4. Ensure that your application was validated and accepted by the Grants.gov system. Go to Track My Application to track the validation and progress of your application submission through Grants.gov. After the Arts Endowment retrieves your application from Grants.gov, log in to the Grants.gov system by using your Username and Password to receive your Agency Tracking Number (this will be the Arts Endowment-assigned application number).

Additional Help

For additional help on how to use Grants.gov, please see the Grants.gov website at <u>Help</u>. You also can send e-mail to the Grants.gov Contact Center at <u>support@grants.gov</u> or call them at 1-800-518-4726, 24 hours a day, 7 days a week.

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

Application Instructions

For a complete application, follow Steps 1-5 below

A complete application consists of:

- Application for Federal Domestic Assistance (SF-424)
- Project/Performance Site Location(s) Form
- NEA Organization & Project Profile Form
- Attachments Form to which you have attached:
 - Application Narrative
 - Project Budget Form, Pages 1 and 2
 - Biographies of Key Project Personnel
 - Your Own Project Budget (optional)
 - Special Items

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

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

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

1. Name of Federal Agency: Pre-populated.

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

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

4. Funding Opportunity Number: Pre-populated.

5. Applicant Information:

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

In the <u>Zip/Postal Code</u> box, organizations in the United States should enter the **full 9digit 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.

<u>f. Organizational DUNS</u>: 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 your 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, please visit the House of Representatives website at www.house.gov and use the "Find Your Representative" tool.

6. Project Information:

a. Project Title: Provide a brief descriptive title for your proposed project.

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

Please note:

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

c. Proposed Project Start Date/End Date: Enter the beginning and ending dates for your requested period of support, 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. The Arts Endowment's support of a project may start on May 1, 2014, or any time thereafter. A grant period should not exceed two years; for projects that include *primary data collection* the grant period should not exceed three years.

7. Project Director:

Provide the requested information for the Project Director. Select a Prefix (e.g., Ms., Mr.) even though this is not a required field.

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

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

8. Primary Contact/Grant Administrator:

Provide the requested information for the individual who should be contacted on all matters involving this application and the administration of any grant that may be awarded. For colleges and universities, this person is often a Sponsored Research, Sponsored Programs, or Contracts and Grants Officer. Select a Prefix even though this is not a required field. For the Telephone number field, use the following format: 000-000-0000.

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

9. Authorized Representative:

Enter the requested information for the AOR (Authorized Organization Representative) who will be submitting this application to Grants.gov. Select a Prefix even though this is not a required field. The AOR must have the legal authority to obligate your organization. By clicking the "I Agree" box at the top of Item 9, this individual will be certifying compliance with relevant federal requirements on your organization's behalf. (These requirements can be found in the "Assurance of Compliance" section of these guidelines.) The "Signature of Authorized Representative" and "Date Signed" boxes will be populated by Grants.gov upon submission of the application.

Step 2: Fill out the Project/Performance Site Location(s) Form

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

This form collects information about the primary site, as well as additional sites, where project activity will take place. If a portion of the project will be performed at any other site(s), identify the site location(s) in the additional block(s) provided. Use up to 29 additional blocks as required (one for each site). Your responses will not be a factor in the review of your application.

For the Organization Name:

Enter the name of the organization where the activity will take place. This may be the applicant organization or another organization. The remaining fields in a block (e.g., DUNS number) are associated with the organization where the activity will take place.

For the Project/Performance Site Congressional District:

Use the following format: 2 character State Abbreviation-3 character District Number. For example, if the organization is located in the 5th Congressional District of California, enter "CA-005." If the project directly impacts all districts in a state, enter "all" for the district number. For example: "MD-all" for all Congressional districts in Maryland. If nationwide (all districts in all states), enter "US-all." If the state has a single At-Large Representative or the territory has a single Delegate, enter your 2 character state/territory abbreviation and "-000." If the project is outside the U.S., enter "00-000." If you need help determining a district, go to www.house.gov and use the "Find Your Representative" tool.

Step 3: Fill out the NEA Organization & Project Profile Form

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

See the instructions below for the following items (other instructions are provided on the form itself).

Part 1. Applicant

Project Field/Discipline: Select "Research."

Category: Select "Research: Art Works."

Intended Outcome: Select the following outcome as your primary outcome:

Intended Outcome:

Understanding: Evidence of the Value and/or Impact of the Arts is Expanded and Promoted.

Please ensure that your selection(s) match your narrative (Attachment 2) for the question about **Outcome(s) and Measurements**.

Project Budget Summary: The dollar amounts entered in these fields must agree with the corresponding dollar amounts on your Project Budget Form (Attachment 3).

Step 4: Complete and Attach Required I tems to the

Attachments Form [Back to Top]

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

Several important points:

1. Attachment 2 is a fillable form; you will find a link to it. This form can be filled in, saved to your computer, and attached without the need for special software or conversion to PDF.

Please be sure you are using Adobe Reader (version 9 or higher) when filling out our PDF forms.

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

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

These non-form documents can be created using any word processing software. When you have completed the document, save it to your computer and convert it to PDF before attaching. If you don't already have software to convert files to PDF, there are many low-cost and free software packages that can do this. To learn more, go to **PDF Conversion Programs**.

Please make sure to convert your documents into PDF format in line with the guidance above. **Do not create PDFs of your electronic documents by scanning.** In the past, some applicants have printed their electronic documents and then scanned them, saving the scan in PDF format. PDFs created this way are much larger, and of lower quality, than PDFs created by the methods we recommend. **Do not embed nonprintable media files (video and/or sound) in your PDF documents. Static images (e.g., pictures) are acceptable.** Please do not enable any document security settings or password-protect any PDF file you submit to us.

No attachment should be more than 2 MB.

- 3. For documents where a form is not provided (e.g., Attachment 1), label pages clearly with the name of the item (e.g., Application Narrative) and your organization's legal name. Leave a margin of at least one inch at the top, bottom, and sides of all pages. Do not reduce type below 12 point font size. Do not type in all capital letters. Number pages sequentially; place numbers on the bottom right hand corner of each page. Excess pages will be removed and will not be reviewed.
- 4. Name your files as indicated below and attach them in the proper order. Limit file names to 50 or fewer characters and use only the following characters when naming your attachments: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, and period. If you do not follow this rule, your application may be rejected. Please note that you cannot change the name of a file on the Attachments Form. Therefore make certain that each file is named correctly **before** you attach it.

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

The Attachments

MATTACHMENT 1: DETAILS OF THE PROJECT NARRATIVE

To this button attach an **Application Narrative of no more than 10 pages (single-spaced, Times New Roman 12-point font, 1-inch margins)**. (Excess pages will be removed and will not be reviewed.) The file name should indicate the name of your organization or a recognizable acronym followed by "Narrative" (e.g., "ABCOrgNarrative").

Please organize your response a), b), c), etc. and use the boldfaced language below as a heading for each item.

The information that you provide will be reviewed in accordance with the "**Review Criteria**" for the *Research: Art Works* category. Your narrative should address each of these "Review Criteria" and include information on the following, as relevant to your project.

Ensure that your descriptions are consistent with the information that you provide on the NEA Organization & Project Profile form:

- a. **Research motivation.** Provide detailed information on the topic that will be studied, its significance to the value and/or impact of the arts, a review of any relevant literature with citations to provide evidence of the unique potential contribution of this research, and one or more concise and theory-driven *research questions* the project seeks to answer, along with the hypothesis or hypotheses.
- b. **Research design.** Provide a clear and detailed research design, including the methodologies that will be used, and justification for the proposed design, which should be appropriate for testing the indicated hypotheses and answering the proposed research questions.
- c. Data source(s). Clearly describe the dataset(s) to be used, including information about the year(s) the data were or will be collected, the sampling design, the response rate, and the specific variables that will be used in analysis. If the project involves analyzing variables from more than one data source concurrently, include a description of the comparability of these variables and/or their sources. Describe how the data lend themselves to addressing the proposed research questions, and discuss any significant limitations posed by the data.
- d. **Data analyses.** Describe the data analysis procedures. Provide information about the types of statistical and/or qualitative analyses that will be conducted. If applicable, specify the statistical model (i.e., relationships between independent and dependent variables) and its hypotheses, and explain any measures that will be used to operationalize the model.
- e. Personnel capability. Describe the qualifications, roles, responsibilities, and percent of time to be devoted to the project for key personnel (curriculum vitae of key personnel are requested as a separate item). Identify the Principal Investigator (also list this person as the Project Director on the Application for Federal Domestic Assistance SF-424). Other Investigators who share authority and responsibility for the research project may be listed as Co-Principal Investigators. List any advisors to the project.
- f. **Organizational capacity**. Describe the capacity of the organization to conduct the proposed research, its history of conducting research, and, if applicable, its resources that will support the proposed activities.

List any partners for the project and describe their responsibilities and the resources they will provide.

- g. **Outline for research report.** Provide a draft outline for the research report that will be submitted at the end of the grant period. (See "Administrative Requirements" for additional information.)
- h. Outcome(s) and Measurements. Clearly indicate the project's goals, the method for measuring how these goals will be achieved, and how these goals achieve the NEA outcome for Understanding: Evidence of the value and/or impact of the arts is expanded and promoted.
- i. **Detailed Schedule** of key project dates and milestones for **each** year of the proposed project. If you include activities prior to May 1, 2014, make sure you note that those activities (and their related costs) are not included in the project request or the Official NEA Project Budget form.
- j. Plans for reporting and disseminating the study results. Provide plans for making all related research reports accessible to the public, including use of various distribution channels and modes. Describe partnerships, if any, for distributing the results.

ATTACHMENT 2: OFFICIAL NEA PROJECT BUDGET FORM, PAGES 1 and 2 CLICK TO DOWNLOAD: [FORM] [INSTRUCTIONS]

To this button, attach the **Project Budget form, Pages 1 and 2**. The file name should indicate the name of your organization or a recognizable acronym followed by "ProjectBudget." (If you wish to submit a copy of your own project budget, you may do so; see Attachment 4. Your own project budget may not be submitted in lieu of the required form.)

Clearly itemize the project activities and resources for which you are requesting funds; provide justification for each item either in the Official NEA Project Budget Form or as an attachment (see Attachment 4).

No pre-award costs are allowable in the Project Budget. Project costs that are incurred before the project start date will be removed from the Project Budget.

ATTACHMENT 3: BIOGRAPHIES OF KEY PROJECT PERSONNEL (No more than four pages per person)

To this button, attach curriculum vitae for the key personnel to be involved in the project. The file name should indicate the name of your organization or a recognizable acronym followed by "CV" (e.g., "ABCOrgCV").

ATTACHMENT 4: OPTIONAL PROJECT BUDGET (Three-page limit)

If you wish to submit a copy of a differently formatted budget (e.g., one created for your own planning purposes), attach it to this button. The file name should indicate the name of your organization or a recognizable acronym followed by "SepBudget." Limit this to a maximum of three pages.

Include justification for each item in the Official NEA Project Budget Form (Attachment 2). This item is not required. However, **please note that the Official NEA Project Budget form (described under Attachment 2)** is required

MATTACHMENT 5: SPECIAL ITEMS

To this button, attach a single file that includes the **items specified below**. The file name should indicate the name of your organization or a recognizable acronym followed by "SpecReqs."

- Data management plan (no more than two pages): Describe the types of raw data and meta-data to be generated by the project, and address any plans for sharing those data with other researchers and the public. The data management plan will be evaluated by panelists as part of the application review. At a minimum, data management plans should address.
- 1. Types of raw data (e.g., results of data collection) and meta-data (e.g., data collection instruments, codebooks) to be produced in the course of the research project.
- 2. Standards to be used for raw- and meta-data format and content. Where existing standards are absent or inadequate, this should be documented along with any proposed solutions or remedies.
- 3. Policies for sharing the raw- and meta-data with researchers and the public, including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements. To the degree possible, explain factors that may affect making the data publicly available. If appropriate, explain the lowest level of aggregated data that will be shared with others.
- 4. *Plans for archiving the raw- and meta-data, and for ensuring continuous access to them* beyond the project period. Describe physical and virtual resources and/or facilities that will be used for data preservation. Include any third-party data

repositories. Explain changes to any roles and responsibilities that will occur if the project leaders leave the applicant organization or project.

A valid data management plan may include only the statement that no detailed plan is needed, as long as the statement is accompanied by a clear justification. If the plan cannot fit within the two-page limit, you may use part of the 10-page Application Narrative for additional data management information. The data management plan may not be used to exceed the 10-page Application Narrative limit. The data management plan will be evaluated under the review criterion for artistic merit.

- Descriptions (e.g., abstracts) about relevant prior research (no more than three pages) conducted by you or key personnel. Include the types of methodology used and project outcomes, and, if available, links to publications.
- Examples related to the data collection, such as survey instruments, sampling design, relative excerpts from or links to codebooks, and other relevant information about the data collection methods, including IRB approval. Only include information that is relevant to the project in this item.

Applicants that include *primary data collection* as a proposed project activity are required to provide documentation regarding 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.

 Information that documents your organization's right to access the dataset(s) specified in your application.

This must be either:

• Written permission that grants you the right to access the dataset(s) specified in your application. The written permission **must** explicitly identify the holder of the access and the date of consent, and, if applicable, time restrictions for accessing the data and the cost of the dataset(s).

OR

• Evidence that the dataset(s) is in the public domain.

OR

• If you will be including the purchase of the dataset(s) in your Official NEA Project Budget, evidence that guarantees that you will have the right to access the dataset(s) upon purchase. Detail the process that you will use, the date by which you will purchase the dataset(s) and secure access rights, and the cost of the dataset(s).

The Arts Endowment may contact you for documentation of access at any time.

• If the proposed project involves *primary data collection*, evidence of having completed federally sponsored training on the protection of human subjects in research is required. Evidence can be demonstrated by providing a certificate of completion from the *Protecting Human Research Participants* free training module offered through the National Institutes of Health (NIH) Office of Extramural Research, or from a comparable training program sponsored by another U.S. federal agency or department. Evidence must be demonstrated by providing copies of the certificate of completion for *each* researcher involved in the project.

Leave all remaining Attachment buttons blank.

Step 5: Submit Items in Steps 1-4 above electronically through Grants.gov [Back to Top]

Follow the detailed instructions under "Submit your electronic application" above.

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National Endowment for the Arts

NEA Home

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Grants :: Apply for a Grant

Research: Art Works

Application Review

The NEA's strategic plan identifies research as a mission-critical goal – specifically, "to promote public knowledge and understanding about the contribution of the arts." Through high-quality research, the NEA will expand opportunities for rigorous research that investigates the value of the U.S. arts ecosystem and the impact of the arts on other domains of American life.

Applications that are complete and responsive to the funding announcement will be evaluated for artistic excellence and artistic merit (as defined below) by an appropriate advisory panel convened in accordance with "What Happens to Your Application" below. Incomplete and/or non-responsive applications or applications that do not follow the instructions given in this funding announcement will not be reviewed and will be deemed ineligible.

Review Criteria

Panelists will provide an impact score for artistic excellence and one for artistic merit that reflect their assessment of the likelihood for the project to exert a sustained, powerful influence on the field of arts research, in consideration of the following review criteria.

Panelists will consider each of the review criteria below. An application does not need to be strong in all areas to be judged likely to have a major impact.

The artistic excellence of the project, which includes the:

- Clarity of the research plan, including the conceptual framework, research design, and analytical methods to be used, in addition to the relationship of these elements to the proposed research questions.
- Overall rigor of the research plan, including the research design and analytical methods to be used.
- Significance of the research questions in addressing and contributing to the existing literature in the field.
- Novelty of the research questions, design, and analytical methods to be used.
- · Qualifications of the project personnel.

The artistic merit of the project, which includes the:

- Potential of the project to achieve results consistent with the NEA outcome for **Understanding**: *Evidence of the value and/or impact of the arts is expanded and promoted*. This includes the potential to elevate the public profile of arts-related research by:
 - Increasing the diversity of fields of expertise that contribute to artsrelated research.
 - Heightening the relevance of arts-related research to policy and practice.
- Appropriateness of the proposed performance measurements and their ability to demonstrate that the NEA outcome was achieved.
- Plans for timely reporting and dissemination of the project results, including distribution strategies to make the research findings accessible to the public.
- Appropriateness of the data management plan. This includes the potential for raw- and/or meta-data to be shared with other researchers and the public, as applicable.
- Ability to carry out the project based on the appropriateness of the budget and the resources involved.

Priority will be given to applications that present theory-driven research questions and methodologies that will yield important information about the value and/or impact of the arts. Competitive applications will take into account any extant research that serves as a basis for a theoretical framework, and helps motivate the proposed project.

What Happens to Your Application

All applications are reviewed by an advisory panel. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all grant awards. Pending the availability of funding, it is anticipated that applicants will be notified of award or rejection in April 2014.

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Award Information

Grant Amounts and Matching Funds

Funding Instrument: Grant

Funds Available and Anticipated Number of Awards: Up to 25 grants, based on the availability of funding.

Grant Amount: Grants generally will range from \$10,000 to \$30,000.

Cost Sharing: All grants require a nonfederal match of at least 1 to 1. For example, if an organization receives a \$10,000 grant, the total eligible project costs must be at least \$20,000 and the organization must provide at least \$10,000 toward the project from nonfederal sources. Indirect costs are allowed.

All applications submitted and NEA grants made in response to these guidelines are subject to NEA's grant regulations and terms and conditions.

Period of Support

The Arts Endowment's support of a project may start on May 1, 2014, or any time thereafter. Grants generally may cover a period of support 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.

No pre-award costs are allowable in the Project Budget. Project costs that are incurred before the project start date will be removed from the Project Budget.

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Award Administration

Crediting Requirement

Grantees must clearly acknowledge support from the National Endowment for the Arts in their programs and related promotional material including publications and websites. Additional acknowledgment requirements may be provided later.

Administrative Requirements

At the end of the grant period, grantees will be required to submit a 30-50 page research report that at a minimum includes three separate components: an abstract, an executive summary, and a full research report:

- The abstract of the project should be approximately 2 to 3 paragraphs in length. This should be a concise summary of the project that describes its content and scope and identifies the project's objective, its methodology and its findings and conclusions;
- The executive summary of the project should be no longer than 5 pages. This should be an extension of the abstract. It should include a brief overview of the project that describes its content and scope and describes and identifies the project's objective, its methodology and its findings and conclusions.

Abstracts and executive summaries for NEA grantee projects will be widely disseminated and therefore must be targeted toward a variety of audiences.

In addition, full research reports (excluding the abstract and executive summary) typically are comprehensive reports of the project, and 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.
- A description of the theory being tested.
- A description of the data used in analysis.
- A summary of the analysis conducted, and related findings.
- A conclusions section, including interpretations of the findings; strengths and limitations of the research; future directions; and research and/or policy recommendations, based on the findings.
- A technical note or summary of the methodology used.

The NEA reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish or otherwise use these materials for federal purposes and to authorize others to do so (see 2 CFR Part 215.36, Intangible Property, OMB Circular A-110). "Federal purposes" include the use of award products in activities or programs undertaken by the federal government, in response to a governmental request, or as otherwise required by federal law. However, the federal government's use of copyrighted materials is not intended to interfere with or disadvantage the recipient or assignee in the sale and distribution of the award product.

It is the NEA's intention to publish grantees' research reports on its website.

Award Notices

Grant decisions for the *Research: Art Works* category are expected to be announced in April 2014.

Note that "announcement" is likely to take the form of a preliminary congratulatory note, a request for revisions, or a rejection notification. Official grant award

notification (i.e., the grant award letter that is signed by the Arts Endowment Chairman) is the only legal and valid confirmation of award. This can take several months to reach you depending on a number of factors such as whether a revised budget is needed for your project, the number of awards to be processed, whether the agency has its appropriation from Congress, etc.

General Terms & Conditions

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our *General Terms & Conditions*. Included is information on U.S. Office of Management and Budget (OMB) requirements, matching funds, reporting requirements, and lobbying prohibitions.

Legal Requirements

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.
 - 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.

- Compensate all professional performers and related or supporting professional personnel on Arts Endowment-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 part 505 of Title 29 of the Code of Federal Regulations. Part 505 does not provide information on specific compensation levels.)
- Assure that no part of any Arts Endowment-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.
- Comply with the federal requirements that are outlined in the "Assurance of Compliance" below.

Assurance of Compliance

By signing the application form, the Applicant certifies that it is in compliance with the statutes outlined below and all related Arts Endowment regulations and will maintain records and submit the reports that are necessary to determine compliance. The Applicant further certifies that it will obtain assurances of compliance from all subrecipients and will require all subrecipients of Arts Endowment funds to comply with these requirements. The Arts Endowment may conduct a review of your organization to ensure that it is in compliance. If the Arts Endowment determines that a grantee has failed to comply with these statutes, it may suspend, terminate, and/or recover funds. This assurance is subject to judicial enforcement.

1. Nondiscrimination Statutes

The Applicant certifies that it does not discriminate:

- On the grounds of race, color, or national origin (including limited English proficiency), in accordance with Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d et seq.).
- 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") (42 U.S.C. 12101-12213). 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.).
- 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.).

For further information and copies of the nondiscrimination regulations identified above, contact the Arts Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T.Y. For inquiries about limited English proficiency, please go to http://www.lep.gov, the FOIA Reading Room, or contact the Office of General Counsel at ogc@arts.gov or 202/682-5418.

- 2. Regulations relating to Debarment and Suspension (2 C.F.R. pt. 3254) in which the Applicant certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in covered transactions by any federal department or agency, nor has, within the three years preceding the submission of this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with a public (federal, state, or local) transaction or a contract under a public transaction; for violation of federal or state antitrust statutes; for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; had any public transactions terminated for cause or default; or is presently indicted for or otherwise criminally or civilly charged by a governmental entity with any of the preceding offenses.
- 3. Federal Debt Status (OMB Circular A-129). The applicant certifies that it is not delinquent in the repayment of any federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments.
- 4. Labor Standards (29 C.F.R. pt 505). The applicant certifies that, if awarded a grant, it will comply with the labor standards set out in Labor Standards on Projects or Productions Assisted by Grants from the National Endowments for the Arts and Humanities.
- 5. **The Drug-Free Workplace Act of 1988** (41 U.S.C. 701 et seq. and 45 C.F.R. pt. 1154) requires grantee organizations, within 30 days of receiving a grant, to make a continuing, good faith effort to maintain a drug-free workplace through implementation of the following:
 - Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace, and specifying the actions that will be taken against employees for violation of the prohibition. (For the purposes of this Act, alcohol is not considered a controlled substance.) The grantee shall give a copy of the statement to each employee who will be involved in grant-supported activities and notify those employees that they are expected to abide by the statement. For the purposes of this law, "employees" include consultants and temporary personnel (but not volunteers), who are directly engaged in work under the grant and who are on the grantee's payroll. The grantee should maintain on file the address of each site where work is performed under the grant.
 - Establish a drug-free awareness program that will inform employees about the dangers of drug abuse in the workplace, the grantee's policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that might be imposed for workplace drug abuse violations. Employees should be informed that any conviction for a violation of a criminal drug statute that occurs in the workplace must be reported to the employer, in writing, no later than five calendar days after such a conviction. The grantee, in turn, must notify the Arts Endowment's Grants & Contracts Officer, in writing, within ten calendar days of receiving such notice from its employee. The grantee's notice to the Arts Endowment must include the convicted individual's position title

and the number(s) of each affected grant.

- Within 30 calendar days of receiving notice of an employee's criminal drug conviction a grantee should take appropriate personnel action against the convicted employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program that has been approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.
- 6. The Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. 3001 et seq.) which applies to any organization which controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.
- 7. The Davis-Bacon and Related Acts (DBRA), as amended, which require that each contract over \$2,000 to which the United States is a party for the construction, alteration, or repair of public buildings or public works (these activities include, but are not limited to, painting, decorating, altering, remodeling, installing pieces fabricated off-site, and furnishing supplies or equipment for a work-site) contain a clause setting forth the minimum wages to be paid to laborers and mechanics employed under the contract. Under the provisions of DBRA, contractors or their subcontractors must pay workers who qualify under DBRA no less than the locally prevailing wages and fringe benefits paid on projects of a similar character.

Information about the laborers and projects that fall under DBRA can be found in the Department of Labor's Compliance Guide at http://www.dol.gov/compliance/guide/dbra.htm. DBRA wage determinations are to be used in accordance with the provisions of Regulations, 29 CFR Part 1, Part 3, and Part 5, and with DOL's Compliance Guide. The provisions of DBRA apply within the 50 states, territories, protectorates, and Native American nations (if the labor is completed by non-tribal laborers).

Other

If your project, including the planning stage, has environmental implications (e.g., an arts festival in a park or the commissioning and installation of an outdoor sculpture), you may be asked to provide information to the Arts Endowment in response to specific questions in accordance with the **National Environmental Policy Act**.

If your project includes the planning for major renovation of any structure that is eligible for or on the National Register of Historic Places, you may be requested to provide additional information on your project to ensure compliance with the **National Historic Preservation Act**. This law also applies to planning for new construction that would affect historic properties. If a structure for your proposed project is more than fifty years old, contact your state historic preservation office for more information.

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OTHER INFORMATION

Staff Visits

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

Standards for Service

The Arts Endowment 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're meeting these standards. Please address them to: Office of Guidelines & Panel Operations, Room 620, National Endowment for the Arts, 1100 Pennsylvania Ave., NW, Washington, DC 20506-0001, e-mail: webmgr@arts.gov, attention: Standards for Service.

For questions about these guidelines or your application, contact researchgrants@arts.gov.

In addition, applicants will receive an invitation to participate in a voluntary survey to provide feedback on the grant application guidelines on our website and any experiences consulting with our staff.

Reporting Burden

The public reporting burden for this collection of information is estimated at an average of 32 hours per response including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Arts Endowment welcomes 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: Office of Guidelines & Panel Operations, Room 620, National Endowment for the Arts, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001. Note: Applicants are not required to respond to the collection of information unless it displays a currently valid U.S. Office of Management and Budget (OMB) control number.

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