

# REQUEST FOR APPLICATIONS

## Statistical and Research Methodology in Education

**CFDA Number: 84.305D**

<b>Milestone</b>	<b>Date</b>	<b>Website</b>
<i>Letter of Intent Due</i>	May 5, 2016	<a href="https://iesreview.ed.gov/">https://iesreview.ed.gov/</a>
<i>Application Package Available</i>	May 5, 2016	<a href="http://www.grants.gov/">http://www.grants.gov/</a>
<b><i>Application Due</i></b>	<b>No later than 4:30:00 pm Washington DC time on August 4, 2016</b>	<a href="http://www.grants.gov/">http://www.grants.gov/</a>
<i>Applicants Notified</i>	By July 1, 2017	<a href="https://iesreview.ed.gov/">https://iesreview.ed.gov/</a>
<i>Possible Start Dates</i>	July 1, 2017 to September 1, 2017	

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## PART I: GENERAL OVERVIEW

### A. INTRODUCTION

In this announcement, the Institute of Education Sciences (Institute) requests applications for research projects that will contribute to its Statistical and Research Methodology in Education program (CFDA 84.305D). The goal of this research program is to provide a wide range of methodological and statistical tools that will better enable applied education scientists to conduct rigorous education research.

For the FY 2017 competition, the Institute will consider only applications that are responsive and compliant to the requirements described in this Request for Applications (RFA) *and* submitted electronically via Grants.gov (<http://www.grants.gov>) on time. Separate funding announcements are available on the Institute's website that pertain to the other research and training grant programs funded through the Institute's National Center for Education Research (<http://ncer.ed.gov>) and to the discretionary grant competitions funded through the Institute's National Center for Special Education Research (<http://ncser.ed.gov>). An overview of the Institute's research grant programs is available at <http://ies.ed.gov/funding/overview.asp>.

The mission of the Institute, broadly speaking, is to provide rigorous evidence on which to ground education practice and policy and to encourage its use. Critical to achieving this mission is providing education scientists with the tools they need to conduct rigorous applied research. To that end, the Institute invites applications to develop new methodological approaches, to extend and improve existing methods, and to create other tools that would enhance the ability of researchers to conduct high quality, scientific education research. For information on the types of research that the Institute funds, please see the Institute's research funding announcements at <http://ies.ed.gov/funding>. Researchers should plan for disseminating their results to a wide range of audiences including researchers who may further develop the methods, applied education researchers who may directly apply the methods in their own work, and, when applicable, practitioners and policymakers who may consider the results from such methods.

The Institute encourages you to contact the Institute's Program Officers as you develop your application. Program Officers can provide guidance on substantive aspects of your application and answer any questions prior to submitting an application. The Program Officer for this competition is:

Dr. Phill Gagné  
Email: [Phill.Gagne@ed.gov](mailto:Phill.Gagne@ed.gov)  
Telephone: (202) 245-7139

The Institute asks potential applicants to submit a Letter of Intent (see [Part III.C.1](#)) prior to the application submission deadline. Letters of Intent are optional but strongly encouraged by the Institute. If you submit a Letter of Intent, a Program Officer will contact you regarding your proposed research. Institute staff also uses the information in the letters of intent to identify the expertise needed for the scientific peer-review panels and to secure a sufficient number of reviewers to handle the anticipated number of applications. If you do not submit a Letter of Intent, then you are still eligible to submit an application.

In addition, the Institute encourages you to sign up for the Institute's Funding Opportunities Webinars for advice on choosing the correct research competition, grant writing, or submitting your application. For more information regarding webinar topics, dates, and the registration process, see <http://ies.ed.gov/funding/webinars/index.asp>.

## B. APPLICANT REQUIREMENTS

### 1. Eligible Applicants

Applicants that have the ability and capacity to conduct scientific research are eligible to apply. Eligible applicants include, but are not limited to, non-profit and for-profit organizations and public and private agencies and institutions, such as colleges and universities.

### 2. The Principal Investigator and Authorized Organization Representative

#### *The Principal Investigator*

The Principal Investigator (PI) is the individual who has the authority and responsibility for the proper conduct of the research, including the appropriate use of federal funds and the submission of required scientific progress reports.<sup>1</sup> For FY 2017, a PI under the Early Career topic must have received his/her doctorate on or after April 1, 2012.

Your organization is responsible for identifying the PI on a grant application and may elect to designate more than one person to serve in this role. In so doing, your institution identifies her or him as sharing the authority and responsibility for leading and directing the research project intellectually and logistically. All PIs will be listed on any grant award notification. Institutions applying for funding, however, must designate a single point of contact for the project. The role of this person is primarily for communication purposes on the scientific and related budgetary aspects of the project and should be listed as the PI. All other PIs should be listed as co-Principal Investigators.

The PI will attend one meeting each year (for up to 2 days) in Washington, DC with other Institute grantees and Institute staff. The project's budget should include this meeting. Should the PI not be able to attend the meeting, s/he can designate another person who is key personnel on the research team to attend.

#### *The Authorized Organization Representative*

The Authorized Organization Representative (AOR) for the applicant institution is the official who has the authority both to legally commit the applicant to (1) accept federal funding and (2) execute the proposed project. When your application is submitted through Grants.gov, the AOR automatically signs the cover sheet of the application, and in doing so, assures compliance with U.S. Department of Education policy on public access to scientific publications and data as well as other policies and regulations governing research awards (see [Part III.B. Additional Award Requirements](#)).

### 3. Common Applicant Questions

- *May I submit an application if I did not submit a Letter of Intent?* Yes, but the Institute strongly encourages you to submit one. If you miss the deadline for submitting a Letter of Intent, then contact the appropriate Program Officer for the topic that seems to best fit your research. Please see [Part III.C.1 Submitting a Letter of Intent](#) for more information.
- *Is there a limit on the number of times I may revise and resubmit an application?* No. Currently, there is no limit on resubmissions. Please see [Part III.C.2. Resubmissions and Multiple Submissions](#) for important information about requirements for resubmissions.
- *May I submit the same application to more than one of the Institute's grant programs?* No.

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<sup>1</sup> The Institute uses the uniform format for reporting performance progress on Federally-funded research projects, the Research Performance Progress Report (RPPR <http://www.nsf.gov/bfa/dias/policy/rppr/>) for these reports.

- *May I submit multiple applications?* Yes. You may submit multiple applications if they are substantively different than one another. Multiple applications may be submitted within the same topic, across different topics, or across the Institute's grant programs.
- *May I apply if I work at a for-profit developer or distributor of an intervention or assessment?* Yes. You may apply if you or your collaborators develop, distribute, or otherwise market products or services (for-profit or non-profit) that can be used as interventions, components of interventions, or assessments in the proposed research activities. The involvement of the developer or distributor, however, must not jeopardize the objectivity of the research. In cases where the developer or distributor is part of the proposed research team, you should discuss how you will ensure the objectivity of the research in the Project Narrative.
- *May I apply if I intend to copyright products (e.g., curriculum) developed using grant funds?* Yes. Products derived from Institute-funded grants may be copyrighted and used by the grantee for proprietary purposes, but the Department reserves a royalty-free, non-exclusive, and irrevocable right to reproduce, publish, or otherwise use such products for Federal purposes and to authorize others to do so [2 C.F.R. § 200.315(b) (2014)] ([http://www.ecfr.gov/cgi-bin/text-idx?SID=114a76aaec6398e1309d731056ee2df&node=pt2.1.200&rgn=div5#se2.1.200\\_1315](http://www.ecfr.gov/cgi-bin/text-idx?SID=114a76aaec6398e1309d731056ee2df&node=pt2.1.200&rgn=div5#se2.1.200_1315)).
- *May I apply to do research on non-U.S. topics or using non-U.S. data?* Yes, but research supported by the Institute must be relevant to education in the United States and you should justify the relevance of such research in your application.
- *May I apply if I am not located in the United States or if I want to collaborate with researchers located outside of the United States?* Yes, you may submit an application if your institution is not located in the territorial United States. You may also propose working with subawardees who are not located in the territorial United States. In both cases, your proposed work must be relevant to education in the United States. Also, institutions not located in the territorial United States (both primary grantees and subawardees) cannot charge indirect costs.

## C. CHANGES IN THE FY 2017 REQUEST FOR APPLICATIONS

If you are familiar with the RFA for Statistical and Research Methodology in Education from previous years, please note the following changes.

- In FY 2016, the Institute restricted applications to the Early Career Grants topic. For FY 2017, the Institute is accepting applications to both the Regular Grants topic and the Early Career Grants topic.
- The Institute strengthened language to make clear that projects funded under this RFA are to be relevant to applied education researchers and/or education practitioners. This RFA is not intended to fund work that exclusively focuses on, or even primarily focuses on, issues faced only by methodological researchers. The Institute is requesting projects of immediate practical use to applied researchers. The projects should develop products (e.g., methods, software, guidelines, or other methodological resources) by their end that will improve the planning, conduct, and/or interpretation of applied education research.
- You have the option of using [SciENCv](#) to create an IES Biosketch for each key person and significant contributor to include in your application as an attachment on the Research & Related Senior/Key Person Profile (Expanded) form. See [Part IV.D.9: Biographical Sketches of Senior/Key Personnel](#) for information about page limitations, format requirements, and content to be included in the biosketch.

## PART II: STATISTICAL AND RESEARCH METHODOLOGY IN EDUCATION

### A. OVERVIEW

In this section, the Institute provides examples of areas in which research is needed to improve the statistical and methodological practices of applied education scientists. The Institute is interested in the development of practical statistical and methodological products (e.g., methods, guidelines or other methodological resources, software) that can be used by most education researchers (rather than only by statisticians and researchers with highly sophisticated statistical skills) to improve the designs of their studies, analyses of their data, and interpretations of their findings. For example, applied education researchers are more likely to use easily accessible, stand-alone software with documentation written for a general research audience and disseminated through well-established websites than programs designed for highly trained statisticians and disseminated solely through methodological journals.

The Institute recognizes that there is a wide range of methodological needs in applied education research. For FY 2017, the Institute is especially interested in seeing applications that address the following:

- **Improving Methods to Make Important Policy Decisions:** Education leaders and policymakers use statistical methods to make important decisions. For example, value-added modeling methods often play an important role in high-stakes decisions regarding teacher tenure, pay, promotion, and termination. During a 2012 Institute-hosted meeting, "Recent Advances in Teacher Effectiveness," attendees were concerned that the ongoing adoption of teacher evaluation systems for high-stakes decisions was outpacing the research base underlying value-added modeling (see [http://ies.ed.gov/director/teacher\\_effectiveness.asp](http://ies.ed.gov/director/teacher_effectiveness.asp); also see Guarino, Reckase, and Woolridge, 2012; Harris, Sass, and Semykina, 2010; McCaffrey, et al., 2009; Papay, 2010; Rothstein, 2010; Steele, Hamilton, and Stecher, 2010). Research is needed to address the practical uses of value-added methods including (a) identifying, determining the importance of, and remedying methodological concerns with value-added models; (b) developing ways to improve the estimates produced by value-added models that can be implemented by education practitioners; and (c) determining the appropriate application of value-added models for different evaluation purposes. Other methods of similar importance and use to policy decisions can be examined as well.
- **Variability in Effects:** Evaluations of program and policy interventions estimate average effects but often find that effects vary substantially around the average, and the sources of that variability are not well understood (Weiss, Bloom, and Brock, 2014). Research is needed to improve or expand methods to identify factors (e.g., neighborhood context, school or organizational characteristics, student or family characteristics) that may account for such variation. This work might also include the further development and refinement of methods for the systematic collection and analysis of data on moderating and mediating variables. Ultimately, the Institute seeks to advise researchers on what moderators and mediators to include in their studies and how best to conduct the corresponding analyses.
- **Generalizability of Findings:** Multilevel analyses of data from rigorous evaluation designs provide estimates of effects across multiple classrooms, schools, or districts but the direct applicability of these estimates to the schools within or outside the sample is rarely considered. Applied researchers need tools to answer such questions as "Does it work in my school?" from a principal whose school was in the sample or "Could this work in my district?" from a superintendent whose school district was not involved in the study. The use of convenience sampling in evaluations increases the complexity of generalizing results. There has been some work in education on developing weights based on surveys or other sources of information on the population to make



the estimate of the treatment effect more likely to reflect the effect in the general population (Stuart et al., 2011; Tipton, 2013; Tipton et al., 2014), but further research is needed.

- **Analyzing Big Data:** The increasing availability of education data sets that feature a great many participants and/or many variables creates new opportunities to address applied research questions once the appropriate techniques are developed. For example, while OLS regression has approaches for quantifying cross-validation, little work has been done to develop a measure of cross-validation in multilevel modeling, leaving statements about generalizability in education research to supposition based on rough comparisons of student and district demographics. What potential do classification and regression trees have to yield better predictions for dichotomous outcomes? With a large number of variables, in what ways might Bayesian structural time series or elastic net regression help to yield a less cumbersome predictive model? These are but a few of the areas of methodological inquiry relevant to the use of big data in education research.

In addition, the Institute recognizes a need for applications in the following areas:

- **Quasi-experimental Designs (QEDs):** QEDs (e.g., matching and regression discontinuity designs) are typically employed when random assignment is not feasible to evaluate the impact of an intervention. Work is needed to determine which methods best reduce selection bias in estimates of the treatment effect and the conditions that are necessary for producing such results. The Institute has restricted-use data files from random assignment studies that could be used to conduct this type of study. Information on obtaining the Institute's restricted-use data licenses is available at <http://nces.ed.gov/pubsearch/licenses.asp>.
- **NAEP Analysis:** The National Assessment of Educational Progress (NAEP) provides educators and policymakers with valid and meaningful information; however, its psychometric and sampling designs present an analytic challenge for many education researchers. Research is needed to develop tools or methods to help education leaders and decision makers use data from and to support education researchers' application of advanced analytic techniques to the NAEP data.
- **Interpreting Impacts:** Findings from evaluation studies are often presented in ways that lack clear practical implications (e.g., Cohen's 1988 guidelines on effect sizes). Education researchers and consumers of education research need tools to help them interpret the findings in ways that help with the decisions they need to make. For example, policymakers and practitioners might find it more helpful if an intervention's effects on student achievement were benchmarked against normal student academic growth, student achievement gaps, impacts of other interventions, or through a comparison of the intervention's costs and benefits (Hill, et al., 2008; Lipsey, et al., 2012).
- **Single-case Designs:** Single-case experimental designs are critically important for research with low-incidence disability populations. A recent paper commissioned by the Institute (Shadish, Hedges, Odom, and Horner, 2015) provides a thorough theoretical treatment and applied demonstration of effect sizes in single-case research, but further research remains not only in the area of effect sizes, but also to improve or extend the statistical analyses of different single-case designs (e.g., alternating treatments, multiple baselines) and use of different approaches (e.g., hierarchical linear modeling, nonparametric tests) while addressing such analytical challenges as lack of independence between observations, low numbers of participants, and phase shifts.

The Institute is interested in research across a wide range of areas, and you are not limited to those described above. The Institute encourages applications in the above areas, especially the first four noted, because it believes research in these areas can contribute to important advances in applied education research.

## B. GENERAL REQUIREMENTS OF THE PROPOSED RESEARCH

### 1. Resubmissions

If you intend to revise and resubmit an application that was submitted to one of the Institute's previous competitions but was not funded, you must indicate on the SF-424 Form of the Application Package (Items 4a and 8) (see Part V.E.I) that your FY 2017 application is a resubmission (Item 8) and include the application number of the previous application (an 11- character alphanumeric identifier beginning "R305D") in Item 4a. Prior reviews will be sent to this year's reviewers, along with the resubmitted application. You must describe your response to the prior reviews in Appendix A. Revised and resubmitted applications will be reviewed according to the FY 2017 Request for Applications.

If you submitted a somewhat similar application in the past and did not receive an award but are submitting the current application as a new application, you should indicate on the application form (Item 8) that your FY 2017 application is a new application. In Appendix A ([Part IV.C.3](#)) you should provide a rationale explaining why your FY 2017 application should be considered a new application rather than a revision. If you do not provide such an explanation, then the Institute may send the reviews of the prior unfunded application to this year's reviewers along with the current application.

### 2. Submitting Multiple Applications

You may submit applications to more than one of the Institute's FY 2017 research grant competitions. For example, you could submit an application to the Statistical and Research Methodology in Education program (84.305D) and a second application to the Education Research Grants program (84.305A). In addition, within a particular competition, you may submit multiple applications. However, you may not submit the same or similar applications to more than one competition. In cases where this restriction is not met, the Institute will determine whether and which applications are accepted for review and/or are eligible for funding.

## C. TOPICS

For the FY 2017 competition, the Institute is competing two topics: (1) Regular Grants and (2) Early Career Grants for researchers who completed their doctorates within the last five years. Both topics are to address the same types of methodological issues and meet the same requirements (except those regarding Personnel) discussed throughout this Request for Applications. They differ in maximum project duration and award amount.

### 1. Regular Grants

The proposed duration of the project should reflect the scope of work to be accomplished. **The maximum duration of a Statistical and Research Methodology in Education project under the Regular Grants topic is 3 years.** Applications that propose a longer project duration will be deemed nonresponsive to the Request for Applications and will not be accepted for review.

The budget should reflect the scope of the work to be conducted and the personnel and resource requirements to conduct the work. **The maximum award for a Statistical and Research Methodology in Education project under the Regular Grants topic is \$900,000 (total cost = direct + indirect costs).** An application proposing a budget higher than the maximum award will be deemed nonresponsive to the Request for Applications and will not be accepted for review.

### 2. Early Career Grants

The Institute established the Early Career Grants topic for applications from early career researchers in order to help them implement their research agendas. **Applicants to the Early Career Grants topic must have received their doctorate on or after April 1, 2012.** Applicants eligible for the Early Career Grants topic may apply to either the Early Career or the Regular grants topic. You should indicate your choice on the SF-424 cover sheet and at the top of the first page of the Project Narrative.

The Early Career topic is intended for applicants proposing high-quality work of the type discussed in the Overview section but that can be done over a shorter period and requires less funding. **The maximum duration of a Statistical and Research Methodology project under the Early Career Grants topic is 2 years.** Applications submitted under the Early Career Grants topic that propose a longer project duration will be deemed nonresponsive to the Request for Applications and will not be accepted for review.

The budget should reflect the scope of the work to be conducted and the personnel and resource requirements to conduct the work. **The maximum award for a Statistical and Research Methodology project under the Early Career Grants topic is \$200,000 (total cost = direct + indirect costs).** An Early Career application proposing a budget higher than the maximum award will be deemed nonresponsive to the Request for Applications and will not be accepted for review.

## **D. SPECIFIC REQUIREMENTS OF THE PROPOSED RESEARCH**

The Institute intends to fund research projects that aim to expand and improve the methodological and statistical tools that are available for applied education researchers conducting research of the type that the Institute funds through its research grant competitions, statistics contracts, and evaluation contracts. For FY 2017, the Institute requests projects that will provide findings, resources, and tools of immediate practical use to applied education researchers by the end of the project.

### **1. The Project Narrative**

The project narrative for a Statistical and Research Methodology in Education project application must be no longer than 25 pages and must include four sections: Significance, Research Plan, Personnel, and Resources. Use the Significance section to explain why it is important to develop the statistical or research method. Use the Research Plan section to detail how you will develop the method. Use the Personnel section to describe the relevant expertise of your research team and their responsibilities within and time commitments to the project. Use the Resources section to describe your access to institutional resources, any needed education delivery settings (e.g., schools), and relevant data sources; to describe your access to applied education researchers who can check the usability of the method; and to describe your plans for and capacity to disseminate your results to a wide audience.

#### **a. Significance of the Project**

In the Significance section of the project narrative, you should clearly describe your research aims while providing a compelling rationale for the development of a new method or the further development of an existing one. The Significance section should answer three questions: (a) *What is the specific method the project is intended to produce?*; (b) *How is this method expected to produce more accurate and/or more usable research results than current practice?*; and (c) *What is the overall importance of the proposed project to solving practical problems encountered by applied education researchers?*

In answering these questions, you should do the following:

1. Describe the specific issue or problem faced by applied education researchers that your work addresses.
2. Discuss the overall importance of this issue/problem to the improvement of applied education research, the overall importance of its resolution, and its relevance to the type of work the Institute funds.
3. Describe current methods used to address this issue or problem and explain why current practice is not satisfactory.
4. Describe the intended practical statistical/methodological product of your project (e.g., methods, guidelines or other methodological resources, software) and how it is to be implemented. Contrast this with current typical practice and its identified shortcomings. A detailed description

will clearly show your product has the potential to produce substantially more accurate and/or more usable research results because (a) it is sufficiently different from current practice that it does not suffer from the same shortcomings; (b) there are theoretical and empirical justifications for expecting it to function as planned; and (c) applied education researchers will be able to use it.

5. If you propose to further develop a product from a previous project, justify the need for another award, and describe the results and outcomes of your prior or currently held awards that contributed to the development of the method.
6. Discuss how the products of your research will be made widely available. This discussion must include a description of how the products of your research will be made accessible to applied education researchers and/or education practitioners.
7. For applications to the Early Career topic, if you are proposing work that builds on your dissertation, you should describe how the new work substantially differs from and expands on your past work. To this end, you should describe your dissertation with enough detail to ensure that the peer reviewers will understand the differences between it and the proposed work.

You must discuss the relevance of the proposed research to applied education researchers. The Institute is interested in the development of practical statistical and methodological tools that can be used by applied education researchers to improve the designs of their studies, analyses of their data, and interpretations of their findings. **Applications missing this discussion will be deemed nonresponsive to the Request for Applications and will not be reviewed.**

#### **b. Research Plan**

The Research Plan must clearly describe how you will develop and test the method as well as check its usability by applied education researchers. You should provide sufficient detail for reviewers to understand what you are proposing to undertake and to judge the degree to which following the plan will yield answers to the research questions. The research plan should provide evidence that you have alternative approaches if difficulties are encountered.

You may propose to collect and analyze original data and/or to analyze secondary data. If original data collection is part of the proposed design, you must describe the sample (including criteria for inclusion/exclusion), measures (including evidence of reliability and validity for the specified use), and procedures proposed for the data collection. **Applications proposing to collect original data but lacking such a description of the data collection process will be deemed nonresponsive to the Request for Applications and will not be accepted for review.** You should also provide sufficient documentation (e.g., Letters of Agreement) to assure reviewers that you already have access to the settings where data will be collected or that access can be obtained and the project can be carried out in a timely fashion.

If you propose secondary data analyses, you must describe the data set(s) to be used in the investigation including information on sampling design, sample characteristics, variables to be used, and the structure of the data set. The data set should be described in sufficient detail to allow reviewers to judge whether the proposed analyses can be conducted with the data set. If multiple data sets will be linked to conduct analyses, you should provide sufficient detail for reviewers to judge the feasibility of the linking plan. **Applications proposing to analyze secondary data but lacking such a description of the data set(s) to be used will be deemed nonresponsive to the Request for Applications and will not be accepted for review.** You should also provide sufficient documentation (e.g., Letters of Agreement) to assure reviewers that you have access to the data or that access can be obtained and the project can be carried out in a timely fashion.

If you proposed to conduct a simulation study, the procedure should be described at the level of detail typically found in the Method section of a research manuscript, including a description of the variables to be manipulated, a description of the outcome(s) of interest, and as applicable, criteria for determining whether outcomes such as biases or differences between parameter estimates are consequential. You must describe the data generation process, including the sample size(s), the values of relevant fixed parameters, the values that will be used for parameters that are varied in the simulation study, and the software package that will be used to generate the data. **Applications proposing to conduct a simulation study but lacking a description of the data generation plan will be deemed nonresponsive to the Request for Applications and will not be accepted for review.**

You must include a detailed description of the data analysis procedures. The data analytic plan should have sufficient detail to permit reviewers to judge the appropriateness and adequacy of the plan for addressing the hypotheses or research questions. You should include an explicit discussion of how exclusion from testing, or missing data, will be handled within the statistical analyses. **Applications lacking a description of the data analysis procedures will be deemed nonresponsive to the Request for Applications and will not be accepted for review.**

You must describe how you will test whether the method works as intended. In addition, you must describe how you will determine whether applied education researchers and/or practitioners can successfully use the method (e.g., colleagues might use the method in their own research, students could use the method in a course you teach, etc.). **Applications lacking a description of either the test of the method or of how you will determine whether applied education researchers and/or practitioners can successfully use the method will be deemed nonresponsive to the Request for Applications and will not be accepted for review.**

### **c. Personnel**

For your application to be competitive, you will need a research team that collectively demonstrates expertise in the relevant content domain(s), the methodology required, working with the datasets proposed for use, adapting methods for use by applied education researchers, and working with schools or other education agencies as needed.

This section should identify all key personnel on the project team including those from other organizations. You should briefly describe the following for all key personnel:

1. Qualifications;
2. Roles and responsibilities within the project;
3. Percent of time and calendar months per year (academic plus summer) to be devoted to the project; and
4. Past success at disseminating research findings in peer-reviewed scientific journals and directly to applied education researchers, education policymakers, and practitioners.

For applications to the Early Career Grants category, you as the principal investigator must have received your doctorate on or after April 1, 2012. In addition, you must include a mentor or advisory panel as a collaborating researcher(s). You must include these persons as key personnel and describe their qualifications for the proposed research and their roles on the project in the Personnel section. Mentors and advisers cannot have served as your dissertation adviser. Grant funds can be used to support the mentors' and advisers' roles in the project. **Although mentors and advisers may be co-authors, the Institute expects that principal investigators will have first authorship on primary research publications resulting from the grant.**

#### **d. Resources**

You should discuss the institutional resources and capacity to carry out the proposed work and disseminate the methods.

You should describe the institutional resources of all the institutions involved in the proposed research that will be used to support your study. These include the following:

- Access to resources available at the primary institution and any subaward institutions.
- Institutional capacity and experience to manage a grant of this type and size and the procedures to be used to manage the project successfully.
- Access to any data sets required and, if applicable, to schools (or other education delivery settings) with whom you will be working. Include letters of agreement in Appendix D documenting the willingness of organizations to allow you to use their data sets for the purposes of your study and, if applicable, the availability and cooperation of the schools to take part in the project. These letters should convey that the organizations understand what their participation in the study will involve (e.g., provision of specific data, annual student and teacher surveys, and student assessments).
- Access to education researchers to user-test the method (e.g., identify applied education researchers willing to try the method in their work or courses in which students will use and critique the method).
- If you have previously received a Statistical and Research Methodology in Education award, you should indicate the results of your past work, its dissemination, and its use by other researchers and/or policymakers and practitioners. In addition, you should discuss any theoretical contributions made by your previous work. By demonstrating that your previous work has made these contributions, you provide a stronger case for engaging in another Statistical and Research Methodology in Education project.

You should describe your capacity to disseminate the products of your research. This should include the following:

- Identifying the audiences that you expect will be most likely to benefit from your research such as the following:
  - Applied education researchers who may use your research and/or product in their education research.
  - Practitioners and policymakers who may need advice on how to interpret or how much confidence to have in results obtained using specific methods.
  - Methods researchers who may develop it further or apply it in their methods development.
- Discussing how you intend to reach these audiences (e.g., through publications, websites, workshops, demonstrations, and presentations) and the resources available to carry out these types of dissemination.
- Describing your skills and experience with dissemination and/or the skills and experience of your partners on the project. For example, you may involve a communications office in your organization or work with a professional association to help disseminate your products.

## E. ENSURING RESPONSIVENESS OF THE PROJECT NARRATIVE

The Institute will review only applications that are responsive to the requirements set out in this request. To help ensure responsiveness to the substantive requirements for the Project Narrative, you should be sure to include the following:

In the **Significance** section:

- A discussion of the relevance of the proposed research to current challenges facing applied education researchers.

In the **Research Plan**:

- A discussion of:
  - 1) the data generation process if simulation research is being done; how access to extant data sets will be secured if secondary data are being used along with a description of the data set(s); and the data collection process if primary data are being collected;
  - 2) the data analyses to be done;
  - 3) how you will test whether the method works as intended; and
  - 4) how you will ensure the usability of the proposed products of the project by applied education researchers.

In the **Personnel** section:

- The research team at both the primary applicant institution and any subaward institutions.
- For applications to the Early Career Grants topic:
  - a discussion of how the proposed work differs from the PI's dissertation research (if the project will build off of the dissertation research),
  - a description of the mentor(s) and/or advisory panel and the role they will play (noting that none served as the PI's dissertation adviser), and
  - identification of the date of the PI's doctorate which must be on or after April 1, 2012.

In the **Resources** section:

- A description of access to and/or a plan to acquire the resources you will need to successfully complete this project at the primary applicant institution and any subaward institutions.

Overall:

- A time frame that does not exceed the maximum project duration and a budget that does not exceed the maximum award.

## **PART III: COMPETITION REGULATIONS AND REVIEW CRITERIA**

### **A. FUNDING MECHANISMS AND RESTRICTIONS**

#### **1. Mechanism of Support**

The Institute intends to award grants pursuant to this Request for Applications.

#### **2. Funding Available**

All awards pursuant to this Request for Applications are contingent upon the availability of funds and the receipt of meritorious applications. The Institute makes its awards to the highest quality applications, as determined through scientific peer review, regardless of topic.

#### **3. Special Considerations for Budget Expenses**

##### *Indirect Cost Rate*

When calculating your expenses for research conducted in field settings, you should apply your institution's federally negotiated off-campus indirect cost rate. Questions about indirect cost rates should be directed to the U.S. Department of Education's Indirect Cost Group <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Institutions, both primary grantees and subawardees, not located in the territorial United States cannot charge indirect costs.

##### *Meetings and Conferences*

If you are requesting funds to cover expenses for hosting meetings or conferences, please note that there are statutory and regulatory requirements in determining whether costs are reasonable and necessary. Please refer to OMB's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR, [§200.432 Conferences](#).

In particular, federal grant funds cannot be used to pay for alcoholic beverages or entertainment, which includes costs for amusement, diversion, and social activities. In general, federal funds may not be used to pay for food. A grantee hosting a meeting or conference may not use grant funds to pay for food for conference attendees unless doing so is necessary to accomplish legitimate meeting or conference business. You may request funds to cover expenses for working meetings (e.g., working lunches); however, the Institute will determine whether these costs are allowable in keeping with the Uniform Guidance Cost Principles. Grantees are responsible for the proper use of their grant awards and may have to repay funds to the Department if they violate the rules for meeting- and conference-related expenses or other disallowed expenditures.

#### **4. Program Authority**

20 U.S.C. 9501 et seq., the "Education Sciences Reform Act of 2002," Title I of Public Law 107-279, November 5, 2002. This program is not subject to the intergovernmental review requirements of Executive Order 12372.

#### **5. Applicable Regulations**

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) codified at CFR Part 200. The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 77, 81, 82, 84, 86 (part 86 applies only to institutions of higher education), 97, 98, and 99. In addition 34 CFR part 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230.



## B. ADDITIONAL AWARD REQUIREMENTS

### 1. Public Availability of Results

Recipients of awards are expected to publish or otherwise make publicly available the results of the work supported through this program. Institute-funded investigators must submit final manuscripts resulting from research supported in whole or in part by the Institute to the Educational Resources Information Center (ERIC, <http://eric.ed.gov>) upon acceptance for publication. An author's final manuscript is defined as the final version accepted for journal publication and includes all graphics and supplemental materials that are associated with the article. The Institute will make the manuscript available to the public through ERIC no later than 12 months after the official date of publication. Investigators and their institutions are responsible for ensuring that any publishing or copyright agreements concerning submitted articles fully comply with this requirement.

### 2. Special Conditions on Grants

The Institute may impose special conditions on a grant pertinent to the proper implementation of key aspects of the proposed research design or if the grantee is not financially stable, has a history of unsatisfactory performance, has an unsatisfactory financial or other management system, has not fulfilled the conditions of a prior grant, or is otherwise not responsible.

### 3. Demonstrating Access to Data and Authentic Education Settings

The research you propose to do may require that you have (or will obtain) access to secondary data sets or studies currently under way. In such cases, you will need to provide evidence that you have access to these resources prior to receiving funding. Whenever possible, include letters of agreement in Appendix D from those who have responsibility for or access to the data or settings you wish to incorporate when you submit your application. Even in circumstances where you have included such letters with your application, **the Institute may require additional supporting evidence prior to the release of funds.** If you cannot provide such documentation, the Institute may not award the grant or may withhold funds.

You will need supporting evidence of partnership or access if you are:

- *Conducting research in or with authentic education settings* - If your application is being considered for funding based on scientific merit scores from the peer-review panel and your research relies on access to authentic education settings (e.g., schools), you will need to provide documentation that you have access to the necessary settings in order to receive the grant. This means that if you do not have permission to conduct the proposed project in the necessary number of settings at the time of application, you will need to provide documentation to the Institute indicating that you have successfully recruited the necessary number of settings for the proposed research before the full first-year costs will be awarded. If you recruited sufficient numbers of settings prior to the application, the Institute may ask you to provide documentation that the settings originally recruited for the application are still willing to partner in the research.
- *Using secondary data sets* - If your application is being considered for funding based on scientific merit scores from the peer-review panel and your research relies on access to secondary data sets (e.g., federally-collected data sets, state or district administrative data, or data collected by you or other researchers), you will need to provide documentation that you have access to the necessary data sets in order to receive the grant. This means that if you do not have permission to use the proposed data sets at the time of application, you must provide documentation to the Institute from the entity controlling the data set(s) before the grant will be awarded. This documentation must indicate that you have permission to use the data for the proposed research for the time period discussed in the application. If you obtained permission to use a proposed data set prior to submitting your application, the

Institute may ask you to provide updated documentation indicating that you still have permission to use the data set to conduct the proposed research during the project period.

- *Building off of existing studies* - You may propose studies that piggyback onto an ongoing study (i.e., that require access to subjects and data from another study). In such cases, the Principal Investigator of the existing study should be one of the members of the research team applying for the grant to conduct the new project.

In addition to obtaining evidence of access, the Institute strongly advises applicants to establish a written agreement, within 3 months of receipt of an award, among all key collaborators and their institutions (e.g., Principal and co-Principal Investigators) regarding roles, responsibilities, access to data, publication rights, and decision-making procedures.

## C. OVERVIEW OF APPLICATION AND PEER REVIEW PROCESS

### 1. Submitting a Letter of Intent

The Institute strongly encourages potential applicants to submit a Letter of Intent by May 5, 2016. Letters of Intent are optional, non-binding, and not used in the peer review of a subsequent application. If you submit a Letter of Intent, then one of the Institute's Program Officers will contact you regarding your proposed research to offer assistance. The Institute also uses the Letter of Intent to identify the expertise needed for the scientific peer-review panels and to secure a sufficient number of reviewers to handle the anticipated number of applications. Should you miss the deadline for submitting a Letter of Intent, you may still submit an application. If you miss the Letter of Intent deadline, the Institute asks that you inform the relevant Program Officer of your intention to submit an application.

Letters of Intent are submitted online at (<https://iesreview.ed.gov>). **Select the Letter of Intent form for the topic under which you plan to submit your application.** The online submission form contains fields for each of the seven content areas listed below. Use these fields to provide the requested information. The project description should be single-spaced and should not exceed one page (about 3,500 characters).

- Descriptive title
- Topic (Regular or Early Career)
- Brief description of the proposed project
- Name, institutional affiliation, address, telephone number and e-mail address of the Principal Investigator and any co-Principal Investigators
- Name and institutional affiliation of any key collaborators and contractors
- Duration of the proposed project (attend to the Duration maximums for the topic)
- Estimated total budget request (attend to the Budget maximums for the topic)

### 2. Resubmissions and Multiple Submissions

If you intend to revise and resubmit an application that was submitted to one of the Institute's previous competitions but that was not funded, you must indicate on the [SF-424 Form of the Application Package \(Items 4a and 8\)](#) (see [Part V.E.1.](#)) that the FY 2017 application is a resubmission (Item 8) and include the application number of the previous application (an 11-character alphanumeric identifier beginning "R305" or "R324" entered in Item 4a). Prior reviews will be sent to this year's reviewers along with the resubmitted application. You must describe your response to the prior reviews using [Appendix A](#) (see [Part IV.C.3.](#)). Revised and resubmitted applications will be reviewed according to this FY 2017 Request for Applications.

If you submitted a somewhat similar application in the past and did not receive an award but are submitting the current application as a new application, you should indicate on the application form that the FY 2017 application is a new application. In Appendix A ([Part IV.C.3](#)), you should provide a rationale

explaining why your FY 2017 application should be considered a new application rather than a revision. If you do not provide such an explanation, then the Institute may send the reviews of the prior unfunded application to this year's reviewers along with the current application.

You may submit applications to more than one of the Institute's FY 2017 grant programs. In addition, within a particular grant program or topic, you may submit multiple applications. However, you may submit a given application only once for the FY 2017 grant competitions (i.e., you may not submit the same application or similar applications to multiple grant programs, multiple topics, or multiple times within the same topic). If you submit the same or similar applications, the Institute will determine whether and which applications will be accepted for review and/or will be eligible for funding.

### **3. Application Processing**

**Applications must be submitted electronically and received no later than 4:30:00 p.m., Washington, DC time on August 4, 2016** through the Internet using the software provided on the Grants.gov website: <http://www.grants.gov/>. You must follow the application procedures and submission requirements described in [Part IV Preparing Your Application](#) and [Part V Submitting Your Application](#) and the instructions in the User Guides provided by Grants.gov <http://www.grants.gov/web/grants/applicants/applicant-resources.html>.

After receiving the applications, Institute staff will review each application for compliance and responsiveness to this Request for Applications. Applications that do not address specific requirements of this request will not be considered further.

Once you formally submit an application, Institute staff will not comment on its status until the award decisions are announced (no later than July 1, 2017), except with respect to issues of compliance and responsiveness. This communication will come through the Applicant Notification System (<https://iesreview.ed.gov>).

**Once an application has been submitted and the application deadline has passed, you may not submit additional materials for inclusion with your application.**

### **4. Peer Review Process**

The Institute will forward all applications that are compliant and responsive to this Request for Applications to be evaluated for scientific and technical merit. Scientific reviews are conducted in accordance with the review criteria stated below and the review procedures posted on the Institute's website, [http://ies.ed.gov/director/sro/peer\\_review/application\\_review.asp](http://ies.ed.gov/director/sro/peer_review/application_review.asp), by a panel of scientists who have substantive and methodological expertise appropriate to the program of research and Request for Applications.

Each compliant and responsive application is assigned to one of the Institute's scientific review panels. At least two primary reviewers will complete written evaluations of the application, identifying strengths and weaknesses related to each of the review criteria. Primary reviewers will independently assign a score for each criterion, as well as an overall score, for each application they review. Based on the overall scores assigned by primary reviewers, the Institute calculates an average overall score for each application and prepares a preliminary rank order of applications before the full peer-review panel convenes to complete the review of applications.

The full panel will consider and score only those applications deemed to be the most competitive and to have the highest merit, as reflected by the preliminary rank order. A panel member may nominate for consideration by the full panel any application that he or she believes merits full panel review but that would not have been included in the full panel meeting based on its preliminary rank order.

## **5. Review Criteria for Scientific Merit**

The purpose of Institute-supported research is to contribute to solving education problems and to provide reliable information about the education practices that support learning and improve academic achievement and access to education for all students. The Institute expects reviewers for all applications to assess the following aspects of an application in order to judge the likelihood that the proposed research will have a substantial impact on the pursuit of that goal. Information pertinent to each of these criteria is also described above in [Part II.D. Specific Requirements of the Proposed Research](#).

### **a. Significance**

Does the applicant provide a compelling rationale for the significance of the project as defined in the Significance section? Do the proposed products of the project meet the needs of applied education researchers?

### **b. Research Plan**

Does the applicant meet the requirements described in the Research Plan section? Does the applicant provide a clear and complete plan for carrying out the research to address the research questions and goals of the project?

### **c. Personnel**

Does the description of the personnel make it apparent that the Principal Investigator and other key personnel possess appropriate training and experience and will commit sufficient time to competently implement the proposed research?

In addition, for projects under the Early Career Grants topic, does the project include the appropriate advisory personnel?

### **d. Resources**

Does the applicant have the facilities, equipment, supplies, and other resources required to support the proposed activities (i.e., to develop and test the method, determine its usability for applied education research, and disseminate the results to a range of audiences)? Do the commitments of each partner show support for the implementation and success of the project?

## **6. Award Decisions**

The following will be considered in making award decisions for responsive and compliant applications:

- Scientific merit as determined by peer review.
- Performance and use of funds under a previous Federal award.
- Contribution to the overall program of research described in this Request for Applications.
- Availability of funds.

## **PART IV: PREPARING YOUR APPLICATION**

### **A. GRANT APPLICATION PACKAGE**

The application contents – individual forms and their PDF attachments – represent the body of an application to the Institute. All applications for Institute funding must be self-contained. As an example, reviewers are under no obligation to view an internet website if you include the site address (URL) in the application. In addition, **you may not submit additional materials directly to the Institute after the application package is submitted.**

The Application Package for this competition (84-305D2017) provides all of the forms that you must complete and submit. The application form approved for use in the competition specified in this Request for Applications is the government-wide SF-424 Research and Related (R&R) Form (OMB Number 4040-0001).

#### **1. Date Application Package is Available on Grants.gov**

The Application Package will be available on <http://www.grants.gov/> by May 5, 2016.

#### **2. How to Download the Correct Application Package**

To find the correct downloadable Application Package, you must first search by the CFDA number for this research competition without the alpha suffix. To submit an application to the Statistical and Research Methodology in Education Grants program, you must search on: CFDA 84.305.

The Grants.gov search on CFDA 84.305 will yield more than one Application Package. For the Statistical and Research Methodology in Education Grants program, you must download the Application Package marked:

- Statistical and Research Methodology in Education CFDA 84.305D

You must download the Application Package that is designated for this grant competition. If you use a different Application Package, even if it is for another Institute competition, the application will be submitted to the wrong competition. Applications submitted using the incorrect application package run the risk of not being reviewed according to the requirements and recommendations for the Statistical and Research Methodology in Education competition.

See [Part V: Submitting Your Application](#), for a complete description of the forms that make up the application package and directions for filling out these forms.

### **B. GENERAL FORMATTING**

For a complete application, you must submit the following as individual attachments to the R&R forms that are contained in the application package for this competition in Adobe Portable Document Format (PDF):

- Project Summary/Abstract;
- Project Narrative, and if applicable, Appendix A, Appendix B, Appendix C, and Appendix D (all together as one PDF file);
- Bibliography and References Cited;
- Research on Human Subjects Narrative (i.e., Exempt or Non-Exempt Research Narrative);
- A Biographical Sketch for each senior/key person;
- A List of Current and Pending Support for each senior/key person;
- A Narrative Budget Justification for the total Project budget; and

- Subaward Budget(s) that has (have) been extracted from the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form, if applicable.

Information about the formatting requirements for all of these documents except the [Subaward budget attachment \(see Part V.E.6.\)](#) is provided below.

### **1. Page and Margin Specifications**

For all Institute research grant applications, a “page” is 8.5 in. x 11 in., on one side only, with 1 inch margins at the top, bottom, and both sides.

### **2. Page Numbering**

Add page numbers using the header or footer function, and place them at the bottom or upper right corner for ease of reading.

### **3. Spacing**

Text must be single spaced.

### **4. Type Size (Font Size)**

Type must conform to the following three requirements:

- The height of the letters must not be smaller than a type size of 12 point.
- Type density, including characters and spaces, must be no more than 15 characters per inch (cpi). For proportional spacing, the average for any representative section of text must not exceed 15 cpi.
- Type size must yield no more than 6 lines of type within a vertical inch.

You should check the type size using a standard device for measuring type size, rather than relying on the font selected for a particular word processing/prINTER combination. The type size used must conform to all three requirements. Small type size makes it difficult for reviewers to read the application; consequently, the use of small type will be grounds for the Institute to return the application without peer review.

Adherence to type size and line spacing requirements is necessary so that no applicant will have an unfair advantage, by using small type or by providing more text in their applications. These requirements apply to the PDF file as submitted. As a practical matter, if you use a 12-point Times New Roman font without compressing, kerning, condensing or other alterations, the application will typically meet these requirements.

### **5. Graphs, Diagrams, and Tables**

You are encouraged to use black and white in graphs, diagrams, tables, and charts. If color is used, you should ensure that the material reproduces well when photocopied in black and white.

Text in figures, charts, and tables, including legends, may be in a type size smaller than 12 point but must be readily legible.

## **C. PDF ATTACHMENTS**

### **1. Project Summary/Abstract**

#### **a. Submission**

You must submit the project summary/abstract as a separate PDF attachment at Item 7 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

## **b. Page limitations**

The project summary/abstract is limited to 1 single-spaced page.

## **c. Content**

The project summary/abstract should include the following:

- **Title** of the project.
- The **topic** to which you are applying (Early Career, Regular).
- **Purpose:** A brief description of the purpose of the project (e.g., to develop and document the feasibility of an intervention) and its significance for improving education outcomes for U.S. students.
- **Setting:** A brief description of the location (e.g., state or states) where the research will take place and other important characteristics of the locale (e.g., urban/suburban/rural).
- **Sample:** A brief description of the sample that will be involved in the study (e.g., number of participants, age or grade level, race/ethnicity, SES).
- **Methodological Development:** A brief description of the method to be developed, evaluated, or validated.
- **Control Condition:** If applicable, a brief description of the control or comparison condition used in a simulation or secondary data analysis.
- **Research Design and Methods:** Briefly describe the major features of the design and methodology to be used (e.g., Monte Carlo simulation, secondary data analysis, iterative design process).
- **Key Measures:** A brief description of key measures and outcomes.
- **Data Analytic Strategy:** A brief description of the data analytic strategy that will be used to answer research questions.

Please see <http://ies.ed.gov/ncer/projects> for examples of the content to be included in your project summary/abstract.

## **2. Project Narrative**

### **a. Submission**

You must submit the project narrative as a separate PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

### **b. Page limitations**

The project narrative is limited to 25 pages. **If the narrative exceeds this page limit, the Institute will remove any pages after the 25<sup>th</sup> page of the narrative.**

To help reviewers locate information and conduct the highest quality review, you should write a concise and easy to read narrative, with pages numbered consecutively using the header or footer function to place numbers at the top or bottom right-hand corner.

### **c. Format for citing references in text**

To ensure that all applicants have the same amount of available space in which to describe their projects in the project narrative, use the author-date style of citation (e.g., James, 2004), such as that described in the Publication Manual of the American Psychological Association, 6th Ed. (American Psychological Association, 2009).



#### **d. Content**

Your project narrative **must** include four sections in order to be compliant with the requirements of this Request for Applications: (1) Significance; (2) Research Plan; (3) Personnel; and (4) Resources. Information to be included in each of these sections is detailed in [Part II.D: Specific Requirements of the Proposed Research](#). **The information you include in each of these four sections will provide the majority of the information on which reviewers will evaluate the application.**

### **3. Appendix A (Required for Resubmissions)**

#### **a. Submission**

If your application is a resubmission you must include Appendix A at the end of the project narrative. If your application is one that you consider to be new but that is similar to a previous application, you should include Appendix A. Include Appendix A after the project narrative as part of the same PDF attachment at Item 8 of the Other Project Information.

#### **b. Page limitations**

Appendix A is limited to 3 pages.

#### **c. Content**

**Appendix A is required if you are resubmitting an application.** Use Appendix A to describe how the revised application is responsive to prior reviewer comments.

If you have submitted a somewhat similar application in the past but are submitting the current application as a new application, you should use Appendix A to provide a rationale explaining why the current application should be considered a “new” application rather than a “resubmitted” application.

These are the only materials that may be included in Appendix A; all other materials will be removed prior to review of the application.

### **4. Appendix B (Optional)**

#### **a. Submission**

If you choose to have an Appendix B, you must include it at the end of the project narrative, following Appendix A (if included), and submit it as part of the same PDF attachment at Item 8 of the Other Project Information form.

#### **b. Page limitations**

Appendix B is limited to 15 pages.

#### **c. Content**

You may include figures, charts (e.g., a timeline for your research project), or tables that supplement the project narrative as well as examples of measures (e.g., tests, surveys, observation and interview protocols) to be used in the project in Appendix B. These are the only materials that may be included in Appendix B; all other materials will be removed prior to review of the application. You should include narrative text that describes your project in the 25-page project narrative, not in Appendix B.

### **5. Appendix C (Optional)**

#### **a. Submission**

If you choose to have an Appendix C, you must include it at the end of the project narrative, following Appendix B (if no Appendix B is included, then Appendix C should follow Appendix A, if included) and submit it as part of the same PDF attachment at Item 8 of the Other Project Information.



**b. Page limitations**

Appendix C is limited to 10 pages.

**c. Content**

In Appendix C, if you are proposing to study, develop, evaluate, or validate an intervention or assessment you may include examples of curriculum material, computer screen shots, assessment items, or other materials used in the intervention or assessment to be studied, developed, evaluated, or validated. These are the only materials that may be included in Appendix C; all other materials will be removed prior to review of the application. You should include narrative text describing these materials in the 25-page project narrative, not in Appendix C.

**6. Appendix D (Optional)****a. Submission**

If you choose to have an Appendix D, you must include it at the end of the project narrative, following Appendix C (if no Appendix C is included, then Appendix D should follow Appendix B if it is included, or Appendix A, if it is included) and submit it as part of the same PDF attachment at Item 8 of the Other Project Information form.

**b. Page limitations**

Appendix D does not have a page limit.

**c. Content**

Include in Appendix D the letters of agreement from partners (e.g., schools and districts), data sources (e.g., state agencies holding administrative data), and consultants. Ensure that the letters reproduce well so that reviewers can easily read them. Do not reduce the size of the letters. Although, see [Part V.D.4. Attaching Files](#) for guidance regarding the size of file attachments.

Letters of agreement should include enough information to make it clear that the author of the letter understands the nature of the commitment of time, space, and resources to the research project that will be required if the application is funded. A common reason for projects to fail is loss of participating schools and districts. Letters of agreement regarding the provision of data should make it clear that the author of the letter will provide the data described in the application for use in the proposed research and in time to meet the proposed schedule.

These are the only materials that may be included in Appendix D; all other materials will be removed prior to review of the application.

**7. Bibliography and References Cited****a. Submission**

You must submit this section as a separate PDF attachment at Item 9 of the Other Project Information form.

**b. Page limitations**

The Bibliography and References Cited does not have a page limit.

**c. Content**

You should include complete citations, including the names of all authors (in the same sequence in which they appear in the publication), titles (e.g., article and journal, chapter and book, book), page numbers, and year of publication for literature cited in the project narrative.

**8. Research on Human Subjects Narrative**

**a. Submission**

The human subjects narrative must be submitted as a PDF attachment at Item 12 of the Other Project Information form (see [Part V.E.4: Research & Related Other Project Information](#)).

**b. Page limitations**

The human subjects narrative does not have a page limit.

**c. Content**

The human subjects narrative should address the information specified by the U.S. Department of Education's Regulations for the Protection of Human Subjects (see <http://www2.ed.gov/about/offices/list/ocfo/humansub.html> for additional information).

*Exempt Research on Human Subjects Narrative*

Provide an "exempt" narrative if you checked "yes" on Item 1 of the Research & Related Other Project Information form. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by the Department that the designated exemption(s) are appropriate. The six categories of research that qualify for exemption from coverage by the regulations are described on the Department's website <http://www2.ed.gov/policy/fund/guid/humansub/overview.html>.

*Non-exempt Research on Human Subjects Narrative*

If some or all of the planned research activities are covered (not exempt) from the Human Subjects Regulations and you checked "no" on Item 1 of the Research & Related Other Project Information form, provide a "nonexempt research" narrative. The nonexempt narrative should describe the following: the characteristics of the subject population; the data to be collected from human subjects; recruitment and consent procedures; any potential risks; planned procedures for protecting against or minimizing potential risks; the importance of the knowledge to be gained relative to potential risks; and any other sites where human subjects are involved.

Note that the U.S. Department of Education does not require certification of Institutional Review Board approval at the time you submit your application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated U.S. Department of Education official will request that you obtain and send the certification to the Department within 30 days after the formal request.

**9. Biographical Sketches of Senior/Key Personnel****a. Submission**

Each sketch will be submitted as a separate PDF attachment and attached to the Research & Related Senior/Key Person Profile (Expanded) form (see [Part V.E.2: Research & Related Senior/Key Person Profile \[Expanded\]](#)). The Institute encourages you to use the biosketch template available through [SciENCy](#) or you may develop your own biosketch format.

**b. Page limitations**

Each biographical sketch is limited to 5 pages which includes Current & Pending Support.

**c. Content**

Provide a biographical sketch for the Principal Investigator, each co-Principal Investigator, and each co-Investigator that includes information sufficient to demonstrate that key personnel possess training and expertise commensurate with their specified duties on the proposed project (e.g., publications, grants,

and relevant research experience). If you'd like, you may also include biographical sketches for consultants (this form will allow for up to 40 biographical sketches in total).

Provide a list of current and pending grants for the Principal Investigator, each Co-Principal Investigator, and other key personnel, along with the proportion of his/her time, expressed as percent effort over a 12-month calendar year, allocated to each project. Include the proposed grant as one of his/her pending grants in this list. If the total 12-month calendar year percent effort across all current and pending projects exceeds 100 percent, you must explain how time will be allocated if all pending applications are successful in the Narrative Budget Justification. If you use [SciENCv](#), the information on current and pending support will be entered into the biosketch template. If you use your own format, you will need to provide this information in a separate table.

## **10. Narrative Budget Justification**

### **a. Submission**

The narrative budget justification must be submitted as a PDF attachment at Section K of the first project period of the Research & Related Budget (SF 424) Sections A & B; C, D, & E; and F-K form for the Project (see [Part V.E.5 Research & Related Budget \(Total Federal + Non-Federal\) - Sections A & B; C, D, & E; and F-K](#)). For grant submissions with a subaward(s), a separate narrative budget justification for each subaward must be submitted and attached at Section K of the Research & Related Budget (SF 424) for the specific Subaward/Consortium that has been extracted and attached using the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form (see [Part V.E.6](#)).

### **b. Page limitations**

The narrative budget justification does not have a page limit.

### **c. Content**

A narrative budget justification must be submitted for the Project budget, and a separate narrative budget justification must be submitted for any subaward budgets included in the application. Each narrative budget justification should provide sufficient detail to allow reviewers to judge whether reasonable costs have been attributed to the project and its subawards, if applicable. The budget justification should correspond to the itemized breakdown of project costs that is provided in the corresponding Research & Related Budget (SF 424) Sections A & B; C, D, & E; and F-K form for each year of the project. The narrative should include the time commitments for key personnel expressed as annual percent effort (i.e., calculated over a 12-month period) and brief descriptions of the responsibilities of key personnel. For consultants, the narrative should include the number of days of anticipated consultation, the expected rate of compensation, travel, per diem, and other related costs. A justification for equipment purchases, supplies, travel (including information regarding number of days of travel, mode of transportation, per diem rates, number of travelers, etc.), and other related project costs should also be provided for each project year outlined in the Research & Related Budget (SF 424).

### **d. Indirect cost rate**

You must use your institution's federally negotiated indirect cost rate. When calculating your indirect costs on expenses for research conducted in field settings, you should apply your institution's negotiated off-campus indirect cost rate (see [Part III.A.3: Special Considerations for Budget Expenses](#)).

If your institution does not have a federally negotiated indirect cost rate you should consult a member of the Indirect Cost Group (ICG) in the U.S. Department of Education's Office of the Chief Financial Officer <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html> to help you estimate the indirect cost rate to put in your application.

## PART V: SUBMITTING YOUR APPLICATION

This part of the RFA describes important submission procedures you need to be aware of to ensure your application is received on time (no later than 4:30:00 pm Washington DC time on August 4, 2016) and accepted by the Institute. Any questions that you may have about electronic submission via Grants.gov should first be addressed to the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, or call 1-800-518-4726.

Additional help with submitting an application electronically through the Grants.gov website is available at <http://www.grants.gov/web/grants/applicants/applicant-resources.html>. The Institute also offers webinars on the application submission process <http://ies.ed.gov/funding/webinars/index.asp>.

### A. MANDATORY ELECTRONIC SUBMISSION OF APPLICATIONS AND DEADLINE

Applications must be submitted electronically through the Internet using the software and application package provided on the Grants.gov website: <http://www.grants.gov/>. Applications must be received (fully uploaded and processed by Grants.gov) no later than 4:30:00 pm Washington, DC time on August 4, 2016. Applications received by Grants.gov after the 4:30:00 pm application deadline will be considered late and will not be sent forward for scientific peer review.

Electronic submission is required unless you qualify for one of the exceptions to the electronic submission requirement *and* submit, no later than 2 weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. A description of the Allowable Exceptions to Electronic Submissions is provided at the end of this document.

Please consider submitting your application ahead of the deadline date (the Institute recommends 3 to 4 days in advance of the closing date and time) to avoid running the risk of a late submission that will not be reviewed. **The Institute does not accept late applications.**

### B. REGISTER ON GRANTS.GOV

To submit an application through Grants.gov, your institution must be registered with Grants.gov (<http://www.grants.gov/web/grants/register.html>).

Grants.gov registration involves many steps including registration in the System for Award Management (SAM; formerly known as the Central Contractor Registry or CCR) at <http://www.sam.gov>. Grants.gov recommends that your institution begin the registration process at least 4 weeks prior to the application deadline date.

#### 1. Register Early

Registration involves multiple steps (described below) and takes at least 3 to 5 business days, or as long as 4 weeks, to complete. You must complete all registration steps to allow a successful application submission via Grants.gov. You may begin working on your application while completing the registration process, but you will not be permitted to submit your application until all of the Registration Steps are complete.

#### 2. How to Register

- Choose "Organization Applicant" for the type of registration.
- Complete the DUNS OR DUNS+4 Number field.

- If your organization does not already have a DUNS Number, you can request one online by using the form at the Dun & Bradstreet website <http://fedgov.dnb.com/webform> or by phone (866-705-5711).
- To submit your application successfully, the DUNS number in your application must be the one that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM. **If you don't enter the same DUNS number as the DUNS you registered with, Grants.gov will reject your application.**
- Register with the System for Award Management (SAM) <http://www.sam.gov>.
  - You can learn more about the SAM and the registration process for grant applicants in the SAM user guide: [https://www.sam.gov/sam/transcript/Quick Guide for Grants Registrations v1.7.pdf](https://www.sam.gov/sam/transcript/Quick%20Guide%20for%20Grants%20Registrations%20v1.7.pdf)
  - For further assistance, please consult the tip sheet that the U.S. Department of Education has prepared for help with the SAM system <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.
  - Registration with the SAM may take a week to complete, but could take as many as several weeks to complete, depending on the completeness and accuracy of the data entered into the SAM database by an applicant. The SAM registration must be updated annually.
  - Once your SAM registration is active, it will take 24 to 48 hours for the information to be available in Grants.gov. You will only be able to submit your application via Grants.gov once the SAM information is available in Grants.gov.
- Create your Username & Password
  - Complete your AOR (Authorized Organization Representative) profile on Grants.gov and create your username and password. You will need to use your organization's DUNS Number to complete this step. <https://apply07.grants.gov/apply/OrcRegister>.
- AOR Authorization
  - The E-Business Point of Contact (E-Biz POC) at your organization must login to Grants.gov to confirm you as an AOR. Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization.

## C. SUBMISSION AND SUBMISSION VERIFICATION

### 1. Submit Early

The Institute strongly recommends that you not wait until the deadline date to submit an application. Grants.gov will put a date/time stamp on the application and then process it after it is fully uploaded.

**The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your internet connection.** If Grants.gov rejects your application due to errors in the application package, you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date as determined by Grants.gov. As an example, if you begin the submission process at 4:00:00 p.m. Washington, DC time on the deadline date, and Grants.gov rejects the application at 4:15:00 p.m. Washington, DC time, there may not be enough

time for you to locate the error that caused the submission to be rejected, correct it, and then attempt to submit the application again before the 4:30:00 p.m. Washington, DC time deadline. **You are strongly encouraged to begin the submission process at least 3 to 4 days before the deadline date to ensure a successful, on-time submission.**

## 2. Verify Submission is OK

The Institute urges you to verify that Grants.gov and the Institute have received the application on time and that it was validated successfully. To see the date and time that your application was received by Grants.gov, you need to log on to Grants.gov and click on the "Track My Application" link <http://www.grants.gov/web/grants/applicants/track-my-application.html>. For a successful submission, the date/time received should be no later than 4:30:00 p.m. Washington DC time on the deadline date, and the application status should be: (1) Validated (i.e., no errors in submission); (2) Received by Agency (i.e., Grants.gov has transmitted the submission to the U.S. Department of Education); and (3) Agency Tracking Number Assigned (the U.S. Department of Education has assigned a unique PR/Award Number to the application).

Note: If the date/time received is later than 4:30:00 p.m. Washington, DC time on the deadline date, the application is late. If the application has a status of "Received", it is still awaiting validation by Grants.gov. Once validation is complete, the status will change either to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," the application has not been received successfully. Grants.gov provides information on reasons why applications may be rejected in its Frequently Asked Questions (FAQ) page.

- Grants.gov FAQ  
<http://www.grants.gov/web/grants/support/general-support/faqs.html>
- Grants.gov Adobe Reader FAQs  
<http://www.grants.gov/web/grants/support/general-support/faqs/adobe-reader-faqs.html>

You will receive four emails regarding the status of your submission; the first three will come from Grants.gov and the fourth will come from the U.S. Department of Education. Within 2 days of submitting a grant application to Grants.gov, you will receive three emails from Grants.gov:

- The first email message will confirm receipt of the application by the Grants.gov system and will provide you with an application tracking number beginning with the word "GRANT", for example GRANT00234567. You can use this number to track your application on Grants.gov using the "Track My Application" link <http://www.grants.gov/web/grants/applicants/track-my-application.html> before it is transmitted to the U.S. Department of Education.
- The second email message will indicate that the application EITHER has been successfully validated by the Grants.gov system prior to transmission to the U.S. Department of Education OR has been rejected due to errors, in which case it will not be transmitted to the Department.
- The third email message will indicate that the U.S. Department of Education has confirmed retrieval of the application from Grants.gov once it has been validated.

If the second email message indicates that the application, as identified by its unique application tracking number, is valid and the time of receipt was no later than 4:30:00 p.m. Washington DC time, then the application is successful and on-time.

Note: You should not rely solely on e-mail to confirm whether an application has been received on-time and validated successfully. The Institute urges you to use the "Track My Application" link on Grants.gov

to verify on-time, valid submissions in addition to the confirmation emails, <http://www.grants.gov/web/grants/applicants/track-my-application.html>.

Once Grants.gov validates the application and transmits it to the U.S. Department of Education, you will receive an email from the U.S. Department of Education.

- This fourth email message will indicate that the application has been assigned a PR/Award number unique to the application beginning with the letter R, followed by the section of the CFDA number unique to that research competition (e.g., 305D), the fiscal year for the submission (e.g., 17 for fiscal year 2017), and finally four digits unique to the application, for example R305D17XXXX. If the application was received after the closing date/time, this email will also indicate that the application is late and will not be given further consideration.

Note: The Institute strongly recommends that you begin the submission process at least 3 to 4 days in advance of the closing date to allow for a successful and timely submission.

### 3. Late Applications

If your application is submitted after 4:30:00 p.m. Washington, DC time on the application deadline date your application will not be accepted and will not be reviewed. **The Institute does not accept late applications.**

Late applications are often the result of one or more common submission problems that could not be resolved because there was not enough time to do so before the application deadline. Grants.gov has several resources that can help you resolve problems such as these.

- <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>
- <http://www.grants.gov/web/grants/applicants/encountering-error-messages.html>

If after consulting these resources you still experience problems submitting an application through Grants.gov, contact the Grants.gov Support Desk ([support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, 1-800-518-4726) to obtain a Case Number (e.g., 1-12345678) that you should keep as a record of the problem(s) you experienced. If the Grants.gov Support Desk determines that a technical problem occurred with the Grants.gov system, and determines that the problem affected your ability to submit the application by the submission deadline, you may petition the Institute to accept your application for review by emailing the Program Officer for the topic designated in your application with an explanation of the technical problem experienced with Grants.gov and the Case Number. However, you should ensure that your problem(s) were not one of those that are identified by Grants.gov as common application errors because these are not grounds for petition. **The Institute will not accept an application that was late due to failure to follow the submission guidelines provided by Grants.gov and summarized in this RFA.**

### D. TIPS FOR WORKING WITH GRANTS.GOV

The Institute strongly encourages you to use the "Check Application for Errors" button at the top of the grant application package to identify errors or missing required information that can prevent an application from being processed and sent forward for review.

Note: You must click the "Save and Submit" button at the top of the application package to upload the application to the Grants.gov website. The "Save and Submit" button will become active only after you have used the "Check Package for Errors" button and then clicked the "Save" button. Once the "Save and Submit" button is clicked, you will need to enter the user name and password that were created upon registration with Grants.gov.



## 1. Working Offline

When you download the application package from Grants.gov, you will be working offline and saving data on your computer. You will need to logon to Grants.gov to upload the completed application package and submit the application.

## 2. Connecting to the Internet

- Using a dial-up connection to upload and submit an application can take significantly longer than using a high-speed connection to the internet (e.g., cable modem/DSL/T1). Although times will vary depending upon the size of the application, it can take a few minutes to a few hours to complete the grant submission using a dial-up connection.
- Browser Support: Grants.gov is a Custom Java Application that uses standard web-browsers as the client. Grants.gov leverages the latest web technologies such as Ajax which relies extensively on JavaScript, HTML, and CSS. Grants.gov recommends you use the most up-to-date web browser to ensure an on-time submission.

## 3. Software Requirements

You will need Adobe software to read and complete the application forms for submission through Grants.gov. Grants.gov supports Adobe Reader version 9 through 11

<http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

## 4. Attaching Files

The forms included in the application package provide the means for you to attach Adobe Portable Document Format (PDF) files. **You must attach read-only, non-modifiable PDF files**; any other file attachment will cause your application to be rejected by Grants.gov.

If you include scanned documents as part of a PDF file (e.g., Letters of Agreement in Appendix D), scan them at the lowest resolution to minimize the size of the file and expedite the upload process. PDF files that contain graphics and/or scanned material can greatly increase the size of the file attachments and can result in difficulties opening the files. The average discretionary grant application package totals 1 to 2 MB; therefore, **check the total size of your application package before you attempt to submit it**. Very large application packages can take a long time to upload, putting the application at risk of being received late and therefore not accepted by the Institute.

PDF files included in the application **must** be:

- **In a read-only, non-modifiable format.**
- **Individual files** (attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable PDF file will not be read).
- **Not password protected.**
- **Given a file name that is:**
  - **Unique** - Grants.gov cannot process an application that includes two or more file attachments that have the same name.
  - **No more than 50 characters.**
  - **Contains no special characters (e.g., &, -, \*, %, /, #), blank spaces, periods, or accent marks in the file name** (you may use an underscore to indicate word separation in file names such as "my\_Attached\_File.pdf").

Please note that if these guidelines are not followed, your application will be rejected by Grants.gov and not forwarded to the U.S. Department of Education.



## E. REQUIRED RESEARCH & RELATED (R&R) FORMS AND OTHER FORMS

You must complete and submit the R&R forms described below. All of these forms are provided in the application package for this competition (84-305D2017). Please note that fields marked by an asterisk, highlighted in yellow and outlined in red on these forms are required fields and must be completed to ensure a successful submission.

Note: Although not required fields, Items 4a (Federal Identifier) and b (Agency Routing Number) on the Application for Federal Assistance SF 424 (R&R) form provide critical information to the Institute and should be filled out for an application to this research grant competition.

### 1. Application for Federal Assistance SF 424 (R&R)

This form asks for general information about the applicant, including but not limited to the following: contact information; an Employer Identification Number (EIN); a DUNS number; a descriptive title for the project; an indication of the project topic; Principal Investigator contact information; start and end dates for the project; congressional district; total estimated project funding; and Authorized Representative contact information.

Because information on this form populates selected fields on some of the other forms described below, you should complete this form first. This form allows you to attach a cover letter; however, the Institute does not require a cover letter so you should not attach one here.

Provide the requested information using the drop down menus when available. Guidance for completing selected items follows.

- Item 1

Type of Submission. Select either "Application" or "Changed/Corrected Application". "Changed/Corrected Application" should only be selected in the event that you need to submit an updated version of an already submitted application (e.g., you realized you left something out of the first application submitted). The Institute does not require Pre-applications for its grant competitions.

- Item 2

Date Submitted. Enter the date the application is submitted to the Institute.

Applicant Identifier. Leave this blank.

- Item 3

Date Received by State and State Application Identifier. Leave these items blank.

- Item 4

Note: This item provides important information that is used by the Institute to screen applications for responsiveness to the competition requirements and for assignment to the appropriate scientific peer review panel. **It is critical that you complete this information completely and accurately or the application may be rejected as nonresponsive or assigned inaccurately for scientific review of merit.**

- Item 4a: Federal Identifier. **Enter information in this field if this is a Resubmission.** If this application is a revision of an application that was submitted to an Institute grant competition in a prior fiscal year (e.g., FY 2016) that received reviewer feedback, then this

application is considered a "Resubmission" (see Item 8 Type of Application). You should **enter the PR/Award number that was assigned to the prior submission (e.g., R305D16XXXX) in this field.**

- Item 4b: Agency Routing Number. **Enter the code for the topic that the application addresses in this field.** Applications to the Statistical and Research Methodology in Education (CFDA 84.305D) program must be submitted to a particular topic.

Topics	Codes
Regular Grants	NCER-Regular
Early Career Grants	NCER-Early Career

**It is critical that you use the appropriate code in this field and that the code shown in this field agrees with the information included in the application abstract.** Indicating the correct code facilitates the appropriate processing and review of the application. Failure to do so may result in delays to processing and puts your application at risk for being identified as nonresponsive and not considered for further review.

- Item 4c: Previous Grants.gov Tracking ID. If you are submitting a "Changed/Corrected" application (see Item 1) to correct an error, enter the Grants.gov Tracking Number associated with the application that was already submitted through Grants.gov. Note: If you need to correct an error and submit a "Changed/Corrected" application, contact the Program Officer listed on the application package and provide the Grants.gov tracking numbers associated with both applications (the one with the error and the one that has been corrected) and identify which one should be reviewed by the Institute.
- Item 5

Applicant Information. Enter all of the information requested, including the legal name of the applicant, the name of the primary organizational unit (e.g., school, department, division, etc.) that will undertake the activity, and the address, including the county and the 9-digit ZIP/Postal Code of the primary performance site (i.e., the Applicant institution) location. This field is required if the Project Performance Site is located in the United States. The field for "Country" is pre-populated with "USA: UNITED STATES." For applicants located in another country, contact the Program Officer before submitting the application. Use the drop down menus where they are provided.

Organizational DUNS. Enter the DUNS or DUNS+4 number of the applicant organization. A **Data Universal Numbering System (DUNS)** number is a unique 9-character identification number provided by the commercial company Dun & Bradstreet (D&B) to identify organizations. If your institution does not have a DUNS number and therefore needs to register for one, a DUNS number can be obtained through the Dun & Bradstreet website <http://fedgov.dnb.com/webform/displayHomePage.do>.

Note: The DUNS number provided on this form must be the same DUNS number used to register on Grants.gov (and the same as the DUNS number used when registering with the SAM). **If the DUNS number used in the application is not the same as the DUNS number used to register with Grants.gov, the application will be rejected with errors by Grants.gov.**

Person to Be Contacted on Matters Involving this Application. Enter all of the information requested, including the name, telephone and fax numbers, and email address of the person to be contacted on matters involving this application. The role of this person is primarily for

communication purposes on the budgetary aspects of the project. As an example, this may be the contact person from the applicant institution's office of sponsored projects. Use the drop down menus where they are provided.

- Item 6

Employer Identification (EIN) or (TIN). Enter either the Employer Identification Number (EIN) or Tax Identification Number (TIN) as assigned by the Internal Revenue Service. If the applicant organization is not located in the United States, enter 44-4444444.

- Item 7

Type of Applicant. Use the drop down menu to select the type of applicant. If Other, please specify.

Small Business Organization Type. If "Small Business" is selected as Type of Applicant, indicate whether or not the applicant is a "Women Owned" small business – a small business that is at least 51% owned by a woman or women, who also control and operate it. Also indicate whether or not the applicant is a "Socially and Economically Disadvantaged" small business, as determined by the U.S. Small Business Administration pursuant to section 8(a) of the Small Business Act U.S.C. 637(a).

- Item 8

Type of Application. Indicate whether the application is a "New" application or a "Resubmission" of an application that was submitted under a previous Institute competition and received reviewer comments. Only the "New" and "Resubmission" options apply to Institute competitions. Do not select any option other than "New" or "Resubmission."

Submission to Other Agencies. Indicate whether or not this application is being submitted to another agency or agencies. If yes, indicate the name of the agency or agencies.

- Item 9

Name of Federal Agency. Do not complete this item. The name of the federal agency to which the application is being submitted will already be entered on the form.

- Item 10

Catalog of Federal Domestic Assistance Number. Do not complete this item. The CFDA number of the program competition to which the application is being submitted will already be entered on the form. The CFDA number can be found in the Federal Register Notice and on the face page of the Request for Applications.

- Item 11

Descriptive Title of Applicant's Project. **Enter a distinctive, descriptive title for the project.** The maximum number of characters allowed in this item field is 200.

- Item 12

Proposed Project Start Date and Ending Date. Enter the proposed start date of the project and the proposed end date of the project. The start date must not be earlier than July 1, 2017, which

is the Earliest Anticipated Start Date listed in this Request for Applications, and must not be later than September 1, 2017. The end date is restricted based on the duration maximum for the topic selected.

- Item 13

Congressional District of Applicant. For both the applicant and the project, enter the Congressional District in this format: 2 character State Abbreviation - 3 character District Number (e.g., CA-005 for California's 5th district, CA-012 for California's 12th district). Grants.gov provides help for finding this information <http://www.grants.gov/web/grants/applicants/applicant-fags/applying-for-grants.html> under "How can I find my congressional district code?" If the program/project is outside the U.S., enter 00-000.

- Item 14

Project Director/Principal Investigator Contact Information. Enter all of the information requested for the Project Director/Principal Investigator, including position/title, name, address (including county), organizational affiliation (e.g., organization, department, division, etc.), telephone and fax numbers, and email address. Use the drop down menus where they are provided.

- Item 15

Estimated Project Funding

- Total Federal Funds Requested. Enter the total Federal funds requested for the entire project period.
- Total Non-federal Funds. Enter the total Non-federal funds requested for the entire project period.
- Total Federal & Non-Federal Funds. Enter the total estimated funds for the entire project period, including both Federal and non-Federal funds.
- Estimated Program Income. Identify any program income estimated for the project period, if applicable.

- Item 16

Is Application Subject to Review by State Executive Order 12372 Process? The Institute is not soliciting applications that are subject to review by Executive Order 12372; therefore, check the box "Program is not covered by E.O. 12372" to indicate "No" for this item.

- Item 17

This is the Authorized Organization Representative's electronic signature.

By providing the electronic signature, the Authorized Organization Representative certifies the following:

- To the statements contained in the list of certifications
- That the statements are true, complete and accurate to the best of his/her knowledge.

By providing the electronic signature, the Authorized Organization Representative also provides the required assurances, agrees to comply with any resulting terms if an award is accepted, and acknowledges that any false, fictitious, or fraudulent statements or claims may subject him/her to criminal, civil, or administrative penalties.

Note: The certifications and assurances referred to here are described in [Part V.E.7: Other Forms Included in the Application Package](#)).

- Item 18

SF LLL or other Explanatory Documentation. Do not add the SF LLL here. A copy of the SF LLL is provided as an optional document within the application package. See [Part V.E.7: Other Forms Included in the Application Package](#) to determine applicability. If it is applicable to the grant submission, choose the SF LLL from the optional document menu, complete it, and save the completed SF LLL form as part of the application package.

- Item 19

Authorized Representative. The Authorized Representative is the official who has the authority both to legally commit the applicant to (1) accept federal funding and (2) execute the proposed project. Enter all information requested for the Authorized Representative including name, title, organizational affiliation (e.g., organization, department, division, etc.), address, telephone and fax numbers, and email address of the Authorized Representative. Use the drop down menus where they are provided.

Signature of Authorized Representative. Leave this item blank as it is automatically completed when the application is submitted through Grants.gov.

Date Signed. Leave this item blank as the date is automatically generated when the application is submitted through Grants.gov.

- Item 20

Pre-application. Do not complete this item as the Institute does not require pre-applications for its grant competitions.

- Item 21

Cover Letter. Do not complete this item as the Institute does not require cover letters for its grant competitions.

## **2. Research & Related Senior/Key Person Profile (Expanded)**

This form asks you to: (1) identify the Project Director/Principal Investigator and other senior and/or key persons involved in the project; (2) specify the role key staff will serve; and (3) provide contact information for each senior/key person identified. The form also requests information about the highest academic or professional degree or other credentials earned and the degree year.

This form also provides the means for attaching the Biographical Sketches of senior/key personnel and the Lists of Current and Pending Funding for senior/key personnel as PDF files. This form will allow for the attachment of a total of 40 biographical sketches and 40 lists of current and pending support: one of each for the project director/principal investigator and up to 39 additional sketches and lists for senior/key staff. See [Part IV.C.9: Biographical Sketches of Senior/Key Personnel](#) for information about page limitations, format requirements, and content to be included in the biographical sketches and lists of

current and pending funding. The persons listed on this form should be the same persons listed in the Personnel section of the Project Narrative. If consultants are listed there, you may include a biographical sketch for each one listed. The Institute encourages the use of [SciENcv](#) to create IES Biosketches for grant applications to the Institute.

### 3. Project/Performance Site Location(s)

This form asks you to identify the primary site where project work will be performed. You must complete the information for the primary site. If a portion of the project will be performed at any other site(s), the form also asks you to identify and provide information about the additional site(s). As an example, a research proposal to an Institute competition may include the applicant institution as the primary site and one or more schools where data collection will take place as additional sites. The form permits the identification of eight project/performance site locations in total. This form requires the applicant to identify the Congressional District for each site. See above, [Application for Federal Assistance SF 424 \(R&R\)](#), Item 13 for information about Congressional Districts. DUNS number information is optional on this form.

### 4. Research & Related Other Project Information

This form asks you to provide information about any research that will be conducted involving Human Subjects, including: (1) whether human subjects are involved; (2) if human subjects are involved, whether or not the project is exempt from the human subjects regulations; (3) if the project is exempt from the regulations, an indication of the exemption number(s); and, (4) if the project is not exempt from the regulations, whether an Institutional Review Board (IRB) review is pending; and if IRB approval has been given, the date on which the project was approved; and, the Human Subject Assurance number. This form also asks you: (1) whether there is proprietary information included in the application; (2) whether the project has an actual or potential impact on the environment; (3) whether the research site is designated or eligible to be designated as an historic place; and, (4) if the project involves activities outside the U.S., to identify the countries involved.

This form also provides the means for attaching a number of PDF files (see [Part IV.C: PDF Attachments](#) for information about page limitations, format requirements, and content) including the following:

- Project Summary/Abstract,
  - Project Narrative and Appendices,
  - Bibliography and References Cited, and
  - Research on Human Subjects Narrative.
- 
- Item 1

Are Human Subjects Involved? If activities involving human subjects are planned at any time during the proposed project at any performance site or collaborating institution, you must check "Yes." (You must check "Yes" even if the proposed project is exempt from Regulations for the Protection of Human Subjects.) If there are no activities involving human subjects planned at any time during the proposed project at any performance site or collaborating institution, you may check "No" and skip to Item 2.

Is the Project Exempt from Federal Regulations? If all human subject activities are exempt from Human Subjects regulations, then you may check "Yes." You are required to answer this question if you answered "yes" to the first question "Are Human Subjects Involved?"

If you answer "yes" to the question "Is the Project Exempt from Federal Regulations?" you are required to check the appropriate exemption number box or boxes corresponding to one or more

of the exemption categories. The six categories of research that qualify for exemption from coverage by the regulations are described on the U.S. Department of Education's website <http://www2.ed.gov/policy/fund/guid/humansub/overview.html>. Provide an Exempt Research on Human Subjects Narrative at Item 12 of this form (see [Part IV.C.8. Research on Human Subjects Narrative](#)).

If you answer "no" to the question "Is the Project Exempt from Federal Regulations?" you will be prompted to answer questions about the Institutional Review Board (IRB) review.

If no, is the IRB review pending? Answer either "Yes" or "No."

If you answer "yes" because the review is pending, then leave the IRB approval date blank. If you answer "no" because the review is not pending, then you are required to enter the latest IRB approval date, if available. Therefore, you should select "No" only if a date is available for IRB approval.

Note: IRB Approval may not be pending because you have not begun the IRB process. In this case, an IRB Approval Date will not be available. However, a date must be entered in this field if "No" is selected or the application will be rejected with errors by Grants.gov. Therefore, you should check "Yes" to the question "Is the IRB review pending?" if an IRB Approval date is not available.

If you answer "no" to the question "Is the Project Exempt from Federal Regulations?" provide a Non-exempt Research on Human Subjects Narrative at Item 12 of this form (see [Part IV.C.8. Research on Human Subjects Narrative](#)).

Human Subject Assurance Number: Leave this item blank.

- Item 2

Are Vertebrate Animals used? Check whether or not vertebrate animals will be used in this project.

- Item 3

Is proprietary/privileged information included in the application? Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project. If the application includes such information, check "Yes" and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to: "The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation."

- Item 4

Does this project have an actual or potential impact on the environment? Check whether or not this project will have an actual or potential impact on the environment.

- Item 5

Is the research site designated, or eligible to be designated as a historic place? Check whether or not the research site is designated, or eligible to be designated as a historic place. Explain if necessary.

- Item 6

Does the project involve activities outside of the United States or partnerships with international collaborators? Check "Yes" or "No." If the answer is "Yes," then you need to identify the countries with which international cooperative activities are involved. An explanation of these international activities or partnerships is optional.

- Item 7.

Project Summary/Abstract. Attach the Project Summary/Abstract as a PDF file here. See [Part IV.C. PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

- Item 8.

Project Narrative. Create a single PDF file that contains the Project Narrative as well as, when applicable, Appendix A (required for resubmissions), Appendix B (optional), Appendix C (optional), and Appendix D (optional). Attach that single PDF file here. See [Part IV.C. PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

- Item 9.

Bibliography and References Cited. Attach the Bibliography and References Cited as a PDF file here. See [Part IV.C. PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

- Item 10.

Facilities and Other Resources. The Institute does not want an attachment here. Explanatory information about facilities and other resources must be included in the Resources Section of the 25-page Project Narrative for the application and may also be included in the Narrative Budget Justification. In the project narrative of competitive proposals, applicants describe having access to institutional resources that adequately support research activities and access to schools in which to conduct the research. Strong applications document the availability and cooperation of the schools or other education delivery settings that will be required to carry out the research proposed in the application via a letter of agreement from the education organization. Include letters of agreement in Appendix D.

- Item 11.

Equipment. The Institute does not want an attachment here. Explanatory information about equipment may be included in the Narrative Budget Justification.

- Item 12.

Other Attachments. Attach a Research on Human Subjects Narrative as a PDF file here. You must attach either an Exempt Research on Human Subjects Narrative or a Non-Exempt Research on



Human Subjects Narrative. See [Part IV.C. PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

If you checked "Yes" to Item 1 of this form "Are Human Subjects Involved?" and designated an exemption number(s), then you must provide an "Exempt Research" narrative. If some or all of the planned research activities are covered by (not exempt from) the Human Subjects Regulations, then you must provide a "Nonexempt Research" narrative.

## 5. Research & Related Budget (Total Federal+Non-Federal)-Sections A & B; C, D, & E; F-K

This form asks you to provide detailed budget information for each year of support requested for the applicant institution (i.e., the Project Budget). The form also asks you to indicate any non-federal funds supporting the project. You should provide this budget information for each project year using all sections of the R&R Budget form. Note that the budget form has multiple sections for each budget year: A & B; C, D, & E; and F-K.

- Sections A & B ask for information about Senior/Key Persons and Other Personnel
- Sections C, D & E ask for information about Equipment, Travel, and Participant/Trainee Costs
- Sections F - K ask for information about Other Direct Costs and Indirect Costs

You must complete each of these sections for as many budget periods (i.e., project years) as you are requesting funds.

**Note:** The narrative budget justification for each of the project budget years must be attached at Section K of the first budget period; otherwise, you will not be able to enter budget information for subsequent project years.

**Note: Budget information for a subaward(s) on the project must be entered using a separate form, the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form, described in [Part V.E.6](#). This is the only form that can be used to extract the proper file format to complete subaward budget information. The application will be rejected with errors by Grants.gov if subaward budget information is included using any other form or file format.**

Enter the Federal Funds requested for all budget line items as instructed below. If any Non-Federal funds will be contributed to the project, enter the amount of those funds for the relevant budget categories in the spaces provided.

All fields asking for total funds in this form will auto calculate.

- Organizational DUNS.

If you completed the SF 424 R&R Application for Federal Assistance form first the DUNS number will be pre-populated here. Otherwise, the organizational DUNS number must be entered here. See [Part V.E.1](#) for information on the DUNS number.

- Budget Type.

Check the box labeled "Project" to indicate that this is the budget requested for the primary applicant organization. If the project involves a subaward(s), you must access the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form to complete a subaward budget (see [Part V.E.6](#) for instructions regarding budgets for a subaward).

- Budget Period Information.

Enter the start date and the end date for each budget period. **Enter only the number of budget periods allowed for the project as determined by the Award Duration Maximums for the relevant Topic selected for your project.** Note: If you activate an extra budget period and leave it blank this may cause your application to be rejected with errors by Grants.gov.

- Budget Sections A & B

A. Senior/Key Person. The project director/principal investigator information will be pre-populated here from the SF 424 R&R Application for Federal Assistance form if it was completed first. Then, enter all of the information requested for each of the remaining senior/key personnel, including the project role of each and the number of months each will devote to the project, i.e., calendar or academic + summer. You may enter the annual compensation (base salary – dollars) paid by the employer for each senior/key person; however, you may choose to leave this field blank. Regardless of the number of months devoted to the project, indicate only the amount of salary being requested for each budget period for each senior/key person. Enter applicable fringe benefits, if any, for each senior/key person. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

B. Other Personnel. Enter all of the information requested for each project role listed – for example Postdoctoral Associates, Graduate Students, Undergraduate Students, Secretary/Clerical, etc. – including, for each project role, the number of personnel proposed and the number of months devoted to the project (calendar or academic + summer). Regardless of the number of months devoted to the project, indicate only the amount of salary/wages being requested for each project role. Enter applicable fringe benefits, if any, for each project role category. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Total Salary, Wages, and Fringe Benefits (A + B). This total will auto calculate.

- Budget Sections C, D & E

C. Equipment Description. Enter all of the information requested for Equipment. Equipment is defined as an item of property that has an acquisition cost of \$5,000 or more (unless the applicant organization has established lower levels) and an expected service life of more than 1 year. List each item of equipment separately and justify each in the narrative budget justification. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Total C. Equipment. This total will auto calculate.

D. Travel. Enter all of the information requested for Travel.

Enter the total funds requested for domestic travel. In the narrative budget justification, include the purpose, destination, dates of travel (if known), applicable per diem rates, and number of individuals for each trip. If the dates of travel are not known, specify the estimated length of the trip (e.g., 3 days). Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Enter the total funds requested for foreign travel. In the narrative budget justification, include the purpose, destination, dates of travel (if known), applicable per diem rates, and number of

individuals for each trip. If the dates of travel are not known, specify the estimated length of the trip (e.g., 3 days). Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Total D. Travel Costs. This total will auto calculate.

E. Participant/Trainee Support Costs. Do not enter information here; this category is not used for project budgets for this competition.

Number of Participants/Trainees. Do not enter information here; this category is not used for project budgets for this competition.

Total E. Participants/Trainee Support Costs. Do not enter information here; this category is not used for project budgets for this competition.

- Budget Sections F-K

F. Other Direct Costs. Enter all of the information requested under the various cost categories. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

Materials and Supplies. Enter the total funds requested for materials and supplies. In the narrative budget justification, indicate the general categories of supplies, including an amount for each category. Categories less than \$1,000 are not required to be itemized.

Publication Costs. Enter the total publication funds requested. The proposed budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. In the narrative budget justification, include supporting information.

Consultant Services. Enter the total costs for all consultant services. In the narrative budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs. Note: Travel costs for consultants can be included here or in Section D. Travel.

ADP/Computer Services. Enter the total funds requested for ADP/computer services. The cost of computer services, including computer-based retrieval of scientific, technical, and education information may be requested. In the narrative budget justification, include the established computer service rates at the proposing organization if applicable.

Subaward/Consortium/Contractual Costs. Enter the total funds requested for: 1) all subaward/consortium organization(s) proposed for the project and 2) any other contractual costs proposed for the project. Use the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form to provide detailed subaward information (see [Part V.E.6](#)).

Equipment or Facility Rental/User Fees. Enter the total funds requested for equipment or facility rental/user fees. In the narrative budget justification, identify each rental user fee and justify.

Alterations and Renovations. Leave this field blank. The Institute does not provide funds for construction costs.

Other. Describe any other direct costs in the space provided and enter the total funds requested for this "Other" category of direct costs. Use the narrative budget justification to further itemize and justify.

Total F. Other Direct Costs. This total will auto calculate.

- G. Direct Costs

Total Direct Costs (A thru F). This total will auto calculate.

- H. Indirect Costs

Enter all of the information requested for Indirect Costs. Principal investigators should note that if they are requesting reimbursement for indirect costs, this information is to be completed by their Business Office.

Indirect Cost Type. Indicate the type of base (e.g., Salary & Wages, Modified Total Direct Costs, Other [explain]). In addition, indicate if the Indirect Cost type is Off-site. If more than one rate/base is involved, use separate lines for each. When calculating your expenses for research conducted in field settings, you should apply your institution's negotiated off-campus indirect cost rate, as directed by the terms of your institution's negotiated agreement with the federal government.

Institutions, both primary grantees and subawardees, not located in the territorial US cannot charge indirect costs.

If you do not have a current indirect rate(s) approved by a Federal agency, indicate "None--will negotiate". **If your institution does not have a federally negotiated indirect cost rate,** you should consult a member of the Indirect Cost Group (ICG) in the U.S. Department of Education's Office of the Chief Financial Officer

<http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html> to help you estimate the indirect cost rate to put in your application.

Indirect Cost Rate (%). Indicate the most recent Indirect Cost rate(s) (also known as Facilities & Administrative Costs [F&A]) established with the cognizant Federal office, or in the case of for-profit organizations, the rate(s) established with the appropriate agency.

If your institution has a cognizant/oversight agency and your application is selected for an award, you must submit the indirect cost rate proposal to that cognizant/oversight agency office for approval.

Indirect Cost Base (\$). Enter the amount of the base (dollars) for each indirect cost type. Depending on the grant program to which you are applying and/or the applicant institution's approved Indirect Cost Rate Agreement, some direct cost budget categories in the grant application budget may not be included in the base and multiplied by the indirect cost rate. Use the narrative budget justification to explain which costs are included and which costs are excluded from the base to which the indirect cost rate is applied. If your grant application is selected for an award, the Institute will request a copy of the applicant institution's approved Indirect Cost Rate Agreement.

Indirect Cost Funds Requested. Enter the funds requested (Federal dollars and, if applicable, the Non-Federal dollars) for each indirect cost type.

Total H. Indirect Costs. This total will auto calculate.

Cognizant Agency. Enter the name of the Federal agency responsible for approving the indirect cost rate(s) for the applicant. Enter the name and telephone number of the individual responsible for negotiating the indirect cost rate. If a Cognizant Agency is not known, enter "None."

- Total Direct and Indirect Costs

Total Direct and Indirect Costs (G + H). This total will auto calculate.

- J. Fee.

Do not enter a dollar amount here as you are not allowed to charge a fee on a grant or cooperative agreement.

- K. Budget Justification

Attach the Narrative Budget Justification as a PDF file at Section K of the first budget period (see [Part IV.C.11](#) for information about content, formatting, and page limitations for this PDF file).

Note that if the justification is not attached at Section K of the first budget period, you will not be able to access the form for the second budget period and all subsequent budget periods. The single narrative must provide a budget justification for each year of the entire project.

- Cumulative Budget. This section will auto calculate all cost categories for all budget periods included.

**Final Note: The overall grant budget cannot exceed the maximum grant award for the Research Topic being applied under as listed in the table below. Applications with budgets greater than the maximum grant award will not be forwarded for review.**

Topic	Maximum Grant Duration	Maximum Grant Award
Regular Grants	3 years	\$900,000
Early Career Grants	2 years	\$200,000

## 6. R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form

This form provides the means to both extract and attach the Research & Related Budget (Total Fed + Non-Fed) form that is to be used by an institution that will hold a subaward on the grant. Please note that separate budgets are required only for subawardee/consortium organizations that perform a substantive portion of the project. As with the Primary Budget, the extracted Research & Related Budget (Total Fed + Non-Fed) form asks you to provide detailed budget information for each year of support requested for a subaward/consortium member with substantive involvement in the project. The budget form also asks for information regarding non-federal funds supporting the project at the subaward/consortium member level. You should provide this budget information for each project year using all sections of the R&R Budget form. Note that the budget form has multiple sections for each budget year: A & B; C, D, & E; and F-K.

- Sections A & B ask for information about Senior/Key Persons and Other Personnel.
- Sections C, D & E ask for information about Equipment, Travel, and Participant/Trainee Costs.
- Sections F - K ask for information about Other Direct Costs and Indirect Costs.

"Subaward/Consortium" must be selected as the Budget Type, and all sections of the budget form for each project year must be completed in accordance with the R&R (Federal/Non-Federal) Budget instructions provided above in Part V.E.5. Note that subaward organizations are also required to provide their DUNS or DUNS+4 number.

You may extract and attach up to 10 subaward budget forms. When you use the button "Click here to extract the R&R Budget (Fed/Non-Fed) Attachment," a Research & Related Budget (Total Fed + Non-Fed) form will open. Each institution that will hold a subaward to perform a substantive portion of the project must complete one of these forms and save it as a PDF file with the name of the subawardee organization. Once each subawardee institution has completed the form, you must attach these completed subaward budget form files to the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form. Each subaward budget form file attached to this form must have a unique name.

**Note:** This R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form must be used to attach only one or more Research & Related Budget (Total Fed + Non-Fed) form(s) that have been extracted from this form. Note the form's instruction: "Click here to extract the R&R Budget (Fed/Non-Fed) Attachment". **If you attach a file format to this form that was not extracted from this attachment form your application will be rejected with errors by Grants.gov.**

## **7. Other Forms Included in the Application Package**

You are required to submit the first two forms identified here. You are not required to submit the third form, Disclosure of Lobbying Activities – Standard Form LLL, unless it is applicable.

- SF 424B-Assurances-Non-Construction Programs.
- Grants.gov Lobbying form (formerly, ED 80-0013 form).
- Disclosure of Lobbying Activities – Standard Form LLL (if applicable).

## F. SUMMARY OF REQUIRED APPLICATION CONTENT

R&R Form	Required	Instructions Provided	Additional Information
Application for Federal Assistance SF 424 (R & R)	<input checked="" type="checkbox"/>	Part V.E.1	Form provided in Grants.gov application package
Senior/Key Person Profile (Expanded)	<input checked="" type="checkbox"/>	Part V.E.2	Form provided in Grants.gov application package
Project/Performance Site Location(s)	<input checked="" type="checkbox"/>	Part V.E.3	Form provided in Grants.gov application package
Other Project Information	<input checked="" type="checkbox"/>	Part V.E.4	Form provided in Grants.gov application package
Budget (Total Federal + Non-Federal): Sections A & B Sections C, D, & E Sections F - K	<input checked="" type="checkbox"/>	Part V.E.5	Form provided in Grants.gov application package
R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form	--	Part V.E.6	Form provided in Grants.gov application package. Use this form to <i>extract and attach</i> a subaward budget(s).
SF 424B Assurances – Non-Construction Programs Grants.gov Lobbying form Disclosure of Lobby Activities – Standard Form LLL (if applicable)	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> --	Part V.E.7	Forms provided in Grants.gov application package
Project Summary/Abstract	<input checked="" type="checkbox"/>	Part IV.C.1	Add as an attachment (PDF file) using Item 7 of the "Other Project Information" form
Project Narrative and Appendices <ul style="list-style-type: none"> <li>Narrative</li> <li>Appendix A</li> <li>Appendix B</li> <li>Appendix C</li> <li>Appendix D</li> </ul>	<input checked="" type="checkbox"/> -- -- -- --	Part IV.C.2-6	The Project Narrative, and if applicable Appendix A, Appendix B, Appendix C, and Appendix D must ALL be included together in one PDF file and attached at Item 8 of the "Other Project Information" form.
Bibliography and References Cited	<input checked="" type="checkbox"/>	Part IV.C.7	Add as an attachment (PDF file) using Item 9 of the "Other Project Information" form.
Research on Human Subjects Narrative, if human subjects are involved	<input checked="" type="checkbox"/>	Part IV.C.8	Add as an attachment (PDF file) using Item 12 of the "Other Project Information" form.
Biographical Sketches of Senior/Key Personnel including Current & Pending Support for Senior/Key Personnel	<input checked="" type="checkbox"/>	Part IV.C.9	Add each as a separate attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form.
Narrative Budget Justification	<input checked="" type="checkbox"/>	Part IV.C.10	Add as an attachment (PDF file) using <i>Section K – Budget Period 1</i> of the "Budget (Total Federal + Non-Federal)" form.

## G. APPLICATION CHECKLIST

Have each of the following forms been completed?	
	SF 424 Application for Federal Assistance
	For item 4a, is the PR/Award number entered if this is a Resubmission following the instructions in Part VI.E.1?
	For item 4b, is the correct topic code included following the instructions in Part VI.E.1?
	For item 8, is the Type of Application appropriately marked as either "New" or "Resubmission" following the instructions in Part VI.E.1?
	Senior/Key Person Profile (Expanded)
	Project/Performance Site Location(s)
	Other Project Information
	Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F - K
	R&R Subaward Budget (Federal/Non-Federal) Attachment(s) form (if applicable)
	SF 424B Assurances – Non-Construction Programs
	Grants.gov Lobbying form (formerly ED 80-0013 form)
	Disclosure of Lobby Activities – Standard Form LLL (if applicable)
Have each of the following items been attached as PDF files in the correct place?	
	Project Summary/Abstract, using Item 7 of the "Other Project Information" form
	Project Narrative, and where applicable, Appendix A (required for resubmissions), Appendix B, Appendix C, and Appendix D as a single file using Item 8 of the "Other Project Information" form
	Bibliography and References Cited, using Item 9 of the "Other Project Information" form
	Research on Human Subjects Narrative, either the Exempt Research Narrative or the Non-exempt Research Narrative, using Item 12 of the "Other Project Information" form
	Biographical Sketches of Senior/Key Personnel, using "Attach Biographical Sketch" of the "Senior/Key Person Profile (Expanded)" form that includes Current & Pending Support of the Senior/Key Personnel
	Narrative Budget Justification, using Section K – Budget Period 1 of the "Budget (Total Federal + Non-Federal)" form



	Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F – K for the Subaward(s), using the "R&R Subaward Budget (Federal/Non-Federal) Attachment(s)" form, as appropriate, that conforms to the Award Duration, Annual Cost Maximum and Total Cost Maximum for the Topic selected.
Have the following actions been completed?	
	The correct PDF files are attached to the proper forms in the Grants.gov application package
	The "Check Package for Errors" button at the top of the grant application package has been used to identify errors or missing required information that prevents an application from being processed
	The "Track My Application" link has been used to verify that the upload was fully completed and that the application was processed and validated successfully by Grants.gov before 4:30:00 p.m., Washington, DC time on the deadline date

## H. PROGRAM OFFICER CONTACT INFORMATION

Please contact the Institute's Program Officers with any questions you may have about the best grant program for your application. Program Officers function as knowledgeable colleagues who can provide substantive feedback on your research idea, including reading a draft of your project narrative. Program Officers can also help you with any questions you may have about the content and preparation of PDF file attachments. However, any questions you have about individual forms within the application package and electronic submission of your application through Grants.gov should be directed first to the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, or call 1-800-518-4726. The Program Officer for this competition is:

Dr. Phill Gagné  
Email: [Phill.Gagne@ed.gov](mailto:Phill.Gagne@ed.gov)  
Telephone: (202) 245-7139

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## ALLOWABLE EXCEPTIONS TO ELECTRONIC SUBMISSIONS

You may qualify for an exception to the electronic submission requirement and submit an application in paper format if you are unable to submit the application through the Grants.gov system because: (a) you do not have access to the Internet; or (b) you do not have the capacity to upload large documents to the Grants.gov system; and (c) no later than 2 weeks before the application deadline date (14 calendar days or, if the fourteenth calendar date before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Institute explaining which of the two grounds for an exception prevents you from using the Internet to submit the application. If you mail the written statement to the Institute, it must be postmarked no later than 2 weeks before the application deadline date. If you fax the written statement to the Institute, the faxed statement must be received no later than 2 weeks before the application deadline date. The written statement should be addressed and mailed or faxed to:

Ellie Pelaez, Office of Administration and Policy  
Institute of Education Sciences, U.S. Department of Education  
550 12<sup>th</sup> Street, S.W.  
Potomac Center Plaza - Room 4107  
Washington, DC 20202  
FAX: (202) 245-6752

If you request and qualify for an exception to the electronic submission requirement you may submit an application via mail, commercial carrier or hand delivery. To submit an application by mail, mail the original and two copies of the application on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.305D)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
Washington, DC 20202 – 4260

You must show one of the following as proof of mailing: (a) a legibly dated U.S. Postal Service Postmark; (b) a legible mail receipt with the date of mailing stamped by the U.S. Postal Service; (c) a dated shipping label, invoice, or receipt from a commercial carrier; or (d) any other proof of mailing acceptable to the U.S. Secretary of Education (a private metered postmark or a mail receipt that is not dated by the U.S. Postal Services will not be accepted by the Institute). Note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office. If your application is postmarked after the application deadline date, the Institute will not consider your application. The Application Control Center will mail you a notification of receipt of the grant application. If this notification is not received within 15 business days from the application deadline date, call the U.S. Department of Education Application Control Center at (202) 245-6288.

To submit an application by hand, you or your courier must hand deliver the original and two copies of the application no later than 4:30:00 p.m. (Washington, DC time) on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.305D)  
550 12th Street, S.W.  
Potomac Center Plaza - Room 7039  
Washington, DC 20202 – 4260

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays.