

**Request for Applications**

**National Research and Development Center for the Education of Gifted and Talented Children and Youth (CFDA Number: 84.305C)**

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| **Milestone** | **Date** | **Website** |
| *Letter of Intent Due* | May 29, 2014 | <https://iesreview.ed.gov/> |
| *Application Package Available* | ­­­May 29, 2014 | <http://www.grants.gov/> |
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# PART I: OVERVIEW AND GENERAL REQUIREMENTS

## INTRODUCTION

In this announcement, the Institute of Education Sciences (Institute) requests applications for a research center that will contribute to its Education Research and Development Center program (CFDA 84.305C). Under the Education Sciences Reform Act of 2002, the Institute supports National Research and Development Centers (R&D Centers) that are intended to contribute significantly to the solution of education problems in the United States by engaging in research, development, evaluation, and national leadership activities aimed at improving the education system and, ultimately, student achievement. Each of the R&D Centers conducts a focused program of research in its topic area and provides national leadership in advancing evidence-based practice and policy within its topic area. For information on existing Institute R&D Centers, please see <http://ies.ed.gov/ncer/RandD/>.

The Institute’s R&D Centers grapple with key education issues that face our nation. Through this program, researchers have greater resources to tackle more complex education problems, create innovative education solutions, and contribute to knowledge and theory in the education sciences.

Congress authorized the Jacob K. Javits Gifted and Talented Students Education Act of 2001 to initiate a coordinated program of scientifically based research, demonstration projects, innovative strategies, and similar activities designed to build and enhance the ability of elementary schools and secondary schools nationwide to meet the special educational needs of gifted and talented students.[[1]](#footnote-1) In 2006, funding from this program enabled the Institute of Education Sciences to establish a 5-year, National Research and Development Center on the Gifted and Talented to conduct research on identifying gifted and talented students, measuring instructional delivery, assessing achievement outcomes, and other activities.[[2]](#footnote-2) With the work of this center now complete, the Institute invites applications to establish a new National Research and Development Center for the Education of Gifted and Talented Children and Youth. **Please note that the competition for this Center will take place in FY 2014 and has an earlier application deadline than the Institute’s FY 2015 competitions.**

For the FY 2014 competition, the Institute will consider only applications that are [responsive](#Responsive) and [compliant](#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 web site that pertain to the other research and research 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 work of the Institute is grounded in the principle that effective education research must address the interests and needs of education practitioners and policymakers, as well as students, parents, and community members (see <http://ies.ed.gov/director/board/priorities.asp> for the Institute’s priorities). The Institute encourages researchers to develop partnerships with education stakeholder groups to advance the relevance of their work and the accessibility and usability of their findings for the day-to-day work of education practitioners and policymakers. In addition, researchers should plan for disseminating their results to a wide range of audiences that includes researchers, policymakers, practitioners, and the public.

This RFA is organized in the following fashion. Part I sets out the general requirements for a Center application to the Institute. Part II describes the requirements for an R&D Center on the Education of Gifted and Talented Children and Youth. Part III provides general information on funding, award requirements and the review process. Part IV describes how to prepare an application. Part V describes how to submit an application electronically using Grants.gov. You will also find a Glossary of important terms located at the end of this RFA. The first use of each term is hyperlinked to the Glossary within each Part of this RFA.

### Technical Assistance for Applicants

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

Dr. Corinne Alfeld Dr. Wai-Ying Chow

Email: [Corinne.Alfeld@ed.gov](mailto:Corinne.Alfeld@ed.gov) Email: [Wai-Ying.Chow@ed.gov](mailto:Wai-Ying.Chow@ed.gov)

Telephone: (202) 208-2321 Telephone: (202) 219-0326

The Institute asks potential applicants to submit a Letter of Intent 60 days 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.

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>.

## GENERAL REQUIREMENTS

### Student Education Outcomes

All research supported under the Education Research and Development Center program must address the [education outcomes](#Student_Education_Outcomes) of students. The Institute is most interested in student [academic outcomes](#Student_Academic_Outcomes) and student [social and behavioral competencies](#Social_Behavioral_Competencies) that support success in school and afterwards.

### Authentic Education Settings

Proposed research must be relevant to education in the United States and must address factors under the control of the U.S. education system (be it at the national, state, and/or local level). To help ensure such relevance, the Institute requires research to address [authentic education settings](#Authentic_Education_Setting), which include both in-school settings and formal programs (e.g., after-school programs, distance learning programs, on-line programs) used by schools or state and local education agencies.

## APPLICANT REQUIREMENTS

### Eligible Applicants

Eligible applicants include Institutions of Higher Education (IHEs), State Education Agencies[[3]](#footnote-3) (SEAs), or private or public agencies (including research firms) in partnership with IHEs or SEAs.

### 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.[[4]](#footnote-4)

Your institution or agency (hereafter referred to as institution) 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 these PIs 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. However, institutions applying for funding 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 3 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, he/she 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 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](#_ADDITIONAL_AWARD_REQUIREMENTS)).

### 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, contact the appropriate program officer for the topic you are interested in. Please see [Part III.C.1 Submitting a Letter of Intent](#_Submitting_a_Letter) for more information.
* *May I submit the same application to more than one of the Institute’s grant programs?* No.
* *May I submit multiple applications?* Yes. You may submit multiple applications if they are substantively different from one another. Multiple applications may be submitted within the same competition 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. However, the involvement of the developer or distributor 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 U.S. Department of Education 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 [34 C.F.R. § 74.36(a) (2013) (<http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=28ac4dbfeabba7d842fc8544fc835881&ty=HTML&h=L&r=SECTION&n=34y1.1.1.1.21.3.13.16>].
* *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.
* *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 sub-awardees 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 sub-awardees) cannot charge indirect costs.

## READING THE REQUEST FOR APPLICATIONS

The Institute encourages both **Principal Investigators and Authorized Organization Representatives** to read this Request for Applications to learn how to prepare an application that meets all of the following criteria. These criteria are required for an application to be sent forward for peer review.

* **RESPONSIVE**
  + Meets **R&D Center requirements** (see [Part II](#_PART_II:_TOPIC_1)).
* **COMPLIANT** (see [Part IV](#_PART_IV:_PREPARING))
  + Follows **formatting and font size requirements.**
  + Follows **page limits.**
  + Includes only **allowable content.**
  + Includes all **required content**.
* **SUBMITTED ELECTRONICALLY VIA GRANTS.GOV ON TIME – THE INSTITUTE DOES NOT ACCEPT LATE APPLICATIONS** (see [Part V](#_PART_V:_SUBMITTING))
  + Submitted no later than 4:30:00pm, Washington, DC time, on July 22, 2014.
  + Completed using the **correct application package** downloaded from Grants.gov.
  + Includes **PDF files** that are **named and formatted appropriately** and that are **attached to the proper forms** in the application package.

# PART II: R&D CENTER REQUIREMENTS

Researchers and practitioners have raised important questions and concerns about programs targeting gifted and talented students. To begin, there are divergent perspectives on what it means to be gifted and talented and on the roles of genetics, prior academic opportunities and achievement, motivation to learn, and other factors. The field is increasingly shifting to other terminology, including “students with high academic potential,” “academically advanced,” and “high-achieving.” Researchers and practitioners have also raised concerns about the practices used to identify gifted and talented students and the disproportionately low participation in these programs among individuals from some economic and racial/ethnic groups. Finally, the field knows little about how gifted and talented programs are implemented in schools, how long students participate and at what level of intensity, and whether these programs are effective in improving students’ academic outcomes.

The Institute is launching this R&D Center to address these questions and concerns. Specifically, the Center will conduct a **focused program of research** that includes the following:

* An exploratory study designed to provide an in-depth analysis of gifted and talented programs serving elementary and/or middle school students in at least two or three states or school districts. The Institute uses the word “programs” to encompass the range of policies, services or activities implemented by state education agencies (SEAs) and local education agencies[[5]](#footnote-5) (LEAs) and designed to improve outcomes for gifted and talented students. The programs should be selected for their emphasis on helping students develop academic knowledge and skills (as opposed to artistic or other talents), and for their commitment to reaching traditionally underserved students (e.g., students from low-income families; students from small-town or rural communities; students of African American, Hispanic or Latino, or Native American descent; English learners; and/or students with disabilities). The exploratory study will examine program implementation, student participation, and the association between participation and student outcomes.
* An impact evaluation using a design consistent with What Works Clearinghouse standards, with or without reservations (<http://ies.ed.gov/ncee/wwc/>), to examine the educational impacts of a gifted and talented program that shows the most promise for improving student outcomes, based on findings from the exploratory study. These outcomes must include [academic outcomes](#Student_Academic_Outcomes) (such as learning outcomes in reading, writing, math or science), and may include [social/behavioral competencies](#Social_Behavioral_Competencies) (such as motivation, goal setting, and/or other measures).
* Leadership and outreach activities designed to engage policymakers, practitioners, and researchers in discussion of strategies and review of evidence on how best to meet the needs of and improve outcomes for gifted and talented students from traditionally underserved groups, and to disseminate the Center’s research to the wider public.

The Center will operate for five years, and the work will be divided into two phases. The first phase (Years 1 and 2) will be devoted to the exploratory study and to the development of an impact evaluation plan. It will also involve leadership and outreach activities, which may include convening experts to provide input into the Center’s research plans; establishing a partnership with state or school district personnel to elicit their perspectives and answer their primary exploratory research questions; holding conferences and/or small workshops to discuss critical research gaps, methodology and measurement, and other issues of interest to the gifted and talented field; creating a Center website; and other activities. The second phase (Years 3 through 5) will be devoted to conducting the impact evaluation and continuing the national leadership and outreach activities, including disseminating research findings to policymakers, practitioners, researchers, parents and other stakeholders. **The maximum Center budget is $1 million per year ($5 million total), contingent on future appropriations.**

## Background

A consistent observation in the education literature is the lack of agreement, both in research and practice, about what it means to be gifted and talented. This ambiguity has implications for the practices used to identify students and for the types of interventions offered to them. Many programs reflect reliance on intelligence or achievement test scores (while varying on exact cut-off values for inclusion), while others rely partly or solely upon nominations from educators. A few reflect a broader definition and use multiple measures to target a wider range of constructs, such as motivation, leadership skills, and interest in specific domains (National Research Council, 2002; McClain and Pfeiffer, 2012).

Variations in definitions are related at least in part to the range of manifestations accepted as indications of very high potential or performance across a child’s development and the theorized origins of achievement – in particular, the relative contributions of genetics, experience, motivation, and other factors (Colangelo and Davis, 2003). Currently, most theories in the literature suggest that achievement results from a confluence of both intrinsic and extrinsic factors, most of which are malleable (see Subotnik, Olszewski-Kubilius, and Worrell, 2011 for review). Intrinsic factors include general intellectual potential (i.e., above average IQ), specific areas of potential (e.g., achievement in reading, arts, psychomotor skills, and leadership), personality characteristics (e.g., conscientiousness and openness to experience), persistent motivation and discipline, and social and emotional skills (Pfeiffer, 2002; Subotnik, Olszewski-Kubilius, and Worrell, 2011). Extrinsic factors include social support for achievement (particularly from family), opportunities to develop academic interests and skills, and cultural value placed on the particular academic pursuit (see Ford, Grantham, and Whiting, 2008; Subotnik, Olszewski-Kubilius, and Worrell, 2011, for reviews).

In addition, there are questions about how gifted and talented students learn relative to other students. For example, are gifted and talented students learning faster and more deeply than other students, or are they actually learning differently? Capturing how gifted and talented students learn – and identifying how and why they are achieving at higher levels than other students – is critical for developing appropriate identification procedures and programs that best meet these students’ needs (e.g., whether to use particular curricula, acceleration or specialized instruction, and particular intervention dose).

Another consistent observation in the literature is that U.S. students identified as gifted and talented are not representative of the overall U.S. student population. Students of particular racial and ethnic backgrounds (i.e., African American, Hispanic or Latino, and Native American), students from lower income families, and students from small-town or rural communities are disproportionally underserved (Ross, 1993; Wyner, Bridgeland, and Diiulio, 2007). These students are less likely to be identified as gifted and talented in early elementary school, and those who *are* identified are less likely to have access to or persist in programs or activities for gifted and talented students as they progress through the K-12 system (Ford, Grantham, and Whiting, 2008; Wyner, Bridgeland, and Diiulio, 2007). The Jacob K. Javits Gifted and Talented Students Education Act of 2001 also identifies English learners and students with disabilities as underserved.

Timing of the screening, identification, and intervention processes is an important factor for this population of students. The likelihood of identification for students from underserved groups diminishes with later screening, particularly if achievement test scores are used as the primary screening measure. Unfortunately, the scientific literature is especially limited on the developmentally, culturally, and linguistically appropriate measurement of gifted and talented students in the early grades (National Research Council, 2002; though see Lohman and Gambrell, 2012). Furthermore, the disparity in persistence rates begins in early elementary school and worsens substantially as students progress through school (Wyner, Bridgeland, and Diiulio, 2007). Early grade experiences appear to have greater potential for long-lasting influence, as compared to those of later grades. Furthermore, interventions for earlier grades might have additional advantages, in that they tend to be more appropriate for universal implementation with potential benefit for all students rather than just a subset (National Research Council, 2002). Based on these findings, the National Research Council recommended more research on gifted and talented interventions in the early grades.

A number of possible reasons for disparities in identification and academic outcomes have been posited, including the following:

1. Definitions of “giftedness,” measurement, and identification protocols. Current definitions of gifted and talented as well as the identification procedures and assessments used to identify students may not be appropriate for identifying students with high academic potential from underserved groups.
2. Stigma of high academic orientation. Generally, good performance in school is valued in American culture; however, very high educational achievement is sometimes associated with unfavorable stereotypes (e.g., that these students experience delays in social and emotional development; Ross, 1993; Subotnik, Olszewski-Kubilius, and Worrell, 2011). For some underserved groups, the peer context can be especially adverse to open demonstrations of high academic performance (Fryer and Austin-Smith, 2005; Obgu, 2003; Subotnik, Olszewski-Kubilius, and Worrell, 2011).
3. Expectations regarding the role of effort in academic achievement.Some students believe that to be gifted and talented is to require little to no effort to excel. Consequently, confidence in their status as gifted and talented might be shaken as academic material becomes more challenging (Ross, 1993; Subotnik, Olszewski-Kubilius, and Worrell, 2011). Labeling students as gifted and talented could lead them to avoid situations where their abilities will be challenged (for fear of losing their gifted and talented status) or to think that hard work does not change one’s academic skills. If students instead believed that intelligence ismalleable, they may be more likely to be motivated to work hard (see Dweck, 2006, for a review of fixed versus growth mindsets).
4. Lack of school resources and advanced learning opportunities. Schools located in communities with high poverty (such as in low-income inner-city, small-town, and rural communities) do not possess adequate resources to offer the same range of learning opportunities as those located in more advantaged communities (National Research Council, 2002; Ross, 1993; Subotnik, Olszewski-Kubilius, and Worrell, 2011). Moreover, gifted students are often perceived to be a generally low-risk population with universally favorable outcomes regardless of family resources or school intervention. Consequently, gifted education programs across the United States receive minimal financial support, and schools serving predominantly underserved student populations receive even less financial support for such programs (Subotnik, Olszewski-Kubilius, and Worrell, 2011).
5. Lack of appropriate instruction and learning opportunities. As the diversity of the student population in the U.S. educational system continues to grow, the “achievement gap” among student populations concerns many education policymakers and practitioners. At the same time, relatively few teachers are trained in how to work with gifted and talented students (Croft, 2002). The capacity of teachers to adequately meet the academic needs of this diverse student population has implications for the way students are identified for and the degree to which students persist in gifted and talented programs (see Ford, Grantham, and Whiting, 2008, for review). For instance, a teacher’s training might not prepare her to recognize or respond to the specific academic needs of underserved groups (see National Research Council, 2002, for review). Furthermore, interventions specifically targeting gifted and talented, underserved students are rare. Most interventions targeting underserved students predominantly focus on improving access to more advanced coursework such as honors courses in high school (see National Research Council, 2002, for review) and do not address the appropriateness of these learning opportunities for a diverse student population.
6. Inadequate social and emotional support. As noted above, students from underserved groups encounter a number of barriers to successful progression through gifted and talented programs. Social and emotional support from family, teachers, and peers could help students learn skills to cope with challenges as they arise and offset the impact of these barriers; however, these students are not always provided with such support (Ford, Grantham, and Whiting, 2008; Subotnik, Olszewski-Kubilius, and Worrell, 2011).
7. Distribution of environmental advantages and disadvantages across student populations.The degree to which students are identified as gifted and talented may in part reflect opportunities and attitudes within their communities (see Ford, Grantham, and Whiting, 2008; Gallagher, 2002). Examples of these include the similarity of activities and social interaction norms between home and school (e.g., Vernon-Feagans et al., 2008; see National Research Council, 2002 for a review) and others’ expectations regarding the academic achievement of specific student populations (and subsequent processes related to self-fulfilling prophesy; Jussim, Robustelli, and Cain, 2009).

Other reasons for disparities in identification and academic outcomes may exist and warrant further research.

## APPLICATION REQUIREMENTS

### Sample, Outcomes, and Setting

Applications **must** meet the sample, setting and outcomes requirements outlined below to be considered for funding. Applications that do not meet the requirements will be considered non-responsive and will not be sent forward for scientific peer review.

In terms of study samples, your research **must** focus on gifted and talented, underserved students at any grade level from prekindergarten through grade 8. Underserved students in gifted and talented programs include low-income students, students from small-town or rural communities, students of particular racial/ethnic backgrounds (e.g., African American, Hispanic or Latino, or Native American), English learners, and/or students with disabilities.

In terms of setting, your research **must** be conducted in [authentic education settings](#Authentic_Education_Setting) for pre-K through grade 8 or **must** use data collected from such settings. Authentic pre-K education settings are defined as center-based prekindergarten programs, and authentic K-8 education settings are defined as schools and alternative school settings; school systems (e.g., local education agencies, state education agencies, and charter management organizations); or supplemental education services (as defined in Section 1116(e) of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001) Your research **must** also focus on programs (including policies, services or activities) that are designed to improve outcomes for gifted and talented students.

In terms of student outcomes, your research **must** address [academic outcomes](#Student_Academic_Outcomes) (such as learning outcomes in reading, writing, mathematics, and/or science). In addition, you may also address [social/behavioral competencies](#Social_Behavioral_Competencies) such as motivation, goal setting, and/or other measures.

### Project Narrative

Applications for the Center are limited to 25 pages. Proposals should be divided into five sections: Significance of the Focused Program of Research, Research Plan for the Focused Program of Research, Plans for Other Center Activities, Management and Institutional Resources, and Personnel. The information to be included in each section is described below.

#### Significance of the Focused Program of Research

You **must** begin your application by explaining your vision for the Center and the major problems or issues it will address. You should include a review of relevant literature on what is known about gifted and talented students and the programs designed to serve them. You should discuss the theoretical and empirical literature regarding the specific academic needs and outcomes of gifted and talented students in general, and underserved gifted and talented students in particular. If you prefer to use a different terminology to describe gifted and talented students, you should explain what words you prefer and why.

Applicants are expected to identify at least two or three states or school districts where the research will take place, and to provide letters of agreement from these states or school districts in [Appendix D](#_Appendix_D_(Optional)). You should explain why the states or school districts you have selected have high policy relevance, and if available, describe the goals and objectives of the gifted and talented programs, the number and characteristics of students served, and the annual expenditures. Stronger applications will focus on states or school districts that have a sizable number of students participating in gifted and talented programs and that show a clear commitment to addressing the academic needs of underserved students. If you include small school districts in your study, you might consider grouping them together to provide a sufficient number of students for the planned quantitative analyses, and to increase the likelihood that the findings of the study will generalize to a broader population of students.

All applicants **must** name and describe *at least* *one* study site in their proposals. If you have identified one state or school district but need more time to identify others, you should explain the process you will use to locate and select them. You should describe your process in sufficient detail to convince reviewers that the Center will have identified and reached agreement with at least two or three states of school districts soon after the Center begins operation.

#### Research Plan for the Focused Program of Research

Your proposal **must** include a detailed plan for the Phase One research activities, which includes an exploratory study and a plan for the conduct of an impact evaluation of a gifted and talented program. Each of these activities is described below.

##### The Exploratory Study

The purpose of the exploratory study is to provide an in-depth analysis of the implementation of gifted and talented programs, the identification of and participation by students in these programs, and the association between students’ participation and education outcomes. Your discussion of the Exploratory Study should include the following components:

1. *An implementation research plan*. The Institute seeks a systematic study of gifted and talented program implementation in at least two or three states or school districts. You should describe the major questions or topics you will address, including but not limited to the following:

* The [theory of change](#Theory_of_Change) underlying the programs.
* The policies, procedures, and [assessments](#Assessment) used to identify students for the programs (including some analysis of the objectivity of the policies, procedures, and assessments for underserved students).
* The content of the programs (e.g., district- or state-wide curriculum vs. teacher- or school-developed curriculum, assessment approaches, specific learning opportunities offered to students, and social-emotional supports).
* The instructional approach used to deliver content (e.g., problem-based learning instruction, dialogic teaching, lecture-style teaching, computer-based activities).
* The timing of the programs (e.g., after school or during the regular school day) and the location of the programs (e.g., in the regular school classroom, in another facility on the school campus, or off-campus).
* The duration and intensity of the programs.
* The qualifications and training of teachers and staff who implement the programs.
* The level and type of involvement of parents and family members in the programs.
* The assessments used to evaluate students’ progress (including any efforts to address possibly ceiling effects and other psychometric concerns).

In addition to describing research questions or topics, your implementation research plan should explain the methods you will use to collect data (e.g., interviews with school officials, teachers, and students; school/classroom observations; review of lesson plans or other documents). Stronger applications will include at least some direct observations and/or interviews at the study sites. Finally, you should explain how you will analyze and report on the implementation findings.

1. *A plan for examining student participation in and outcomes associated with gifted and talented programs.* You should describe the major questions or hypotheses that will guide your participation and outcomes analysis. These may include, but are not limited to, the following:

* How many students are identified for participation in gifted and talented programs within an academic year (or other time period)? What are the demographic and other characteristics of these students?
* What is the actual rate of participation in gifted and talented programs among students who are identified for participation?
* What is the duration and intensity of students’ participation?
* What are the cognitive processes underlying student learning within this program?
* What are the academic outcomes of students who participate in gifted and talented programs?
* Is there evidence to suggest that students who participate in gifted and talented programs have better academic outcomes than similar students who do not participate?

You should also describe your analytic approach. This should include the following:

* The students you will include in your analysis.
* The data sources you will use.
* The primary measures you will use to examine students’ participation (e.g., hours spent in program activities, number of months of participation, etc.) and your rationale for choosing these particular measures.
* The primary measures you will use to examine students’ academic outcomes, their psychometric properties for this intended purpose and target student population, and your rationale for choosing these particular measures.
* The procedures you will use to examine the association between program participation and student outcomes, and the factors or conditions that may mediate or moderate the relations between program participation and student outcomes.
* A discussion of the strengths and limitations of your analytic approach.

1. *A timeline showing the major research activities for the Exploratory Study and when they will be completed.*
2. *A plan for reporting out and disseminating the findings from the Exploratory Study to the study sites and various stakeholder groups*.

##### The Impact Evaluation Plan

Roughly 18-21 months into Phase One, the Center will prepare a detailed evaluation plan for an impact evaluation of a program for gifted and talented students using a design consistent with WWC standards, with or without reservations (<http://ies.ed.gov/ncee/wwc/>). The selection of the program will be based on the findings from the Exploratory Study. The Institute will review the evaluation plan and work with the Center to determine next steps for Phase Two.

For this application, you should explain the criteria you would use to select a program for an impact evaluation. You should identify the process you will use to work with school and district partners to design an impact evaluation. You should describe how the results of the Exploration Study will inform your choice of program as well as your research design. You should also discuss what steps the Center might propose to the Institute if the Exploration Study *does not* indicate that a gifted and talented program shows promise for improving student outcomes.

Explain what type of research design you would likely recommend for an impact study (e.g., randomized controlled trial, regression discontinuity design, or quasi-experimental evaluation) and why. You should also explain what outcomes you would examine, and how these outcomes are appropriate for the target underserved student population (i.e., developmentally, culturally, and linguistically). The impact evaluation must include academic outcomes (e.g., gains in reading, writing, math, and/or science proficiency) and may also include social/behavioral competencies (for example, increases in motivation and effort). You should address how you will capture aspects of academic achievement not typically available through standardized tests (e.g., in-depth comprehension of a core subject area), and how you would address any “ceiling effects” (i.e., the possibility that gifted and talented students may already score in the upper range on current assessments, and thus may not be able to show significant improvement). Finally, you should describe the major implementation and participation questions you would want to address during the impact evaluation, and why these questions are important.

For this proposal, the Institute does not expect the level of detail that would be expected for an [Efficacy](#Efficacy_Study) study under its Education Research Grants program (CFDA 84.305A). Rather, the Institute and its reviewers will want to understand your approach to conducting an impact evaluation and feel confident that you have thought through the major design and measurement challenges associated with an evaluation of a gifted and talented program. In the Personnel and Resources sections of the proposal, reviewers will also look for your experience and capacity to conduct an impact evaluation.

#### Plans for Other Center Activities

The Institute intends for the Center to serve as an objective, trustworthy source of information on programs for gifted and talented students, including students from traditionally underserved groups. In this section of your proposal, you should identify audiences you believe will be interested in the Center’s research and what strategies you would use to engage these audiences. The Institute expects the Center to maintain a website that describes its goals and activities and makes its research reports and other products readily available for download. The Institute also encourages the use of webinars, podcasts, videos, and other new media to broaden the reach of the Center at a relatively low cost.

During Phase One, the leadership and outreach activities may include convening an advisory group of policymakers, practitioners, and other researchers to provide input into the Center’s work; forming partnerships with state or school district officials in the study sites to make sure their questions are being addressed and to report back on the findings from the exploratory study; holding conferences and/or small workshops to discuss research methodology, measurement, critical research gaps, and other important issues; and creating a Center website. Applicants are free to amend these activities and propose others. Strong applications will provide a strategic outreach and communications plan that explains how the Center will engage practitioners, policymakers, and researchers in dialogue around the critical issues the Center is addressing.

#### Management and Institutional Resources

Your application **must** include a discussion of institutional resources needed to carry out a project of this size and complexity. Specifically, you should demonstrate that your team has a plan for acquiring or accessing the facilities, equipment, supplies, and other resources required to support the proposed work. If your Center involves collaboration between different organizations, you should include signed letters of commitment from these organizations in [Appendix D](#_Appendix_D_(Optional)).

If you already know the states or school districts where you will conduct the exploratory study and plan to use their administrative records, you should describe these data and how they will be used. In addition, as noted in the Significance section, you should include letters of support in Appendix D documenting the states’ or school districts’ participation and collaboration. These letters should convey that the organizations understand what their participation in the study will involve (e.g., responding to questions, hosting site visits, providing specific data sets, etc.).

#### Personnel

Your application **must** include a personnel section that describes the individuals who will lead and carry out the Center’s work, including the Principal Investigator (PI), co-PIs, and any other key staff. You should make clear their qualifications to carry out the proposed research and leadership activities, including prior experience with large research and evaluation projects. You should make clear the percentage of time and calendar months per year (academic plus summer) that the PI, co-PIs, and other key staff will devote to the Center. Finally, you should describe roles and responsibilities within the project team and how the key personnel will relate to one another. This is especially important if the team includes individuals who are located in different organizations.

The Institute strongly recommends that an impact evaluation expert (or experts) be identified to develop the Impact Evaluation Plan in Phase One and to lead this work in Phase Two. The Institute also strongly recommends the involvement of a measurement expert who can assist in identifying or devising appropriate tools to measure increases in skills or learning among students who may already be scoring at or near the top percentile on current academic assessments and/or displaying aspects of academic outcomes not typically captured in state achievement tests.

### Awards

The maximum Center budget is $1 million per year ($5 million total across a maximum of five years), contingent on future appropriations. For this application, your budget should reflect only Phase One activities (Years One and Two of the Center). The Center **must** conform to the following limits on duration and cost during Phase One:

**Phase One Duration Maximums:**

* **The maximum project period for Phase One of this Center** **is 2 years.** An application proposing a Phase One project length of more than 2 years will be deemed nonresponsive to the Request for Applications and will not be accepted for review.

**Phase One Cost Maximums:**

* **The maximum total award for Phase One for this Center is $2,000,000 (total cost = direct costs + indirect costs), and the maximum annual award is $1,000,000 (annual cost = direct costs + indirect costs).** An application proposing a Phase One budget of more than the maximum total or annual award amount will be deemed nonresponsive to the Request for Applications and will not be accepted for review.
  + - You should only submit a budget and budget narrative for Phase One (Years 1 and 2) of your proposed project.

**Continuation Funding for Phase Two (Third through Fifth Years) of the Center:**

Because the planning and design of the evaluation study relies on the findings from the exploratory study conducted during the Center’s initial two years, continuation funding for the third through fifth years of the project will depend on the following:

* The recommendation of a scientific peer review team that the Center’s proposed impact evaluation plan be accepted by the Institute, and
* The timeliness and effectiveness with which all existing requirements of the negotiated cooperative agreement have been or are being met by the project.
* Submission and approval of a budget for Phase Two. The maximum duration of the Phase Two project period is expected to be three years. The maximum total award for Phase Two for this Center is expected to be $3,000,000 (total cost = direct costs + indirect costs), and the maximum annual award is expected to be $1,000,000 (annual cost = direct costs + indirect costs).

# PART III: COMPETITION REGULATIONS AND REVIEW CRITERIA

1. **FUNDING MECHANISMS AND RESTRICTIONS**

### Mechanism of Support

The Institute intends to award a cooperative agreement pursuant to this Request for Applications.

### Funding Available

Although the Institute intends to support the National Research and Development Center for the Education of Gifted and Talented Children and Youth described in this announcement, any award pursuant to this Request for Applications is 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. The Institute intends to make one award for a National Research and Development Center for the Education of Gifted and Talented Children and Youth following a competitive scientific peer review process, contingent upon the quality of applications and availability of funds.

The size of the award depends on the topic and scope of the R&D Center’s activities. Please attend to the maximums set for Center length and budget for the National Research and Development Center for the Education of Gifted and Talented Children and Youth. **If you request an award length longer than the maximum or a budget higher than the maximum, your application will be deemed nonresponsive and will not be reviewed.**

The Institute expects the *focused program of research* to comprise at least 75 percent of a Center’s activities depending on the cost and effort required to carry out the focused program of research, with the remainder of the budget devoted to leadership activities and any administrative activities not included in the focused program of research.

### Cooperative Agreements

Through the terms of the cooperative agreement, grantees will work with the Institute to plan the research and leadership activities.

### Special Considerations for Budget Expenses

*Indirect Cost Rate*

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. 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 sub-awardees, not located in the territorial U.S. 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 new Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards <https://federalregister.gov/a/2013-30465> for more information.

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 new OMB Uniform 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.

### 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.

### Applicable Regulations

The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 77, 80, 81, 82, 84, 85, 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.

1. **ADDITIONAL AWARD REQUIREMENTS**

### Public Availability of Data and 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](#Final_Manuscript) 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.

### Special Conditions on Grants

The Institute may impose special conditions on a grant 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.

### Demonstrating Access to Data and Authentic Education Settings

The research you propose to do will most likely require that you have (or will obtain) access to [authentic education settings](#Authentic_Education_Setting) (e.g., classrooms, schools, districts), 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](#_Appendix_D_(Optional)) 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 (such as 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.

1. **OVERVIEW OF APPLICATION AND PEER REVIEW PROCESS**

### Submitting a Letter of Intent

The Institute strongly encourages potential applicants to submit a Letter of Intent by May 29, 2014. Letters of Intent are optional, non-binding, and not used in the peer review of a subsequent application. However, when you submit a Letter of Intent, 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 still may 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 competition and 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
        + Brief description of the proposed R&D Center
        + 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 R&D Center (attend to the Duration maximums for this topic)
        + Estimated total budget request (attend to the Budget maximums for this topic)

### Application Processing

**Applications must be submitted electronically and received by 4:30:00 p.m., Washington, DC time on July 22, 2014** 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](#_PART_V:_PREPARING) and [Part V Submitting Your Application](#_PART_V:_SUBMITTING) 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](#Compliant) and [responsiveness](#Responsive) 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 September 15, 2014) 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.

### 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>, 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.

### 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 described in Part II R&D Center Requirements.

#### Significance of the Focused Program of Research

Does the applicant provide a compelling rationale for the significance of the Center as defined in the sections on the significance of the focused program of research?

#### Research Plan for the Focused Program of Research

Does the applicant meet the requirements described in the sections detailing the methodological requirements for the focused program of research?

#### Plans for Other Center Activities

Do both the content of the leadership activities and the description of the applicant’s capacity to conduct such activities demonstrate that the applicant has the ideas, experience, and capability to successfully carry-out such activities in cooperation with the Institute?

#### Management and Institutional Resources

Do the plans and procedures for the overall management of the Center indicate that the applicant has the capacity to efficiently and successfully complete the proposed research, dissemination, and leadership activities? Does the applicant have the facilities, equipment, supplies, and other resources required to support the proposed activities? Do the commitments of each partner show support for the implementation and success of the proposed Center activities?

#### Personnel

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

### 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

## OVERVIEW

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**.

1. **GRANT APPLICATION PACKAGE**

The Application Package for this competition (84-305C2014) 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).

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

The Application Package will be available on <http://www.grants.gov/> by May 29, 2014.

### 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 National Research and Development Center for the Education of Gifted and Talented Children and Youth competition, you must search on: CFDA 84.305.

The Grants.gov search on CFDA 84.305 will yield more than one Application Package. For the National Research and Development Center for the Education of Gifted and Talented Children and Youth competition, you must download the Application Package marked:

* National Research and Development Center for the Education of Gifted and Talented Children and Youth CFDA 84.305C

You must download the Application Package that is designated for this grant competition. **Make sure you choose the application package designated for the FY2014 84.305C 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 FY2014 National Research and Development Center for the Education of Gifted and Talented Children and Youth competition.

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

1. **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):

* Center Summary/Abstract;
* Center 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 Phase One Center 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.](#_R&R_Subaward_Budget)) is provided below.

### 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.

### 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.

### Spacing

Text must be single spaced.

### 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 six 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.

### 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.

## PDF ATTACHMENTS

### Center Summary/Abstract

#### Submission

You must submit the center 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](#_Research_&_Related_2)).

1. **Page limitations**

The center summary/abstract is limited to one single-spaced page.

1. **Content**

The center summary/abstract should include the following:

* Title of the proposed Center,
* Brief description of the focused program of research, and
* A list of the key Center personnel.

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

### Center Narrative

#### Submission

You must submit the center 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](#_Research_&_Related_2)).

1. **Page limitations**

The center narrative is limited to 25 pages. **If the narrative exceeds this page limit, the Institute will remove any pages after the 25th 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.

1. **Format for citing references in text**

To ensure that all applicants have the same amount of available space in which to describe their centers in the center 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).

1. **Content**

Your center narrative **must** include five sections in order to be compliant with the requirements of this Request for Applications: (1) Significance of the Focused Program of Research, (2) Research Plan for the Focused Program of Research, (3) Other Center Activities, (4) Management and Institutional Resources, and (5) Personnel. Information to be included in each of these sections is detailed in [Part II R&D Center Requirements](#_PART_II:_TOPIC_1). **The information you include in each of these five sections will provide the majority of the information on which reviewers will evaluate the application**.

### Appendix A (Not Applicable for this Competition)

### Appendix B (Optional)

#### Submission

If you choose to have an Appendix B, you must include it at the end of the project narrative, and submit it as part of the same PDF attachment at Item 8 of the Research and Related Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#_Research_&_Related_2)).

1. **Page limitations**

Appendix B is limited to 15 pages.

1. **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 center narrative, not in Appendix B.

### Appendix C (Optional)

#### Submission

If you choose to have an Appendix C, you must include it at the end of the project narrative, following Appendix B and submit it as part of the same PDF attachment at Item 8 of the Research and Related Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#_Research_&_Related_2)).

1. **Page limitations**

Appendix C is limited to 10 pages.

1. **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 center narrative, not in Appendix C.

### Appendix D (Optional)

#### Submission

If you choose to have an Appendix D, you must include it at the end of the project narrative, following Appendix C and submit it as part of the same PDF attachment at Item 8 of the Research and Related Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#_Research_&_Related_2)).

1. **Page limitations**

Appendix D does not have a page limit.

1. **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](#_Toc378161861) 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.

### Bibliography and References Cited

#### Submission

You must submit this section as a separate PDF attachment at Item 9 of the Research and Related Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#_Research_&_Related_2)).

#### Page limitations

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

#### 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.

### Research on Human Subjects Narrative

#### Submission

The human subjects narrative must be submitted as a PDF attachment at Item 12 of the Research and Related Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#_Research_&_Related_2)).

#### Page limitations

The human subjects narrative does not have a page limit.

#### 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 (see [Part V.E.4 Research & Related Other Project Information](#_Research_&_Related_2)). 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 by (not exempt from) the Human Subjects Regulations and you checked “no” on Item 1 of the Research & Related Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#_Research_&_Related_2)), 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.

### Biographical Sketches of Senior/Key Personnel

#### 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](#_Research_&_Related)]).

#### Page limitations

Each biographical sketch is limited to four pages.

#### 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).

### Current & Pending Support of Senior/Key Personnel

#### Submission

Each list of current and pending support will be submitted as a separate PDF attachment to the Research & Related Senior/Key Person Profile (Expanded) form (see [Part V.E.2 Research & Related Senior/Key Person Profile (Expanded)](#_Research_&_Related)).

#### Page limitations

Each list is limited to one page.

#### Content

Provide a list of current and pending grants for the Principal Investigator, each co-Principal Investigator, and each co-Investigator, along with the proportion of his/her time, expressed as percent effort over a 12-month calendar year, allocated to each project. This information should be provided as a table.

Note: Each senior/key person must include the proposed research project 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.

### Narrative Budget Justification

#### 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](#_Research_&_Related_1)). 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](#_R&R_Subaward_Budget)).

#### Page limitations

The narrative budget justification does not have a page limit.

#### Content

The narrative budget justification should only discuss Phase One expenses (see [Part II.B.3](#_Awards)).A narrative budget justification must be submitted for the Phase One 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 in the budget narrative for each project year outlined in the Research & Related Budget (SF 424).

#### Indirect cost rate

You must use your institution’s federally negotiated indirect cost rate and use the off-campus indirect cost rate where appropriate (see [Part III.A.3 Special Considerations for Budget Expenses](#_Special_Considerations_for)).

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 4:30:00pm Washington, DC time on July 22, 2014) 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>.

## 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 web site: <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 July 22, 2014. 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.

## 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- [http://www.sam.gov](http://www.sam.gov/); formerly known as the CCR - Central Contractor Registry). Grants.gov recommends that your institution begin the registration process at least 4 weeks prior to the application deadline date.

### 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.

### 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 successfully, you must provide the DUNS number on your application 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>

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 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.

## SUBMISSION AND SUBMISSION VERIFICATION

### 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.**

### 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), or (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., 305C), the fiscal year for the submission (e.g., 14 for fiscal year 2014), and finally four digits unique to the application, for example R305C14XXXX. 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 deadline date to allow for a successful and timely submission.

### 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.**

However, if you believe that a technical problem with the Grants.gov system prevented you from being able to submit your application on time, you must contact the Grants.gov Support Desk 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 Grants.gov Support Desk will assign a Case Number (e.g., 1-12345678) that you must keep as a record of the problems. If you wish to petition that the Institute accept your late application due to technical problems with the Grants.gov system you should contact the program officer for the topic designated in your application and provide an explanation of the problem experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. **Your application will be accepted only if it is possible to confirm that a technical problem occurred with the Grants.gov system and that the problem (as documented with the Grants.gov Support Desk) affected your ability to submit the application by 4:30:00 p.m. Washington, DC time on the application deadline date.** The Institute will contact you approximately 1 month after the submission deadline as to whether the application will be accepted.

## 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.

### 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.

### Dial-Up Internet Connections

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.

### Software Requirements

You will need Adobe software (at least Adobe Reader 10.1.14) to read and complete the application forms for submission through Grants.gov. You can verify if your Adobe software version is compatible with Grants.gov, and if it is not a compatible version, you can download the necessary version of Adobe from Grants.gov (<http://www.grants.gov/web/grants/support/technical-support/recommended-software.html>).

### 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.

Grants.gov provides help for converting files to a PDF format: <http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>.

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 the following:

* **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 the following:** 
  + **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.

## 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 (84-305C2014). Please note that fields marked by an asterisk and 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.

### 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](#_How_to_Register); a descriptive title for the project; an indication of the project topic and, for program announcements that have explicit goals, the appropriate goal; 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.

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

* Item 1

Type of Submission. For this competition, select "Application" (for a new submission). Do not select “Changed/Corrected Application” (for a resubmission). 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**.

* Federal Identifier. **Not applicable for this competition.**
* Agency Routing Number. **Enter the code NCER-GT. 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 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 cognizant program officer (see [Part II.B R&D Center Requirements](#_PART_II:_TOPIC_1) or the [list](#_PROGRAM_OFFICER_CONTACT) of program officers in Part VI.H) 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 Center**. 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 Center and the proposed end date of the Center. **The start date must be October 1, 2014.**

* Item 13

Congressional District of Applicant. For both the applicant and the project, enter the Congressional District in this format: 2-character State Abbreviation and 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-faqs/applying-for-grants.html> under “How can I find my congressional district code?” (at the bottom of the page) 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 Phase One project period.
  + Total Non-federal Funds. Enter the total Non-federal funds requested for the Phase One project period.
  + Total Federal & Non-Federal Funds. Enter the total estimated funds for the Phase One 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](#_Other_Forms_Included)).

* 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](#_Other_Forms_Included) 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.

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

This form asks you to: (a) identify the Project Director/Principal Investigator and other senior and/or key persons involved in the project; (b) specify the role key staff will serve; and (c) 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 III.D.9 Biographical Sketches of Senior/Key Personnel](#_Biographical_Sketches_of) 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 Center Narrative.

### 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)](#_Application_for_Federal), Item 13 for information about Congressional Districts. DUNS number information is optional on this form.

### Research & Related Other Project Information

This form asks you to provide information about any research that will be conducted involving Human Subjects, including: (a) whether human subjects are involved; (b) if human subjects are involved, whether or not the project is exempt from the human subjects regulations; (c) if the project is exempt from the regulations, an indication of the exemption number(s); and, (d) 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: (a) whether there is proprietary information included in the application; (b) whether the project has an actual or potential impact on the environment; (c) whether the research site is designated or eligible to be designated as an historic place; and, (d) 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.D PDF Attachments](#_PDF_ATTACHMENTS) for information about page limitations, format requirements, and content) including the following:

* Center Summary/Abstract,
* Center 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.D.8 Research on Human Subjects Narrative](#_Research_on_Human)).

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 V.D.8 Research on Human Subjects Narrative](#_Research_on_Human)).

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.

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

* Item 8.

Center Narrative. Create a single PDF file that contains the Center Narrative as well as, when applicable, Appendix A, Appendix B, Appendix C, Appendix D, and Appendix E. Attach that single PDF file here. See [Part IV.D PDF Attachments](#_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.D PDF Attachments](#_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 Management and Institutional Resources Section of the 25-page Center Narrative for the application and may also be included in the [Narrative Budget Justification](#_Narrative_Budget_Justification). In the center 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](#_Appendix_D_(Optional)).

* 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.D PDF Attachments](#_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.

### 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 Center 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 each budget period within Phase One of the Center (i.e., project years 1 and 2). See [Part II.B.3](#_Awards) for more information.

**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](#_R&R_Subaward_Budget). 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](#_Application_for_Federal) 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](#_R&R_Subaward_Budget) for instructions regarding budgets for a subaward).

* Budget Period Information.

Enter the start date and the end date for each budget period.

* 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](#_R&R_Subaward_Budget)).

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 sub-awardees, 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.D.1](#_Narrative_Budget_Justification)1 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.

### 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](#_Research_&_Related_1). 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.**

### 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. To determine applicability, please review the provisions in Item 1 “Lobbying” of the ED 80-0013 – Combined Assurance Form.

* SF 424B-Assurances-Non-Construction Programs.
* ED 80-0013 – Combined Assurance.
* Disclosure of Lobbying Activities – Standard Form LLL (if applicable).

## SUMMARY OF REQUIRED APPLICATION CONTENT

|  |  |  |  |
| --- | --- | --- | --- |
| R&R Form | Required | Instructions Provided | Additional Information |
| Application for Federal Assistance SF 424 (R & R) | BD21301_ | Part V.E.1 | Form provided in Grants.gov application package |
| Senior/Key Person Profile (Expanded) | BD21301_ | Part V.E.2 | Form provided in Grants.gov application package |
| Project/Performance Site Location(s) | BD21301_ | Part V.E.3 | Form provided in Grants.gov application package |
| Other Project Information | BD21301_ | 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 | BD21301_ | 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 *extract and attach* a subaward budget(s). |
| SF 424B Assurances – Non-Construction Programs  ED 80-0013 – Combined Assurance  Disclosure of Lobby Activities – Standard Form LLL (if applicable) | BD21301_  BD21301_  -- | Part V.E.7 | Forms provided in Grants.gov application package |
| Center Summary/Abstract | BD21301_ | Part IV.D.1 | Add as an attachment (PDF file) using Item 7 of the "Other Project Information" form |
| Center Narrative and Appendices   * Narrative * Appendix A * Appendix B * Appendix C * Appendix D | BD21301_  --  --  --  -- | Part IV.D.2-6 | The Center 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 | BD21301_ | Part IV.D.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 | BD21301_ | Part IV.D.8 | Add as an attachment (PDF file) using Item 12 of the "Other Project Information" form. |
| Biographical Sketches of Senior/Key Personnel | BD21301_ | Part IV.D.9 | Add each as a separate attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form. |
| Lists of Current & Pending Support for Senior/Key Personnel | BD21301_ | Part IV.D.10 | Add each as a separate attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form. |
| Narrative Budget Justification | BD21301_ | Part IV.D.11 | Add as an attachment (PDF file) using *Section K – Budget Period 1*of the "Budget (Total Federal + Non-Federal)" form. |

## APPLICATION CHECKLIST

|  |  |
| --- | --- |
| Have each of the following forms been completed? | |
|  | SF 424 Application for Federal Assistance |
|  | For item 4b, is the correct topic code included following the instructions in Part V.E.1? |
|  | For item 8, is the Type of Application appropriately marked as “New” following the instructions in Part V.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 |
|  | ED 80-0013 – Combined Assurance |
|  | Disclosure of Lobby Activities – Standard Form LLL (if applicable) |
| Have each of the following items been attached as PDF files in the correct place? | |
|  | Center Summary/Abstract, using Item 7 of the "Other Project Information" form |
|  | Center Narrative, and where applicable, Appendix A, 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 |
|  | Lists of Current & Pending Support, using “Attach Current & Pending Support” of the “Senior/Key Person Profile (Expanded)” form |
|  | 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 |
| 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 (July 22, 2014) |

## PROGRAM OFFICER CONTACT INFORMATION

As a reminder, please contact the Institute’s program officers with any questions you may have about 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.

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# GLOSSARY

Assessment: “Any systematic method of obtaining information from tests and other sources, used to draw inferences about characteristics of people, objects, or programs” (AERA, 1999).

Assessment framework: Includes the definition of the construct(s); theoretical model on which the assessment is based; and the rationale for validity evidence to support its use for the intended purpose and population.

Authentic education setting: Your proposed research must be relevant to education in the United States. Setting refers to the environment where education is being delivered not the physical location of the researcher. In general, research should be conducted in authentic education settings or on data collected from authentic education settings. Authentic education setting varies by education level as set out below. This competition only allows for research to be conducted in pre-K through grade 8 education settings.

* Authentic Pre-K Education Settings are defined as:
  + center-based prekindergarten programs
* Authentic K-8 Education Settings are defined as:
* schools and alternative school settings
* school systems (e.g. local education agencies, state education agencies, and charter management organizations)
* supplemental education services (as defined in Section 1116(e) of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001)

Compliant: The part of the process of screening applications for acceptance for review that focuses on compliance with the application rules (e.g., page length and formatting requirements, completion of all parts of the application).

Efficacy study: A study that tests an intervention’s beneficial impacts on student education outcomes in comparison to an alternative practice, program, or policy.

Fidelity of implementation: The extent to which the intervention is being delivered as it was designed to be by end users in an authentic education setting.

Final manuscript: The author’s final version of a manuscript accepted for publication that includes all modifications from the peer-review process.

Intervention: The wide range of education curricula, instructional approaches, professional development, technology, and practices, programs, and policies that are implemented at the student, classroom, school, district, state, or federal level to improve student education outcomes.

Malleable factors: Things that can be changed by the education system to improve student education outcomes.

Moderators: Factors that affect the strength or the direction of the relationship between the intervention and student education outcomes (e.g., an intervention’s impacts may differ by such student characteristics as achievement level, motivation, or social-economic status; and by organizational or contextual factors, such as school size or neighborhood characteristics).

Mediators: Factors through which the relationship between the intervention and student education outcomes occurs (e.g., many interventions aimed at changing individual student education outcomes work through changing teacher behavior, student peer behavior, and/or student behavior).

Reliability: “The degree to which scores for a group of test takers are consistent over repeated applications of a measurement procedure and hence are inferred to be dependable and repeatable for an individual test taker; the degree to which scores are free of errors of measurement for a given group” (AERA, 1999).

Responsive: The part of the process of screening applications for acceptance for review that focuses on responsiveness to the Request for Applications. This screening includes making sure applications 1) are submitted to the correct competition and/or topic and 2) meet the basic requirements set out in the Request for Applications.

Student education outcomes: The outcomes to be changed by the intervention. The intervention may be expected to directly affect these outcomes or indirectly affect them through intermediate student or instructional personnel outcomes. There are two types of student education outcomes.

* + Student academic outcomes: The Institute supports research on a diverse set of student academic outcomes that fall under two categories. The first category includes academic outcomes that reflect learning and achievement in the core academic content areas (e.g., measures of understanding and achievement in reading, writing, math, and science). The second category includes academic outcomes that reflect students’ successful progression through the education system (e.g., course and grade completion and retention in grade K through 12; high school graduation and dropout; postsecondary enrollment, progress, and completion).
  + Social and behavioral competencies: Social skills, attitudes, and behaviors that may be important to students’ academic and post-academic success.

Theory of change: The underlying process through which key components of a specific intervention are expected to lead to the desired student education outcomes. A theory of change should be specific enough to guide the design of the evaluation (e.g., selecting an appropriate sample, measures and comparison condition).

Validity: The degree to which accumulated evidence and theory support specific interpretations of scores entailed by proposed uses of an assessment (AERA, 1999).

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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

555 New Jersey Avenue, NW, Room 600E

Washington, DC 20208

FAX: (202) 219-1466

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# (84.305C)

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 by 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# (84.305C)

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.

1. <http://www2.ed.gov/policy/elsec/leg/esea02/pg72.html> [↑](#footnote-ref-1)
2. <http://ies.ed.gov/funding/grantsearch/details.asp?ID=127> [↑](#footnote-ref-2)
3. State education agencies include education agencies, departments, boards and commissions that oversee early learning, elementary, secondary, postsecondary/higher, and adult education. The term State education agencies includes U.S. Territories’ education agencies and tribal education agencies. [↑](#footnote-ref-3)
4. 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. [↑](#footnote-ref-4)
5. As defined in the Elementary and Secondary Act (ESEA), a local education agency is a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools. [↑](#footnote-ref-5)