INSTITUTE OF EDUCATION SCIENCES

GRANTS.GOV APPLICATION SUBMISSION GUIDE

FOR

CFDA NUMBER: 84.305

SEPTEMBER EDUCATION RESEARCH APPLICATION PACKAGES

84-305A2012-2
84-305B2012
84-305C2012
84-305D2012
84-305E2012

CFDA NUMBER: 84.324

SEPTEMBER SPECIAL EDUCATION RESEARCH APPLICATION PACKAGES

84-324A2012-2
84-324C2012

PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control numbers for this information collection are 4040-0001 and 4040-0010. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

Note: OMB has granted an emergency extension to allow continued use of the SF 424 Research & Related family of forms through December 31, 2011. Without the extension, the forms package would have expired on June 30, 2011.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537.
If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of the Deputy Director for Administration and Policy, Institute of Education Sciences, U.S. Department of Education, 555 New Jersey Avenue, NW, Suite 600, Washington D.C. 20208.

GRANTS.GOV APPLICATION SUBMISSION GUIDE

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PART I OVERVIEW

1. IES RESEARCH AND RESEARCH TRAINING GRANT PROGRAMS

The over-arching priority of the Institute of Education Sciences (Institute) is research that contributes to improved academic achievement for all students, and particularly for those whose education prospects are hindered by inadequate education services and conditions associated with poverty, race/ethnicity, limited English proficiency, disability, and family circumstance. To address this priority, the Institute has established research and research training programs through its National Center for Education Research (NCER) and its National Center for Special Education Research (NCSER).

On March 3, 2011, the Institute announced in the Federal Register the research and research training grant competitions listed below.

- Education Research Programs (CFDA 84.305A)
- Special Education Research Programs (CFDA 84.324A)
- Postdoctoral Research Training Program in the Education Sciences (CFDA 84.305B)
- Postdoctoral Research Training Program in Special Education (CFDA 84.324B)
- Special Education Research and Development Centers (CFDA 84.324C)
- Statistical and Research Methodology in Education (CFDA 84.305D)
- Evaluation of State and Local Education Programs and Policies (CFDA 84.305E)

The Institute has also announced a competition for National Research and Development Centers (CFDA 84.305C) and released the competition Request for Applications on March 28, 2011.

Each program is identified by its title and a unique CFDA (Catalog of Federal Domestic Assistance) alpha-numeric code. All of the National Center for Education Research programs have the numeric code 84.305, and specific programs are distinguished by alpha characters (e.g., CFDA 84.305**A**, Education Research Programs; CFDA 84.305**E**, Evaluation of State and Local Education Programs and Policies). All of the National Center for Special Education Research programs have the numeric code 84.324, and specific programs are distinguished by alpha characters (e.g., CFDA 84.324**A**, Special Education Research Programs).

PART II GENERAL INSTRUCTIONS

Applicants are encouraged to read *all* sections of this document carefully to ensure successful submission of their application.

2. MANDATORY SUBMISSION OF ELECTRONIC APPLICATIONS

Grant applications must be submitted electronically through the Internet using the software provided on the Grants.gov website: http://www.grants.gov/. Applicants must follow the application procedures and submission requirements described in this document, the Institute's Grants.gov Application Submission Guide, and the instructions in the User Guide provided by Grants.gov.

Applications submitted in paper format will be rejected unless the applicant (a) qualifies for one of the allowable exceptions to the electronic submission requirement described in the Federal Register notice announcing the relevant grant competition (and in Part V of this document) and (b) submits, no later than two weeks before the application deadline date, a written statement to the Institute that documents that the applicant qualifies for one of these exceptions.

3. APPLICATION INSTRUCTIONS AND APPLICATION PACKAGE

A. Documents Needed to Prepare Applications

To complete and submit an application, applicants need to review and use **three documents**: (1) the Request for Applications, (2) the IES Grants.gov Application Submission Guide, and (3) the Application Package.

1. The Request for Applications describes the substantive requirements for the application.

   ✓ Request for Applications http://ies.ed.gov/funding/

2. The IES Grants.gov Application Submission Guide (this document) provides the instructions for completing and submitting the forms and attaching all necessary Adobe Portable Document Format (PDF) files.

   ✓ IES Grants.gov Application Submission Guide http://ies.ed.gov/funding/

The IES Grants.gov Application Submission Guide is also available on Grants.gov as part of the relevant funding opportunity application package. Additional help navigating Grants.gov is available in the Grants.gov User Guide (http://www.grants.gov/applicants/app_help_reso.jsp#guides).

3. The Application Package provides all of the forms that need to be completed and submitted. The application forms approved for use by the Institute's grant competitions are found in the government-wide SF 424 Research and Related (R&R) Form family (OMB Numbers 4040-0001 and 4040-0010). The applicant must follow the directions described in Part III of this document and also described in the Request for Applications to download the correct Application Package from Grants.gov.

   ✓ Application Package http://grants.gov/applicants/apply_for_grants.jsp

Applicants may review the Federal Register notice announcing the Institute's FY 2012 grant competitions at http://ies.ed.gov/funding/.

B. Accommodation for Individuals with Disabilities

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the relevant program officer listed below:

- 84.305A Education Research — Emily Doolittle (Emily.Doolittle@ed.gov)
- 84.305B Postdoctoral Research Training — Meredith Larson (Meredith.Larson@ed.gov)
- 84.305C National R&D Centers — David Sweet (David.Sweet@ed.gov)
- 84.305D Statistical and Research Methodology — Allen Ruby (Allen.Ruby@ed.gov)
- 84.305E Evaluation of State and Local — Allen Ruby (Allen.Ruby@ed.gov)
- 84.324A Special Education Research — Amy Sussman (Amy.Sussman@ed.gov)
- 84.324C Special Education R&D Centers — Amy Sussman (Amy.Sussman@ed.gov)

4. APPLICATION SUBMISSION PROCESS AND DEADLINE

Applications must be submitted **electronically by 4:30:00 p.m.**, **Washington, D.C. time** on the application deadline date, using the standard forms in the Application Package and the instructions

provided on the Grants.gov website. Information on the application deadline date is provided in the Request for Applications.

5. REGISTRATION PROCESS

Applicants must be registered with Grants.gov before they can apply for any grant on the Grants.gov website.

- ✓ Grants.gov Registration: http://grants.gov/applicants/get_registered.jsp

The registration process may take between three to five business days or as long as four weeks to complete. Applicants must complete *all* registration steps to allow a successful application submission via Grants.gov. Applicants may begin working on their application while completing the registration process, but applicants will not be permitted to submit an application until all of the Registration Steps are complete.

Note: On the application, applicants must provide their organization's DUNS number as provided by the Central Contractor Registry (CCR).

- ✓ Central Contractor Registry: http://www.ccr.gov/

The DUNS number must be the one that was used when their organization registered with the CCR. Note: Applicant organizations need to update their CCR registration annually. As of October 11, 2010, each organization's e-Biz POC (Point of Contact) is also required to update their CCR registration. To complete this step, the e-Biz POC must have their DUNS number and CCR MPIN. Additional information is provided at http://www.grants.gov/applicants/org_step5.jsp

6. SUBMISSION AND SUBMISSION VERIFICATION PROCESS

A. Submission

To facilitate use of Grants.gov, the Institute recommends that applicants read carefully the submission procedures described below to ensure that their application is received in a timely manner and accepted by the Institute. To submit an application, applicants must complete the appropriate application package (instructions in Part III below and in the relevant Request for Applications) and follow the directions on Grants.gov. **Applicants are strongly encouraged 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: Applicants 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 only become active after the package is successfully saved with no errors, i.e., after the applicant has used the "Check Package for Errors" button and then clicked the "Save" button. Once the "Save and Submit" button is clicked, the applicant will need to enter the user name and password that were created upon registration with Grants.gov.

Additional help with submitting an application electronically through the Grants.gov website is available. Grants.gov provides (a) tips for troubleshooting common technical issues that may arise when submitting an application electronically http://www.grants.gov/help/trouble_tips.jsp and (b) a step-by-step tutorial on downloading, completing and submitting the application package (http://grants.gov/applicants/apply_for_grants.jsp. The Institute also offers webinars on the application process (http://ies.ed.gov/funding/webinars/index.asp).

The Institute strongly recommends that applicants 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 the applicant's Internet connection. If Grants.gov rejects an application, the applicant will need to resubmit successfully before 4:30:00 p.m. on the deadline date as determined by Grants.gov. As an example, if an applicant begins the submission process at 4:00:00 p.m. on the deadline date, and Grants.gov rejects the application at 4:15:00, there may not be enough time for the applicant 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 deadline. **Applicants are strongly encouraged to begin the submission process at least three to four days before the deadline date to ensure a successful, on-time submission.**

Applicants who experience technical problems submitting to Grants.gov before the closing date/time should contact Grants.gov Customer Support (1-800-518-4726 or support@grants.gov) for help or use the customer support available on the Web site: http://www.grants.gov/help/help.jsp

To document problems with Grants.gov, applicants must report the problem to Grants.gov Customer Support (1-800-518-4726) and obtain a nine-digit Case Number beginning with the numeral one (e.g., 1-12345678). If an application is not submitted successfully before the deadline (4:30:00 p.m. Washington, D.C. time as determined by Grants.gov) and the applicant believes this was due to a technical error *with the Grants.gov system* in the submission process, **the nine-digit Case Number must be provided to document that a problem was reported to Grants.gov Customer Support**.

B. Submission Verification

The Institute urges applicants 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 the application was received by Grants.gov, applicants need to log on to Grants.gov and click on the "Track My Application" link. For a **successful submission**, the date/time received should be no later than 4:30:00 p.m. on the deadline date, AND the application status should be: Validated (i.e., no errors in submission), Received by Agency (i.e., Grants.gov has transmitted the submission to the U. S. Department of Education), or 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, D.C. 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 and also in its Adobe Reader Error Message document.

- ✓ Grants.gov FAQ http://www.grants.gov/applicants/applicant_faqs.jsp#54.
- ✓ Grants.gov Adobe Reader Error Messages http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf

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

1. The first email message will confirm receipt of the application by the Grants.gov system and will provide the applicant with an application tracking number beginning with the word "GRANT", for

example GRANT00234567. Applicants can use this number to track their application before it is transmitted to the U. S. Department of Education.

2. The second email message will indicate that the application EITHER has been successfully validated by the 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.

3. 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., then the application is successful and on-time.

Note: Applicants should *not* rely solely on e-mail to confirm whether an application has been received timely and validated successfully. **The Institute urges applicants to use the "Track My Application" link to verify on-time, valid submissions in addition to the confirmation emails.** Grants.gov provides information about how to track an application in the following PDF file http://www.grants.gov/assets/TrackingYourApplicationPackage.pdf.

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

4. 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., 305A or 324C), the fiscal year for the submission (e.g., 12 for fiscal year 2012), and finally four digits unique to the application, for example R305A12XXXX or R324C12XXXX. If the application was received after the closing date/time, the email will also indicate that the application is late and will not be given further consideration.

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

C. Late Applications

The Institute does not accept late applications. If an applicant experiences problems submitting the application through Grants.gov, the applicant must contact the Grants.gov Support Desk at 1-800-518-4726 or support@grants.gov. The Grants.gov Support Desk will assign a Case Number which the applicant must keep as a record of the problems.

If the applicant is prevented from electronically submitting the application on the application deadline date because of technical problems *with the Grants.gov system*, an extension will be granted until 4:30:00 p.m. Washington, D.C. time of the following business day to enable submission of the application.

If the application is submitted after 4:30:00 p.m. Washington, D.C. time on the application deadline date, the applicant should contact the relevant program officer listed below and provide an explanation of the problem experienced with Grants.gov, along with the Grants.gov Support Desk Case Number.

- 84.305A Education Research — Emily Doolittle (Emily.Doolittle@ed.gov)
- 84.305B Postdoctoral Research Training — Meredith Larson (Meredith.Larson@ed.gov)

- 84.305C National R&D Centers — David Sweet (David.Sweet@ed.gov)
- 84.305D Statistical and Research Methodology — Allen Ruby (Allen.Ruby@ed.gov)
- 84.305E Evaluation of State and Local — Allen Ruby (Allen.Ruby@ed.gov)
- 84.324A Special Education Research — Amy Sussman (Amy.Sussman@ed.gov)
- 84.324C Special Education R&D Centers — Amy Sussman (Amy.Sussman@ed.gov)

The 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 the applicant's ability to submit the application by 4:30:00 p.m. Washington, D.C. time on the application deadline date. The Institute will contact the applicant after a determination is made on whether the application will be accepted.

Table 1 provides a summary of the different alpha/numeric identifiers that are associated with submissions to the Institute and how each is used.

Table 1: Alpha/Numeric Identifiers Used with the Application

	COMPONENTS	EXAMPLES	WHEN IT'S USED
CFDA Number	• The numeric code for a program: 84.305 for the NCER programs and 84.324 for the NCSER programs • The alpha identifier for the specific competition: A, B, C, D, or E	• 84.305A designates Education Research • 84.324B designates Special Education Research Training	The CFDA number is used by the U.S. Department of Education (ED) to designate a specific program competition announced in the Federal Register and described in an IES Request for Applications
Competition ID	• The CFDA number • The fiscal year of the competition • A numeric identifier to designate the first or second round of competition in a given fiscal year	• 84-324A2012-2 designates the "second" Special Education Research Grants competition in Fiscal Year 2012	This ID is used by Grants.gov to identify the application package that must be used with a specific competition
Opportunity Number	• ED-GRANTS • The date when the grant competition was announced in the Federal Register • The ED-GRANTS order	• ED-GRANTS-030311-001 designates the first in a sequence of grant competitions offered by ED and listed in the Federal Register notice dated March 3, 2011	This number is used by Grants.gov to identify the grant competitions offered by ED for a given fiscal year
Application Package	• The CFDA number • The fiscal year • The order for a given competition	• 84-305A2012-2 designates the Application Package that must be used to submit an application to the Education Research competition for the second deadline in Fiscal Year 2012	A number that applicants must use to identify and access the correct application package
Grants.gov Tracking Number	• The word GRANT • 8 digits unique to the submission	• GRANT01234567	A number that applicants can use to reference and track their application once it is submitted to Grants.gov, and *before* it is transmitted to ED
PR/Award Number	• The letter R • The section of the CFDA number unique to that competition (e.g., 324A for Special Education Research) • The fiscal year (e.g., 12 for 2012) • Four digits unique to that application	• R324A12XXXX designates a unique application submitted to the Special Education Research competition in FY2012	**Applicants must use this number to obtain information about their application after it has been transmitted to ED**. Once the application is at ED and assigned this PR/Award Number, it is no longer possible to track the application in Grants.gov using the Grants.gov Tracking Number

7. WARNINGS AND RULES

A. Working Offline

Applicants need to be aware that whenever they download their application from Grants.gov, they will be working offline and saving data on their computer. Applicants will need to logon to Grants.gov to upload the completed document and submit the application.

B. Dial-Up Internet Connections

When using a dial-up connection to upload and submit an application, it can take significantly longer than when connected to the Internet with a high-speed connection (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.

C. Software Requirements

Applicants will need Adobe software to read and complete the application forms for submission through Grants.gov. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Grants.gov provides applicants the capability to verify if the applicant's Adobe software version is compatible with Grants.gov, and if not, to download the necessary version of Adobe (http://www.grants.gov/help/download_software.jsp).

D. Attaching Files

The forms included in the application package provide the means for applicants to attach Adobe Portable Document Format (PDF) files. Applicants must give a unique name to each document that they attach to the forms as Grants.gov *cannot* process an application that includes two or more files that have the same name. File names must be no more than 50 characters. Special characters (e.g., &,–,*,%,/,#) and spaces must not be used in the file name. Applicants may use an underscore to indicate word separation in file names (e.g., my_Attached_File.pdf). Please note that if these guidelines are not followed, the application may be rejected. Finally, if the applicant is including scanned documents as part of a PDF file, the applicant should scan them at the lowest resolution to minimize the size of the file and expedite the upload process.

Note: Applicants must attach *only* PDF files to the application. Applicants must submit only individual PDF files when attaching files to the application; specifically, attachments that contain files within a file, such as PDF Portfolio files, will not be read. Grants.gov provides help for converting files to a .pdf format: http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs

PART III IES-SPECIFIC INSTRUCTIONS

8. APPLICATION PACKAGE AVAILABLE ON GRANTS.GOV

A. Application Package on Grants.gov

The Institute requires that applicants use the Research and Related (R&R) standard forms to prepare and submit applications. These forms are covered by OMB number 4040-0001 and OMB Number 4040-0010.

Note: OMB has granted an emergency extension to allow continued use of the SF 424 Research & Related family of forms through December 31, 2011. Without the extension, the forms package would have expired on June 30, 2011.

The application forms are contained in the IES application packages on Grants.gov. On March 3, 2011, the Institute announced competitions with June 23, 2011 and September 22, 2011 deadlines. The application packages for the September 22, 2011 deadline will be available beginning on or around July 21, 2011.

B. Download Correct Application Package

Applicants must download the application package designated for the *competition and deadline date* to which the applicant wishes to apply or the application will be submitted to the wrong competition. Each application package is assigned a unique title that includes the CFDA number and the deadline date for that competition. For example, an applicant must use the September package marked "84-305A2012-2" to submit an application to the Education Research competition with the closing date of September 22, 2011.

Note: If an applicant downloaded an application package for the June deadline (e.g., "84-305A2012-1") and then decided to delay submission of their application until the September deadline, the applicant *must not use* the June package. **Grants.gov will not accept an application on the September deadline that is submitted using a June package.** Instead, the applicant must download the September package "84-305A2012-2" for the September submission or the application will be rejected by Grants.gov.

9. APPLICATION CONTENT AND FORMATTING REQUIREMENTS

A. Overview

The Institute requires that applicants use the Research & Related standard forms to prepare and submit applications. The application contents – forms and attachments – described below, and summarized in section 9.H *Summary of Application Content Requirements* (Table 4) represent the body of a proposal submitted to the Institute. All applications for Institute funding must be self-contained. As examples, reviewers are under no obligation to view an Internet website if the applicant includes the site address (URL) in the application, nor may applicants submit additional materials after the application package is submitted.

All of the instructions and requirements regarding (a) submission of the application, (b) acceptable format, and (c) necessary attachments (PDF files) are provided in this IES Grants.gov Application Submission Guide. All of the required forms will be provided in the relevant Grant Application Package that is available on Grants.gov.

In this section, the Institute provides instructions regarding the content of the (a) Research & Related (R&R) standard forms, (b) biographical sketches of senior/key personnel, (c) lists of current and pending funding for senior/key personnel, (d) narrative budget justification, (e) human subjects narrative, and (f) additional forms.

B. Required Research & Related (R&R) Forms and Other Forms
Applicants must complete and submit the R&R forms described below. **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 as appropriate**.

a. Application for Federal Assistance SF 424 (R&R)
This form asks for general information about the applicant, including but not limited to: contact information; an Employer Identification Number (EIN); a DUNS number; 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 ending dates for the project; congressional district; total estimated project funding; and Authorized Representative contact information. Because information on this form populates selected fields of some of the other forms described below, applicants should complete this form first.

The applicant should provide the requested information using the drop down menus where they are provided. Guidance for completing selected items follows.

(i) Item 1

Type of Submission. Select either "Application" (for a new submission) or "Changed/Corrected Application" (for a resubmission). The Institute does not require Pre-applications for its grant competitions.

(ii) Item 2

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

Applicant Identifier. Leave this blank.

(iii) Item 3

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

(iv) 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 applicants complete this information completely and accurately or the application may be rejected as non-responsive or assigned inaccurately for scientific review of merit.**

a. Federal Identifier. **Enter information in this field if this is a Resubmission and this has been marked as a "Changed/Corrected Application" under Item 1 *Type of Submission***. If this submission is to revise a submission to a prior grant competition that has received reviewer comments, this is considered a "Resubmission" (see Item 8 *Type of Application*). The applicant should **enter the PR/Award number that was assigned to the prior submission (e.g., R305A11XXXX or R324A10XXXX) in this field**.

b. Agency Routing Number. **Enter the code for the topic and/or the goal that the application addresses in this field if appropriate.** Applicants to the Education Research (84.305A) and Special Education Research (84.324A) programs must apply to a particular topic and goal (see the section on General Requirements of the Proposed Research in the Requests for Applications). Applicants to the National Research and Development Centers (CFDA 84.305C) competition and the Special Education Research and Development Centers (CFDA 84.324C) competition are required to apply to a particular R&D Center topic (see the relevant Requests for Applications). Tables indicating the codes for the Institute's topics and goals are presented below.

Table 2: SF 424 (R&R) Item 4b	
Codes for Education Research Programs (CFDA 84.305A)	
Research Program	Code
Reading and Writing	NCER-RW
Mathematics and Science Education	NCER-MS
Cognition and Student Learning (*note 1*)	NCER-CASL
Social and Behavioral Context for Academic Learning	NCER-SocBeh
Education Technology (*note 2*)	NCER-EdTech
Effective Teachers and Effective Teaching	NCER-Teach
Improving Education Systems: Policies, Organization, Management, and Leadership	NCER-SYS
Postsecondary and Adult Education	NCER-PostsecAdult
Early Learning Programs and Policies	NCER-ELPP
English Learners	NCER-EL
note 1 – Exploration, Development, Efficacy, and Measurement Goals only	
note 2 – Development, Efficacy, Scale-up, and Measurement Goals only	
Application Goals	Code
Exploration Projects	Exploration
Development and Innovation Projects	Development
Efficacy and Replication Projects	Efficacy
Scale-up Evaluations	Scale-up
Measurement Projects	Measurement

Example: If the application is a Development project under the Effective Teachers and Effective Teaching topic, enter the codes "NCER-Teach" and "Development." If the application is an Efficacy and Replication project under the Social and Behavioral Context for Academic Learning topic, enter the codes "NCER-SocBeh" and "Efficacy."

It is critical that applicants use the appropriate codes in this field and that the topic and goal codes shown in this field agree with the topic and goal that the applicant indicates in the application abstract. Indicating the correct topic and goal facilitates the appropriate processing and review of the application. Failure to do so may result in delays to processing and the application may be identified as non-responsive and not considered for further review.

Table 3: SF 424 (R&R) Item 4b	
Codes for Special Education Research Programs (CFDA 84.324A)	
Research Program	Code
Early Intervention and Early Learning in Special Education	NCSER-EIEL
Reading, Writing, and Language Development	NCSER-RWL
Mathematics and Science Education	NCSER-MS
Social and Behavioral Outcomes to Support Learning	NCSER-SocBeh
Transition Outcomes for Special Education Secondary Students	NCSER-Trans
Cognition and Student Learning in Special Education (*note 1*)	NCSER-CASL
Professional Development for Teachers and Related Services Providers	NCSER-PD
Special Education Policy, Finance, and Systems	NCSER-SYS
Autism Spectrum Disorders	NCSER-ASD
Technology for Special Education (*note 2*)	NCSER-EdTech
Families of Children with Disabilities	NCSER-Fam
note 1 – Exploration, Development, Efficacy, and Measurement Goals only	
note 2 – Development, Efficacy, Scale-up, and Measurement Goals only	
Application Goals	Code
Exploration Projects	Exploration
Development and Innovation Projects	Development
Efficacy and Replication Projects	Efficacy
Scale-up Evaluations	Scale-up
Measurement Projects	Measurement

Example: If the application is a Measurement project under the Reading, Writing, and Language Development topic, enter the codes "NCSER-RWL" and "Measurement."

It is critical that applicants use the appropriate codes in this field and that the topic and goal codes shown in this field agree with the topic and goal that the applicant indicates in the application abstract. Indicating the correct topic and goal facilitates the appropriate processing and review of the application. Failure to do so may result in delays to processing and the application may be identified as non-responsive and not considered for further review.

Table 4: SF 424 (R&R) Item 4b	
Codes for R&D Centers (CFDA 84.305C and CFDA 84.324C)	
National Research and Development Centers (CFDA 84.305C)	Code
Cognition and Adult Literacy	Cognition
State and Local Policy	State&Local
Special Education Research and Development Centers (CFDA 84.324C)	
School-Based Interventions for Secondary Students with Autism Spectrum Disorders	SecondaryASD
Reading Instruction for Deaf and Hard of Hearing Students	ReadingDHH
Interventions for Families of Students with Autism Spectrum Disorders	FamiliesASD
Interventions for Families of Students with Emotional and Behavioral Disorders (EBD)	FamiliesEBD

(v) 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 nine-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 section 6.C for a list of contact persons) 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 Number System (DUNS)** number is a unique nine-character identification number provided by the commercial company Dun & Bradstreet (D&B) to identify organizations. If an applicant 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 Central Contractor Registry). *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.

(vi) 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 is not located in the United States, enter 44-4444444.

(vii) 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).

(viii) Item 8

Type of Application. Indicate whether the application is a "New" application or a "Resubmission" of an application submitted under a previous IES competition. 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.

(ix) 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.

(x) 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.

(xi) Item 11

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

(xii) Item 12

Proposed Project Start Date and Ending Date. Enter the proposed start date of the project and the proposed end date of the project. The start date must not be earlier than March 1, 2012, which is the Earliest Anticipated Start Date listed in the Request for Applications, and must not be later than September 1, 2012.

(xiii) Item 13

Congressional District of Applicant. For both the applicant and the project, enter the Congressional District in this format: 2 character State Abbreviation - 3 character District Number (e.g., CA-005 for California's 5th district, CA-012 for California's 12th district). A Congressional Directory with congressional district code information can be found on the Grants.gov web site http://www.grants.gov/help/relatedlinks.jsp under "Miscellaneous Resources." If the program/project is outside the US, enter 00-000.

(xiv) Item 14

Project Director/Principal Investigator Contact Information. Enter all of the information requested for the Project Director/Principal Investigator, including the 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.

(xv) Item 15

Estimated Project Funding

a. Total Federal Funds Requested. Enter the total Federal funds requested for the *entire* project period.

b. Total Non-federal Funds. Enter the total Non-federal funds requested for the *entire* project period.

c. Total Federal & Non-Federal Funds. Enter the total estimated funds for the *entire* project period, including both Federal and non-Federal funds.

d. Estimated Program Income. Identify any program income estimated for the project period, if applicable.

(xvi) 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.

(xvii) Item 17

This is the Authorized Representative's electronic signature.

By providing the electronic signature, the Authorized Representative certifies:

(1) to the statements contained in the list of certifications
(2) that the statements are true, complete and accurate to the best of his/her knowledge.

By providing the electronic signature, the Authorized 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 also identified below under g**.** *Other Forms Included in the Application Package*. The certifications and assurances forms are included in the Grants.gov Grant Application Package for the specific U. S. Department of Education/Institute Funding Opportunity.

(xviii) 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 below section g**.** *Other Forms Included in the Application Package* to determine applicability. If it is applicable to the grant submission, choose the SF LLL from the optional document menu, complete it, and save the completed SF LLL form as part of the application package.

(xix) 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) to execute the proposed project. Applicants enter all information requested for the Authorized Representative (AR), including the name, title, organizational affiliation (e.g., organization, department, division, etc.), address, telephone and fax numbers, and email address of the Authorized Representative. Applicants should 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.

(xx) Item 20

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

b. Research & Related Senior/Key Person Profile (Expanded)
This form asks applicants to: identify the project director/principal investigator and other senior and/or key persons involved in the project; specify the role key staff will serve; and 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 Section 9E *Biographical Sketches of Senior/Key Personnel* and 9F *Current & Pending Support of Senior/Key Personnel* of this document for information about page limitations, format requirements, and content to be included in the biographical sketches and lists of current and pending funding. The persons listed on this form should be the same persons listed in the Personnel section of the Project Narrative (see relevant Request for Applications).

c. Project/Performance Site Location(s)
This form asks applicants to identify the primary site where project work will be performed. Applicants 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 the applicant 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, Section a. *Application for Federal Assistance SF 424 (R&R)*, Item 13 for information about Congressional Districts. DUNS number information is optional on this form.

d. Research & Related Other Project Information
This form asks applicants to provide information about any research that will be conducted involving Human Subjects, including: whether human subjects are involved; if human subjects are involved, whether or not the project is exempt from the human subjects regulations; if the project is exempt from the regulations, an indication of the exemption number(s); and, if the project is not exempt from the regulations, whether an Institutional Review Board 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 applicants whether: there is proprietary information included in the application; the project has an actual or potential impact on the environment; the research site is designated or eligible to be designated, as an historic place; and, 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 documents (PDF files) including the (a) project (training program) summary/abstract, (b) project (training program) narrative and appendices, (c) bibliography and references cited, and (d) research on human subjects information. See the General

Submission and Review Information in the relevant Request for Applications for information about the project summary/abstract, project narrative and appendices, and bibliography and references cited. See Item 12 of this section and Part IV of this guide, *Information on the Protection of Human Subjects in Research*, for information about the human subjects narrative.

(i) 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, an applicant must check "Yes." (Applicants 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, an applicant 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 an applicant may check "Yes". Applicants are required to answer this question if they answered "yes" to the question "Are human subjects involved?"

If an applicant answers "yes" to the question "Is the Project Exempt from Federal Regulations?", then the applicant is 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 explained in Part IV of this guide, *Information on the Protection of Human Subjects in Research*.

If an applicant answers "no" to the question "Is the Project Exempt from Federal Regulations?", then the applicant 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 an applicant answers "yes" because the review is pending, then the applicant should leave the IRB approval date blank. If an applicant answers "no" because the review is not pending, then the applicant will be required to enter the latest Institutional Review Board approval date, if available. Therefore, **applicants should select "No" only if a date is available for IRB approval**.

Note: IRB Approval may *not* be pending *because the applicant has 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, **applicants should check "Yes" to the question "Is the IRB review Pending?" if an IRB Approval date is not available.**

Human Subject Assurance Number: Leave this item blank.

(ii) Item 2

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

(iii) 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."

(iv) 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.

(v) 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.

(vi) 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 the applicant needs to identify the countries with which international cooperative activities are involved. An explanation of these international activities or partnerships is optional.

(vii) Item 7.

Project (Training Program) Summary/Abstract. Attach the Project (Training Program) Summary/Abstract as a PDF file here. (See relevant Request for Applications for information on content.)

(viii) Item 8.

Project (Training Program) Narrative. Create a single PDF file that contains the Project (Training Program) Narrative as well as, where applicable, Appendix A, Appendix B, and Appendix C. Attach that single PDF file here. (See relevant Request for Applications for information on content.)

(ix) Item 9.

Bibliography and References Cited. Attach the Bibliography and References Cited as a PDF file here. (See relevant Request for Applications for information on content.)

(x) 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 Project Narrative for the application and may also be included in the narrative budget justification. In the project narrative of competitive proposals, applicants describe having access to institutional resources that adequately support research activities and access to schools in which to conduct the research. Strong applications document the availability and cooperation of the schools or other education delivery settings that will be required to carry out the research proposed in the application via a letter of support from the education organization.

(xi) Item 11.

Equipment. *The Institute does not want an attachment here*. Explanatory information about equipment may be included in the narrative budget justification.

(xii) Item 12.

Other Attachments. This item provides the means for attaching a Research on Human Subjects Narrative. Applicants must attach either an Exempt Research on Human Subjects Narrative or a Non-Exempt Research on Human Subjects Narrative as a PDF file here.

If the applicant checked "Yes" to Item 1 of this form "Are Human Subjects Involved?" and designated an exemption number(s), then the applicant must provide an "Exempt Research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by the U.S. Department of Education that the designated exemption(s) are appropriate. Although no specific page limitation applies to this PDF document, the applicant should be succinct.

If some or all of the planned research activities are covered by (not exempt from) the Human Subjects Regulations, then the applicant must provide a "Nonexempt Research" narrative. The narrative must address seven points: 1) Human Subjects Involvement and Characteristics; 2) Sources of Materials; 3) Recruitment and Informed Consent; 4) Potential Risks; 5) Protection Against Risk; 6) Importance of the Knowledge to be Gained; and 7) Collaborating Sites. Although no specific page limitation applies to this PDF document, the applicant should be succinct. Note that the U.S. Department of Education does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated Department of Education official will request that the applicant obtain and send the certification to the Department within *30 days* after the formal request.

See Section IV of this guide *Information on the Protection of Human Subjects in Research* for more information about the content of the Human Subjects Narrative.

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

This form asks applicants to provide detailed budget information for each year of support requested for the applicant institution (i.e., the Project Budget). The form also asks applicants to indicate any non-federal funds supporting the project. Applicants should provide this budget information for each project year using all sections of the R&R Budget form. Applicants should 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

Applicants must complete each of these sections for as many budget periods as they are requesting funds.

Note: The narrative budget justification for all of the project budget years must be attached at Section K *of the first budget period*, otherwise the applicant 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 section 9.B.f. of this document. 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.

(i) Organizational DUNS.
If the SF 424 R&R Application for Federal Assistance form was completed first, then the DUNS number will be pre-populated here. Otherwise, the organizational DUNS number must be entered here. See section B.a. *Application for Federal Assistance SF 424 (R&R)* for information on the DUNS number.

(ii) 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), applicants must access the *R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form* to complete a subaward budget (see section f. below for instructions regarding budgets for a subaward).

(iii) Budget Period Information.
Enter the start date and the end date for each particular budget period. The system permits data entry for up to five budget periods; however, enter only the number of budget periods allowed for the project as detailed in the relevant Request for Applications.

(iv) Budget Section A. Senior/Key Person and Section B. Other Personnel

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, academic, summer. The Institute requests that applicants enter the annual compensation (base salary – dollars) paid by the employer for each senior/key person; however, applicants 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 Post Doctoral 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, 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.

(v) Budget Section C. Equipment Description, Section D. Travel, and Section E. Participant/Trainee Support Costs

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 organization has established lower levels) and an expected service life of more than one 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.

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 rate, 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 rate, 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.

Participant/Trainee Support Costs. If applicable to the project proposed, enter the funds requested for Participant/Trainee Support Costs, by category.

Note: This item is applicable only for training grants (i.e., 84.305B Postdoctoral Research Training). For applications that are submitted to non-training programs (e.g., the 84.305A Education Research and 84.324A Special Education Research competitions), no costs should be entered in this budget section.

Number of Participants/Trainees. Enter the number of participants/trainees.

Total E. Participants/Trainee Support Costs. This total will auto calculate.

(vi) Budget Section 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.

Other Direct Costs – 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.

Other Direct Costs – 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.

Other Direct Costs – 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.

Other Direct Costs – 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.

Other Direct Costs – 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 below, section f).

Other Direct Costs – 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.

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

Other Direct 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. Note: For postdoctoral training grants, funds requested for recruitment of fellows and cost of research by fellows should be entered here.

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

(vii) Budget Section G. Direct Costs

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

(viii) Budget Section 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.

If an applicant does not have a current indirect rate(s) approved by a Federal agency, then the applicant must indicate "None--will negotiate". See a discussion of the indirect cost rate topic below under section F. *Narrative Budget Justification* and use the budget justification if additional space is needed to explain.

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 the applicant has a cognizant/oversight agency and is selected for an award, the applicant must submit the indirect cost rate proposal to that office for approval. If the applicant does not have a cognizant/oversight agency, the applicant must contact the U.S. Department of Education's Indirect Cost group in the Office of the Chief Financial Officer. To contact a group member, consult the telephone list at the following web page: http://www.ed.gov/about/offices/list/ocfo/fipao/icgreps.html

Indirect Cost Base ($). Enter the amount of the base (dollars) for each indirect cost type.

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

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 their indirect cost rate. If a Cognizant Agency is not known, enter "None."

Note: Depending on the grant program to which the applicant is applying and/or the applicant's approved Indirect Cost Rate Agreement, some direct cost budget categories in the applicant's 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 an applicant is selected for an award, the Institute will request a copy of the applicant's approved Indirect Cost Rate Agreement.

When calculating indirect costs for "Training Grants" or grants under "Restricted Rate" programs, refer to the questions and answers at the Department of Education's website: http://www.ed.gov/about/offices/list/ocfo/fipao/faq.html . See especially Questions 16 and 17.

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

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

(x) Budget Section J. Fee.
Generally, a fee is not allowed on a grant or cooperative agreement.

(xi) Budget Section K. Budget Justification

Budget Section K provides the means for attaching the Narrative Budget Justification. Provide the Narrative Budget Justification as a PDF file attachment at Section K of the first budget period. Note that if the justification is not attached at Section K of the first budget period, the applicant will be unable 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.

(xii) Cumulative Budget. This section will auto calculate all cost categories for all budget periods included.

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

This form provides the applicant with 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. As with the Primary Budget, the extracted Research & Related Budget (Total Fed + Non-Fed)

form asks applicants 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. Applicants should provide this budget information for each project year using all sections of the R&R Budget form. Applicants should 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 section e. *Research & Related Budget (Total Federal + Non-Federal) — Sections A & B; C, D, & E; and F-K*. Note that subaward organizations are also required to provide their DUNS or DUNS+4 number.

Please note that separate budgets are required only for subawardee/consortium organizations that perform a substantive portion of the project. The applicant may extract and attach up to 10 subaward budget forms. When the applicant uses 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, the applicant must attach these completed subaward budget form files to the grant submission using 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". Attaching a file format not extracted from this attachment form will create an error that will prevent the application from being processed.

g. Other Forms Included in the Application Package

Applicants are required to submit the first two forms identified here. Applicants 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.

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

These forms are available in the Grants.gov Grant Application Package for the specific Institute Funding Opportunity. Please submit them with the other pieces of the application as instructed.

Note: The Institute will also require a Protection of Human Research Subjects assurance and/or Institutional Review Board certification, as appropriate. That documentation need not be submitted with this application package.

C. Summary Descriptions of PDF Attachments to R&R Forms

To complete the application, applicants must submit the following as individual attachments to the R&R forms in Adobe Portable Document Format (PDF):

(1) Project (training program) summary/abstract;
(2) Project (training program) narrative, and if applicable, Appendix A, Appendix B, and Appendix C (all together as one PDF file);
(3) Bibliography and references cited;
(4) Research on Human Subjects information (i.e., Exempt or Non-Exempt Research Narrative);
(5) Biographical Sketches of all senior/key personnel;
(6) Lists of Current & Pending Support for all senior/key personnel;
(7) Narrative budget justification for the Project budget; and
(8) 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 relative to all of these documents *except* the Subaward budget attachment (described in section 9.B.f.) is provided below.

D. General Format Requirements for PDF Attachments to R&R Forms
Margin, format, and font size requirements for the PDF attachments listed above are described here. See the relevant Request for Applications for additional information about the content and page limits for the (a) project (training program) summary/abstract, (b) project (training program) narrative, (c) Appendix A, (d) Appendix B, (e) Appendix C, and (f) bibliography and references cited.

a. Page and margin specifications
For all Institute research and research training 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.

b. Spacing
Text must be single spaced.

c. Type size (font size)
Type must conform to the following three requirements:

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

Applicants 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, applicants who use a 12-point Times New Roman font without compressing, kerning, condensing or other alterations typically meet these requirements.

Figures, charts, tables, and figure legends may be in a smaller type size but must be readily legible.

d. Graphs, Diagrams, and Tables
Applicants are encouraged to use black and white in graphs, diagrams, tables, and charts. If color is used, the applicant must ensure that the material reproduces well when photocopied in black and white.

E. Biographical Sketches of Senior/Key Personnel

a. Submission
Each sketch will be submitted as a separate PDF attachment and attached to the Research & Related Senior/Key Person Profile (Expanded) form (see section 9.B.b.).

b. Page limitations and format requirements
A biographical sketch should be provided for the principal investigator and other *key* personnel (co-principal investigators and co-investigators). Each investigator must have a biographical sketch (e.g., abbreviated curriculum vitae) that is no longer than four pages. The biographical sketch must adhere to the margin, format, and font size requirements described above.

c. Content
Each biographical sketch should include information sufficient to demonstrate that key personnel possess training and expertise commensurate with their specified duties on the proposed project (e.g., publications, grants, relevant research experience). Applicants are reminded to review information in the Request for Applications regarding *Designation of Principal Investigator*.

F. Current & Pending Support of Senior/Key Personnel

a. Submission
Each list of current and pending support will be submitted as a separate PDF attachment and attached to the Research & Related Senior/Key Person Profile (Expanded) form (see section 9.B.b.).

b. Page limitations and format requirements
A one-page list of current and pending support should be provided for the principal investigator and other *key* personnel (co-principal investigators and co-investigators). The list of current and pending grants must adhere to the margin, format, and font size requirements described above.

c. Content
Each investigator must provide a list of his/her current and pending grants, along with **the proportion of the individual's time, expressed as annual percent effort**, allocated to each project. This information is to 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 annual percent effort across all current and pending projects exceeds 100%, the applicant must explain how time will be allocated if all pending applications are successful in the Narrative Budget Justification.

G. Narrative Budget Justification

a. Submission
The narrative budget justification will 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. 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.

b. Page limitations and format requirements
There are no page limitations for the narrative budget justification. The narrative budget justification must adhere to the margin, format, and font size requirements described above.

c. Content

A narrative budget justification must be submitted for the Project budget, and a separate narrative budget justification must be submitted for any subaward budgets included in the grant submission. 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).

d. Indirect cost rate

Applicants must use their institution's federal indirect cost rate and use the off-campus indirect cost rate where appropriate (see instructions in the relevant Request for Applications under Special Requirements).

For applications to the Postdoctoral Research Training Program in the Education Sciences (84.305B), applicants are advised that U.S. Department of Education policy (34 CFR 75.562 (c)(2)) limits indirect cost reimbursement on a training grant to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or eight percent of a modified total direct cost base, whichever amount is less. For the purposes of the Postdoctoral Research Training Program in the Education Sciences (84.305B) competition, a modified total direct cost base is defined as total direct costs less stipends, tuition and related fees, and capital expenditures of $5,000 or more.

An indirect cost rate agreement from a cognizant federal agency must be in place *at the time of the award* in order for a grantee to claim indirect costs. If a grantee does not have an indirect cost rate agreement from a cognizant federal agency in place, then a temporary indirect cost rate, recognized by the Federal Government, will be established. Department of Education final regulations published in the Federal Register on December 7, 2007, provide a temporary indirect cost rate to a grantee that does not have a federally recognized indirect cost rate on the date the Department awards its first grant. The temporary rate for such a grantee will be 10 percent of the direct salaries and wages of the project. These regulations permit the use of a temporary indirect cost rate under the grant award for the first 90 days after the date the Department issues the Grant Award Notification. A grantee may continue to charge indirect costs at the temporary rate after the first 90 days if the grantee submits a formal indirect cost proposal to its cognizant agency within those 90 days. If, after the 90-day period, a grantee has not submitted an indirect cost proposal to its cognizant agency, it must stop using the temporary rate. After that period, the grantee will not be allowed to charge any indirect costs to its grant until it obtains a federally recognized indirect cost rate from its cognizant agency.

Applicants that do not have a federally negotiated indirect cost rate may obtain information at http://www2.ed.gov/about/offices/list/ocfo/fipao/icgindex.html or by contacting the U.S. Department of Education's Office of the Chief Financial Officer, Indirect Cost Group. To contact a group member, consult the telephone list at the following web page:
http://www.ed.gov/about/offices/list/ocfo/fipao/icgreps.html

H. Summary of Application Content Requirements

Table 5 lists all of the components of an application.

Table 5: Components of the Application			
R&R Form	Required	Instructions Provided	Additional Information
Application for Federal Assistance SF 424 (R & R)	☑	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Senior/Key Person Profile (Expanded)	☑	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Project/Performance Site Location(s)	☑	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Other Project Information	☑	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Budget (Total Federal + Non-Federal): Sections A & B Sections C, D, & E Sections F - K	☑	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form	--	IES Grants.gov Application Submission Guide	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)	☑ ☑ --	IES Grants.gov Application Submission Guide	Form provided in Grants.gov application package
Project (Training Program) Summary/Abstract	☑	Relevant Request for Applications	Add as an attachment (PDF file) using Item 7 of the "Other Project Information" form
Project (Training Program) Narrative and Appendices a. Narrative b. Appendix A c. Appendix B d. Appendix C	☑ -- -- --	Relevant Request for Applications	The Project Narrative, and if applicable Appendix A, Appendix B, and Appendix C must ALL be included together in one PDF file and attached at Item 8 of the "Other Project Information" form.
Bibliography and References Cited	☑	Relevant Request for Applications	Add as an attachment (PDF file) using Item 9 of the "Other Project Information" form.

Research on Human Subjects information, if human subjects are involved	☑	IES Grants.gov Application Submission Guide	Add as an attachment (PDF file) using Item 12 of the "Other Project Information" form.
Biographical Sketches of Senior/Key Personnel	☑	IES Grants.gov Application Submission Guide	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	☑	IES Grants.gov Application Submission Guide	Add each as a separate attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form.
Narrative Budget Justification	☑	IES Grants.gov Application Submission Guide	Add as an attachment (PDF file) using *Section K – Budget Period 1* of the "Budget (Total Federal + Non-Federal)" form.

I. Application Checklist

Table 6 lists all of the steps that must be completed for a valid and timely submission.

Table 6: Application Checklist	
Have each of the following forms been completed?	
	SF 424 Application for Federal Assistance
	For item 4a, is the PR/Award number entered if this is a Resubmission following the instructions on page 14?
	For item 4b, are the correct application topic and goal codes included following the instructions on pages 14-16?
	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?	
	Project (Training Program) Summary/Abstract, using Item 7 of the "Other Project Information" form
	Project (Training Program) Narrative, and where applicable, Appendix A, Appendix B, and Appendix C 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 Nonexempt 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, D.C. time on the deadline date.

PART IV INFORMATION ON THE PROTECTION OF HUMAN SUBJECTS IN RESEARCH

This section provides information on the U.S. Department of Education's Regulations for the Protection of Human Subjects.

A. Definitions

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

a. Research

The Department of Education's Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

b. Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information."

(i) Data through intervention or interaction with the individual.

If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.

(ii) Identifiable private information.

If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).

B. Exemptions

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil

liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* (Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.)

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

C. Instructions for Exempt Human Subjects Research Narratives

If an applicant checks "Yes" to the question "Are Human Subjects Involved?" and designates an exemption numbers(s), then the applicant must provide an "exempt research" narrative. 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 narrative must be succinct.

D. Instructions for Non-exempt Human Subjects Research Narratives

If some or all of the planned research activities are covered (not exempt) from the Human Subjects Regulations, an applicant must provide a "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

a. Human Subjects Involvement and Characteristics

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with

disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

b. Sources of Materials
Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

c. Recruitment and Informed Consent
Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

d. Potential Risks
Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

e. Protection Against Risk
Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

f. Importance of the Knowledge to be Gained
Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

g. Collaborating Site(s)
If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

E. Where to Find Information
Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at
http://www.ed.gov/about/offices/list/ocfo/humansub.html

PART V ALLOWABLE EXCEPTIONS TO ELECTRONIC SUBMISSIONS

An applicant qualifies for an exception to the electronic submission requirement and may submit an application in paper format if the applicant is unable to submit the application through the Grants.gov system because:

(a) the applicant does not have access to the Internet; or
(b) the applicant does not have the capacity to upload large documents to the Grants.gov system;

and

(c) no later than two 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), the applicant mails or faxes a written statement to the Institute explaining which of the two grounds for an exception prevents the applicant from using the Internet to submit the application.

If the applicant mails the written statement to the Institute, it must be postmarked no later than two weeks before the application deadline date. If the applicant faxes the written statement to the Institute, the faxed statement must be received no later than two weeks before the application deadline date.

The written statement should be addressed and mailed or faxed to:

Elizabeth T. Payer
Office of Administration and Policy
Institute of Education Sciences
U.S. Department of Education
555 New Jersey Avenue, NW, Suite 602
Washington, D.C. 20208

FAX: (202) 219-1466

1. Applications Sent by Mail

Applicants who request and qualify for an exception to the electronic submission requirement may submit an application via mail, commercial carrier or hand delivery.

To submit an application by mail, applicants must mail the original and two copies of the application on or before the deadline date to the address below:

U.S. Department of Education
Application Control Center
Attention: CFDA# (insert appropriate CFDA number, including suffix letter, if any)
LBJ Basement Level 1
400 Maryland Avenue, S.W.
Washington, D.C. 20202 – 4260

Applicants must show one of the following as proof of mailing:

(1) A legibly dated U. S. Postal Service Postmark.
(2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

The Institute does not accept either of the following as proof of mailing through the U.S. Postal Service:

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Services.

Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, applicants should check with the local post office.

If your application is postmarked after the application deadline date, we will not consider your application.

The Application Control Center will mail the applicant 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.

2. Applications Delivered by Hand

To submit an application by hand, applicants or their courier must hand deliver the original and two copies of the application by 4:30:00 p.m. (Washington, D.C. time) on or before the deadline date. Applications that are hand delivered should be delivered to:

U.S. Department of Education
Application Control Center
Attention: CFDA# (insert appropriate CFDA number, including suffix letter, if any)
550 12th Street, S.W.
Potomac Center Plaza - Room 7041
Washington, D.C. 20202 – 4260

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