|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Application Submission Guide  For FY 2020 Education Research: CFDA 84.305Special Education Research: CFDA 84.324  |  |  |  | | --- | --- | --- | | **Letter of Intent Due:** | July 11, 2019 | [iesreview.ed.gov](https://iesreview.ed.gov/) | | **Application Package Available:** | July 11, 2019 | [Grants.gov](https://www.grants.gov/) | | **Application Due (84.305A, 84.305B, 84.305D, 84.305R, 84.324A, 84.324B, 84.324R):** | No later than 11:59:59 p.m. Eastern Time, August 29, 2019 | [Grants.gov](https://www.grants.gov/) | | **Application Due (84.305C):** | No later than 11:59:59 p.m. Eastern Time, September 26, 2019 | [Grants.gov](https://www.grants.gov/) | | **Possible Grant Start Dates:** | July 1 – September 1, 2020 |  |   Released: June 20, 2019 | |
|  | |
| IES 2019 | U.S. Department of Education |

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# Part I: Prepare for an IES Grant Competition

## A. Overview of the IES Funding Process

The Institute of Education Sciences (IES) provides scientific evidence to improve education practice and policy and shares that evidence in a way that can be used by educators, parents, policymakers, researchers, and the public. In FY 2020, IES’ National Center for Education Research (NCER) and National Center for Special Education Research (NCSER) invite applications to the following research and research training programs:

|  |  |
| --- | --- |
| **NCER (CFDA 84.305)**   * Education Research (84.305A) * Research Training (84.305B) * National R&D Centers (84.305C) * Statistical and Research Methods (84.305D) * Systematic Replication (84.305R) | **NCSER (CFDA 84.324)**   * Special Education Research (84.324A) * Research Training (84.324B) * Systematic Replication (84.324R) |

This guide explains the general submission process and highlights IES-specific guidance and recommendations to help you ensure your application is complete and submitted on time.

#### General Information for All Applicants

* **IES requires electronic submission of applications through Grants.gov** ([**https://www.grants.gov/**](https://www.grants.gov/)). For more information, see [this Federal Register notice](https://www.federalregister.gov/documents/2019/02/13/2019-02206/common-instructions-for-applicants-to-department-of-education-discretionary-grant-programs) describing the Common Instructions for Applicants to Department of Education Discretionary Grant Programs. We encourage first-time applicants and institutions that have never used Grants.gov to refer to the [Find Help section](#Find_Help) of this guide and to allot enough time to register in various government systems. Some registrations may take multiple weeks, so we recommend starting as soon as possible to avoid missing the application deadline.
* **IES does not accept late applications**. IES uses a hard deadline of 11:59:59 p.m. Eastern Time on the deadline date, as determined by the Grants.gov date and time stamp that shows when it was validated and fully uploaded into the Grants.gov system.
* **All applications for IES funding must be self-contained.** As an example, reviewers are under no obligation to view an internet website if you include the site address (URL) in your application.
* **You may not submit additional materials or information directly to IES** **after your application is submitted and the application deadline has passed**.

**There are four main steps to the submission process:**

1. Find the correct Request for Applications
2. Register in and work with Grants.gov
3. Submit your application before the deadline
4. Track your application

### 1. Find the Request for Applications for your Competition

You can find information about what to include in your application by downloading and reading the Request for Applications (RFA; <https://ies.ed.gov/funding>) for the competition you have identified for your application in FY 2020. The RFAs describe requirements to ensure your application is responsive and compliant so that it can advance to scientific peer review. The RFAs also include recommendations for strong applications.

### 2. Register in and Work with Grants.gov

To submit an application to IES, your organization must be registered on Grants.gov. There are **multiple steps you must take** to make sure that you and your institution are prepared to work within and submit through the Grants.gov system. **If your organization is new to federal grants or Grants.gov, review the Grants.gov Organization Registration** page at <https://www.grants.gov/web/grants/applicants/organization-registration.html> before you get started.

* **Get a DUNS Number**. If your organization does not already have a DUNS number, call 866-705-5711 or go to the Dun & Bradstreet website <https://fedgov.dnb.com/webform>. This step usually takes 1 to 2 business days to complete.
* **Register with the System for Award Management (SAM).** Once you have a DUNS number, go to [https://www.sam.gov](https://www.sam.gov/) to register with the SAM. It can take up to 2 weeks (and an additional 5 weeks if you need to get an Employer Identification Number [EIN]or Taxpayer Identification Number [TIN] until the SAM registration process is complete.
* **Register with Grants.gov.** Once your registration in the SAM is complete, you are ready to register on Grants.gov <https://www.grants.gov/web/grants/register.html>. Whether you are an applicant for an organization or an individual applying for grants on your own, you only need to register one account on Grants.gov. The Grants.gov registration process can be completed in minutes.
* **Add a Profile to a Grants.gov Account.** Once you have a Grants.gov account, you may [add a profile](https://www.grants.gov/web/grants/applicants/registration/add-profile.html) and use the My Account features to manage one or more profiles within your account. If you already have a Grants.gov account, you do not need to register another account. After adding a profile, learn about [how roles are authorized for profiles](https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html) and [how to track your roles status](https://www.grants.gov/web/grants/applicants/registration/track-role-status.html).
* **Create and use the Grants.gov Workspace.** You must create or use an existing workspace within Grants.gov to submit your application. For information about Workspace and how to use it, visit <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

### 3. Submit Your Application Before the Deadline

The time it takes to upload an application will vary depending on several factors including the size of the application, the speed of your internet connection, and whether you have completed the forms in the application package correctly. Grants.gov recommends the following to ensure a validated, on-time submission.

* **Submit Early.** Begin the submission process at least 24 to 48 hours before the deadline to allow time to correct errors during submission. For example, if you begin the submission process at 11:00:00 p.m. Eastern Time on the deadline date and Grants.gov rejects the application at 11:15:00 p.m. Eastern Time, there may not be enough time for you to locate the error that caused the submission to be rejected, correct it, and then attempt to submit the application again before the 11:59:59 p.m. Eastern Time deadline.

If your application is fully uploaded and validated by Grants.gov *after* 11:59:59 p.m. Eastern Time on the application deadline date your application will not be accepted and will not be reviewed. If the Grants.gov Support Desk determines that a technical problem occurred with the Grants.gov system and determines that the problem affected your ability to submit the application by the submission deadline, you may petition IES to review your application by emailing the relevant IES Program Officer with the Grants.gov Support Desk case number and related information. However, if Grants.gov determines that the problem you experienced is one of those identified by Grants.gov as common application errors, do not petition IES to have your case reviewed because these common submission problems are not grounds for petition. **IES will not accept an application that was late due to failure to follow the submission guidelines provided by Grants.gov and summarized in this document.**

If you encounter an error or have difficulty with your submission, call or email the [Grants.gov Support Center](https://www.grants.gov/web/grants/support.html) at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov) for assistance with resolving these issues well in advance of 11:59:59 p.m. Eastern Time on the deadline date.

* + **Encountering Error Messages.** To avoid a problem later, review the Grants.gov page that explains common error messages encountered by applicants while completing or submitting an application package (see <https://www.grants.gov/web/grants/applicants/encountering-error-messages.html>). Many errors are a result of [Adobe Software Compatibility](https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html) issues.
  + **Assign AOR Role Appropriately in Grants.gov Profile.** Each organization has one electronic-Business Point of Contact (eBIZ POC) that is assigned in the SAM. The eBIZ POC authorizes the appropriate roles in the Grants.gov Workspace Profile, including that of the Authorized Organization Representative (AOR). **Only users assigned the AOR role can submit grant applications on behalf of their organization**. When applications are submitted through Grants.gov, the name of the person assigned the AOR role is inserted into the signature line of the application, serving as the electronic signature. The eBIZ POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; **this step is often missed, and it is crucial for valid and timely submissions.**
  + **Use the Correct DUNS Number**. To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov (typically the same DUNS used to register with the SAM). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application**.**

### 4. Track Your Application

There are two main steps in tracking your application: (1) verify your submission through Grants.gov and (2) track your on-time application using the IES Peer Review Information Management Online (PRIMO) system.

* **Verify your Application was Validated by Grants.gov.** Monitor the email account you used to create your profile on Grants.gov. You should receive emails as soon as you attempt to upload your application. Tracking this process is important because IES will send your application forward for review **only if the date and time received by Grants.gov is**
  + no later than 11:59:59 p.m. Eastern Time on the deadline date,
  + AND the application status is
* Validated – no errors in submission,
* Received by Agency - Grants.gov has transmitted the submission to the U.S. Department of Education, and
* Agency Tracking Number Assigned - the U.S. Department of Education has assigned a unique PR/Award Number to the application.
* If the date and time received by Grants.gov is later than 11:59:59 p.m. Eastern Time on the deadline date, the application is late and will not be considered further by IES. If the application has a status of “Received,” it is still awaiting validation by Grants.gov. Once validation is complete, the status will change to either Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” the application has not been received successfully.
* In total, you will receive four emails about your IES application as it is processed by Grants.gov. The first three emails come from Grants.gov and the fourth comes from the U.S. Department of Education.
  + **1st email:** Grants.gov sends an email in a matter of minutes and acknowledges that you are attempting to submit an application. This email includes a Grants.gov application tracking number beginning with the word “GRANT,” for example GRANT00234567. Use this number to track your application as it makes its way through Grants.gov using the “Track My Application” link <https://www.grants.gov/web/grants/applicants/track-my-application.html>.
  + **2nd email:** Grants.gov next sends an email telling you if your application was validated by Grants.gov or if it had errors and was rejected. If your application is rejected with errors, you must correct the errors and try to submit it again as a Changed/Corrected Application before the 11:59:59 p.m. Eastern Time deadline on the due date.
  + **3rd email:** Grants.gov then tells you that the U.S. Department of Education has your validated application from Grants.gov.
  + **4th email:** the U.S. Department of Education (ED) sends the fourth email that assigns an ED tracking number (the PR/Award number) unique to your application. This number begins with the letter R, followed by the section of the CFDA number unique to the research competition, then the fiscal year, and finally four digits unique to your application. Examples of these PR/Award numbers are “R305A20XXXX” for an application to the Education Research program (CFDA 84.305A) or “R324B20XXXX” for an application to the Research Training Programs in Special Education (CFDA 84.324B). This email also includes information about the time stamp marking receipt of a valid application from Grants.gov. If your application was received after 11:59:59 p.m. on the deadline date, this email will also state that the application is late and that it will therefore not be given further consideration.
* **Track Your Application Through PRIMO.** After applications are fully uploaded and validated at Grants.gov and transferred to ED for processing, they are transferred to IES’ Peer Review Information Management Online (PRIMO) system (<https://iesreview.ed.gov/>). PRIMO allows applicants to track the progress of their application via the Applicant Notification System (ANS).

Approximately 1 to 2 weeks after the application deadline, the PRIMO system sends invitation emails to applicants who have never applied to IES before to create their individual PRIMO ANS accounts. Both the PD/PI and the AOR will receive invitation emails. Approximately 4 to 6 weeks after the application deadline, all applicants (new and existing ANS users) will receive an email from the PRIMO system with information about the status of their application. In total, you can expect up to three emails from [IESHelp@prsmhosting.com](mailto:IESHelp@prsmhosting.com).

* + **1st email**: “IES – PRIMO Applicant Notification System (ANS) – Status of Application (part 1 of 2)” provides login information.
  + **2nd email**: “IES – PRIMO Applicant Notification System (ANS) – Status of Application (part 2 of 2)” provides password information.
  + **3rd email** (or 1st if you already have an ANS account): “FY 2020 Application Status Update – Institute of Education Sciences – PRIMO ANS” tells you to login to PRIMO to see the status of your application.
* After IES screens the applications retrieved from Grants.gov, you can log into ANS to see the status of your application:
  + **Forwarded for Peer Review** - IES has determined that the application is compliant with and responsive to the requirements of the RFA (see [Requests for Applications](https://ies.ed.gov/funding/)) and will be forwarded for peer review.
  + **Duplicate** - The application was identified as a duplicate of another application submitted through Grants.gov for the same closing date. This typically happens when you have submitted a Changed/Corrected application.
  + **Late** - The application was submitted after the 11:59:59 p.m. Eastern Time deadline on the due date.
  + **Non-Responsive to RFA** - IES determined that the application is not responsive to the substantive requirements of the RFA (see [Request for Applications](https://ies.ed.gov/funding/)). If this happens, you will receive an additional email from PRIMO with a subject line of “IES (R305X20XXXX or R324X20XXXX)” that explains the decision.
  + **Non-Compliant to RFA** - IES determined that the application does not comply with the application rules in the RFA (see [Request for Applications](https://ies.ed.gov/funding/)). If this happens, you will receive an additional email from PRIMO with the subject line “IES (R305X20XXXX or R324X20XXXX)” that explains the decision.
  + **Non-Compliant and Non-Responsive to RFA** - IES determined that the application is neither compliant with nor responsive to the requirements of the RFA (see [Request for Applications](https://ies.ed.gov/funding/)). If this happens, you will receive an additional email from PRIMO with the subject line “IES (R305X20XXXX or R324X20XXXX)” that explains the decision.
  + **Withdrawn** - The application was withdrawn by the applicant.
* **After the scientific peer review panel meetings are complete,** you will receive additional emails indicating that there is new information in ANS about your application.
  + **Scores** are releasedapproximately 1 week after panel meetings are complete. PRIMO email subject line: “Institute of Education Sciences – PRIMO Applicant Notification System (ANS) – New Information”
  + **Summary Statements** are released approximately 4 to 6 weeks after panel meetings are complete. PRIMO email subject line: “Institute of Education Sciences – PRIMO Applicant Notification System (ANS) – New Information”
  + **Decision Letters** are released approximately 4 to 6 weeks after panel meetings are complete. PRIMO email subject line: “Institute of Education Sciences – PRIMO Applicant Notification System (ANS) – New Information”
  + **Funding Status** information is released approximately 6 to 8 weeks after panel meetings are complete. PRIMO email subject line: “Institute of Education Sciences – PRIMO Applicant Notification System (ANS) – New Information”
* If you experience technical problems accessing your ANS account after receiving the invitation email, please contact the IES PRIMO Help Desk at [IESHelp@prsmhosting.com](mailto:IESHelp@prsmhosting.com). The Help Desk operates Monday through Friday 8:00 a.m. to 5:00 p.m. Eastern Time. You may also receive assistance over the phone by calling 866-472-7325.

## B. Find Help

### 1. IES Webinars

IES provides webinars for applicants at <https://ies.ed.gov/funding/webinars/index.asp>. These webinars cover a range of topics, including the submission process and details about particular competitions.

### 2. Work with Grants.gov

IES Program Officers will **not** be able to help you when you are working with Grants.gov. If you have problems submitting to Grants.gov before the closing date and time, contact Grants.gov Customer Support at 800-518-4726 or email at [support@grants.gov](mailto:support@grants.gov) or access the Grants.gov Self-Service Knowledge Base web portal at <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>.

* **Be aware of common errors and problems.** Well in advance of the deadline date, make sure you are familiar with some of the common errors that can happen when completing or submitting an application: <https://www.grants.gov/web/grants/applicants/encountering-error-messages.html>.
* **Ensure that you meet the software requirements for completing the Grants.gov forms**. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

You can also go to <https://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link <https://www.grants.gov/web/grants/applicants/applicant-faqs.html> as well as additional information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace>.

## C. Technology Considerations

### 1. Internet Connections

The time required to upload and submit your application will vary depending upon several factors including the type and speed of your internet connection. Plan your submission accordingly.

### 2. Browser Support

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. Because these web browsers undergo frequent changes and updates, we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#browser>.

### 3. Software Requirements

You will need Adobe software to complete the forms in the application packages. Grants.gov recommends using Adobe Acrobat Reader for Windows or MAC OS and provides an Adobe Software Compatibility page <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html> where you can download the appropriate version of Adobe if needed.

### 4. The Grants.gov Workspace

You must create or use an existing workspace within Grants.gov to submit your application. The Grants.gov Workspace is a shared, online environment where multiple people may simultaneously access and edit different forms within the application <https://www.grants.gov/web/grants/applicants/workspace-overview.html>. Creating a workspace for your application allows you to complete it online and route it through your organization for review before submitting. Participants who have assigned roles in the workspace can complete all the required forms online (or by downloading PDF versions and working offline) and check for errors before submission.

# Part II: Complete Your Application in Grants.gov

## A. The IES Application Packages

IES uses the government-wide SF 424 Research and Related (R&R) Forms Family (OMB Number 4040-0001) for its application packages. [[1]](#footnote-1) The application packages for IES’ FY 2020 competitions will be available on Grants.gov (<https://www.grants.gov/web/grants/applicants/applicant-faqs.html>) by July 11, 2019.

### 1. Find the Application Package for Your Competition

To find the application package for the competition you want to apply to, search by the CFDA number for the research competition without the alpha suffix: 84.305 or 84.324.

### 2. Mandatory and Optional Forms

The IES application packages include both mandatory and optional forms, some of which ask for file attachments.

|  |  |  |
| --- | --- | --- |
| **Form** | **Required** | **Attachment(s) to the Form** |
| Application for Federal Assistance SF 424 (R&R) | Yes |  |
| Research & Related Senior/Key Person Profile (Expanded) | Yes | * Biographical sketch(es) |
| Research and Related Personal Data – PD/PI and Co-PD(s)/Co-PI(s) Form | Optional |  |
| Project/Performance Site Location(s) | Yes |  |
| Research & Related Other Project Information | Yes | * Project Summary/Abstract * Project Narrative and Appendices * Bibliography and References Cited * Research on Human Subjects Narrative |
| Research & Related Budget (Total Fed/Non-Fed) | Yes | * Narrative Budget Justification |
| R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form | If applicable | * Subaward budget form(s) extracted from this form |
| Grants.gov Lobbying Form | Yes |  |
| Disclosure of Lobbying Activities–Standard Form LLL | If applicable |  |

Within these forms, some fields must be completed (they are marked by an asterisk and a different background color) for the application package to be uploaded and validated by Grants.gov.

## B. Formatting Guidelines for File Attachments

We recommend the following for all file attachments to better ensure applications are processed in a timely, accurate, and efficient manner through Grants.gov and the U.S. Department of Education.

### 1. Create Adobe Portable Document (PDF) File Attachments

* Save each file to be attached as a read-only, flattened PDF, although Microsoft Word files are accepted.
* Give each file a unique name. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
* Name files with fewer than 50 characters and avoid using special characters.[[2]](#footnote-2)
* Limit the size of file attachments. PDF files that contain graphics or scanned material can increase the size of the file attachment and take a long time to process. The average discretionary grant application package with all attachments is less than 5 MB. Check the total size of your application before submission and allow for extra time to upload applications with large file attachments.

### 2. Ensure File Attachment Content is Legible for Reviewers

The attachments to the forms are a critical part of the IES application because they include the substantive content that will be reviewed for theoretical and practical significance and scientific merit. We recommend the following to better ensure the scientific peer reviewers can easily read your application.

* In general, a 12-point Times New Roman font without compressing, kerning, condensing, or other alterations is appropriate. When converting documents into PDF files, check that the resulting type size is consistent with the original document. Smaller text in figures, charts, and tables is fine, but make sure it is still legible.
* Use single-spacing with 1-inch margins at the top, bottom, and both sides of each page (a “page” is considered 8.5 in. x 11 in., on one side only).
* Add page numbers at the bottom- or upper-right corner of each page.

## C. The SF 424 (R&R) Forms Family

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

Complete this form first because it populates certain fields on some of the other forms in the application package.

* Item 1

**Type of Submission**. Select “Application” or “Changed/Corrected Application.”

Select “Changed/Corrected Application” if you need to submit an updated version of an already submitted application. For example, you might need to do this if you discover you left a required component out of the application you just submitted.

Do not select “Pre-Application” as IES does not require pre-applications for its grant competitions.

* Item 2

**Date Submitted**. Enter the date the application is submitted to IES.

**Applicant Identifier**. Leave this blank.

* Item 3

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

* Item 4

**IES uses this item to screen applications for responsiveness to competition requirements and assignment to the appropriate scientific peer review panel.**

* **Item 4a: Federal Identifier**. Enter information in this field if this is a resubmission. If this application is a revision of an application that was submitted to an IES competition in a prior fiscal year that received reviewer feedback, then this application is considered a “Resubmission” (see Item 8 Type of Application). Enter the PR/Award number that was assigned to the prior submission in this field. For example, enter R305A19XXXX for an application submitted in FY 2019.
* **Item 4b: Agency Routing Number**. If applicable to your competition, enter the code for the topic and project type that the application addresses in this field. **It is critical that you use the appropriate codes in this field and that the codes shown in this field agree with the information included in the application abstract**. Indicating the correct codes facilitates the appropriate processing and review of the application. Failure to do so may result in delays to processing and puts your application at risk for being identified as nonresponsive and not reviewed.

**See the** [**tables at the end of this guide**](#Appendix_Item4b_Codes) **for the topic and project type codes to be used in this field.**

* **Item 4c: Previous Grants.gov Tracking ID**. If this is a “Changed/Corrected” application to correct an error (see [Item 1](#Type_of_Submission)), enter the Grants.gov Tracking Number associated with the application that was already submitted through Grants.gov for this fiscal year competition. Contact the Program Officer listed on the application package and provide the Grants.gov tracking numbers associated with both applications (the one with errors and the one that has been corrected) to ensure that the corrected application is reviewed.
* Item 5

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

**Organizational DUNS**. Enter the DUNS or DUNS+4 number of the applicant organization. [Make sure the DUNS number is the same one used to register on Grants.gov](#_Register_in_and). **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 the information requested, including the name, telephone and fax numbers, and email address of the person to be contacted on matters involving this application. The role of this person is primarily for communication purposes on the budgetary aspects of the project. As an example, this may be the contact person from the applicant institution’s office of sponsored projects. Use the drop-down menus where they are provided.

* Item 6

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

* Item 7

**Type of Applicant**. Use the drop-down menu to select the type of applicant. Specify if “Other.”

**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 percent owned by a woman or women, who also control and operate it. Also indicate whether the applicant is a “Socially and Economically Disadvantaged” small business, as determined by the U.S. Small Business Administration pursuant to section 8(a) of the Small Business Act U.S.C. 637(a).

* Item 8

**Type of Application**. Indicate whether the application is a “New” application or a “Resubmission” of an application that was submitted under a previous IES competition and received reviewer comments. Do not select any option other than "New" or "Resubmission" as they do not apply to IES competitions.

**Submission to Other Agencies**. Indicate whether this application is being submitted to another agency or agencies. If yes, indicate the name of the agency or agencies.

* Item 9

**Name of Federal Agency**. Do not complete this item – information already entered for you.

* Item 10

**Catalog of Federal Domestic Assistance Number**. Do not complete this item – information already entered for you.

* Item 11

**Descriptive Title of Applicant’s Project**. **Enter a distinctive, descriptive title for the project** (200 characters or fewer). This title should not be the name of the grant competition but rather a description of the project.

* 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. See the [Requests for Applications](https://ies.ed.gov/funding/) to determine the range of start and end dates allowed for your competition.

* Item 13

**Congressional District of Applicant**. For both the applicant and the project, enter the Congressional District in this format: 2-character State Abbreviation and 3-character District Number (for example, CA-005 for California's 5th district, CA-012 for California's 12th district). Grants.gov provides help for finding this information <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#forms>. If the program/project is outside the U.S., enter 00-000.

* Item 14

**Project Director/Principal Investigator Contact Information**. Enter all the information requested for the Project Director/Principal Investigator, including position/title, name, address (including county), organizational affiliation (organization, department, division, etc.), telephone and fax numbers, and email address.

* Item 15

**Estimated Project Funding**

* + **Total Federal Funds Requested**. Enter the total federal funds requested for the entire project period. Check that the total federal funds requested do not exceed cost maximums for your competition as described in the [Requests for Applications](https://ies.ed.gov/funding/).
  + **Total Non-Federal Funds**. Enter the total non-federal funds requested for the entire project period.
  + **Total Federal & Non-Federal Funds**. Enter the total estimated funds for the entire project period, including both federal and non-federal funds.
  + **Estimated Program Income**. Identify any program income estimated for the project period, if applicable.
* Item 16

**Is Application Subject to Review by State Executive Order 12372 Process**? Select “No” as IES is not soliciting applications that are subject to review by Executive Order 12372.

* Item 17

Provide the [Authorized Organization Representative’s (AOR’s) electronic signature](#AOR_Role).

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

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

With this electronic signature, the Authorized Organization Representative (AOR) 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 the AOR to criminal, civil, or administrative penalties.

* Item 18

**SF LLL or other Explanatory Documentation**. Do not add the Disclosure of Lobbying Activities - Standard Form LLL here. [A copy of the SF LLL is provided as an optional form within the application package](#_COMPLETE_THE_Other). If it is applicable to the grant submission, choose the SF LLL from the optional forms menu in the Grants.gov Workspace, complete it, and save the completed SF LLL form as part of the application package.

* Item 19

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

**Signature of Authorized Representative**. Leave blank; the system automatically completes this when the application is submitted through Grants.gov.

**Date Signed**. Leave blank; the system automatically completes this when the application is submitted through Grants.gov.

* Item 20

**Pre-application**. Leave blank; IES does not require pre-applications for its grant competitions.

* Item 21

**Cover Letter**. Leave blank; IES does not require cover letters for its grant competitions.

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

Use this form to: (1) identify the Project Director/Principal Investigator and other senior and/or key persons involved in the project; (2) specify the role key staff will serve; and (3) provide contact information for each senior/key person identified. The form also requests information about the highest academic or professional degree or other credentials earned and the degree year. This form includes a “Credential/Agency Log In” box that is optional. Attach a biographical sketch for each senior/key person as a separate PDF file attachment on this form.

The form allows as many as 40 biographical sketches: one for the project director/principal investigator and up to 39 additional sketches for senior/key staff. At a minimum, everyone listed on this form should also be listed in the Personnel section of the Project Narrative (see the [Request for Applications for your competition](https://ies.ed.gov/funding/)).

IES strongly encourages applicants to use [SciENcv](http://www.ncbi.nlm.nih.gov/sciencv/) where you will find an IES biosketch form. You may also develop your own biosketch format. If you use SciENcv, the information on current and pending support will be entered into the IES biosketch template. If you use your own format, you will need to provide this information in a separate table. We recommend that each Biographical Sketch with Current and Pending Support information is no more than five pages in length.

The Biographical Sketch for the Principal Investigator, each co-Principal Investigator, and other key personnel should show how key personnel possess training and expertise commensurate with their specified duties on the proposed project, for example by describing relevant publications, grants, and research experience.

Provide a list of current and pending grants for the Principal Investigator, each co-Principal Investigator, and other key personnel, along with the proportion of their time, expressed as percent **effort over a 12-month calendar year**, allocated to each project. Include the proposed IES grant as one of the pending grants in this list. If the total 12-month calendar year percent effort across all current and pending projects exceeds 100 percent, explain how time will be allocated if all pending applications are successful in the [Narrative Budget Justification](#Narrative_Budget_Justification).

### 3. Research and Related Personal Data – PD/PI and Co-PD(s)/Co-PI(s) Form

IES has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability of key personnel. To help IES gather information for this important task, you should submit the requested information for the Principal Investigator, and each identified co-Principal Investigator and co-Investigator.

Submission of the requested information is voluntary and is not a precondition of award. This is an [optional form](#_Mandatory_and_Optional) in the IES application packages. However, information not submitted will undermine the statistical validity, and therefore the usefulness, of information received from others. If you choose to complete this form, IES will separate this form from the application upon receipt. This form will not be a part of the review process. Data will be confidential.

### 4. Project/Performance Site Location(s) Form

Use this form to identify the primary site where project work will be performed and up to 7 additional sites if applicable. As an example, a research proposal to an IES competition may include the applicant institution as the primary site and one or more subaward institutions where data collection will also take place. You will need to identify the Congressional District for each site included on this form (see above, [Application for Federal Assistance SF 424 (R&R)](#_Application_for_Federal) Item 13 for information about Congressional Districts and their codes). DUNS number information is not required on this form.

### 5. Research & Related Other Project Information Form

This form asks for detailed information about the research being proposed, including information about human subject participation, the significance of the problem your research will address, and the research design and analytic plan.

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

In addition to these questions, **this form is where you attach the substantive content of your research application as PDF file attachments**: the Project Summary/Abstract; the Project Narrative and required and optional Appendices (all as one PDF file); the Bibliography and References Cited; and the Research on Human Subjects Narrative. You can find information about these substantive components of the application in the Requests for Applications (see <https://ies.ed.gov/funding>).

* Item 1

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

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

YES: If you answer “Yes” to the question “Is the Project Exempt from Federal Regulations?”, you must check the appropriate exemption number box or boxes corresponding to one or more of the exemption categories. The six categories of research that qualify for exemption from coverage by the regulations are described on the U.S. Department of Education’s website <https://www2.ed.gov/policy/fund/guid/humansub/overview.html>. Provide an Exempt Research on Human Subjects Narrative at Item 12 of this form.

NO: If you answer “No” to the question “Is the Project Exempt from Federal Regulations?”, you will be prompted to answer questions about the Institutional Review Board (IRB) review.

**If No, is the IRB review pending?** Answer either “Yes” or “No.”

* + If you answer “Yes” because the review is pending, then leave the IRB approval date blank.
  + If you answer “No” because the review is not pending, then you are required to enter the latest IRB approval date, if available. Therefore, you should select “No” only if a date is available for IRB approval.
  + Note: IRB Approval may not be pending because you have not begun the IRB process. In this case, an IRB Approval Date will not be available. However, a date must be entered in this field if “No” is selected or the application will be rejected with errors by Grants.gov. Therefore, you should check “Yes” to the question “Is the IRB review pending?” if an IRB Approval date is not available.

If you answer “No” to the question “Is the Project Exempt from Federal Regulations?”, provide a Non-Exempt Research on Human Subjects Narrative at Item 12 of this form.

**Human Subject Assurance Number**: Leave this item blank.

* Item 2

**Are Vertebrate Animals used?** Check “Yes” or “No.”

* 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 like: "The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

* Item 4

**Does this project have an actual or potential impact on the environment?** Check “Yes” or “No.”

* Item 5

**Is the research site designated or eligible to be designated as a historic place?** Check “Yes” or “No” and explain if necessary.

* Item 6

**Does the project involve activities outside of the United States or partnerships with international collaborators?** Check “Yes” or “No” and if “Yes,” identify the countries, but an explanation is optional.

* Item 7

**Project Summary/Abstract**

Attach the Project Summary/Abstract as a PDF file here. We recommend that the Project Summary/Abstract be one page long. See the [Request for Applications](https://ies.ed.gov/funding) for information about the content of this file attachment.

* Item 8

**Project Narrative Including Appendices**

**Create a single PDF file that *contains the Project Narrative and all required and optional Appendices* and attach it here.** Download and read the [Request for Applications](https://ies.ed.gov/funding) for your competition for important information about requirements that must be met in the Project Narrative and which required appendices you must include in order to advance to scientific peer review and which optional appendices we recommend you include to strengthen your application.

*Project Narrative*

IES recommends that the Project Narrative be no more than 25 pages long, with pages numbered consecutively using the header or footer function. Use an author-date style for citations (for example James, 2004; American Psychological Association, 2009).

*Appendices*

Some appendices are required, and some are optional. Download and read the [Request for Applications](https://ies.ed.gov/funding/) for your competition to determine which appendices you must include and which appendices we recommend you include with the required Project Narrative for your application.

* Item 9

**Bibliography and References Cited**

Attach the Bibliography and References Cited as a PDF file here. We do not recommend a page length for the Bibliography and References cited. See the [Request for Applications](https://ies.ed.gov/funding/) for information about the content of this file attachment.

* Item 10

**Facilities and Other Resources**

Do not include an attachment here. IES asks for this type of information in the Resources Section of the Project Narrative and in Letters of Agreement included in the optional Appendix E (see [Requests for Applications](https://ies.ed.gov/funding/)) and in the [Narrative Budget Justification](#Narrative_Budget_Justification).

* Item 11

**Equipment**

Do not include an attachment here. This information should be included in the [Narrative Budget Justification](#Narrative_Budget_Justification).

* Item 12

**Other Attachments**

Use this item to attach a Research on Human Subjects Narrative. The Exempt or Non-Exempt narrative addresses U.S. Department of Education’s Regulations for the Protection of Human Subjects (see <https://www2.ed.gov/about/offices/list/ocfo/humansub.html> for additional information). If you checked “Yes” to Item 1 of this form “Are Human Subjects Involved?” and designated an exemption number(s), then you must provide an “Exempt Research” narrative. If some or all planned research activities are covered by (not exempt from) the Human Subjects Regulations, then you must provide a “Non-Exempt Research” narrative. We do not recommend a page length for the Human Subjects Narrative.

* + *Exempt Research on Human Subjects Narrative* - If you checked “yes” on Item 1 of this form, provide sufficient information about the involvement of human subjects in the proposed research to allow a determination by the Department that the designated exemption(s) are appropriate. The six categories of research that qualify for exemption from coverage by the regulations are described on the Department’s website: <https://www2.ed.gov/policy/fund/guid/humansub/overview.html>.
  + *Non-Exempt Research on Human Subjects Narrative* - If some or all of the planned research activities are covered by the Human Subjects Regulations, meaning your project is non-exempt, and you checked “no” on Item 1 of this form, describe the following: the characteristics of the subject population; the data to be collected from human subjects; recruitment and consent procedures; any potential risks; planned procedures for protecting against or minimizing potential risks; the importance of the knowledge to be gained relative to potential risks; and any other sites where human subjects are involved.

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

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

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

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

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

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

**Note: Budget information for a subaward(s) on the project must be entered using a separate form, the** [**R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form**](#Subaward_Budget_Form). 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.**

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

* Organizational DUNS.

If you completed the [SF 424 R&R Application for Federal Assistance form](#_Application_for_Federal_1) first, the DUNS number will be pre-populated here. Otherwise, you must enter the organizational DUNS number here.

* Budget Type.

Check the box labeled “Project” to indicate that this is the budget requested for the primary applicant organization.

* Budget Period Information.

Enter the start date and the end date for each budget period. **Enter no more than the number of budget periods allowed for the project as determined by the Award Duration Maximums for your project** (see [Requests for Applications](https://ies.ed.gov/funding/)).

Note: If you activate an extra budget period and leave it blank this may cause your application to be rejected with errors by Grants.gov.

* Budget Sections A & B

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

**B. Other Personnel.** Enter all the information requested for each project role listed – for example postdoctoral associates, graduate students, undergraduate students, secretary/clerical, etc. – including, for each project role, the number of personnel proposed, and the number of months devoted to the project (preferable in calendar months). Regardless of the number of months devoted to the project, indicate only the amount of salary/wages being requested for each project role. Enter applicable fringe benefits, if any, for each project role category. Enter the federal dollars and, if applicable, the non-federal dollars.

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

* Budget Sections C, D & E

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

**Total C. Equipment**. This total will auto calculate.

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

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

Enter the total funds requested for foreign travel. In the narrative budget justification, include the purpose, destination, dates of travel (if known), applicable per diem rates, estimated lodging and travel cost, and number of individuals for each trip. If the dates of travel are not known, specify the estimated length of the trip (for example 3 days). Enter the federal dollars and, if applicable, the non-federal dollars.

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

* **E. Participant/Trainee Support Costs**. Enter the funds requested for Participant/Trainee Support Costs by category. Use this section only if you are submitting an application to an IES training program competition (84.305B and 84.324B). Any funds that are to be spent directly on trainees and their activities, for example stipends, benefits, and travel, should be entered here in Section E. Other costs associated with trainees such as recruitment should not be entered in this section (see below “Section F. Other Direct Costs” for more information regarding this issue).

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

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

* Budget Sections F-L

**F. Other Direct Costs**. Enter all the information requested under the various cost categories. Enter the Federal dollars and, if applicable, the Non-Federal dollars. Use the narrative budget justification to further itemize and justify.

Note: For training grants (84.305B and 84.324B), funds requested for training program activities such as recruitment of fellows, invited speakers, or workshops should be entered here.

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

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

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

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

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

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

**Alterations and Renovations**. Leave this field blank. IES does not provide funds for construction costs.

**Other**. Describe any other direct costs in the space provided and enter the total funds requested for this “Other” category of direct costs. Use the narrative budget justification to further itemize and justify. You may enter costs associated with recruiting or retaining research participants here.

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

* G. Direct Costs

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

* H. Indirect Costs

Enter all the information requested for Indirect Costs. This information is to be completed by the applicant’s Business Office.

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

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

If you do not have a current indirect rate(s) approved by a federal agency, indicate "None--will negotiate". **If your institution does not have a federally negotiated indirect cost rate,** you should consult a member of the Indirect Cost Group (ICG) in the U.S. Department of Education's Office of the Chief Financial Officer <https://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html> to help you estimate the indirect cost rate to put in your application.

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

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

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

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

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

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

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

* I. Total Direct and Indirect Costs

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

* J. Fee.

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

* K. Total Costs and Fee
* **Total Costs and Fee (I + J).** This total will auto calculate.
* L. Budget Justification

Attach the Narrative Budget Justification as a PDF file at Section L of the first budget period. If the justification is not attached at Section L of the first budget period, you will not be able to access the form for the second budget period and all subsequent budget periods. The single narrative must provide a budget justification for each year of the entire project. We do not recommend a page length for the Narrative Budget Justification.

A Narrative Budget Justification must be submitted for the project budget, and a separate Narrative Budget Justification must be submitted for any subaward budgets included in the application. Each Narrative Budget Justification should provide enough 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-L form for each year of the project. The narrative should include the time commitments for key personnel expressed as annual percent effort 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).

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

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

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

* Sections A & B ask for information about Senior/Key Persons and Other Personnel.
* Sections C, D & E ask for information about Equipment, Travel, and Participant/Trainee Costs.
* Sections F - L 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 earlier in this guide. Note that subaward organizations are also required to provide their DUNS or DUNS+4 number.

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

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

## D. Other Forms in the Application Package

You must submit the Grants.gov Lobbying form. You are not required to submit the Disclosure of Lobbying Activities – Standard Form LLL unless it applies to your situation (see title 31 U.S.C. section 1352 for additional information).

# Appendix I: 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? |
|  | For item 4b, are the correct topic and/or project type codes included? |
|  | For item 8, is the Type of Application appropriately marked as either “New” or “Resubmission”? |
|  | Senior/Key Person Profile (Expanded) Form |
|  | R&R Personal Data Form (Optional) |
|  | Project/Performance Site Location(s) Form |
|  | Other Project Information Form |
|  | Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F – L |
|  | R&R Subaward Budget (Federal/Non-Federal) Attachment(s) form (if applicable) |
|  | Grants.gov Lobbying Form |
|  | Disclosure of Lobbying Activities – Standard Form LLL (if applicable) |
| **Have each of the following documents been attached as PDF files in the correct place?** | |
|  | Project Summary/Abstract, using Item 7 of the "Other Project Information" form |
|  | Project Narrative and Required and Optional Appendices as a single file using Item 8 of the "Other Project Information" form |
|  | Bibliography and References Cited, using Item 9 of the "Other Project Information" form |
|  | Research on Human Subjects Narrative, either the Exempt Research Narrative or the Non-Exempt Research Narrative, using Item 12 of the "Other Project Information" form |
|  | Biographical Sketches of Senior/Key Personnel, using "Attach Biographical Sketch" of the “Senior/Key Person Profile (Expanded)” form |
|  | Narrative Budget Justification, using Section L – 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 – L for the Subaward(s), using the “R&R Subaward Budget (Federal/Non-Federal) Attachment(s)” form, as appropriate |

# Appendix II: Topic and Project Type Codes

Applications to the **Education Research (CFDA 84.305A) and Special Education Research (CFDA 84.324A)** programs are submitted under a single topic and a single project type. You must enter the appropriate topic and project type code in Item 4b of the SF 424 Application for Federal Assistance form. For example, an application to the Special Education Research Grants program (CFDA 84.324A) under the Autism Spectrum Disorders topic and the Exploration project type should have the code “NCSER-ASD-Exploration” entered in the field for Item 4b.

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| **Education Research (CFDA 84.305A)** | | **Special Education Research (CFDA 84.324A)** | |
| **Topics** | **Codes** | **Topics** | **Codes** |
| Career and Technical Education | NCER-CTE | Autism Spectrum Disorders | NCSER-ASD |
| Cognition and Student Learning | NCER-CASL | Cognition and Student Learning in Special Education | NCSER-CASL |
| Early Learning Programs and Policies | NCER-ELPP | Early Intervention and Early Learning in Special Education | NCSER-EIEL |
| Education Technology | NCER-EdTech | Families of Children with Disabilities | NCSER-Families |
| Effective Instruction | NCER-Teach | Professional Development for Educators and School-Based Service Providers | NCSER-PD |
| English Learners | NCER-EL | Reading, Writing, and Language Development | NCSER-RWL |
| Improving Education Systems | NCER-SYS | Science, Technology, Engineering, and Mathematics (STEM) Education | NCSER-STEM |
| Postsecondary and Adult Education | NCER-PostsecAdult | Social and Behavioral Outcomes to Support Learning | NCSER-SocBeh |
| Reading and Writing | NCER-RW | Special Education Policy, Finance, and Systems | NCSER-SYS |
| Science, Technology, Engineering, and Mathematics (STEM) Education | NCER-STEM | Technology for Special Education | NCSER-Tech |
| Social and Behavioral Context for Academic Learning | NCER-SocBeh | Transition Outcomes for Secondary Students with Disabilities | NCSER-Transition |
|  |  | Special Topic: Career and Technical Education for Students with Disabilities | NCSER-CTE |
|  |  | Special Topic: English Learners with Disabilities | NCSER-EL |
|  |  | Special Topic: Systems-Involved Students with Disabilities | NCSER-Systems-Involved |

| **Project Type Codes for CFDAs 84.305A and 84.324A** | |
| --- | --- |
| **Project Types** | **Codes** |
| Exploration | Exploration |
| Development and Innovation | Development |
| Initial Efficacy and Follow-up | Initial Efficacy |
| Measurement | Measurement |

Applications to the **Research Grants Focused on Systematic Replication** program through NCER (CFDA 84.305R) and NCSER (CFDA 84.324R) are submitted under a single project type. You must enter the appropriate project type code in Item 4b of the SF 424 Application for Federal Assistance form. For example, an application to NCER’s Systematic Replication program under the Efficacy Replications project type should have the code “NCER-Efficacy” entered in the field for Item 4b.

|  |  |
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| **Project Type Codes for Systematic Replication (CFDAs 84.305R and 84.324R)** | |
| **Project Types** | **Codes** |
| Efficacy Replications | Efficacy |
| Effectiveness Replications | Effectiveness |

Applications to the **Research Training** programsoffered through NCER (CFDA 84.305B) and NCSER (CFDA 84.324B) are submitted under a single topic. You must enter the appropriate topic code in Item 4b of the SF 424 Application for Federal Assistance form. For example, an application to the Research Training Programs in Special Education (CFDA 84.324B) under the Postdoctoral Research Training Program in Special Education and Early Intervention topic should have the code “NCSER-PostDoc” entered in the field for Item 4b.

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| **Research Training in the Education Sciences (CFDA 84.305B)** | | **Research Training Programs in Special Education (CFDA 84.324B)** | |
| **Topics** | **Codes** | **Topics** | **Codes** |
| Predoctoral Interdisciplinary Research Training Program in the Education Sciences | NCER-PreDoc | Postdoctoral Research Training Program in Special Education and Early Intervention | NCSER-PostDoc |
| Postdoctoral Research Training Program in the Education Sciences | NCER-PostDoc | Early Career Development and Mentoring | NCSER-Early Career |
| Methods Training for Education Researchers | NCER-Methods | Methods Training Using Single Case Designs | NCSER-Single Case |

Applications to NCER’s **National R&D Centers (CFDA 84.305C) and Stats and Methods (CFDA 84.305D)** programs are submitted under a single topic. You must enter the appropriate topic code in Item 4b of the SF 424 Application for Federal Assistance form. For example, an application to the Statistical and Research Methodology in Education program under the Early Career topic should have the code “NCER-Early Career” entered in the field for Item 4b.

| **Research and Development Centers**  **(CFDA 84.305C)** | | **Statistical and Research Methodology in Education**  **(CFDA 84.305D)** | |
| --- | --- | --- | --- |
| **Topics** | **Codes** | **Topics** | **Codes** |
| Improving Opportunities and Achievement for English Learners in Secondary School Settings | NCER-ELs | Statistical and Research Methodology Grants | NCER-Regular |
| Improving Teaching and Learning in Postsecondary Institutions | NCER-PostSec | Early Career Statistical and Research Methodology Grants | NCER-Early Career |
| Improving Access, Instruction, and Outcomes in Gifted Education | NCER-Gifted |  |  |

1. 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. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this family of forms, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. [↑](#footnote-ref-1)
2. Grants.gov allows the following UTF-8 characters as file names for your PDF attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. [↑](#footnote-ref-2)