

# Using Longitudinal Data to Support State Education Policymaking

Assistance Listing Number (ALN): 84.305S

U.S. DEPARTMENT OF EDUCATION

*A Product of the National Center for Education Research*

<b>Letter of Intent Due:</b>	July 6, 2023	<a href="https://iesreview.ed.gov/LOI/LOISubmit">https://iesreview.ed.gov/LOI/LOISubmit</a>
<b>Application Package Available:</b>	July 6, 2023	<a href="https://www.grants.gov/">https://www.grants.gov/</a>
<b>Application Deadline:</b>	11:59:59 p.m. Eastern Time on August 17, 2023	<a href="https://www.grants.gov/">https://www.grants.gov/</a>
<b>Possible Start Dates:</b>	March 1 – September 1, 2024	
<p>See the companion IES Application Submission Guide (<a href="https://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf">https://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf</a>) for guidance on preparing and submitting applications through Grants.gov.</p>		

# Contents

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<b>PART I: OVERVIEW AND GENERAL REQUIREMENTS .....</b>	<b>1</b>
<b>A. Purpose of the Using Longitudinal Data to Support State Education Policymaking Grants Program .....</b>	<b>1</b>
<b>B. General Requirements.....</b>	<b>1</b>
1. Eligible Populations.....	1
2. Required Learner and Educator Outcomes .....	2
3. Award Limits .....	2
<b>C. Getting Started.....</b>	<b>3</b>
1. Technical Assistance for Applicants.....	3
2. Eligible Applicants.....	3
3. RFA Organization and the IES Application Submission Guide.....	4
4. Ensuring Your Application is Forwarded for Peer Review .....	4
<b>D. Changes in the FY 2024 Request for Applications .....</b>	<b>5</b>
<b>PART II: PROJECT NARRATIVE REQUIREMENTS AND RECOMMENDATIONS .....</b>	<b>6</b>
<b>A. Requirements for the Project Narrative .....</b>	<b>6</b>
1. Significance .....	6
2. Research Plan .....	6
3. Data .....	6
4. Decision Making and Dissemination.....	7
<b>B. Recommendations for a Strong Project Narrative.....</b>	<b>7</b>
1. Significance .....	7
2. Research Plan .....	8
3. Data .....	9
4. Decision Making and Dissemination.....	10
<b>PART III: PREPARING YOUR APPLICATION.....</b>	<b>11</b>
<b>A. Overview.....</b>	<b>11</b>
<b>B. General Formatting .....</b>	<b>11</b>
1. Page and Margin Specifications.....	11
2. Page Numbering .....	11
3. Spacing.....	11
4. Type Size (Font Size) .....	11
5. Citations.....	11
6. Graphs, Diagrams, and Tables .....	12
<b>C. Appendices.....</b>	<b>12</b>
1. Appendix A: Response to Reviewers (Required for Resubmissions) .....	12
2. Appendix B: Supplemental Materials (Optional) .....	12
3. Appendix C: Applicant Letter and Letters of Agreement (Required).....	13
4. Appendix D: Data Sharing and Management Plan (Required).....	13
<b>D. Other Narrative Content .....</b>	<b>14</b>
1. Project Summary/Structured Abstract .....	15
2. Bibliography and References Cited.....	16
3. Human Subjects Narrative .....	16
4. Biographical Sketches for Key Personnel.....	16

<b>PART IV: COMPETITION REGULATIONS AND REVIEW CRITERIA.....</b>	<b>18</b>
<b>A. Funding Mechanisms and Restrictions .....</b>	<b>18</b>
1. Mechanism of Support .....	18
2. Funding Available.....	18
3. Special Considerations for Budget Expenses .....	18
4. Program Authority .....	19
5. Applicable Regulations .....	19
<b>B. Additional Requirements .....</b>	<b>19</b>
1. Pre-Award .....	19
2. Post-Award .....	19
<b>C. Overview of Submission and Scientific Peer Review Process.....</b>	<b>20</b>
1. Submitting Your Letter of Intent.....	20
2. Resubmissions and Multiple Submissions .....	21
3. Application Processing.....	21
4. Scientific Peer Review Process.....	22
5. Review Criteria.....	22
6. Award Decisions .....	23
<b>PART V: COMPLIANCE AND RESPONSIVENESS CHECKLIST .....</b>	<b>24</b>
<b>PART VI: SUBMISSION CODE.....</b>	<b>25</b>

## Part I: Overview and General Requirements

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### A. Purpose of the Using Longitudinal Data to Support State Education Policymaking Grants Program

Through its National Center for Education Research (NCER), the Institute of Education Sciences (IES) supports a program of research to build knowledge and understanding of education practice and policy. IES was established by the Education Sciences Reform Act of 2002 (ESRA – P.L. 107-279), in part to improve academic achievement and attainment, and access to educational opportunities for all learners (ESRA, § 111.b.1.B), but especially for those with lower achievement (ESRA, § 115.a.1) or lacking access to high-quality educational opportunities (ESRA, § 115.a.2.A and 115.a.2.B). In carrying out this mission, we seek to ensure that our work is objective, secular, neutral, and nonideological; free of partisan political influence; and free of racial, cultural, gender, or regional bias (ESRA, § 111.b.2.B).

In this Request for Applications (RFA), NCER invites applications for projects that will contribute to its **Using Longitudinal Data to Support State Education Policymaking** (Using Data for Policymaking) Grants program (ALN 84.305S). Through the Using Data for Policymaking Grants program, the Institute of Education Sciences (IES) supports state agencies' use of their state's education longitudinal data systems (SLDS) to provide evidence for their own program and policy decisions, and those of their local education agencies. State agencies are encouraged to link their SLDS data to other available datasets to better support the research. These other data may have been collected by the state agency (or local education agencies) but not incorporated into the SLDS, by other state agencies (e.g., health, social services, unemployment insurance), or by other sources. Through this linking, additional information can be obtained to better understand and explain learner performance while in formal education, variation in learner performance, and/or learner outcomes after leaving formal schooling. State agencies may apply for these grants on their own or in collaboration with other organizations. Learners may be in pre-kindergarten, K-12, postsecondary, and/or adult education.

The IES Statewide Longitudinal Data Systems grant program provides grants, resources, and services to support states as they design, develop, implement, and expand their K-12 and P-20W (early learning through the workforce) longitudinal data systems. States use these systems to manage their education data, including student records, and to facilitate research aimed at improving student learning and outcomes and closing achievement gaps. Based on the seven rounds of funding, 49 states, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Commonwealth of Northern Mariana Islands and American Samoa have received at least one SLDS grant (<https://nces.ed.gov/programs/slds/>).

For FY 2024, NCER will continue to focus the Using Data for Policymaking Grants program on learners who are least likely to have access to high-quality education and to achieve academically relative to their peers. NCER will support research on state-supported efforts – including recovery activities – to improve these learners' access to a high-quality education and the resources and supports they may need to succeed and to improve their academic achievement. achievement.

### B. General Requirements

#### 1. Eligible Populations

Research **must** focus on learners from one or more subgroups that are identified in the American Rescue Plan Act of 2021 and the Elementary and Secondary Education Act of 1965 including: racial and ethnic minorities, learners living in low-income families, learners who are not proficient in English, learners who live in migrant or foster families, and/or learners who are homeless. Research focused on learners with or at risk for disabilities from birth through K-12 or in postsecondary education **must** be funded by the National Center for Special Education Research (NCSE: <https://ies.ed.gov/ncser>) not NCER. **Such applications will be deemed nonresponsive to this competition and will not be forwarded for peer review.** For Using Data for Policymaking grants, learners from any of the eligible subgroups who have disabilities may be included and

examined as part of any within-subgroup analysis.

Additional learner subgroups of interest to the state agency or required for the proposed research may be included.

## ***2. Required Learner and Educator Outcomes***

For the Using Data for Policymaking Grants program, the applicant **must** propose to measure academic outcomes of learners, which can reflect **learning and achievement** in content domains, as well as learners' **successful progression** through education systems. IES is interested in the following academic outcomes:

- For prekindergarten - school readiness outcomes, including pre-reading, language, vocabulary, early-STEM (science, technology, engineering, and/or mathematics) knowledge, English language proficiency, digital literacy, and social and behavioral competencies (including self-regulation and executive function) that prepare young children for school
- For kindergarten through Grade 12 - learning, achievement, and higher order thinking in the academic content areas of literacy, STEM, and social studies;<sup>1</sup> English language proficiency; career and technical education (CTE) achievement or attainment; digital literacy; and progression through education systems as indicated by course and grade completion, retention, high school graduation, and dropout
- For postsecondary education - learning, achievement, and higher order thinking in postsecondary courses; and access to, persistence in, progress through, and completion of postsecondary education, which includes developmental education and corequisite support courses, bridge programs, for-credit and non-credit programs that lead to occupational credentials and certificates, and for-credit programs that lead to associate's or bachelor's degrees
- For adult education,<sup>2</sup> achievement in literacy, English language proficiency, and numeracy, as well as access to, persistence in, progress through, and completion of adult education courses and programs including the full range of course and program types described in Title II of the Work Innovation and Opportunity Act of 201

Applicants are encouraged to also include **social and behavioral competencies**, defined as social and emotional skills, attitudes, and behaviors that are important to learners' success in school and beyond, **career and technical education outcomes**, such as skills and credentials, and **labor market outcomes**, such as employment and earnings, when these are of interest to the state agency. IES also encourages applicants to include, along with academic outcomes, measures of student engagement and reengagement in their education such as student interest, motivation, and participation.

In addition, if you are examining the role of educators in improving learners' academic outcomes, you **must** propose to measure educator knowledge, skills, beliefs, behaviors, and/or practices, in addition to the required measures of learners' academic outcomes.

## ***3. Award Limits***

Applications to the Using Data for Policymaking Grants program **must** conform to the following limits on

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<sup>1</sup> Social studies outcomes are defined as a learner's understanding of government structures and processes and how to be an engaged and knowledgeable citizen through skills and knowledge in civics, citizenship, geography, history, and economics.

<sup>2</sup> The system and authorized providers that serve learners at least 16-years old who are not enrolled in the standard K-12 system but are or could be preparing for, transitioning into, or currently enrolled in adult literacy programs, as defined in Title II, the "Adult Education and Family Literacy Act", of the 2015 Workforce Innovation and Opportunities Act (WIOA), such as Adult Basic Education, Adult Secondary Education, Integrated Education Training, Family Literacy, Integrated English Language and Civics.

award duration and cost. The maximum duration of the award is 3 years, and the maximum award is \$1 million. The requested award should be commensurate with the proposed work. If necessary, IES will adjust the award size or workload as appropriate.

In your application, provide a detailed budget justification that explains how the requested costs are allowable, allocable, and reasonable (see 2 CFR 200, Subpart E; <https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=7231b530d56ee549812e4d9a6e6aa9f2&mc=true&n=sp2.1.200.e&r=SUBPART&ty=HTML>) and reflect the proposed scope of work.

## C. Getting Started

### 1. Technical Assistance for Applicants

IES offers technical assistance to applicants to address the appropriateness of project ideas for this grant program and methodological and other substantive issues concerning research in education settings. IES program officers work with applicants through a variety of formats, including email, phone, video conferencing, and virtual office hours (<https://ies.ed.gov/funding/technicalassistance.asp>), up until the time of Grants.gov submission. IES webinars (live and on demand; <https://ies.ed.gov/funding/webinars/index.asp>) provide advice on choosing the appropriate competition, grant writing, and submitting your application. In addition, you are invited to submit a letter of intent (LOI) on the IES Review webpage (<https://iesreview.ed.gov/LOI/LOISubmit>) by July 6, 2023 to which a program officer will respond with feedback regarding the fit of your proposed project for this grant program.

The program officers for the Using Data for Policymaking Grants program are

- Dr. Corinne Alfeld (202-245-8203; [Corinne.Alfeld@ed.gov](mailto:Corinne.Alfeld@ed.gov)) (PreK-Grade 12)
- Dr. James Benson (202-245-8333; [James.Benson@ed.gov](mailto:James.Benson@ed.gov)) (Postsecondary)
- Dr. Allen Ruby (202-245-8145; [Allen.Ruby@ed.gov](mailto:Allen.Ruby@ed.gov))

### 2. Eligible Applicants

Institutions that have the ability and capacity to conduct rigorous research are eligible to apply. Eligible applicants include, but are not limited to, state agencies responsible for education programs and policies, non-profit and for-profit organizations, and public and private agencies and institutions, such as colleges and universities. As part of its commitment to broadening institutional participation in its research grant programs, IES encourages applications from minority-serving institutions (MSIs) in collaboration with the appropriate state agency. MSIs include Alaska Native and Native Hawaiian-Serving Institutions, American Indian Tribally Controlled Colleges and Universities, Asian American and Native American Pacific Islander-Serving Institutions, Hispanic-Serving Institutions, Historically Black Colleges and Universities, Predominantly Black Institutions, and Native American-Serving, Nontribal Institutions.

The state agency responsible for the education issue, program, or policy to be examined **must** be included on the application either as the applicant or as a co-applicant receiving a subaward. Eligible state agencies include the state educational agency (SEA) responsible for the state's K-12 sector as well as state agencies responsible for other specific education sectors such as prekindergarten, career and technical education, postsecondary education, and adult education. A state postsecondary system may also serve as the state agency. When a state agency applies with another organization, such as a research institution, IES does not have a preference for whether the applicant is the education agency or the research institution but recommends that the applicant has the grant management expertise to fulfill the administrative, financial, and reporting requirements of the grant.

The application **must** include a letter in [Appendix C](#) describing the state agency's responsibility for the education issue, program, or policy to be studied; its access to the SLDS data; and its authority to use the SLDS data for the proposed study. If the eligible state agency does not have the authority to use and release the SLDS data to be analyzed, the applicant **must** include letters of agreement from the state agencies or other organizations that have those authorities in Appendix C.

The principal investigator (PI) has the authority and responsibility for the proper conduct of the research, including the appropriate use of federal funds and the submission of required scientific progress reports. If the state agency is the applicant, the PI must be from that agency. If the state agency is a co-applicant, then a co-principal investigator (co-PI) must be included from the education agency and the PI will be from the applicant institution. Other personnel sharing the authority and responsibility for leading and directing the research project intellectually and logistically should be designated as co-PIs.

IES' ability to support high-quality research that reflects the diversity of learner and educator experiences in the United States requires the inclusion of talented researchers, statisticians and evaluators that reflect this diversity (<https://ies.ed.gov/aboutus/diversity.asp>) and who have experience working with participants from the communities they plan to study. IES strives to ensure that the researchers we fund are drawn from the entire pool of talented individuals who bring different backgrounds, perspectives, interests, and experiences to address complex education problems.

### **3. RFA Organization and the IES Application Submission Guide**

In order to submit a compliant, responsive, and timely application, you will need to review two documents:

1. *This RFA* provides information on how to prepare an application that is compliant and responsive to the requirements. [Part I](#) provides an overview of the Using Data for Policymaking Grants program and sets out the requirements regarding applicants and education outcomes examined. [Part II](#) provides detail on the specific requirements for what must be included in your project narrative for your application to be accepted for review and recommendations for your project narrative. [Part III](#) provides information about general formatting and other narrative content for the application, including required appendices. [Part IV](#) provides information on competition regulations and the review process. [Part V](#) provides a checklist that you can use to ensure you have included all required application elements to advance to expert peer review. [Part VI](#) provides the program codes that you must select from and enter the appropriate code in Item 4b of the SF 424 Application for Federal Assistance form.
2. *The IES Application Submission Guide* ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) provides important information about submission procedures and IES-specific guidance and recommendations to help you ensure your application is complete and received without errors on time through Grants.gov.

We strongly recommend that both the principal investigator (PI) and the authorized organization representative (AOR) read both documents.

### **4. Ensuring Your Application is Forwarded for Peer Review**

**Only compliant and responsive applications received before the date and time deadline will be peer reviewed for scientific merit.** The PI and the AOR should work together to ensure that the application meets these criteria. The [Compliance and Responsiveness Checklist](#) in Part V will help you make sure you have the minimum necessary.

#### *(a) On-time submission*

See the separate IES Application Submission Guide ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf))

- Received and validated by Grants.gov **no later than 11:59:59 p.m. Eastern Time on August 17, 2023**

#### *(b) Compliance*

- Includes the required project narrative (see [Part II](#)).
- Adheres to all formatting requirements (see [Part III.B](#)).
- Adheres to all page limit maximums for the project narratives and appendices. IES will remove any pages above the maximum before forwarding an application for peer review.

- Includes [Appendix A: Response to Reviewers](#) if you are resubmitting an application.
- Includes [Appendix C: Letters of Agreement](#).
- Includes [Appendix D: Data Sharing and Management Plan](#).

*(c) Responsiveness*

- The applicant includes a letter in Appendix C describing the state agency's responsibility for the education issue, program or policy, its access to the SLDS data, and its authority to use the SLDS data for the proposed study (see [Part 1.C.2](#)).
- If the state agency does not have access to the SLDS data or authority to use the SLDS data for the proposed study, the applicant includes a letter or letters from the state agencies or organizations that will be providing access to the SLDS data (see [Appendix C](#)).
- The PI or a co-PI is from the state agency primarily responsible for the issue, program, or policy being examined (see [Part 1.C.2](#)).
- The research includes measures of learner outcomes (see [Part 1.B.2](#)).
- The project narrative meets Project Narrative Requirements (see [Part II.A](#)).

## **D. Changes in the FY 2024 Request for Applications**

Major changes to the Using Data for Policymaking program (ALN 84.305S) competition in FY 2024 are listed below and described fully in relevant sections of the RFA.

- All key personnel are required to have a digital persistent identifier, such as an ORCID iD (Open Researcher and Contributor Identification; <https://orcid.org/>) in place before an award will be made.
- For projects that will evaluate a program or policy, the applicant should describe their plans to maintain the objectivity of the research, including but not limited to describing safeguards that will be in place to separate the developer or implementer from tasks such as random assignment and impact analysis.
- The RFA recommends describing the involvement of the subgroups to be examined and/or their representatives (e.g., parents, organizations) in the development of the research questions and the dissemination of the findings.



## Part II: Project Narrative Requirements and Recommendations

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The project narrative describes and justifies the research you propose to do and its usefulness for decision making by state agencies. The project narrative **must** include four sections: Significance, Research Plan, Data, and Decision Making and Dissemination. The project narrative is limited to 22 pages. If the narrative exceeds this page limit, IES will remove any pages after the 22<sup>nd</sup> page of the narrative. The project narrative must also conform to the formatting guidelines (see [Part III.B](#)).

Below are the requirements for the project narrative that must be met before your application will be forwarded for peer review. A set of recommendations for the project narrative are provided next, which will be used by the peer reviewers as they review your application.

### A. Requirements for the Project Narrative

#### 1. Significance

The purpose of this section is to describe the key issues, problems, programs, and/or policies to be examined regarding the opportunity and achievement gaps facing specific subgroups of learners along with how this research fits with the current priorities of the state agency. This section also includes the research questions to be addressed and how addressing them will help guide the state agency's decision making, as well as the substantive expertise of the personnel regarding the key issues and student populations to be studied.

You **must** describe

- The key issues, problems, programs, and/or policies that the state agency wants to examine to support its decision making regarding increasing learner subgroups' access to high-quality education and increased academic achievement (and subsequent reduction in existing opportunity and achievement gaps)
- The key learner subgroups you will focus on
- Your research questions about the issues, problems, programs, and/or policies concerning the key subgroups noted above
- Your project team's experience and expertise for working with the learner subgroups and the issues, problems, programs, and/or policies

#### 2. Research Plan

The purpose of this section is to describe your research design and analysis plan, demonstrate how these will address the research questions and inform state agency decisions, and describe the analytical expertise of the personnel.

You **must describe**

- The research design and methods you will use to address your research questions
- The data analysis plan
- Your project team's expertise in the design, methods, and analysis proposed

#### 3. Data

The purpose of this section is to demonstrate that you have access to the SLDS (and any other) data necessary for the project and describe the data expertise of the personnel.

You **must describe**

- The SLDS data you will use
- How and when the required data will be made available for the study
- Your project team's access to, knowledge of, and expertise working with the data to be used

#### **4. Decision Making and Dissemination**

The purpose of this section is to discuss how the project's findings will be used by the state agency in making decisions about ways to increase subgroups' equitable access to high-quality education and increase their academic achievement, how the findings will be disseminated to multiple audiences, and the dissemination expertise of the personnel.

You **must describe**

- How you will present the project's findings to the state agency leadership
- How you will disseminate the findings to multiple audiences
- Your project team's dissemination expertise

### **B. Recommendations for a Strong Project Narrative**

These recommendations are intended to improve the quality of your project narrative. Peer reviewers will use these recommendations in their evaluation of your application.

#### **1. Significance**

Describe the key issues, problems, programs, and/or policies that the state agency wants to examine and how they are related to increasing specific learner subgroups' access to high-quality education and additional supports, and achievement. You may propose one or more of the following

- Identify subgroups of learners that do not have access to high-quality education opportunities and/or lack access to the resources necessary to improve their academic achievement, investigate reasons for the lack of such access, and examine options to increase such access.
- Identify variation in learners' access to high-quality education opportunities and/or additional supports and achievement within these subgroups, investigate possible reasons for such variation (e.g., resources available), and examine the types of supports necessary to improve access and academic achievement across learners within each subgroup based on the reasons identified.
- Develop evidence on the implementation and impact of new and ongoing programs and policies intended to help disadvantaged learners gain access and increase their academic achievement and reduce opportunity and achievement gaps between and/or within subgroups. If you are examining a policy or program, discuss its key components and how it is implemented.

Identify and describe the subgroups of learners that will be the focus of the study. These must include learners in one or more of the subgroups identified in the section on "General Requirements" above. If you are focusing on multiple subgroups, describe how your research questions will consider learners who are members of more than one subgroup. Describe any potential sources of heterogeneity within each of your subgroups and note if the sample size is large enough to allow you to explore those sources.

If you include other learner subgroups, describe the reason for including them.

Present the state agency's research questions regarding key issues, programs, and/or policies the SEA is interested in exploring. Describe them in straightforward terms and explain their practical importance for the state agency's decision making aimed at increasing subgroups' access to high-quality education, access to resources and supports to improve their academic achievement, and their academic achievement. Present any available quantitative and qualitative evidence that indicates the importance of answering these questions, especially evidence from the state itself. Note whether members of the subgroups (students, parents, organizations) provided input into these questions. Describe how the proposed research will advance existing understanding of the key issues, problems, programs, and/or policies. When describing the key issues, problems, programs, and/or policies that the state agency wants to examine, discuss whether the SLDS provides enough high-quality data for each subgroup and whether you plan to augment the research with additional data (primary or secondary).

Discuss the key personnel from the state agency and any collaborating organizations who have expertise in

studying or working with the learner subgroups, data regarding the subgroups, and the key issues, problems, programs, and/or policies. Describe key personnel's responsibilities on the project and the adequacy of their time commitment to the project for completing their work.

## **2. Research Plan**

Describe your setting and sample and how these are appropriate for responding to the research questions. Show that the setting and sample to be studied include the educators and learners you described as your focus under Significance.

- Discuss whether you will be using data from all schools, teachers, and students or from a subset or sample of them. If you will use a sample, describe how representative of the learner subgroups it will be.
- Identify the years of data to be included

Identify the key variables you will be examining to address your research questions. Typical variables may include

- Background characteristics of students, teachers, other personnel, schools, and districts
- Variables you will use to place students into subgroups for analysis
- Variables you will use to differentiate students within subgroups identified for analysis
- Measures of the key issue, program, or policy
- Learner outcome measures – describe which are shorter- and which are longer-term outcomes

Describe how you will define and measure

- High-quality education (this may include aspects of learners' regular education as well as additional services or supports to increase learners' educational outcomes), access to high-quality education, and opportunity gaps
- Achievement (be sure to include at least one outcome described under [Part 1.B.2 Required Learner and Educator Outcomes](#)) and achievement gaps

Describe the type of analyses you intend to do. You may propose descriptive, correlational, predictive and/or causal analyses. NCER does not favor any one type of analysis but expects that the proposed analyses will be high quality, provide information that will address the research questions, and help the state agency in its decision making. Therefore, you should link the analyses to the research questions and the decisions the state agency needs to make that you discussed in the Significance section.

For your data analyses:

- Describe and justify the statistical models to be used, including how they address the multilevel nature of education data and how well they control for selection bias, if necessary.
- Discuss how you will address exclusion from any data set and missing data. Note the possibility for non-random missingness, especially in small subgroups, and its implications for the analyses and interpretation of findings. Describe sensitivity tests to assess the influence of key procedural or analytic decisions on the results.
- Provide separate descriptions for all analysis of factors that influence the relationship between a program or policy and learner outcomes (mediators and moderators).
- Provide a separate description of each analysis you intend to do (e.g., between-subgroups, within-subgroup, examination of a program or policy).

Describe how the proposed research addresses the research questions and contributes to the state agency's decision making regarding the key issue, program, or policy with the goal of improving learners' education outcomes. Describe how these findings will be used to inform policy and practice.

Describe the management structure and procedures that will be used to keep the research on track and ensure the quality of the work.

Discuss the key personnel who will carry out the research plan from the state agency or any collaborating organization, their expertise and experience for this type of work, their specific responsibilities, and the adequacy of their time commitment to the project for completing their work. Projects that will evaluate a program or policy should describe the plans to maintain the objectivity of the research, including but not limited to describing safeguards that will be in place to separate the developer or implementor from tasks such as random assignment and impact analysis.

### **3. Data**

Describe the structure of the SLDS data to be used in the project.

- If the SLDS data are in separate data sets, describe how they will be linked and combined.

Describe any non-SLDS data to be used in the project. Applicants are encouraged to use additional secondary data or collect primary data to better answer the research questions, especially for subgroups for which little or only lower quality data are available.

- Describe how the data will be obtained.
- Describe whether/how the data will be linked and merged with the SLDS data.

Show that all the variables to be analyzed as described under the Research Plan are available in the data (from the SLDS or other sources) or can be derived from the data.

- A list of variables may be placed in [Appendix B](#).
- If some variables will be created from the data, describe this process and the expected amount of work involved.
- Note if any variables were not collected due to COVID-19 disruptions and how the project team plans to address such missing data.

Note whether the SLDS uses a common set of data elements with common data standards to allow interoperability and comparability of data, such as the Common Education Data Standards (<http://ceds.ed.gov/>).

Discuss whether this will be a new or extended use of the SLDS data by the state agency. Note whether and how the project will build the capacity of the state agency to use the SLDS data.

Describe how and when the data will be made available to carry out the research.

- Include a letter from the applicant in [Appendix C](#) describing its access to the SLDS data and its authority to use the SLDS data for the proposed study.
- If the applicant does not have access to the SLDS data or authority to use the SLDS data for the proposed study, include letters of agreement from the appropriate state agencies or organizations stating they will provide the data or authorization to use them (see [Appendix C](#)).

Discuss the key personnel from the office responsible for the SLDS who will provide the SLDS data, link it, if necessary, address missing or incorrect data found during data cleaning, and provide advice on its use. Describe their expertise and experience for this type of work and the adequacy of their time commitment to the project for completing their work.

Also, identify any other personnel who may be cleaning the SLDS data and linking it to different data within the SLDS and from outside it. Describe their expertise and experience for this type of work, and the adequacy of their proposed time commitment to the project for completing their work.

Related to the Data section, be sure to include [Appendix D: Data Sharing and Management Plan](#) in which you will describe how you will comply with the [IES policy for data sharing](#) and who will be responsible for data sharing.

#### **4. Decision Making and Dissemination**

Describe the state agency's personnel who make the decisions, and the organizational structures they make them within, regarding the key learner subgroups and the issue, program or policy being studied. Note if such structures are found at different levels (such as at the state, regional or intermediary, and local levels).

- Discuss how agency personnel will receive and consider the project's findings in their decision making.
- Describe how agency personnel will consider the rigor of the findings (how much confidence to place in them for decision making), given the type of research design used.

Discuss how you can integrate the findings into research-informed tools used by state agency stakeholders. Describe any potential data-informed applications that will be developed if the research results in substantively important findings. For example, the project could support the development of tools to predict which students might benefit from a program, to track whether participating students are benefiting from a program, or to provide data directly to learners to use in their own decision making.

Describe a dissemination plan that discusses the different ways in which you intend to reach multiple audiences through the publications, presentations, and products you expect to produce. These may include

- Discussion of findings with regional and local education agencies and schools
- Discussion of findings with state leaders
- Presentations and workshops at meetings of professional associations of teachers and leaders
- Presentations at the IES STATS-DC conference and the SLDS Best Practices conference
- Presentations and publications to share information with members of the subgroups examined, (including students, parents, and organizations) and the general public
- Publications in practitioner journals
- Publications in researcher journals
- Activities with relevant IES-funded research and development (R&D) centers, research networks, or regional educational laboratories (RELs)
- The development and deployment of tools based on the research

Discuss the key personnel from the state agency and any collaborating organizations who have expertise in dissemination. Describe the work each person will do regarding informing decision making and dissemination with the findings, their expertise and experience for this type of work, and the adequacy of their time commitment to the project for dissemination.

## Part III: Preparing Your Application

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### A. Overview

The application contents—individual forms and their PDF attachments—represent the body of an application to IES. Read the IES Application Submission Guide ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) for information on how to prepare a complete application that is submitted on time through Grants.gov (<https://grants.gov>).

### B. General Formatting

To ensure that reviewers can read your applications and that all applicants have similar expectations for length and space, IES specifies the following formatting conventions. 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, unless otherwise specified. For an application to be compliant and sent forward for review, the applicant should ensure that each narrative section follows both the page limit maximums and the formatting guidelines below unless otherwise specified.

#### 1. Page and Margin Specifications

For all IES 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. The project narrative is limited to a maximum of 22 pages, and the page limits for Appendices are described below under Part C: Appendices.

#### 2. Page Numbering

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

#### 3. Spacing

Text must be single spaced.

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

Type must conform to the following three requirements:

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

You should check the type size using a standard device for measuring type size, rather than relying on the font selected for a particular word processing/printer combination. Small type size makes it difficult for reviewers to read the application; consequently, the use of small type will be grounds for IES to return the application without scientific peer review.

As a practical matter, if you use a 12-point Times New Roman font without compressing, kerning, condensing, or other alterations, and use footnotes sparingly, if at all, the application will typically meet these requirements. Readability should guide your selection of an appropriate font and your use of footnotes.

#### 5. Citations

Use the parenthetical author-date style for citations (for example, the American Psychological Association, 2009) rather than numeric citations that correspond to the reference list.

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

Use black and white in graphs, diagrams, tables, and charts. If color is used, check that the material reproduces well if printed or photocopied in black and white.

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

## **C. Appendices**

The required [project narrative](#) (Significance, Research Plan, Data, Decision Making and Dissemination) is followed by four appendices. Appendix A is required for resubmissions, Appendix B is optional, and Appendix C and Appendix D are required. When you submit your application through Grants.gov, you will create a single PDF file that *contains the project narrative and all appendices* and include it as an attachment in the application package. Include appendices in alphabetical order and simply skip an appendix if it is not required for your application or if you choose not to include one of the optional appendices. See the IES Application Submission Guide ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) for more information about preparing and submitting your application using the required application package for this competition through Grants.gov (<https://www.grants.gov/>).

The attachments and narratives are a critical part of the IES application because they include the substantive content that peer reviewers will evaluate for significance and merit.

### **1. Appendix A: Response to Reviewers (Required for Resubmissions)**

If your application is a resubmission, you **must** include Appendix A. If your application is one that you consider to be new but that is similar to a previous application, you should include Appendix A. Appendix A **must** meet the general formatting guidelines and be **no more than three pages**. If Appendix A exceeds this page limit, IES will remove any pages after the third page of the appendix before it is forwarded for scientific peer review. Note that an application that was previously submitted to another IES grant competition is still considered a resubmission.

Use Appendix A to describe how the revised application is responsive to prior reviewer comments. If you have submitted a somewhat similar application in the past but are submitting the current application as a new application, you should use Appendix A to provide a rationale explaining why the current application should be considered a “new” application rather than a “resubmitted” application.

This response to the reviewers is the only information that may be included in Appendix A; all other material will be removed prior to review of the application.

### **2. Appendix B: Supplemental Materials (Optional)**

Appendix B **must** meet the general formatting guidelines and be **no more than 15 pages**. If Appendix B exceeds this 15-page limit, IES will remove any pages after the 15<sup>th</sup> page of the appendix before it is forwarded for peer review.

Appendix B may be used to provide supplementary materials to your application. In Appendix B, you may include figures, charts, or tables with supplementary information on the key issue, program, or policy you will examine or for your proposed study. For example, you may include data tables on the population or sample, a timeline for your research project, the variables in the SLDS that you will be using in your research, an organizational chart of who is responsible for the key issue, program or policy you are researching, or a diagram of the management structure of your project.

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

### ***3. Appendix C: Applicant Letter and Letters of Agreement (Required)***

Appendix C has **no maximum length**, and IES encourages applicants to ensure the letters are legible and adhere to the guidance in [Part III.B](#).

In Appendix C, include a letter from the state agency describing its responsibility for the education issue, program, or policy to be studied; its access to the SLDS data; and its authority to use the SLDS data for the proposed study.

If the state agency does not have access to the SLDS data, the state agencies or organizations that can provide access to the SLDS data **must** provide a letter of agreement stating they will provide the data for use in the proposed study.

If the state agency does not have the authority to use the SLDS data for the proposed study, the state agencies or organizations that can authorize the use of the SLDS data must provide a letter of agreement stating they will authorize its use for the proposed study.

Include letters of agreement from any organization who will participate in or provide data for the proposed research, from any organization carrying out the data analysis or other research activities, take part in the dissemination of the findings, and from persons who will serve as consultants. Such letters of agreement should make it clear that the author of the letter understands the nature of the time commitment and timing of participation, required space and personnel, resources that the organization is prepared to contribute to the research project, and the ways that the organization personnel will be expected to coordinate with the project team (e.g., quarterly meetings with administrative staff) if the application is funded.

Ensure that the letters reproduce well so that reviewers can easily read them. Do not reduce the size of the letters. See the IES Application Submission Guide ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) for guidance regarding the size of file attachments.

Letters of agreement are the only materials that may be included in Appendix C; all other material will be removed prior to review of the application.

### ***4. Appendix D: Data Sharing and Management Plan (Required)***

You **must** include your Data Sharing and Management Plan (DSMP) in Appendix D. Appendix D must meet the general formatting guidelines and be **no more than five pages**. If Appendix D exceeds this page limit, IES will remove any pages after the 5<sup>th</sup> page of the appendix before it is forwarded for scientific peer review. See the Implementation Guide for Public Access to Research Data ([https://ies.ed.gov/funding/datasharing\\_implementation.asp](https://ies.ed.gov/funding/datasharing_implementation.asp)) and our FAQs ([https://ies.ed.gov/funding/datasharing\\_faq.asp](https://ies.ed.gov/funding/datasharing_faq.asp)) for additional guidance on developing a DSMP

When the PI and the AOR sign the cover page of the grant application, they will be assuring compliance with [IES policy for data sharing](#) as well as other policies and regulations governing research awards. This entails uploading full text of accepted or published manuscripts to ERIC that are based on IES-funded data, as well as the sharing of data.

Once the DSMP is approved by IES, the PI and the institution are required to carry it out and to report progress and problems through the regular reporting channels. Compliance with IES data sharing requirements is expected even though the final dataset may not be completed and prepared for data sharing until after the grant has been completed. In cases where the PI/grantee is non-compliant with the requirements of the data sharing policy or DSMP, subsequent awards to individuals or institutions may be affected. By addressing the items identified below, your DSMP describes how you will meet the requirements of the IES policy on data sharing and adopt best practices for adherence to open science principles.



The DSMP should describe the following:

- The pre-registration repository where you will pre-register your study within the first year of the project, following the Standards for Excellence in Education Research (SEER; <https://ies.ed.gov/seer/preregistration.asp>).
- The data repository where you plan to share your data, and an indication of the selected repository's adherence with the National Science and Technology Council document entitled "Desirable Characteristics of Data Repositories for Federally Funded Research" (<https://repository.si.edu/handle/10088/113528>).
- The type and format of data to be shared.
- The approach you will take to curating, cleaning, and preparing data for sharing, taking into consideration guidance from IES's Sharing Study Data: A Guide for Education Researchers (<https://ies.ed.gov/ncee/pubs/2022004/>).
- Dataset documentation to be provided, including any decisions made about the data that would be important in replicating the results.
- Intentions to share analysis code to support reproducibility, including format and location.
- Procedures for managing and for maintaining the confidentiality of Personally Identifiable Information.
- Roles and responsibilities of project or institutional staff in the management and retention of research data, including discussion of any changes to the roles and responsibilities that will occur should the project director/principal investigator and/or co-project directors/co-principal investigators leave the project or their institution.
- Expected schedule for data sharing, including how long the data will remain accessible (no later than publication of findings in a peer-reviewed publication and available for at least 10 years) and acknowledgement that the timeframe of data accessibility will be reviewed at the annual progress reviews and revised as necessary.
- Approaches to disseminating the availability and location of data to support discoverability for reuse purposes.
- Whether or not users will need to sign a data use agreement and, if so, what conditions they must meet.
- Any circumstances that prevent all or some of the data from being shared. This includes data that may fall under multiple statutes and, hence, must meet the confidentiality requirements for each applicable statute including data covered by Common Rule for Protection of Human Subjects, FERPA, and HIPAA.
- If some or all of the data cannot be shared: the information that will be made public to allow others to replicate your analyses, e.g., identifying what data was used, how and where it can be obtained, how the data were prepared and analyzed including the code used.

This is the only material that may be included in Appendix D; all other material will be removed prior to review of the application.

The costs of the DSMP can be covered by the grant and should be included in the budget and explained in the budget narrative. The scientific peer review process will not include the DSMP in the scoring of the scientific merit of the application. IES program officers will be responsible for reviewing the completeness of the proposed DSMP. If your application is being considered for funding based on the scores received during the scientific peer review process but your DSMP is determined incomplete, you will be required to provide additional detail regarding your DSMP.

## D. Other Narrative Content

In addition to the [project narrative](#) and required and optional appendices, you will also prepare a project summary/abstract, a bibliography and references cited, an exempt or non-exempt research on human subjects narrative, and biosketches for key personnel and consultants to include as file attachments in your application. See the IES Application Submission Guide ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) for more information about preparing and

submitting your application using the required application package for this competition on Grants.gov (<https://www.grants.gov/>).

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

You **must** submit the project summary/structured abstract as a separate PDF attachment in the application package. If your project is recommended for funding, IES will use this abstract as the basis for the online abstracts that we post when new awards are announced. We recommend that the project summary/structured abstract be two pages long and follow the format used for IES online abstracts (<https://ies.ed.gov/funding/grantsearch/>).

### *(a) Title*

- **Title:** Distinct, descriptive title of the project
- **Competition:** The RFA (Using Longitudinal Data to Support State Education Policymaking) to which you are applying

### *(b) Project Summary*

The purpose of the project summary is to provide a high-level overview that is accessible to a range of audiences, such as policymakers, practitioners, and the public. This section should use short, active sentences to briefly describe the significance of the project, project activities, and the intended outcomes.

- **Purpose:** A brief description of the purpose of the project and its significance for addressing opportunity and achievement gaps (should include what learner subgroups are being addressed, why the research is important, what this project will do to address the need, and the general expected outcomes of the project)
- **Project Activities:** An overview of the sample, research design, and methods
- **Products:** A brief description of the expected products the project team will develop, including the information that will be learned and disseminated

### *(c) Structured Abstract*

The purpose of the structured abstract is to provide key details about the project activities. This section is most likely to be used by other researchers but should be written in a way that is accessible to anyone who wants more information about the project.

- **Setting:** A brief description of the location where the research will take place and other important characteristics of the locale, such as whether it is rural or urban
- **Population/Sample:** A brief description of the sample including the learner subgroups to be focused on, the number of participants; the composition of the sample including age or grade level, race/ethnicity, key contexts (e.g., family income, home language) and/or disability status as appropriate; and the population the sample is intended to represent (Note: IES is particularly interested in improving the opportunities and the achievement outcomes of the lowest performing students)
- **Key Issues, Problems, Programs, and/or Policies:** The key issues, problems, programs, and/or policies you will be studying related to improving the opportunities and the achievement outcomes of learner subgroups
- **Research Design and Methods:** A brief description of the type of analyses to be performed (e.g., descriptive, correlational, predictive, causal) and the design and methodology to be used. Describe design and methods year by year, in terms of steps or phases as applicable, approaches to investigating within- and between-subgroup variation, and any examination of the impact and/or implementation of a policy or program.
- **Comparisons:** Describe the comparisons you will make both between subgroups and within subgroups. Note if these comparisons will be made over time or within the same period, and across different locations or within the same place. Describe how these comparisons support the state agency's decision making regarding increasing learner subgroups' access to high quality education and increased academic achievement (and subsequent reduction in existing opportunity and achievement

gaps). Comparisons do not have to be causal. If no comparisons are to be made, that can be noted as well.

- **Key Measures:** A brief description of key measures including the learner outcomes to be used in the study
- **Data Analytic Strategy:** A brief description of the data analytic strategies that the research team will use to answer research questions
- **Related IES Projects:** A list of any other completed or on-going IES-funded projects that are related to this one, noting the title of the related IES project and providing a link to the online IES abstract, where related refers to a project that you are drawing upon or building on as part of your proposed project

See our online search engine of funded research grants (<https://ies.ed.gov/funding/grantsearch/>) for examples of the content to be included in your two-page project summary/structured abstract.

## ***2. Bibliography and References Cited***

You **must submit** the bibliography and references cited as a separate pdf attachment in the application package. We do not recommend a page length for the bibliography and references cited. You should include complete citations, including the names of all authors (in the same sequence in which they appear in the publication), titles of relevant elements such as the article/journal and chapter/book, page numbers, and year of publication for literature cited in the project narrative. As a reminder, you should use the author-date style for citations in the project narrative (see [Part III.B.5: Citations](#) for more information).

## ***3. Human Subjects Narrative***

You **must** submit an exempt or non-exempt human subjects narrative as a separate PDF attachment in the application package. We do not recommend a page length for the human subjects narrative. See *Information About the Protection of Human Subjects in Research Supported by the Department of Education* (<https://www2.ed.gov/policy/fund/guid/humansub/hrsnarrative1.html>) for a brief overview of principles, regulations, and policies which affect research involving human subjects in research activities supported by the Department of Education.

Address how the Revised Common Rule will affect the Institutional Review Board (IRB) review of your proposed research protocol. Describe how changes to exemption and continuing review procedures, and the use of a single IRB, will be addressed should your application be recommended for funding.

The U.S. Department of Education does not require certification of IRB 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.

## ***4. Biographical Sketches for Key Personnel***

You **must** submit a biographical sketch (an abbreviated CV plus information about current and pending support) for each person named as key personnel in your application. You may also submit biographical sketches for consultants (optional). Each biographical sketch **must be no more than five pages in length, and this five-page limit includes current and pending support information**. If a biographical sketch exceeds this page limit, IES will remove any pages after the fifth page before it is forwarded for peer review.

Biographical sketches are submitted as separate PDF attachments in the application package. IES strongly encourages applicants to use SciENCv (<http://www.ncbi.nlm.nih.gov/sciencv/>) where you will find an IES biosketch form. IES will accept the SciENCv format for your biographical sketch even though it does not adhere exactly to our general formatting requirements. You may also develop your own biosketch format.

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 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.

The biographical sketch for the principal investigator, each co-principal investigator, other key personnel, and consultants (if included) should show how members of the project team possess training and expertise commensurate with their specified duties on the proposed project, for example by describing relevant publications, grants, and research experience, including experience working with the study population.

Include a persistent identifier (PID) such as an ORCID iD (Open Researcher and Contributor; <https://orcid.org/>) in the biosketches for all key personnel. If you or any key member of your project team does not yet have a PID, IES encourages you to establish one as soon as possible, given the requirement that all key personnel are required to have a PID in place before an award will be made.

## Part IV: Competition Regulations and Review Criteria

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### A. Funding Mechanisms and Restrictions

#### 1. Mechanism of Support

IES intends to award grants pursuant to this Request for Applications, and grantees will work with IES to plan and implement their activities.

#### 2. Funding Available

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

**The size of the award depends on the scope of the project.** The maximum duration of the award is 3 years, and the maximum award is \$1 million.

#### 3. Special Considerations for Budget Expenses

##### *(a) Indirect Cost Rate*

IES expects applicants to apply their institution's federally negotiated indirect cost rate when developing a budget for the proposed research project. State agencies should apply their indirect cost rate negotiated with the U.S. Department of Education if they have one. If your institution does not have an indirect cost rate and you receive a grant from IES, 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/faq.html>) can help with obtaining an indirect cost rate once the grant is awarded. Please note that the ICG is not available for assistance during the application preparation process.

Most institutions that do not have a current negotiated rate may use a de minimis rate of 10 percent of modified total direct costs (see 2 CFR §200.414 [https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200\\_1414&rgn=div8](https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rgn=div8) for more information). This de minimis rate may be used indefinitely and no documentation is required to justify its use.

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

##### *(b) Meetings and Conferences*

If you are requesting funds to cover expenses for hosting meetings or conferences, please note that there are statutory and regulatory requirements in determining whether costs are reasonable and necessary. Please refer to the Office of Management and Budget's (OMB's) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR, §200.432 Conferences ([https://www.ecfr.gov/cgi-bin/text-idx?SID=dcd3efbcf2b6092f84c3b1af32bdcc34&node=se2.1.200\\_1432&rgn=div8](https://www.ecfr.gov/cgi-bin/text-idx?SID=dcd3efbcf2b6092f84c3b1af32bdcc34&node=se2.1.200_1432&rgn=div8)).

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

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

“Education Sciences Reform Act of 2002,” Title I of Public Law 107-279, November 5, 2002. This program is not subject to the intergovernmental review requirements of Executive Order 12372.

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

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

### **B. Additional Requirements**

#### **1. Pre-Award**

##### *(a) Clarification and Budget Questions*

IES uses the scientific peer review process as the first step in making funding decisions. If your application is recommended for funding based on the outcome of the scientific peer review, an IES program officer will contact you to clarify any issues that were raised by the peer reviewers and to address whether the proposed budget adequately supports the scope of work and meets federal guidelines.

##### *(b) Demonstrating Access to Data and Other Studies*

You will need to provide evidence that you have access to the appropriate SLDS and the data needed for the project prior to receiving funding. Include [Letters of Agreement in Appendix C](#) from those who have responsibility for or access to the data you intend to use. Even with such letters, **IES will require additional supporting evidence prior to the release of funds**. If you cannot provide such documentation, IES may not award the grant or may withhold funds.

If you are building onto an ongoing or a completed study and will require access to those subjects and data, you must provide evidence that you will have such access. In such cases, IES recommends that the principal investigator, or other key personnel, of the previous study should be one of the members of the research team applying for the grant to conduct the new project.

##### *(c) Assessment of Past Performance*

IES considers the applicant’s performance and use of funds under a previous federal award as part of the criteria for making a funding decision. IES also determines the PIs compliance with the IES Policy Regarding Public Access to Research if they were the PI on previous IES grants awarded in 2012 or later (<https://ies.ed.gov/funding/researchaccess.asp>).

##### *(d) Persistent Identifiers (PIDs) for Key Personnel*

All key personnel are required to have a persistent identifier, such as ORCID iD (Open Researcher and Contributor Identification; <https://orcid.org/>) in place before an award will be made.

#### **2. Post-Award**

##### *(a) Compliance with IES Policy Regarding Public Access to Research*

###### **(1) Access to final research data**

You **must** include a Data Sharing and Management Plan (DSMP) in [Appendix D](#). The scientific peer review process will not include the DSMP in the scoring of the scientific merit of the application. Instead, IES

program officers will be responsible for reviewing the completeness of the proposed DSMP. The costs of the DSMP can be covered by the grant and should be included in the budget and explained in the budget narrative.

## **(2) Access to research results: Grantee submissions to ERIC**

IES requires all grantees to submit the electronic version of peer-reviewed scholarly publications to ERIC (<https://eric.ed.gov/>), a publicly accessible and searchable electronic database of education research that makes available full-text documents to the public for free. This public access requirement (<https://ies.ed.gov/funding/researchaccess.asp>) applies to peer-reviewed, original scholarly publications that have been supported (in whole or in part) with direct funding from IES. The public access requirement does not apply to book chapters, editorials, reviews, or non-peer-reviewed conference proceedings. **As the designated representative for the grantee institution, IES holds the principal investigator responsible** for ensuring that authors of publications stemming from the grant comply with this requirement.

The author's final manuscript is defined as the final version accepted for journal publication and includes all modifications from the peer review process. Submission of accepted manuscripts for public accessibility through ERIC is strongly encouraged as soon as possible **but must occur within 12 months of the publisher's official date of publication**. ERIC will not make the accepted manuscripts available to the public prior to the end of the 12-month embargo period, unless specified by the publisher.

The ERIC website includes a homepage for the Grantee and Online Submission System (<https://eric.ed.gov/submit/>), as well as a Frequently Asked Questions (<https://eric.ed.gov/?granteefaq>) page. During the submission process, authors will submit bibliographic information from the publication, including title, authors, publication date, journal title, and associated IES award number(s).

## **(3) Pre-Register Exploratory or Impact Studies**

Grantees must register their exploratory and impact studies on a suitable preregistration platform within the first year of receiving a new award. There are several options for preregistration including but not limited to the Registry of Efficacy and Effectiveness Studies (REES; <https://sreereg.icpsr.umich.edu/sreereg/>), the Open Science Framework (OSF; <https://osf.io/>), ClinicalTrials.gov (<https://clinicaltrials.gov/>), AEA Registry (<https://www.socialscienceregistry.org/>), EGAP (<https://egap.org/content/registration>), Uri Simonsohn's AsPredicted (<https://aspredicted.org/>), and trial registries in the WHO Registry Network (<https://www.who.int/ictrp/network/en/>).

### *(b) Special Conditions on Grants*

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

### *(c) Attendance at the Annual IES Principal Investigators Meeting*

The principal investigator (PI) is required to attend one meeting each year (for up to 3 days) in Washington, DC with other IES grantees and IES staff. If the state agency is a co-applicant, the co-PI from the state agency should also attend. The project's budget should include this meeting. PIs who are not able to attend the meeting may designate another person who is key personnel on the research team to attend.

## **C. Overview of Submission and Scientific Peer Review Process**

### **1. Submitting Your Letter of Intent**

Letters of intent (LOIs) are submitted online at the IES Peer Review Information Management Online (PRIMO; <https://iesreview.ed.gov/>) system. **Select the Letter of Intent form for this competition**. The online submission form contains fields for each of the seven content areas listed below. Use these fields to provide

the requested information. The project description should be single-spaced and is recommended to be no more than one page (about 3,500 characters).

The LOI is non-binding and optional but strongly recommended. If you submit an LOI, a program officer will contact you regarding your proposed research. IES staff also use the information in the LOI to identify the expertise needed for the peer review panels and to secure a sufficient number of reviewers to handle the anticipated number of applications.

#### *Elements for the Letter of Intent*

- Descriptive title
- Grant competition (Using Data for Policymaking ALS 84.305S)
- Brief description of the proposed project
- Name, institutional affiliation, address, telephone number, and email address of the principal investigator and any co-principal investigators
- Name and institutional affiliation of any key collaborators and contractors
- Duration of the proposed project (no more than 3 years)
- Estimated total budget request (no more than \$1 million)

## **2. Resubmissions and Multiple Submissions**

If you intend to revise and resubmit an application that was submitted to a previous IES competition but that was not funded, you **must** indicate on the SF 424 Application for Federal Assistance Form in the application package (see IES Application Submission Guide; [http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) that the FY 2024 application is a resubmission (Item 8) and include the application number of the previous application (an 11-character alphanumeric identifier beginning "R305" entered in Item 4a). Prior reviews will be sent to this year's reviewers along with the resubmitted application.

You **must describe** your response to the prior reviews using [Appendix A: Response to Reviewers](#). Revised and resubmitted applications will be reviewed according to this FY 2024 Request for Applications.

If you submitted a somewhat similar application in the past and did not receive an award but are submitting the current application as a new application, you should indicate on the application form (Item 8) that your FY 2024 application is a new application. In Appendix A, you should provide a rationale explaining why your FY 2024 application should be considered a new application rather than a revision. If you do not provide such an explanation, then IES may send the reviews of the prior unfunded application to this year's reviewers along with the current application.

You may submit multiple applications to this grant program as long as they address different key issues, programs, or policies. If you submit multiple similar applications, IES will determine whether and which applications will be accepted for review and/or will be eligible for funding.

## **3. Application Processing**

**Applications must be submitted electronically and received no later than 11:59:59 p.m. Eastern Time on August 17, 2023**, using the Grants.gov Workspace (<https://www.grants.gov/applicants/workspace-overview.html>). You must follow the application procedures and submission requirements described in the IES Application Submission Guide ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) and on Grants.gov (<https://www.grants.gov/>).

The submission guide will direct you to enter a code for Item 4b Agency Routing Number on the form Application for Federal Assistance SF 424. You should enter "NCER-Using Data for Policymaking" in order to identify that you are submitting your application to the Using Longitudinal Data to Support State Education Policymaking (Using Data for Policymaking) Grants program.



After applications are fully uploaded and validated at Grants.gov, the U.S. Department of Education receives the applications for processing and transfer to the IES PRIMO system (<https://iesreview.ed.gov/>). PRIMO allows applicants to track the progress of their application via the Applicant Notification System (ANS).

Approximately one to two weeks after the application deadline, invitation emails are sent to applicants who have never applied to IES before to create their individual PRIMO ANS accounts. Both the PI and the AOR will receive invitation emails. Approximately four to six weeks after the application deadline, all applicants (new and existing ANS users) will begin to receive a series of emails about the status of their application. See the IES Application Submission Guide ([https://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](https://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) for additional information about ANS and PRIMO.

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

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

IES will forward all applications that are compliant and responsive to this Request for Applications to a panel of experts (<https://ies.ed.gov/director/sro/reviewers.asp>) who have substantive and methodological expertise appropriate to the program of research and Request for Applications.

Reviews are conducted in accordance with the review criteria stated below and the review procedures posted on the IES website ([https://ies.ed.gov/director/sro/application\\_review.asp](https://ies.ed.gov/director/sro/application_review.asp)).

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

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

#### ***5. Review Criteria***

The purpose of IES-supported research is to help solve education problems by generating reliable information about education programs, practices, policies, and assessments that support learning and improve academic achievement and access to education for all learners. IES expects reviewers to assess the scientific rigor and practical significance of the research proposed in order to judge the likelihood that it will make a meaningful contribution to the larger IES mission. The criteria that contribute to the scientific merit of the project include Significance, Research Plan, Data, and Decision Making and Dissemination. Information about each of these criteria is described in [Part II: Project Narrative](#).

##### *(a) Significance*

Does the applicant address the recommendations described in the Significance section? Will the proposed project inform practice related to addressing barriers to opportunity and academic achievement for the key learner subgroups, and make a meaningful contribution to the state agency's decision making on the key issue, program, or policy being examined? Does the project team have the appropriate expertise and experience with the learner subgroups and the issues, programs, and/or policies and the adequate time commitment to complete their project responsibilities?

##### *(b) Research Plan*

Does the applicant address the recommendations described in the Research Plan? Will the proposed research provide useful information for the state agency's decision making regarding the identified learner subgroups and on the key issue, program, or policy being examined? Does the project team have the appropriate expertise and experience with the research design, methods, and analyses and the adequate time commitment to complete their project responsibilities?

*(c) Data*

Does the applicant address the recommendations described in the Data section? Does the applicant have access to the data necessary to complete the research and the expertise to use it? Does the project team have the appropriate expertise and experience with the data and the adequate time commitment to complete their project responsibilities?

*(d) Decision Making and Dissemination*

Does the applicant address the recommendations described in the Decision Making and Dissemination section? Has the applicant identified which persons and organizational structures within the state agency should receive the findings from the project because they are involved in decision making on the program or policy studied? Has the applicant identified the appropriate audiences for dissemination? Does the project team have the appropriate expertise and experience with the dissemination and decision making, and the adequate time commitment to complete their project responsibilities?

## **6. Award Decisions**

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

- Scientific merit as determined by scientific peer review
- Performance and use of funds under a previous federal award
- Contribution to the overall program of research described in this Request for Applications
- Ability to carry out the proposed research within the maximum award and duration requirements
- Availability of funds

## Part V: Compliance and Responsiveness Checklist

Only compliant and responsive applications will be peer reviewed. Use these three checklists below to better ensure you have included all required components for compliance, all general requirements, and all required project narrative elements.

See the IES Application Submission Guide ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) for an application checklist that describes the forms in the application package that must be completed and the PDF files that must be attached to the forms for a successful submission through Grants.gov (<https://www.grants.gov/>).

Compliance				
	Have you included a project narrative?			
	Do the project narrative and other narrative content adhere to all formatting requirements?			
	Do the project narrative and other narrative content adhere to all page maximums as described in the RFA? IES will remove any pages above the maximum before forwarding an application.			
	If you are resubmitting an application, have you included <a href="#">Appendix A: Response to Reviewers</a> ?			
	Have you included <a href="#">Appendix C: Letters of Agreement</a> ?			
	Have you included <a href="#">Appendix D: Data Sharing and Management Plan</a> ?			
Responsiveness				
	Have you met all the Requirements for an application?			
	Is the state agency responsible for the education issue, program, or policy to be examined included on the application either as the applicant or as a co-applicant receiving a subaward?			
	Is there a PI or a co-PI from this state agency?			
	Does your proposed research include measures of learner academic outcomes?			
	Does your project narrative include the four required sections and the associated requirements? Did you describe the elements required for each section as listed below?			
Required Project Narrative Sections and Elements				
	<u>Significance</u>	<u>Research Plan</u>	<u>Data</u>	<u>Decision Making and Dissemination</u>
Describe	<ul style="list-style-type: none"> <li>The key issues, problems, programs, and/or policies</li> <li>The key learner subgroups</li> <li>The research questions</li> <li>The project team's expertise in the above</li> </ul>	<ul style="list-style-type: none"> <li>The research design and methods</li> <li>The data analysis plan</li> <li>The project team's expertise in the above</li> </ul>	<ul style="list-style-type: none"> <li>The SLDS data</li> <li>How and when the required data will be made available for the study</li> <li>The project team's access to and expertise with the data</li> </ul>	<ul style="list-style-type: none"> <li>Presenting the project's findings to the state agency leadership</li> <li>Disseminating the findings to multiple audiences</li> <li>The project team's dissemination expertise</li> </ul>

## Part VI: Submission Code

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The IES submission guide ([http://ies.ed.gov/funding/pdf/FY2024\\_submission\\_guide.pdf](http://ies.ed.gov/funding/pdf/FY2024_submission_guide.pdf)) will direct you to enter a code for Item 4b Agency Routing Number on the form SF 424 Application for Federal Assistance. You should enter the code **"NCER-Using Data for Policymaking"** to identify that you are submitting your application to the Using Longitudinal Data to Support State Education Policymaking (Using Data for Policymaking) Grants program.