



IES Funding Opportunities Webinar: Application Process – How to Apply

May 11, 2012

U.S. Department of Education

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EDUCATION SCIENCES

IES Funding Opportunities Webinar: Application Process – How to Apply

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Transcript
May 11, 2012

Slide 1

My name is Emily Doolittle and today I'll talk to you about the application process for submitting an application to IES. I just want to remind you that we do encourage you to ask questions during the webinar. I'll stop periodically to check if there are any, but send them in as they come up and we'll try to get to all of them today.

Slide 2

Today, you'll learn about how to find application materials and how to use Grants.gov. That will be the focus of our webinar today. I'll also describe what goes into an application and the different formatting requirements for an application. We'll finish the webinar with some program-specific information.

Slide 3

First, let's talk about how to find the application materials.

Slide 4

You need three things to apply for a grant through IES. The first is the Request for Applications (RFA). This describes all the substantive requirements of a research application. The second thing you need is the IES [Grants.gov Application Submission Guide](#). This is a document we prepared to help you with the [Grants.gov](#) process, with preparing a grant application, and with submitting that application using the [Grants.gov](#) application portal. Much of what I'll talk about today during the webinar is included in that [Grants.gov Application Submission Guide](#). Finally, you will need the correct application package in order to apply.

Slide 5

All fiscal year (FY) 2013 RFAs and the [Grants.gov Application Submission Guide](#) can be found on the IES *Funding Opportunities* page. You see the web address there. In the next screenshot, I'll show you the IES page and where you can sign up for the IES *NewsFlash*. The *NewsFlash* is an e-mail alert system that we have. You can sign up to get all sorts of different kinds of e-mail alerts from IES and its Centers. One important type of e-mail alert you can sign up to get is for upcoming funding opportunities. I strongly encourage you to sign up for the *NewsFlash*. It's a good service.

Slide 6

Here on the IES page, circled at the top in red, you will see the *Funding Opportunities* tab.

Slide 7

Under *News & Events*, this is where you find the *NewsFlash*. If you haven't yet done so, please go and sign up for the *NewsFlash*. That's something you'll find pretty useful.

Slide 8

The *Funding Opportunities* page is where we have laid out the different steps that you need to go through to apply for an IES grant. At Step 3, you can see where you download the RFA for the competition to which you'd like to apply.

Slide 9

The webinar today will focus on the application packages and the procedures that you need to follow in order to submit an application under the first deadline date that we have this year—June 21, 2012. On June 21, the National Center for Education Research (NCER) is accepting applications under two research grant programs: the Education Research Grants Program identified by the CFDA number 84.305A; and the Statistical & Research Methodology & Education Program identified by the CFDA number 84.305D. Finally, the National Center for Special Education Research (NCSE) is accepting applications for one of its research grant programs—the Special Education Research Grants Program identified by the CFDA number 84.324A.

Slide 10

You will find the application packages and those instructions that I mentioned—the IES [Grants.gov Application Submission Guide](#)—on [Grants.gov](#). What I'm going to do now is switch over to my web browser and we're going to go to [Grants.gov](#) live. I'm going to walk you through the steps to find the application packages.

Slide 11

There are screenshots of these steps within the webinar presentation and the slides that you have available to you. So, you can refer to those as I'm going through this.

At the top left of the Grants.gov page is an area in red marked *For Applicants*. You need to go to *Find Grant Opportunities*. I recommend that you do a Basic Search to find the IES grant application packages. You would click on the top search function here to go to the Basic Search. The easiest way to find the application packages for IES is to search by the CFDA number that I mentioned. For this particular search, you need to enter the numeric part of that number in order to find all the available packages under a specific Center's grant competitions.

I'm going to do a search for NCSE's packages. I'm going to enter 84.324 in the *Search* box. The search results are everything available under 84.324—the Special Education Research Grants program. You see that there are four grant opportunity packages here. The *Open Date*, on the left, is the date that those funding opportunities were announced and became available. The *Opportunity Title* is what you need to look for (e.g., Institute of Education Sciences Special Education Research).

One thing I want to point out is the number that's appended to the CFDA number. I want this particular opportunity title, 84.324A-1, because the "1" designates the package that's used for the first competition deadline in FY 2013, which is the June application deadline we're talking about today. Right below it, you see 84.324A-2; that's the package that you would use if you're submitting an application to the Special Education Research Program in September. That package isn't there yet, so if you went there you wouldn't find anything.

I'm going to click on the opportunity title for the June deadline. Here's a funding synopsis. It tells you the closing date for these applications is June 21, 2012; so we're in the right place. This is indeed Research in Special Education, 84.324. Then, we want to go to the tab marked *Application*.

Then, a new window pops up. It is where you find the grant application for downloading. I can do another quick check to make sure I've got the correct application—CFDA 84.324, Competition ID 84-324A, 2013 is the FY, and the "-1" tells me it's for the June deadline. The *Special Education Research Download* option is on the bottom-right of the page.

After clicking on that, I can now download the *Application Instructions*—the IES Grants.gov *Application Submission Guide* that I mentioned—or the application package. Again, you can do a quick check and make sure that you have the right package.

We will come back to the application package later in the webinar. I just wanted to walk you through and show you how to find your application package. There are screenshots within the webinar presentation that you can refer to that show those different steps.

Slide 12-22

These are the screenshots that I just mentioned to you.

Slide 23

Before we go into more detail about [Grants.gov](https://www.Grants.gov), I just want to remind you that you can submit your questions and we'll be happy to try to answer them.

Slide 24

All right, the first and most important thing that you need to know about [Grants.gov](https://www.Grants.gov) is that you need to be registered with [Grants.gov](https://www.Grants.gov) before you can submit an application. I strongly recommend that you begin the registration process early. Initial registration on [Grants.gov](https://www.Grants.gov) can take 5 or more business days to complete, but please know that [Grants.gov](https://www.Grants.gov) recommends that you allow up to 4 weeks for the registration process. If you are not registered yet on [Grants.gov](https://www.Grants.gov), please go and do that as soon as this webinar is over.

If you're already registered, you have to update your registration every year. That can take up to 3 days to complete. The first thing to do when you start working in [Grants.gov](https://www.Grants.gov) is to make sure registration is in order for you.

Slide 25

Also, [Grants.gov](https://www.Grants.gov) has specific software requirements for opening application packages and completing the forms. You'll need Adobe software on your computer. You'll need it to read and complete the application form and convert your Word documents or Excel documents into PDFs that you can attach to the application forms. [Grants.gov](https://www.Grants.gov) requires that you have at least Adobe Reader 8.1.2. If you're not sure what version of Adobe you have or if you want to get the right version, [Grants.gov](https://www.Grants.gov) has that for you. There's a link here you can visit to check your software and make sure you have what you need to complete your application.

Slide 26

Please know that IES requires that you submit your application electronically through [Grants.gov](https://www.Grants.gov). Do not e-mail a copy of an application to a Program Officer at IES. That will not count as an official application and will not be reviewed.

Slide 27

Another very important point about [Grants.gov](https://www.grants.gov) is that when it receives an application it gives it a date and time stamp. Your application must be fully uploaded and submitted with a date and time stamp no later than 4:30:00 p.m., Washington, DC time on the application deadline date—i.e., June 21. Notice, I've put seconds on the deadline time. If your application gets a time stamp of 4:30:02 Washington DC time on June 21, your application is late and will not be reviewed. This is a hard and firm deadline. This is why one thing I'm going to repeat throughout the presentation today is to please do these things as soon as possible—get registered, upload your application, and make sure you understand what you're doing—because you don't want to miss that deadline.

Slide 28

Now, your application will not be accepted if it is received in paper format, unless you qualify for one of two exceptions—you don't have access to the Internet or you don't have the capacity to upload large documents to [Grants.gov](https://www.grants.gov).

Slide 29

If you think you qualify for one of those exceptions, you need to submit a written statement to IES no later than 2 weeks before the application deadline.

Slide 30

Now, if you have problems working in [Grants.gov](https://www.grants.gov), please, please, please contact [Grants.gov](https://www.grants.gov) first. They have a really great Support Desk. I have an 800 number here for the Support Desk. There's also an e-mail address. Please go to [Grants.gov](https://www.grants.gov) first, if you're having problems working in [Grants.gov](https://www.grants.gov). Program Officers will try their best to help you, but [Grants.gov](https://www.grants.gov) is going to be better able to help you work within that system.

When you contact the [Grants.gov](https://www.grants.gov) Support Desk, you will get a case number. It is very important that you keep that case number and have it as a reference so that we can go back and review any problems you may have had within the [Grants.gov](https://www.grants.gov) system. You can send that case number and a description of your problem to a Program Officer at IES, so that we're aware of any issues you may be having in the [Grants.gov](https://www.grants.gov) system.

Slide 31

Once you submit an application through [Grants.gov](https://www.grants.gov), you need to pay attention to confirmation of the submission. This confirmation comes by e-mail and there will be four e-mails in total. Three of those e-mails come directly from [Grants.gov](https://www.grants.gov) and the fourth e-mail comes from the U.S. Department of Education (ED). I'm going to describe those e-mails for you.

Slide 32

The first e-mail from [Grants.gov](https://www.grants.gov) is simply an acknowledgement that you have begun to try to do something in [Grants.gov](https://www.grants.gov). You've started the upload process and [Grants.gov](https://www.grants.gov) is saying, "Okay, I recognize that you're trying to upload an application." At that point, [Grants.gov](https://www.grants.gov) will give you a tracking number. It starts with the word "GRANT," all in caps, followed by a series of numbers. That's an important number for you to keep handy so that you can track your application in [Grants.gov](https://www.grants.gov).

The second e-mail from [Grants.gov](https://www.grants.gov) will tell you that your application was validated successfully—that's what you want to see—or that your application has been rejected with errors. Pay attention to e-mails. Check for this kind of message from [Grants.gov](https://www.grants.gov) because you want to make sure that you're on top of things, especially if [Grants.gov](https://www.grants.gov) says they've rejected your application due to errors.

Finally, the third e-mail from [Grants.gov](https://www.grants.gov) will tell you that ED has retrieved your application from the [Grants.gov](https://www.grants.gov) system.

Okay, I'm going to stop here. We have a question that came in about the e-mails.

Question: "Will the e-mails be sent to the office that submits the grant or to the principal investigator (PI)?"

Answer: *That is a great question, and I think it will go to just the office that submits the grant. I'm not 100% certain. You can follow up with us later and we'll let you know, or you could ask [Grants.gov](https://www.grants.gov). That's a good question for them. A lot of people miss these e-mails.*

Slide 33

All right, the final e-mail comes from ED. It assigns a new number to your application. We call it the "PR/Award number." This is a number that uniquely identifies your application.

For applications that will be submitted under FY 2013 competitions, the number will look something like this. It will start with the letter "R." If you're submitting an application to the National Center for Special Education Research, it will have "324"—part of the CFDA number unique to that particular research center. It will also have the letter "A"—the competition accepting applications in June in the Special Education Research Center. Then, there will be the number "13" to show us the FY of the submission. Then, the last four digits will be the unique identifier for your application.

This PR/Award Number assigned to your application by ED is how you track your application moving forward. If you have a question about your application and you want to send an e-mail to a Program Officer, this is the number to use.

If your application was submitted late, this e-mail from ED will also say that your application was late and will not be given further consideration.

Slide 34

Now, in addition to those four e-mails, I strongly encourage you to track your application on [Grants.gov](https://www.Grants.gov) in those minutes, hours, days, immediately following the submission of your application. On [Grants.gov](https://www.Grants.gov), there is a *Track My Application* link that will help you to verify your application was submitted on time and was validated.

Slide 35

Here on [Grants.gov](https://www.Grants.gov), under *For Applicants*, you can click on *Track My Application*. You will enter that [Grants.gov](https://www.Grants.gov) tracking number in that field in the middle and this will give you real time information about where your application is in the submission process.

Question: *“Is there a place to check, if my organization is already registered with [Grants.gov](https://www.Grants.gov)?”*

Answer: *If there is an Office of Sponsored Projects at your organization, I would first check with them. Registration occurs with a DUNS number for your organization. So, I believe there’s a way within [Grants.gov](https://www.Grants.gov) to check that out. You would go in and enter that DUNS number and other information about your organization in [Grants.gov](https://www.Grants.gov). I would start there.*

I’m going to move into application contents.

Slide36

What goes into an application? There are a lot of pieces, so we’re going to go through them carefully here.

Slide 37

The first pieces of the application are the research and related R&R forms that come out of the SF 424 forms family. These forms are the things that you saw listed within the application package that I opened for you. We’ll go back in and open some of those forms later on in the webinar.

Another important piece of the application is a Project Summary/Abstract for your proposed research and the Project Narrative—the real meat of your application. IES allows for four different kinds of appendices. Some of those appendices are required, some are not. We'll talk about those appendices. You need to include a Bibliography and References Cited for your Project Narrative. We also ask you to include a Human Subjects Narrative. I'll talk more about that later in the webinar. A Narrative Budget Justification explains the money you're asking for—the kinds of costs that are associated with your research. Then, there are Biographical Sketches of Key Personnel on the team and Lists of Current and Pending Funding for those Key Personnel.

Slide 38

We're going to go through these contents, starting with the R&R forms. I have some screenshots here. With these forms, please keep in mind that there are required fields on the forms. They're really well marked, so they're hard to miss. They have an asterisk next to them, they're highlighted in yellow, and outlined in red. So for anything looking like that, you've got to put something there.

One thing that you can do when you're filling out the forms in the application package is use a button at the top of the package that says, *Check Package for Errors*. If you're missing something or if you've put something in that doesn't belong, this *Check Package for Errors* button will take you right to the problem in your application. This will, 9 times out of 10, save you from that terrible e-mail from [Grants.gov](https://www.grants.gov) that says your application has been rejected with errors.

When you begin filling out the forms in the application package, I recommend that you start with the SF 424 Cover Sheet, because that will prepopulate a lot of the other forms in the package.

Slide 39

Here is a screenshot of the application package we looked at before. At the top, I've circled in red the *Check Package for Errors* button. Down at the bottom, you see a list of all the *Mandatory Documents*—all the forms that you must fill out for your application package. The one that I have moved over for completion is the SF 424 R&R Form.

Slide 40

Here's a picture of that Cover Sheet. You can see the fields highlighted in yellow and outlined in red that have an asterisk. Those are the fields you must fill out.

What I'm going to point out for you now though is a field that is not required by the application package, but it is something that IES wants you to fill out. That is Item 4b; it's up there at the top right. It's called the *Agency Routing Identifier*.

Slide 41

This is a field that IES uses to screen your application for responsiveness to the competition requirements. The information you put in Item 4b may determine how your application gets assigned for review by our Scientific Peer Review Panels. So, even though this is not a required field on the Cover Sheet, you run the risk of your application being rejected as non-responsive or assigned inaccurately for scientific review, if you haven't completed that correctly. So, I strongly encourage you to fill in that field and put in the correct information.

For two of the competitions accepting applications in June—Education Research Grants (84.305A) and Special Education Research Grants (84.324A). Those two grant competitions require that you pick a topic area and a research goal for your proposed work. In the [Grants.gov Application Submission Guide](#), there is a table that tells you what the topic and goal codes are that should be used in Item 4b.

Slide 42

So, here we have the two competitions that require those topic and goal codes. I haven't kept the table here in the presentation, but it's part of the [Grants.gov Application Submission Guide](#). It will tell you what the codes are that you need to include. If you don't know what topic you should be submitting to and you're not sure what the goal is for your application, please contact a Program Officer and we can help you figure that out.

Slide 43

The Other Project Information Form is another really important part of the application package. This is where you let IES know about things like human subjects involved in your proposed research and this is where you attach a lot of the PDF files that contain that important substantive information about your application. So, you can see there at the bottom—Item #7, the Project Summary/Abstract—is where you would attach that PDF file and Item #8, Project Narrative, is where you attach your Project Narrative.

Slide 44

The first important attachment here—the Project/Summary Abstract—has a page limit. It needs to be one page, single-spaced. Again, it's added as an attachment, a PDF File. It goes at #7 of the Other Project Information Form. You'll need to make sure it follows all the formatting requirements that we'll go over later on in the presentation. Please, also make sure that the research topic and goal that you mention here in your Abstract matches what you put in Item 4b. Make sure that there is consistency across the different parts of your application.

Slide 45

The Project Narrative also has page limits, but you need to check the RFA to make sure that you are following the proper page limits for your particular grant application. It's also added as an attachment, as a PDF file. This goes at #8 on the Other Projects Information Form.

Slide 46

Very briefly, again, you really need to look at the RFA for more details about the Project Narrative. Keep in mind that it includes four sections: Significance, Research Plan, Personnel, and Resources. Detailed information about what needs to be included in each of those sections is included in the relevant RFA.

Slide 47

Because there are page limits, obviously you want to be concise in your Project Narrative. Make sure it's easy to read. One thing I encourage you to do is to put page numbers on your Project Narrative. Sometimes people don't do that, and that makes it a little harder to read. Again, your Project Narrative needs to follow all the formatting requirements that we'll go over later.

Slide 48

Appendix A is limited to 15 pages, single-spaced. If you are including Appendix A as part of your application, you need to put it at the end of your Project Narrative and submit it as part of the same PDF file attachment at #8 on the Other Project Information Form. Again, follow those formatting requirements.

Slide 49

Appendix A is where you can include things like a figure, chart, or table that would supplement the text in your Project Narrative. You could also include things like examples of measures that you would be using in the project.

A new requirement this year—if you are submitting a revised application (e.g., you submitted an application last year to IES, you received reviewer feedback, and you're revising and resubmitting that project idea) — you must use up to three pages of Appendix A to describe how you are being responsive to that reviewer feedback in this revised application. Please keep in mind that this is now a requirement. If you are resubmitting an application, you must have that response to reviewers and you're limited to up to three pages of Appendix A to do that.

Slide 50

The second appendix that you can include in your application is Appendix B. It is limited to 10 pages, single-spaced. If you're including Appendix B, it goes at the end of Appendix A (which follows your Project Narrative) in the same PDF file, adhering to all formatting requirements.

Slide 51

Appendix B is where you can include things like examples of the curriculum materials that you'll be looking at in your research. You can put computer screenshots there. You might include examples of test items that you're planning to develop or any other kinds of materials that are going to be used in your intervention or assessment.

Slide 52

The third appendix is Appendix C. There is no page limit for Appendix C. Appendix C follows Appendix B as part of that same PDF file attachment and adhering to formatting requirements that we'll go over later.

Slide 53

Appendix C is a really important appendix for IES applications. This is where you include Letters of Agreement from research partners. If you will conduct an evaluation impact study of a curriculum and will work in 40 schools, you want letters from those schools showing that they agree to be part of that research. Please don't reduce the size of those letters because there's no page limit to Appendix C. So, you can include them full-size and include as many letters as you have. Importantly, make sure that those letters show that these research partners understand what they're going to have to do should you receive an award.

Slide 54

New this year, we have a fourth appendix that might go in your application. This is Appendix D, but notice it's only required for a very specific type of application—an Effectiveness Goal application to either Education Research (84.305A) or Special Education Research (84.324A). The page limit for Appendix D is five pages, single-spaced. If you're submitting an Effectiveness Goal application, you need to include Appendix D after Appendix C, as part of that same PDF file, with the same formatting requirements.

Slide 55

But again, it's only for the Effectiveness Goal. So, Appendix D will not apply to many applications. Appendix D is where you would include your Data-Sharing Plan for an Effectiveness Study. You can see more about the requirements for the Data-Sharing Plan in the RFAs for those two competitions.

Question: *“Should the Narrative include a table of contents? Would that page be counted?”*

Answer: *Please do not include a table of contents. It's tempting, but we don't ask for one. I wouldn't want to risk it being counted as part of the page limit. Thank you for asking that question. You do not need to include a table of contents.*

Slide 56

Bibliography and References Cited does not have a page limit. We encourage you to use APA style. It's also added as an attachment on the Other Project Information Form. It goes at #9, adhering to formatting requirements. Please include complete citations.

Slide 57

IES does not require that you have Institutional Review Board (IRB) approval in place for the research that you're proposing in your application, but we do require that you include a Human Subjects Narrative. There is no page limit to the Human Subjects Narrative. It's also added as a PDF file attachment. It goes at Item 12 on the Other Project Information Form. The content of this narrative needs to explain whether you feel your research is exempt or not from the Human Subjects requirements.

Slide 58

Information about the Human Subjects Narrative is found in a lot more detail in the IES [Grants.gov Application Submission Guide](#), so you can look there for more help with this. There are six exemptions listed. Basically, you need to include information in the Human Subjects Narrative for ED to decide whether those exemptions are indeed appropriate for your proposed research should your grant be funded.

Slide 59

If you believe that your research is non-exempt, you need to include standard information about the human subjects who will be involved, their characteristics, recruitment and informed consent procedures, any potential risks, and how you'll protect your human subjects against risk.

Slide 60

This is the Budget Form that you need to complete. There are some tricky little pieces to the Budget Form that I want to make sure we go over today. Again, you see the yellow highlighting, the red outlines, the asterisks—those are all required fields.

Slide 61

The first thing I want to do is talk about two very common mistakes that applicants make when they fill out the Budget Form.

Slide 62

The first one refers to this piece of the Budget Form, Section E, which is circled in red down at the bottom left. This is the section for Participant/Trainee Support Costs. If you're submitting an application under the June deadline, you will not use this section of the Budget Form.

Slide 63

You would only use this particular category if you were applying for a training grant, which are CFDA numbers 84.305B and 84.324B. There are no training grant programs accepting applications in June. So, if you're putting together a budget for an application to the June deadline, you will not put any information in Section E.

Slide 64

The other tricky piece of the Budget Form is the time commitment field for senior/key personnel and I've circled that in red here. You can enter calendar months OR academic and summer months.

Slide 65

IES would like it, if you would put in calendar months. However, if you need to put in academic and summer months, that's okay too. Do one or the other. So, either do calendar months OR do academic and summer months. IES wants to know what the time commitment is for key personnel over a calendar year period. When you get to the Narrative Budget Justification, if you've entered academic and summer months in the Budget Form, your Budget Narrative should tell us what the calendar year effort is for that particular person.

Slide 66

The Narrative Budget Justification has no page limit. It's also added as a PDF file attachment. It gets attached to the Budget Form. You want to make sure that the Narrative Budget Justification follows the formatting requirements, and provides a budget justification for all the years of your project. So, if you're submitting a 3-year

project application, the Narrative Budget Justification needs to describe costs over those 3 years of the project. The tricky thing is the Narrative Budget Justification gets attached to the *first* budget period of the Budget Form.

Slide 67

So, when you're here in *Budget Period 1* at the top of the screen and down at the bottom left is *Section K, Budget Justification*—that's where you attach the Narrative Budget Justification. When you do that, the next budget period will open up for you.

Slide 68

Because there are no page limits, please include sufficient detail, so that reviewers and IES can decide whether the costs you're asking for are indeed reasonable given the research you're proposing. Also, make sure that the Narrative Budget Justification aligns with the Budget. You could organize the Narrative Budget Justification within year by category. So, you could say, "*In year one, here are the Key Personnel ...*" and on and on down through the list of the different sections of that Budget Form. Or you could go category by year. It's up to you. Just make sure that Budget Narrative is aligning with the actual Budget Form being included.

Slide 69

You want to make sure that the costs associated with any subawards on your project don't duplicate things that you've included in the main project budget. If you have travel for the person who's at the subaward institution, make sure they're not charging for that same travel in their subaward budget. In other words, don't duplicate the cost of that same travel in your project budget.

Make sure you describe the time commitment of personnel in the Narrative Budget Justification as the calendar year percent effort. Over a 12-month calendar year period, how much time is this person putting in on the project. Here's a great place to describe the responsibilities of the PI and other key personnel.

This is also where you can let IES know about any cost shares (donation of personnel time or lab space) that you will have in your project. This is not a requirement for IES, but you can tell us about this if this is something that applies to your application.

Slide 70

Within the Narrative Budget Justification, you also need to describe your institution's negotiated federal indirect cost rate. IES reminds you to use the off-campus indirect cost rate when it's appropriate. Pay attention to what the negotiated agreement specifies. Don't include things as direct costs that really are covered by your indirect cost rate.

Slide 71

If your institution doesn't have a federally negotiated indirect cost rate, you should contact a member of the Indirect Cost Group. I've given the web address here. These are very helpful people. They will help you to figure out how to get a federally negotiated rate. They will help you estimate the temporary indirect cost rate you should put in your application.

Slide 72

Okay, now moving on to Subaward Budgets. This can be a very confusing and tricky part of your application. If you are including any subawards on your project, please pay close attention. If you are including a subaward, you need to include a budget for that subaward and you need to use the R&R Subaward Budget Attachment(s) Form. This is listed under *Optional Documents*. That's because not every applicant will have a subaward. If you have a subaward, you should use this particular form. Using this form, you will both extract and attach a Budget Form as a PDF document for each institution that holds a subaward on the grant. Keep in mind that separate budgets are only required if that other organization is performing a substantial portion of the work. So, use your discretion.

Question: *"If you're developing a curriculum and then working offsite once the curriculum is developed, do you use the offsite rate for the entire grant project or only for those activities done offsite?"*

Answer: *My understanding is that you would use the off-campus rate only for the activities done offsite. I've seen people use both rates within their applications. I would double-check with your Sponsored Projects Office, if you have one and they can give you guidance on that as well, but that sounds like a reasonable scenario.*

Slide 73

Here's a picture of the R&R Subaward Budget Attachment Form. See the big button in the middle? *Click here to extract the R&R Budget Attachment*. Then below, you see a list—*Please attach Attachment 1*. That would be, if you have one subaward. That's where you would put their particular subaward budget. If you have a couple of subawards, you just keep going down the list. If you tried to attach something here that you did not extract from this form, this will cause an error in [Grants.gov](https://www.grants.gov) and they will reject your application. If you have a subaward, only work from this particular form.

Slide 74

Moving on to Biographical Sketches of Key Personnel... For each key person working on the project (i.e., the Principal Investigator [PI], any Co-PIs, any Co-Investigators), you need to attach a single PDF file for each of those key personnel. There is a page

limit on this biographical sketch. It needs to be no longer than four pages. I like to think of it as an abbreviated CV. Follow the formatting requirements, and use the Research and Related Senior/Key Person Profile Expanded Form.

Slide 75

On that form the tab for *Attach Biographical Sketch*, which I've circled, is down there at the bottom.

Slide 76

New last year, we're asking for a separate list of current and pending support for each key person. This list is limited to one page, single-spaced. It goes on that same form I showed you using the *Attach Current & Pending Support* field.

Slide 77

It's right below the *Biographical Sketch* field.

Question: *"If you have outside consultants on your grants who are key project members, do you need to submit a subaward for them?"*

Answer: *Not necessarily, that sounds like a situation where you would use your discretion. I would also recommend that you contact your Program Officer here at IES and ask their advice for that as well.*

Slide 78

There are other mandatory forms in the application package that you need to complete. The first is the Project/Performance Site Location(s) Form. This allows for the entry of up to eight different sites. Then, there are the Assurances for Non-Construction Programs Form and the Department of Education Combined Assurances Form.

Slide 79

Here's a screenshot of the Project/Performance Site Location(s) Form. Notice again the yellow/red fields with asterisks. Notice that here a DUNS number is not required, but you do need to enter the Congressional District Code. There's information about finding those codes in the [Grants.gov Application Submission Guide](#).

Here, you would certainly include the applicant organization and any subaward organizations. You could include the schools or school districts where you might be working. Again, that shouldn't pose a problem, because you don't need to include a DUNS number on this form.

Slide 80

Here's a screenshot of the *Assurances for Non-Construction Programs* Form.

Slide 81

And the *Combined Assurances* Form.

What I'm going to do now is go back to the application package that we downloaded earlier and just show you some of the forms. Here's the Application Package. Here's the *Check Package for Errors* button that I talked about earlier. Let's go ahead and open up the Cover Sheet and see what that looks like. So, down here in *Mandatory Documents*, I click on *SF 424 R&R Form*. I click this arrow in the middle to move the form to complete. It goes over to the box on the right—SF 424 R&R under *Mandatory Documents for Submission*. Click on that and then finally, *Open Form*. And there it is.

Here's Item 4b that I talked about—Agency Routing Identifier. You would need to enter a DUNS number on this form. Notice when I put the mouse over different fields, that information pops up about what goes in that field—legal name of the applicant organization, type of applicant. It's a dropdown menu. See? It's telling me I have to say what type of applicant this is before I can say what type of applicant code.

Moving back up, I'm going to show you the Budget Form—so R&R Federal/Non-Federal Budget, *Move Form to Complete*, click on that *Open Form* and there's our budget. See? It requires the DUNS number here. You would click that it's a Project budget, not a Subaward budget. Here are those calendar/academic and summer months I talked about for key personnel. Moving down to the last page of the first budget period, there's where you would add that budget justification. Until I add something there, notice I'm on Budget Period 1 and there's no Budget Period 2. So, until I attach that Budget Justification, it will not open up a new budget period for your project.

Let's look at the Other Project Information Form. That's where you're going to add all those different attachments like your Abstract and your Project Narrative. *Other Project Information Form Open*—there it is—questions about Human Subjects. There's a lot of detailed instructions in the [Grants.gov Application Submission Guide](#) about how to answer these, so make sure you follow those instructions. If Human Subjects are involved—yes. Then, it asks me, "*Is it exempt or non-exempt?*" We're going to say, "No." Now, this is the tricky part. Read the [Grants.gov Application Submission Guide](#), if you get to this point and it asks you about the IRB review pending.

Moving down, here's where I attach the Project Summary Abstracts. Here's where I attach the Project Narrative, Bibliography, and References Cited. At Item 10, we don't

ask for an attachment. Item 12 is where you would attach the Human Subjects Narrative.

Slide 82

Now, we'll talk about application format requirements.

Slide 83

All of the formatting requirements that I'm going to go over now apply to the Abstract, the Project Narrative, the four appendices, your Bibliography and References Cited, the Human Subjects Narrative, the Narrative Budget Justification, the bio sketches, and the Lists of Current and Pending Funding.

A page is defined as 8.5 x 11 inches, on one side only, with one-inch margins all around.

Slide 84

The height of the letters that you include must not be smaller than 12-point font. There's some information here about type density and lines of type within a vertical inch.

Slide 85

Please make sure that you use single-spaced text.

Slide 86

For things like graphs, diagrams, and tables, you can use color. However, keep in mind that if IES prints out your application and reproduces it in paper format, it will only be done so in black and white. You just want to make sure that anything in color is reproducing well in black and white—that you are still conveying the same information.

In general, you want to conform to those same type size requirements, but we do allow the things in legends to be a little bit smaller in size. Obviously, make sure it can be read. Use your discretion there.

Slide 87

Just some reminders about page limits for things within your application—there is a one-page limit for the Project Summary/Abstract. For the Project Narrative, you need to check out the RFA and see what those requirements are. Appendix A is always limited to 15 pages. Appendix B is always limited to 10 pages. If you need to include Appendix D, if you're submitting under the Effectiveness Goal, you need to include a five-page Appendix D describing your Data-Sharing Plan. Each biographical sketch is four pages long, and each List of Current and Pending Funding is one page in length.

Slide 88

Remember Appendix C does not have a page limit. Include all of those Letters of Agreement that you have from your research partners. The Bibliography is not limited in any way in terms of page limits, the Human Subjects Narrative has no page limits, and the Narrative Budget Justification has no page limits.

Slide 89

Now, I'll talk a little bit about some general program information.

Slide 90

People often ask us, “*Who is eligible to apply?*” We define eligibility broadly and simply say that you, as an applicant, you need to have the ability and the capacity to conduct scientifically valid research. So, what is your expertise? What institutional resources are you bringing to this project? These are things you need to make clear within your application.

Finally, keep in mind that cost sharing or matching is not a requirement for an IES application.

Slide 91

Awards will always depend on the availability of funds. The number of awards depends on the quality of applications that are received. Also, importantly, the size of an award depends on the kind of project you're proposing.

Slide 92

There are now maximum dollar amounts and maximum project lengths for total funding. You need to check out the RFAs to figure out what those are. They vary depending upon the program and for 84.305A and 84.324A, the goal that you're applying under.

Applications that exceed the maximum will be found non-responsive and will not be sent forward for peer review. So, please pay very close attention to the project length maximum and the dollar amount maximum for awards.

Question: “*If your research includes human subjects research but an IRB has not been submitted by the time of the application, how do you answer the question that you mentioned was tricky?*”

Answer: Please read the IES [Grants.gov](https://www.grants.gov) Application Submission Guide for a full description. Basically, if you get to the point in the form where it asks, “*Is an IRB review pending?*” only answer “No” if a data is available for IRB approval. Answer “Yes” if an

IRB approval date is not available. See p. 20 of the IES Grants.gov Application Submission Guide for more details.

Slide 93

I'm going to move into some final reminders.

Slide 94

In the [Grants.gov](#) Application Submission Guide that I mentioned, there is a checklist. This checklist can help you make sure that you have each piece of your application ready to go. You can check to make sure that you have filled out each of those mandatory forms in the [Grants.gov](#) electronic application package. You need to make sure that you have attached the correct PDF file to the proper form. You can double-check that you've completed all those certifications and assurances.

Slide 95

The checklist will also remind you to use the *Check Package for Errors* button on the application package. Also, remember, you have to upload your application and confirm that it's validated by [Grants.gov](#) before 4:30:00 p.m., Washington, DC time, on June 21, 2012. Remember that you can use the *Track My Application* button on [Grants.gov](#). Please pay attention to your e-mails. There will be four in total. You should be looking at the content of all those e-mails—[Grants.gov](#) has received it, [Grants.gov](#) has validated it, [Grants.gov](#) has sent it to ED, and ED has it and gave it a PR/Award number.

Slide 96

Finally, please remember to register for [Grants.gov](#) early. If you're already registered, please make sure your registration is updated. Look at the [Grants.gov](#) Application Submission Guide. There, all the information I've gone over today and more details are provided about the forms and how to fill them out. Remember to download the application package designated for your competition and deadline.

Slide 97

Also, we recommend that if it's at all possible, submit your application a little bit early—like 3-4 days before the deadline date. Things can get jammed up on [Grants.gov](#) on June 21 due to volume. You don't want to run into a position where you're racing against the clock and maybe [Grants.gov](#) is being slow because of high volume.

Go to *Track My Application* to verify that your submission is okay.

Slide 98

Last but not least, IES always encourages you to contact the relevant Program Officer. We can help you understand the substantive requirements for a proposal. We can always try to help you complete those forms in the application package, if any questions come up.

Slide 99

All right, so I'm going to put up our two important websites: <http://ies.ed.gov/funding> and <http://www.grants.gov>.

In the time remaining on the webinar, I will go over any last questions that have come in. I have a couple things that have come in. Here somebody has raised the question of color in tables, figures, charts, etc. This is a really good point. Color is usually used to convey meaning in tables and charts. So, if you're using color and it's reproduced in black and white, maybe some important information will be lost. We just recommend that you keep that in mind when you're creating charts, figures, and tables to include in your application. It's probably best to do it in black and white.

For those of you who are at a university, it will be your Sponsored Projects Office that submits your application. They will probably ask you to give them the application ahead of the deadline, so that they have plenty of time to get it submitted. I would recommend that you follow up with your Sponsored Projects Office and make sure that they have been able to submit it and they haven't had any problems. Make sure that the communication between the Sponsored Projects Office and the Project Director or PI is maintained throughout the process.

Thank you very much for joining the webinar today.

This concludes today's webinar, Application Process, part of the Research Funding Opportunities webinar series. Copies of the PowerPoint presentation and a transcript from today's webinar will be available on the IES website shortly.

Thank you and have a wonderful day.