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U.S. DEPARTMENT OF EDUCATION
INSTITUTE OF EDUCATION SCIENCES

THE APPLICATION PROCESS

Tuesday, June 1, 2010

Washington, D.C.

1 MS. DOOLITTLE: Hello, and welcome.

2 My name is Emily Doolittle, and today I'll
3 be presenting a Webinar on how to apply through IES
4 to our different research grant competitions.

5 We'll get started in just a moment, but
6 first, I'm going to turn it over to the technical
7 support team here to go over some of the procedures
8 and things you may need to know for our webinar
9 today.

10 MR. YODER: Hello, everyone and thanks for
11 joining us today. My name is Jeff Yoder, and I'm
12 here to assist with the technical components of
13 today's webinar. The slide you are currently
14 looking at is your control panel. To submit a
15 question during today's presentation, use the chat
16 box, which the arrow on the screen is pointing to,
17 type in your question, hit "send" and it will be
18 received by our technical support team. Your
19 question will be put in the queue in the order it
20 was received and will be addressed by Dr. Doolittle
21 as we go through the webinar. If you have any
22 technical issues during the webinar, please also
23 use this chat box to let us know and we will do our
24 best to assist you right away. Thank you.

1 MS. DOOLITTLE: Okay great. Thanks.

2 Today we will be talking about the
3 application submission process. We'll go over how
4 to find the application materials, all the forms
5 that are included, how to fill out the fields on
6 those forms appropriately, and the types of
7 documents that you will need to include as
8 attachments in your application.

9 I will also today discuss some formatting
10 requirements for the application and then finally
11 concluded with some final reminders and some
12 helpful suggestions to ensure that you get an
13 application submitted successfully and on time.

14 And just again, I wanted to remind you,
15 please send questions using that chat box, and I
16 will respond to them as we go, and conclude with
17 any final questions that you may have of things if
18 I didn't address them during the presentation.

19 All right. So, to begin, how do you find
20 application materials? You need three things to
21 submit an application to IES.

22 The first is the Request for Application.
23 This provides the substantive requirements for a
24 proposal.

1 The second document that's helpful is the
2 IES Grants.gov Application Submission Guide. Much
3 of what I'm going to discuss today is covered in
4 the Grants.gov Application Submission Guide. So,
5 if you have additional questions after today's
6 webinar, or you want more details on any of the
7 points that I go over today, all that information
8 can be found in the Grants.gov Application
9 Submission Guide.

10 And the third thing you'll need is the
11 Application Package itself, and we'll talk about
12 each of these today.

13 So, for the Fiscal Year 2011 Request for
14 Application and the Grants.gov Application
15 Submission Guide, you can find both of these on the
16 IES website on the funding page. Another helpful
17 think to do is to sign up for the IES Newsflash.
18 This is an e-mail alert system that will let you
19 know when new funding opportunities are available,
20 when new information is posted on the IES website,
21 when--just other resources, helpful information
22 that are coming out of IES.

1 When you sign up for the Newsflash, you
2 can select the types of information that you'd like
3 to receive.

4 Here's a screenshot of the funding
5 opportunities page on the IES website. You'll see
6 at the very top it states for Fiscal Year 2011
7 requests for application and Grants.gov Application
8 Submission Guide, click here. When you click
9 there, it will take you to this page, and at the
10 very top you see the Fiscal Year 2011 Grants.gov
11 Application Submission Guide. You can download and
12 you can print this as a .PDF or as a Microsoft Word
13 document.

14 And below the Guide, you see listed all
15 the Fiscal Year 2011 RFAs that are currently being
16 competed on the IES website. The very first one
17 there is for Education Research grants, that's the
18 CFDA Number 84.305A, and you see others listed
19 there as well. There are several RFAs listed here,
20 so make sure, using the CFDA Number, that you
21 locate the RFA that you--the one that's specific to
22 the competition you would like to apply to.

23 Finding the Application Packages and
24 application instructions. All Application Packages

1 for the Fiscal Year 2011 competitions are located
2 on the Grants.gov website.

3 You can check the Request for Application
4 as to when Application Packages and application
5 instructions will become available.

6 Here's a screenshot of the Grants.gov
7 website, and what I'm going to do right now is walk
8 you through the best way to get to those
9 Application Packages. If you see the box on the
10 top left of the screen there, shaded in red, inside
11 that box, the second line down, it says, "find
12 grant opportunities." Click on that and you will
13 then, at that point, engage in a search for the
14 Application Package. You need to search for the
15 Application Package using the CFDA Number. For a
16 proposal to the National Center for Education
17 Research, the CFDA Number is 84.305. For an
18 application to the National Center for Special
19 Education Research, the CFDA Number is 84.324.
20 When you are searching for an Application Package
21 on Grants.gov, search using the number only. Do
22 not use any of the alpha characters that are
23 associated with the different competitions.

1 So, we're going to go through a search
2 right now for a National Center for Education
3 Research, or NCER Application Package.

4 So, I've clicked on "find grant
5 opportunities,' and in the middle of the screen,
6 you see different ways to search for grant
7 opportunities. The easiest way to get to the
8 Application Package for IES competitions is using
9 the basic search, which is the first search option,
10 and I recommend you search by using the CFDA
11 Number. So, to do basic search, entering that CFDA
12 Number that I've mentioned, keep in mind that that
13 will yield more than one Application Package.

14 Make sure, when you do the search and you
15 see all the Application Packages that are listed
16 that you pick the Application Package that's
17 designated for your competition and your deadline
18 date.

19 So, I did a basic search entering 84.305
20 for Education Research grant opportunities, and
21 that search yields, what is that, seven different
22 opportunity titles or Application Packages.

23 You see the close date for these
24 Application Package--we have some here for June

1 24th and others for September 16th. The
2 opportunity title tells you--will guide you to the
3 correct Application Package. The first one listed
4 is Education Research, CFDA Number 84.305A. The
5 "A" designates Education Research, and the "1"
6 indicates that this is the first competition
7 deadline for this RFA in the Fiscal Year 2011.

8 So, click on that opportunity title and
9 that will take you to this page. Provide the
10 synopsis of the grant opportunity. If you go to
11 the top right button, "applications," and click
12 there, that will take you to the page that shows
13 you the grant applications that are available for
14 download. At the very bottom of the screen, you
15 see CFDA Number 84.305, so you know you have a
16 package for Education Research. You can look at
17 the competition title--that is another way to
18 verify that you have the correct package, Education
19 Research.

20 And on the far right, at the bottom,
21 there's a button you can click to download the
22 package itself.

23 So, you click on that "download package"
24 button and you come to a screen that allows you to

1 download the Application Package itself. At this
2 point, the "download application" instruction, that
3 will yield the Grants.gov Application Submission
4 Guide that I described earlier that's also
5 available on the IES website.

6 At this point, you may want to do a
7 further check to make sure that you are accessing
8 the Application Package for the competition that
9 you wish to apply to. So, again, looking at the
10 CFDA Number, 84.305, Education Research, closing
11 date of June 24, 2010, that's the first competition
12 deadline. So, click on "download Application
13 Package," and the package will open up, and this is
14 the screenshot of that page that opens when you
15 download the Application Package.

16 Here, again, you can do a further check to
17 make sure you have the package that you need, so,
18 opportunity title, Education Research, CFDA
19 84.305A-1 for the first competition for the
20 Education Research. The agency contact--my name is
21 listed there, Emily Doolittle, and my contact
22 information.

23 And you'll notice, at the bottom here,
24 there are a series of mandatory documents. These

1 are forms that must be completed and included with
2 your Application Package when you submit it on
3 Grants.gov.

4 In addition, there are a few optional
5 documents. For example, if your application--if
6 your proposal includes a subaward, you would need
7 to access the subaward budget form and complete
8 that with your application.

9 So, you would simply select one of the
10 documents, highlight it, click the arrow to move
11 the form to the right-hand box, and then, once that
12 form is over and the mandatory documents for
13 submission, click on that to open up the form and
14 complete it.

15 I'm just checking to see if we have some
16 questions that are coming in.

17 So, here's one question that just came in.
18 We are working with the subcontractor who will
19 create a subawards budget. How does this get
20 submitted?

21 We will talk about that a little bit later
22 on in the presentation, but in this case, with your
23 application, you would need to access that optional
24 document, there research and related subaward

1 budget, and your subcontractor would need to
2 complete a subawards budget, that you would then
3 save and include with my Application Package.

4 Okay. So, that's a good question about
5 subaward budgets. And like I said, we'll get to
6 some more--we'll get into many more details on that
7 a little bit later in the presentation.

8 When you're filling out the Application
9 Package, I recommend that you begin with the SS424
10 R&R form, that's the cover sheet for the
11 application. When you begin with that form, it's
12 helpful because, as you fill out some of those
13 fields on the cover sheet, that will be because, as
14 you fill out some of those fields on the cover
15 sheet, that will prepopulate later forms within the
16 package itself.

17 So, now, I'd like to go over some general
18 program information.

19 In terms of making awards, awards always
20 depend on the availability of funds, and the number
21 of awards that are made for any competition depend
22 on the quality of the applications received. And
23 by quality, I mean, the quality as judged by the
24 independent scientific peer review panel, and the

1 size of the award for a given grant proposal
2 depends on the scope of the project that is
3 proposed, and different grants have different
4 funding amounts that are allowed and you need to
5 look at the relevant requests for applications in
6 order to determine the appropriate size of the
7 budget that you are requesting for your project.

8 In terms of eligibility, applicants need
9 to have the ability and capacity to conduct
10 scientifically valid research, and this is
11 something that you are able to address in your
12 proposal by describing the personnel and resources
13 for your project. And please know that, for
14 proposals to IES, cost sharing or matching is not
15 required.

16 All right. So, some more information,
17 application due dates. We have several different
18 programs that are being competed this year.

19 The Evaluation of State and Local
20 Education Programs and Policies, which is a
21 competition through the National Center for
22 Education Research has two competition deadlines,
23 June 24th and September 16th. Notice that this has
24 the CFDA Number that's unique to the National

1 Center for Education Research, 84.305, and it has
2 the alpha character "e." That indicates that
3 that's unique to the Evaluation of State and Local
4 Education Programs and Policies.

5 We have competitions for Education
6 Research and Special Education Research, both are
7 accepting proposals June 24th and September 16th
8 this year. Note that the Education Research is the
9 CFDA Number 84.305, with the alpha character of
10 "a," and for Special Education Research, it's
11 84.324 with the same alpha character of "a."

12 We have a couple of different training
13 opportunities that are being competed this year,
14 postdoctoral research training program and both the
15 Education Research and Special Education Research
16 centers, and those have the alpha character of "b,"
17 and an additional program for the National Center
18 for Education Research Statistical and Research
19 Methodology and Education, all three of those
20 programs have one competition deadline this year of
21 June 24, 2010. So, if you're interested in
22 submitting a training grant proposal or a proposal
23 on Statistics and Research Methodology and
24 Education, please keep in mind that there's a

1 single competition deadline this year for those
2 programs.

3 And then, finally, both the Education
4 Research Center and the Special Education Research
5 Center are offering research and development center
6 requests for application. These have the alpha
7 character of "c."

8 And for a research and development center
9 application, those proposals are being accepted on
10 September 16th this year; so, a single competition
11 deadline.

12 It looks like I have a question here. If
13 we are working toward a September submission, can
14 we use the information shared today?

15 Yes. So, everything that I'm describing
16 today would be relevant to a proposal that you
17 submit in September, but I have a couple important
18 caveats to that, ones that--that would be a
19 different Application Package than the one that I'm
20 describing to you today, and I see in your question
21 that you appropriately give it the number 84.305A-
22 2, and that's exactly right. So, if you're going
23 towards a September submission for the Education
24 Research competition, you would have a different

1 Application Package that you would access. That
2 being said, though, all of the forms, all of the
3 things I'm going to say today about formatting and
4 the elements of the Application Package remain the
5 same. And just so you know, I believe it's in
6 August I'll be offering some webinars that would be
7 unique to the September submission deadline.

8 But yes, in general you can follow what
9 things like today--in terms of preparing an
10 application for September, and that being said, as
11 well, the Grants.gov Application Submission Guide
12 would also provide the same information.

13 Okay. So, now, I'm going to go back to
14 Grants.gov. A few things to consider when you
15 begin the Grants.gov process. The first thing is,
16 you need to register with Grants.gov in order to
17 submit an application. I recommend and Grants.gov
18 recommends that you begin this process early.
19 Initial registration can take five or more business
20 days to complete, but please note that Grants.gov
21 recommends you allow at least four weeks for this
22 process. So, if you have never--if you--meaning
23 "you," your applicant institution, it's not
24 currently registered with Grants.gov and you need

1 to begin a new registration and you haven't done
2 that yet, I encourage you to start that process
3 immediately, if you're targeting the June 24th
4 deadline.

5 And also note that if you are registered
6 with Grants.gov, you need to update your
7 registration annually, and that can take more than
8 three days to complete.

9 So, hopefully, you've begun the
10 registration process, but if you've not yet done
11 so, I encourage you to start that as soon as
12 possible.

13 Grants.gov software requirements. The
14 forms that you need to access and complete in order
15 to submit an application require Adobe software.
16 And for things like your project narrative, you
17 narrative budget justifications, any tables or
18 figures that you're including with your
19 application, if those are created in Word or Excel
20 or other documents, those all need to be converted
21 to .PDF in order to be attached to the application.

22 The application submission must be done
23 electronically using the Grants.gov portal. Do not
24 e-mail an electronic copy of your application to a

1 program office because this is not considered an
2 official application, and that would not be sent
3 forward for peer review. So, it's critical that
4 you become registered with Grants.gov and you
5 submit your application electronically using the
6 Application Package on Grants.gov.

7 Please know that when you submit your
8 application electronically on Grants.gov that
9 Grants.gov will give it a date and a timestamp.
10 Your application must be fully uploaded and
11 submitted with a date and timestamp by the
12 Grants.gov system that is no later than 4:30 and
13 zero seconds of Washington, D.C. time on the
14 application deadline date. I put the seconds in
15 there because we have a strict cutoff in terms of
16 an on-time submission. If you get your application
17 uploaded and submitted to Grants.gov and Grants.gov
18 gives it a timestamp of, let's say, 4:30 and 22
19 seconds, that would be considered late, and your
20 application would not be sent forward for peer
21 review. So, it's very, very important that the
22 application uploaded into the system well ahead of
23 that deadline of 4:30:00 of Washington, D.C. time

1 on the application deadline date. Late
2 applications will not be considered.

3 More on the Grants.gov submission process.
4 IES will not accept the application if it's
5 submitted in paper format unless, as an applicant,
6 you qualify for one of the following exceptions.
7 Either you do not have access to the Internet or
8 you don't have the capacity to upload large
9 documents to the Grants.gov system.

10 If you qualify for one of these submission
11 exceptions, you must submit a written statement
12 that you qualify no later than two weeks before the
13 application deadline.

14 Now, if you encounter problems with
15 submitting your application through Grants.gov, you
16 need to contact the Grants.gov Support Desk, and
17 the 800 number is provided here. Once you talk to
18 someone at the Grants.gov Support Desk, they will
19 give you a case number, and you need to keep that
20 case number. Once you've made that contact with
21 Grants.gov and you have a case number documenting
22 your technical problem, please contact the Program
23 Officer for the competition that you're applying to
24 and provide an explanation of the technical problem

1 to the Program Officer so that a record is made of
2 that technical issue that you're experiencing with
3 Grants.gov.

4 Your application will be accepted if we
5 can confirm that a technical problem occurred with
6 the Grants.gov system that affected your ability to
7 submit the application by 4:30:00 on the deadline
8 date. So, it's very, very important that if you
9 have any sort of technical issues with Grants.gov
10 that you contact the Grants.gov Support Desk, get a
11 case number, and let your Program Officer at IES
12 know about this problem.

13 All right. So, more on the submission.
14 You need to get confirmation that your application
15 has been uploaded successfully and to the
16 Grants.gov system. Once you submit your
17 application, you will receive two emails that will
18 come directly from Grants.gov and you should get
19 those e-mails within two days of submitting the
20 application.

21 The first e-mail will confirm receipt of
22 your application and provide you with a tracking
23 number, and the tracking number will look like
24 this: It will start with the word "grant," and

1 then followed by a series of numbers that are
2 unique to your application. So, that's the first
3 e-mail.

4 You also need to look for a second e-mail
5 from Grants.gov. The second e-mail indicates that
6 your application has either been validated by the
7 Grants.gov system before it's sent to the U.S.
8 Department of Education, or that second e-mail will
9 tell you that the application has been rejected
10 because of errors.

11 So, this is really important. That first
12 e-mail that you get with the tracking number is not
13 enough. You need to look for a second e-mail from
14 Grants.gov saying that the application was
15 validated and is going to be transmitted to the
16 Department of Education.

17 Once your application has gone through
18 those two steps, the tracking the number, it's been
19 validated by Grants.gov, it's sent over to the
20 Department of Education, at which time you'll
21 receive a third e-mail from the Department that has
22 a PR/Award number that is unique to your
23 application. The number will look something like
24 this: If you are submitting to Education Research,

1 it will say R305A, and then the number 11 to
2 indicate that you're applying to a competition for
3 Fiscal Year 2011, and then there will be four
4 digits that will be unique to your application.

5 It's very important, at this point, once
6 you receive an e-mail from the Department of
7 Education assigning it this PR/Award number, that's
8 the number that you want to have with you in order
9 to track your application from this point forward.
10 So, if you have questions about your application,
11 want to know where it is in the review process,
12 want to find out more about when you might hear
13 something, about whether you've been successful or
14 not. This is the number that you need to use to
15 reference your application. The Grants.gov
16 tracking number is no longer useful to you at this
17 point.

18 Also know that, if your application is
19 late as determined by Grants.gov, this e-mail from
20 the Department of Education will state that it was
21 late, and that your application will not be given
22 further consideration.

23 So, I just want to review this, because
24 this is really important that it becomes confusing

1 during the application process, but basically you
2 need to look for three emails, two from Grants.gov,
3 a third one from the Department of Education. You
4 need to get a tracking number from Grants.gov. You
5 need confirmation that the application was
6 validated and transmitted to the Department of
7 Education and then you need to look for the third
8 e-mail with the PR/Award number and confirmation
9 that your application was received on time.

10 It can take up to 48 hours for all three
11 of these e-mails to be generated, or they may come
12 very quickly. It just depends on how busy the
13 system is at the time of your submission, but I
14 hope you're noticing that, because it can take up
15 to 48 hours, I strongly encourage you not to wait
16 until the last day to submit your application
17 because you could--let's say you submit at 3:00.
18 Two days later, you get an e-mail saying that your
19 application was rejected with errors by Grants.gov.
20 You don't have any time to go back and try to
21 upload an application before the deadline date.
22 So, it really helps if you can try to get your
23 application submitted at least a couple days before
24 that deadline, if not three or four days before,

1 just to ensure that there are no problems with your
2 application.

3 I'm going to go over some things you can
4 do, as well, before you submit the application, to
5 ensure that you've completed all of the elements,
6 but it does help if you can submit early.

7 All right. So, at this point, I'm just
8 checking to see if we have any questions, but I
9 don't see any, except that I want to remind you to
10 send them in if you have them.

11 And at this point, I'm going to go over
12 the application content.

13 So, when you open the Application Package
14 from Grants.gov, what you see listed in the package
15 itself are a series of forms. They are called
16 Research & Related Forms. They are standard forms
17 for the federal government that are used for grant
18 applications. You also need to include a one-page
19 project summary abstract. You will also need to
20 include a project narrative. All applications to
21 IES include an Appendix A. This includes things
22 like tables and figures that supplement your
23 project narrative text, letters of agreements from
24 partners, subcontractors, consultants, the schools

1 where you might be doing your work, and, in the
2 case of a resubmission, your response to prior
3 reviewer feedback.

4 Some proposals will include Appendix B.
5 This is optional, but this is where you can give
6 examples of assessment or curriculum materials that
7 go with your application.

8 All applications will include a
9 bibliography and references cited.

10 Biographical sketches of key personnel.

11 A narrative budget justification.

12 A human subjects narrative, and we'll talk
13 a little bit more about what is included in the
14 human subjects narrative.

15 And additional forms that would be filled
16 out if you were selected for funding.

17 So, to start with the research and related
18 R&R forms, with all the forms in the Application
19 Package, required fields are highlighted in yellow.
20 So, when you open the package and open up the forms
21 within the package, at the very least, make sure
22 that you're filling in all the fields highlighted
23 yellow.

1 Something else, though, that you can do to
2 ensure that you completed all of the important
3 fields is use the "Check Package for Errors button
4 at the top of the Application Package," and I'll
5 show you what that looks like. So, here's the
6 Application Package that you've opened up. At the
7 top middle of that page, there's a button that says
8 "Check Package for Errors." If you click that
9 button, it will take you to any piece of
10 application that is missing information or that has
11 not been completed. This is a great way to ensure
12 that you are submitting a complete application, one
13 that will hopefully not be rejected by errors by
14 Grants.gov.

15 So, I see that we have a question. The
16 question is, generally speaking, does this
17 procedural information apply equally to the SBIR
18 grants that are due in January 2011, and the answer
19 I would say is no. This is unique to the
20 discretionary grants that are being competed
21 through the requests for application that I showed
22 you on the IES website, and it is a very different
23 procedure and process for SBIR grants. So, I would
24 just stay tuned for information to be posted about

1 that. I believe the SBIR information gets posted--
2 I think it's usually in November, so I would be on
3 the lookout for that.

4 All right. We have another question. In
5 the bibliography, if you are citing your own work,
6 do you have to conceal your identity as you would
7 in submitting an article to a blind review journal?

8 No, you don't need to do that. So, you
9 should put in the full references in your
10 bibliography.

11 Okay. All right. Back to the slides.
12 So, the "Check Package for Errors button" is very
13 helpful. This is a picture of the SL424 cover
14 sheet. That is the first document that's listed in
15 the mandatory documents within the Application
16 Package. When it opens up, you'll see here that
17 some fields are highlighted in yellow.

18 Also note, on the screenshot, that some
19 are in bright yellow and some are a more muted
20 yellow. Those are all required fields, and as you
21 fill things out, certain things will pop up in
22 bright yellow and then kind of fade back to that
23 more muted yellow. But all of those are required
24 fields that are highlighted in yellow there.

1 So, you fill out the type of submission.
2 Just note, for IES applications, we don't have a
3 pre-application process, so that top left button
4 would never be selected. Your application is
5 either an application or a changed or corrected
6 application.

7 And then to supplement that, Item 1, type
8 of submission--Item 8 asks the type of application.
9 If you have selected application, you will submit--
10 you will select "new" as the type of application.

11 If you have selected "changed or corrected
12 application," there are two kinds of changed or
13 corrected applications. One is the resubmission,
14 and this is when you have submitted this project
15 IES in a prior competition, you received reviewer
16 feedback, and you have revised your application and
17 response to the reviewer feedback; this is
18 considered a resubmission.

19 Or there might be a case where you
20 submitted your application, but then you realized
21 you'd forgotten something or there was a mistake in
22 your project narrative or you left out some
23 critical piece of information, something that
24 didn't lead to this be rejected by Grants.gov, but

1 you noticed a mistake, something that you wanted to
2 include that you forgot to put in.

3 In that case, if you're still well within
4 the timeframe needed to get this in on time by June
5 24th, 4:30 p.m., you can submit a changed or
6 corrected application and mark this as a revision.

7 Now, notice on this cover sheet that a lot
8 of these fields are highlighted in yellow, but
9 notice Item 4. There's 4a, which is the federal
10 identifier, and 4b, which is the agency routing
11 identifier. This is not a required field within
12 the Application Package itself, you don't have to
13 fill this out, technically, in order for this thing
14 to get validated by Grants.gov, but for IES, for
15 the purposes of the peer review process, you must
16 fill out Item 4. This is a very, very important
17 field to fill out, and I'm going to talk more about
18 this field in just a moment.

19 I see a question that's come in about the
20 cover sheets.

21 Let's see. Here's the question: Is it
22 more important to have a truly descriptive title or
23 is it good to include language that's creative and
24 unique?

1 I would say anything that uniquely
2 captures what it is you're proposing. So, if
3 you're submitting a development proposal for
4 reading and writing and writing, let's say, don't
5 just say, development, reading, and writing. Give
6 it some kind of unique title that descriptively
7 captures what it is you're planning to develop for
8 your application.

9 So, go back to this Item 4. So, Item 4b,
10 I want to talk about that one first, the agency
11 routing identifier. That's an item that is used by
12 IES to screen applications for responsiveness to
13 the competition requirements and for assignment to
14 the appropriate scientific peer review panel. If
15 you don't fill out Item 4b with the appropriate
16 codes--and we'll talk about those in a moment--your
17 application could be rejected as non-responsiveness
18 or assigned inaccurately for scientific review of
19 merit.

20 So, I'm going to talk to you a little bit
21 about how to fill out Item 4b to ensure that you
22 put the correct code so that your application gets
23 screened appropriately for responsiveness and to

1 ensure that it gets assigned appropriately for
2 scientific peer review.

3 If you are submitting an application to
4 Education Research, CFDA 84.305A, you need to
5 indicate both a topic code that corresponds to one
6 of the--I think we have 15 topics, now, within
7 European, and the appropriate goal code. So, for
8 example, let's say that you would like to submit a
9 proposal to the English Learners' topic, you would
10 need to put, in Item 4b, the code NCER-EL, and that
11 will tell the folks who are screening your
12 application for responsiveness that you intend this
13 to be reviewed according to the requirements for
14 Education Research, English Learners' topic.

15 Let's say, then, that you're planning to
16 develop a new intervention for English Language
17 Learners'. You would then also need to include the
18 code for development and innovation project and the
19 code there is simply "Development."

20 If your application is for the Special
21 Education Research Program, CFDA 84.324A, then you
22 would need to use codes that are unique to the
23 Special Education topics. So, for example, if you
24 are submitting to cognition and student learning

1 and special education, you would need to use the
2 code NCSEER-CASL for your topic code, and let's say
3 that you're planning to do, again, a development
4 project, you would use the "development" code. So,
5 you need to make sure that the appropriate codes
6 are being used for Item 4b, to ensure that this is
7 screened appropriately for responsiveness and for
8 assignment for scientific peer review.

9 The other competition also has codes. So,
10 for example, if you're submitting a training grant
11 to the National Center for Education Research, you
12 would put the code NCER Post Doc. If you're
13 submitting a proposal for the state and local
14 education programs and policies competition, you
15 need to put state and local in Item 4b. And all
16 these topic and goal codes are included in the
17 Grants.gov application submission guide.

18 All right. I just want to go back just
19 quickly here. Item 4a, the federal identifier,
20 that--you fill out that field if you have selected
21 that this is a changed or corrected application.

22 So, for example, if this is a
23 resubmission, that's where you would put the
24 previous PR/Award number for the application that

1 was submitted in a prior year that received peer
2 reviewer comments.

3 If this is a changed, corrected
4 application, that hasn't been reviewed for
5 scientific merit, but that you have decided to
6 change because you realize you're missing a piece
7 or you wanted to add some more information, that's
8 where you would put the Grants.gov tracking number,
9 so that we would know which application you would
10 like sent forward for peer review.

11 Okay. It looks like have a question. All
12 right, I am interested in obtaining a grant to
13 conduct research on a large database, such as the
14 VNV, ELS, or VPS. Is this process for obtaining a
15 grant for this type of research?

16 We do have several of our topics allow
17 that for secondary data analysis of existing
18 databases, so it's possible that some of these
19 competitions would be appropriate for your research
20 interests. I would recommend you look at an
21 Education Research and Special Education Research,
22 the description of the requirements for the
23 exploration goal, and you can also look at--we have
24 a new topic this year. We have different topics

1 that allow for analysis and existing datasets. So,
2 I would recommend you look through the RFAs for
3 Education Research and Special Education Research
4 to see if any of those seem to meet the needs for
5 what--the kind of research you're proposing, and
6 then I recommend you contact the Program Officer
7 who is associated with that topic area to further
8 determine if that would be appropriate for you.

9 All right. So, moving on, going over some
10 of the other forms in the Application Package.
11 This is the other project information form, and
12 this is the form that's used to include all those
13 important attachments like your project narrative,
14 Appendix A, bibliography and references cited and
15 so on.

16 So, this form asks for information about
17 human subjects. Notice again that many of these
18 fields are highlighted in yellow, so those are
19 required. You must fill those out.

20 I'm going to go to the next screen that
21 shows the bottom of this page. And notice here at
22 the bottom, Item 7 and 8 and 9, those are where you
23 include many of those important attachments that I
24 talked about. So, Item 7 is where you attach your

1 project summary and abstract. Item 8 is where you
2 attach the project narrative. Item 12 is where
3 you--the other attachment is where you put your
4 human subjects narrative. And Item 9 is where you
5 put your bibliography and references cited.

6 I'm going to talk a little bit about these
7 attachments that go with this form. So, the
8 project summary abstract is limited to one single-
9 spaced page. You need to attach this as a .PDF
10 file, again, to Item 7 of the other project
11 information form. You'll need to adhere to all the
12 margin format and font size requirements. We'll go
13 over those in a little bit.

14 It is very important that, in your
15 abstract, that you--that the topic and goal or
16 competition that you're applying to agrees with
17 items 4b of the SF424 form. And again, I went over
18 those topics and goal codes here, but those are
19 also included in the Grants.gov Application
20 Submission Guide.

21 All right. The project narrative has
22 different page limits depending on the competition
23 you're applying to. So, you would need to check
24 the relevant RFA for information about page limits

1 for the project narrative. This is also added as
2 an attachment to the .PDF file, and that goes at
3 Item Number 8 of the other project information
4 form.

5 For the project narrative, for the content
6 of the project narrative, I encourage you to look
7 very carefully at the relevant RFA, but in general,
8 the project narrative includes four sections,
9 sometimes five, but I'll talk about the five that
10 are common to all of them.

11 The first section is a significant
12 section, talking about why your project is
13 significant both theoretically and practically.

14 The second section is the research plan,
15 so, the design, how you're going to collect data,
16 how you'll be analyzing data and so on.

17 The third section is a description of the
18 personnel who are involved in the project.

19 And the fourth section details the
20 resources, both your institutional resources to
21 support the research--this is where you could also
22 describe your relationship with schools where you
23 may be doing the research. Anything that speaks to
24 your--to that eligibility information that I

1 referenced earlier about having capacity and the
2 expertise to conduct this research.

3 Information about each of these sections
4 of the project narrative are detailed in the RFA
5 that's relevant to your competition. Look at part
6 two, research grant topic, and part three,
7 requirements of the proposed research.

8 Please know that the project narrative
9 does not include any of this other information.
10 The project narrative is literally those four
11 sections or sometimes five that are described in
12 the relevant RFA. So, don't feel that--that that
13 one-page abstract is not part of the project
14 narrative, the bibliography is not part of that
15 one-page--the project narrative. Your narrative
16 budget justification, your human subjects
17 narrative, none of that is part of the project
18 narrative. That is literally just those four
19 sections.

20 All right. I have another question that's
21 come in. If we previously submitted a letter of
22 intent for a given grant program, is it okay if
23 there's an adjustment or changes to the actual

1 proposal that may be different than what was stated
2 in the LOI, the letter of intent?

3 Absolutely. That letter of intent is not
4 binding in any way. So, feel free to make any
5 changes that you feel are necessary. It doesn't
6 matter if it's not consistent with what you stated
7 in your letter of intent.

8 And just as a reminder, if you submitted a
9 letter of intent, you should have been contacted by
10 a Program Officer with some additional information,
11 but feel free to contact the Program Officer for
12 whatever program you're applying to if you have any
13 questions about what you're putting into your
14 project narrative or your application.

15 Other helpful hints. Make sure the
16 project narrative is concise and easy to read.
17 Please include page numbers. Oftentimes, the pages
18 of the project narrative are not numbered and it
19 makes it a little harder to read.

20 Make sure also that the project narrative
21 follows the type and font size and format
22 requirements, and that the entire research
23 narrative including any footnotes follow the types
24 of formatting requirements.

1 Appendix A. Appendix A, for all
2 competitions, is limited to 15 pages single-spaced.
3 Appendix A is included at the end of your project
4 narrative and submitted as part of the same .PDF
5 file attachment.

6 So, for example, if you're submitting a
7 proposal to Education Research or Special Education
8 Research, those project narratives are limited to
9 25 pages. Appendix A is 15 pages, so, what you
10 need to do is to create a .PDF file that includes
11 your 25-page project narrative that's followed
12 immediately by the 15-page Appendix A so that
13 you're submitting a 40-page .PDF there as an
14 attachment on the other project information form.

15 And with the Appendix A, please make sure
16 to also follow margin, format, and font size
17 requirements.

18 Appendix A includes figures, charts or
19 tables that supplement your research text. This is
20 also a place where you can include examples of
21 measures that are going to be used in your project.
22 Appendix A is where you put letters of agreement
23 from partners and consultants. And if you are
24 putting in a resubmission, you are allowed to use

1 up to three pages of Appendix A describing how your
2 revised proposal is responsive to the prior
3 reviewer feedback. And for the three-page
4 response, it's helpful to indicate the prior
5 application number.

6 Let's stop. I have some questions.

7 The first one is, must the applicant be
8 associated or employed by an organization such as a
9 university or can the primary researcher be an
10 independent researcher in order for the application
11 to be considered?

12 This is a good question. For IES
13 proposals, the applicant is technically an
14 institution. So, you do need to be associated with
15 some kind of institution. It doesn't have to be a
16 university, but that's one example of an
17 institution that is an eligible applicant.

18 If you look at, I believe, all the RFAs
19 include information about the types of institutions
20 that are eligible to apply. So, you want to check
21 that out, but applicants cannot be individuals.

22 And then, the second question I have here
23 is, if we have submitted an LOI for the June

1 competition, what will we need to do to submit to
2 the September competition instead?

3 Good question. If you decide not to send
4 it in June, even though you did submit an LOI,
5 that's not a problem. All we would ask is that you
6 then resubmit your letter of intent in July to
7 indicate that you are now planning to submit for
8 the September competition.

9 Go back to the slides.

10 I'm going to talk a little bit about
11 Appendix B. Appendix B is optional; it's limited
12 to 10 pages single-spaced, and if you do include
13 Appendix B in your proposal, you would include that
14 at the end of Appendix A and submit that as part of
15 that same .PDF file attachment.

16 So, if you are including an Appendix B,
17 you would have your project narrative followed by
18 Appendix A, followed by Appendix B, all in the same
19 .PDF file. So, if you are including all three of
20 those and you are putting in an application for
21 Education Research, that would be a 50-page .PDF
22 file.

23 And one thing that is helpful is to number
24 the project narratives consecutively 1 through 25,

1 and then to number the appendices. For example,
2 you could number Appendix A, A-1 through A-15, so
3 that it is clear that that is Appendix A. And
4 then, Appendix B could be numbered B-1 through B-
5 10. So, that's something that you can do to make
6 it clear what you're intending to be Appendix A and
7 Appendix B and the project narrative itself.

8 And again, with Appendix B, make sure you
9 follow the margin format and font size
10 requirements.

11 And it looks like I have a question here
12 about Appendix A. Does the researcher need to
13 include complete measurement instruments, for
14 example, all questions included in a paper survey?

15 No. I mean, it depends on how big the
16 survey is or how big the measurement instrument is,
17 but I do think it's helpful to include maybe some
18 examples of items. So, you could put that in
19 Appendix A. But no, you certainly do not need to
20 include the entire thing, especially because of
21 that 15-page limit.

22 So, back to Appendix B. This optional
23 appendix can include things like curriculum
24 material, computer screenshots, test items, or any

1 other materials that might be used on the
2 intervention or substance.

3 Okay. The bibliography and references
4 cited have no page limits. Please, we encourage
5 you to use the APA style when creating your
6 bibliography. This is added as a separate
7 attachment, its own .PDF file, and that goes at
8 Item Number 9 on the other project information
9 form. It needs to follow margin, format, and font
10 size requirements, and please include complete
11 citations.

12 Other information that goes in your
13 application, biographical sketches of key
14 personnel. Each biographical sketch is limited to
15 five pages, and essentially this would be four
16 pages--sort of an abbreviated CV showing
17 publications and education history, work history,
18 et cetera, plus a single page, a fifth page, that
19 lists all current and pending grants with the
20 proportion that you have allocated to each project.

21 So, for example, when you're putting in
22 your application, that fifth page needs to include
23 your application itself, that proposed project, as
24 one of your pending grants.

1 Each biographical sketch is added as an
2 attachment, a .PDF file, using the R&R senior key
3 person profile expanded form; that's one of the
4 forms in the Application Package. And as many as
5 40 sketches can be attached to that form, so there
6 should be no problem including biographical
7 sketches for each key personnel member of your
8 research team. And those biographical sketches
9 need to follow the margin, format, and font size
10 requirements.

11 The narrative budget justification also
12 does not have a page limit. This is also added as
13 an attachment .PDF file, and the narrative budget
14 justification is attached on the R&R budget total
15 federal and non-federal form. You attach the .PDF
16 file, that is, the narrative budget justification,
17 at Section K of the first budget period.

18 Your narrative budget justification needs
19 to follow margin, format, and font size
20 requirements, but again, it doesn't have a page
21 limit, and you need to make sure that the narrative
22 budget justification is a single document that
23 provides justification for all the years of your
24 project.

1 Here's a picture of the budget form. You
2 can see, again, the fields highlighted in yellow.
3 As you fill different things out, you'll move
4 through this document--it's several pages. Notice
5 that this is the first budget period for budget
6 period one, and--I don't have a picture of that.

7 When you get to Section K of the first
8 budget period, that's where you need to attach the
9 narrative budget justification for the entire
10 project. If you don't attach a narrative budget
11 justification there, subsequent budget periods will
12 not open up within this form. So, in order to fill
13 out the budget for year two of your project and
14 year three of your project and year four of your--
15 if you have a fourth year of your project, you need
16 to put that attachment at Section K; that is, the
17 narrative budget justification for all the budget
18 periods.

19 Okay. I have a question about subawards.
20 Does the subaward budget need its own budget
21 narrative?

22 And the answer is yes, and I'll talk about
23 that in just a few minutes when we get to that
24 form.

1 Let's see. A question here about IRBs.
2 Will an IRB already need to be in place when we
3 submit the proposal, or is this something that we
4 do once funded?

5 That's something that you can do once
6 funded. So, you do not have to have an IRB in
7 place at the time of your application.

8 And then, another question here. How are
9 key personnel defined? Are they the key personnel
10 of the institution that will only spend 1 to 5
11 percent of their time and/or does IES consider
12 support staff that will spend 50 to 100 percent?

13 Very good question. The key personnel are
14 limited to folks like the PI, or the principle
15 investigator, and any co-investigators. So,
16 support staff would not be considered key personnel
17 of the project.

18 For more information on the narrative
19 budget justification, please include enough detail
20 so that reviewers can judge whether costs are
21 reasonable. Make sure that the budget
22 justification corresponds to the itemized breakdown
23 of project costs in the budget spreadsheet.

1 Also, please include time commitments for
2 key personnel in terms of your calendar year
3 percent effort, and to describe--here, again,
4 because you don't have any page limit, provide a
5 lot of detail about what the responsibilities of
6 the PI and other key personnel will be on your
7 project.

8 I have a question here about indirect
9 costs, but I'll hold up on just for a second with
10 that.

11 Ah, here we go. Indirect cost rate.
12 Please use your institutions federal indirect cost
13 rate and, when appropriate, you're encouraged to
14 use the off-campus indirect cost rate.

15 If less than 75 percent of your total
16 indirect costs are based on application of the off-
17 campus rate, just provide a detailed justification
18 in your narrative budget justification.

19 The indirect cost rate agreement needs to
20 be in place at the time of the award in order to
21 claim indirect costs. So, if you don't currently
22 have an indirect cost rate for your institution,
23 you can establish a temporary indirect cost rate
24 right now, and then, if you are awarded the funds

1 for this grant, at that time you need to have an
2 indirect cost rate agreement in place in order to
3 claim indirect costs for your project.

4 All right. So, the question is as
5 follows: The submission guide is unclear about
6 indirect costs. Our organization does not have a
7 federally negotiated indirect cost rate. The guide
8 says just put in "none will negotiate." Is this
9 correct and where do we physically put that?

10 Okay. That's a good question. On the
11 budget spreadsheet itself, when you get to the
12 section that asks for the indirect cost rate--
13 actually, I'm going to pull out my budget form so I
14 can look at exactly what that says.

15 That's where you would put "none will
16 negotiate," when you are filling out the budget
17 spreadsheet.

18 This is in Section H, indirect costs.
19 What you can do here is, the indirect cost type,
20 you can just put in "temporary," and I believe the
21 guide recommends that you put in 10 percent as the
22 temporary indirect cost rate, and then there's a
23 box on the form that asks for the cognizant agency;

1 that's where you need to put in "none will
2 negotiate."

3 And then, the Grants.gov guide, I believe,
4 has more information about who to contact at the
5 Department of Education about establishing a
6 federally negotiated indirect cost rate.

7 If your project will include a subaward,
8 then a subaward budget needs to be included in your
9 application. This is listed under the optional
10 documents in the Application Package; it's the R&R
11 subaward budget attachment form.

12 This form allows you to extract and attach
13 a budget form for each institution that will hold a
14 subaward on the grant.

15 And just note that separate budgets are
16 required only for subawardee organizations that
17 perform a substantial portion of the project, so
18 it's really up to you whether a subaward was
19 created or not, but they're really only required
20 for an organization that's collaborating that will
21 really have a substantive part of the work that
22 you're proposing, and you can consult with the
23 Program Officer if you have questions about that.

1 This is what the subaward budget
2 attachment form looks like. There's that big
3 button in the middle, top, of the page that says
4 "click here to extract the R&R budget attachment."
5 When you click on that, a .PDF file will open up
6 that is, again, that budget form.

7 And I just want to go back to the budget
8 form to show you that. So, one of these will open
9 up, and at the top there, where it says, "budget
10 type," for this you would click "subaward
11 consortium" to indicate that this is a subaward
12 budget, and the subawardee organization needs to
13 fill out that budget spreadsheet; it needs to fill
14 out a separate narrative budget justification for
15 the subaward and attach that narrative budget
16 justification at Section K of the budget form, save
17 the budget form with the name of the subawardee
18 organization, and then that .PDF document is
19 attached to this form in the Application Package.

20 So, the subaward budget is separate and
21 distinct from the project budget; it needs to be
22 extracted and attached using this attachment form
23 within the Application Package.

1 Human subjects narrative. This also does
2 not have a page limit. This goes at Item 12 of the
3 other attachments on the other project information
4 form. This is where you describe research
5 activities involving human subjects, and at this
6 time of the application, you need to either submit
7 an exempt research narrative or a non-exempt
8 research narrative.

9 Human subjects narrative, if you feel that
10 the research you're proposing is exempt from human
11 subjects regulation, please look at the six
12 exemptions that are listed in the IES Grants.gov
13 Application Submission Guide, and include
14 information such that the Department of Education
15 can make a determination as to whether the
16 involvement of human subjects is actually exempt
17 from the IRB regulations.

18 If your research is non-exempt, you need
19 to provide a narrative that describes the non-
20 exempt research. So, this would include
21 information about human subject involvement and
22 their characteristics, sources of materials, the
23 recruitment and informed consent process, any
24 potential risks and how you're going to protect

1 against risks, importance of the knowledge-seeking
2 and any collaborating sites that are involved.

3 I'm going to switch gears now and talk a
4 little bit about application format requirements.

5 For your abstract project narrative,
6 appendices, bibliography, the biographical
7 sketches, and the narrative budget justification, a
8 page is defined as 8.5 by 11 inches, 1 side only,
9 with 1-inch margins at the top, bottom, and both
10 sides of the page. For all of those documents, the
11 height of the letters must not be smaller than 12
12 points, and different information here about type
13 density and the number of lines of type within a
14 vertical inch. I think typically a 12-point Times
15 New Roman font will meet those requirements. For
16 all of those documents, the text must be single-
17 spaced.

18 And if you are using graphs, diagrams, or
19 tables, you're encouraged to make those in black-
20 and-white, and those need to follow the same type
21 size requirements. The type can be a little bit
22 smaller than what you have in your narrative, but
23 again, it just needs to be readily legible.

1 If you have color in your graphs or
2 diagrams or charts, just make sure that they
3 reproduce well in black-and-white because the peer
4 reviewers will be provided with paper copies for
5 review, although they do have access to these
6 things electronically, but you are encouraged to
7 have everything be in black-and-white.

8 Here are some reminders about page limits,
9 the project summary abstract as one single-spaced
10 page. For the project narrative, just check the
11 relevant RFA. Appendix A can be no more than 15
12 pages. Appendix B is 10 pages. And each
13 biographical sketch is limited to 5 single-spaced
14 pages, the 4-page abbreviated CV and the 1-page
15 pending and current projects. So, those are the
16 only documents that have page limits.

17 And then, if we don't have any other
18 questions right now, I'm just going to move into
19 some final reminders.

20 In the Grants.gov Application Submission
21 Guide, there is a checklist that you can use to
22 make sure that you have included all the pieces of
23 the application. Please make sure that you
24 provided the required information for each form so

1 that you've attached the project narratives, the
2 correct item, and the correct form within the
3 package itself. Complete all certifications and
4 assurances; those are included in the Application
5 Package as well. And make sure that all that
6 content that the abstract, the narrative, the
7 appendices, the bio sketches, the narrative budget
8 justification, all those things need to be included
9 as .PDF files.

10 So, as you go through our application
11 checklist, make sure that you attach the correct
12 .PDF file to the proper form in the Grants.gov
13 Application Package.

14 Please use the "Check Package for Errors"
15 button on the grant Application Package itself.
16 That button works very well. I've tested it myself
17 and it really will take you to missing information
18 or if a field has not been filled out and so on.

19 And then, please make sure that you have
20 uploaded and validated by Grants.gov a fully
21 completed Application Package before 4:30 and zero
22 seconds p.m. Washington, D.C. time on the deadline
23 date.

1 Again, I just want to remind you that, if
2 you get your application in at 4:30:59, that's
3 going to be considered late, and it will not be
4 sent forward for review.

5 Reminder: Register for Grants.gov early.

6 Review the Grants.gov Application
7 Submission Guide for information on filling out
8 forms and uploading your application.

9 Make sure that you download the
10 Application Package designated for your competition
11 and your deadline.

12 If at all possible, try to submit your
13 application early. Three or four days in advance
14 gives you a nice cushion just in case there are any
15 errors in the Application Package itself.

16 And verify that your submission is okay.
17 Look for those three e-mails: the first from
18 Grants.gov with the Grants.gov tracking number; the
19 second e-mail that will confirm that it's
20 invalidated or rejected with errors; and then, the
21 third e-mail from the Department of Education
22 assigning a PR/Award number and also indicating
23 whether it was on time or is considered late.

1 You can also, before your application is
2 submitted or transmitted to the Department of
3 Education--you can also track your application
4 within Grants.gov in that short 48-hour window when
5 it's still in the Grants.gov system to see if it's
6 been validated that way.

7 And then, finally, these are the two
8 websites that will be of most use to you, the IES
9 website funding page and, finally, the Grants.gov
10 page.

11 And that is it for our slides today. So,
12 I was just going to remind you, if you have any
13 questions, please send those in and I will be happy
14 to answer those.

15 And I don't see any coming in. So, just,
16 also remember that Program Officers are available
17 to answer questions. Just send them an e-mail if
18 you're not sure about something during the
19 application process. You can e-mail me directly if
20 you're having trouble with the application forms or
21 if you have questions about how to fill things out
22 or you're not sure about something that's in the
23 Grants.gov Application Submission Guide.

1 And then, finally, if you're having
2 problems with Grants.gov itself, the best thing to
3 do is to contact Grants.gov directly, using that
4 800 number I provided earlier.

5 Okay. And I think that's it. Thanks so
6 much for joining us today.

7 [Whereupon, the webinar concluded.]