

# REQUEST FOR APPLICATIONS

## Research Training Programs in the Education Sciences

### CFDA Number: 84.305B

Milestone	Date	Website
<i>Letter of Intent Due</i>	May 21, 2015	<a href="https://iesreview.ed.gov/">https://iesreview.ed.gov/</a>
<i>Application Package Available</i>	May 21, 2015	<a href="http://www.grants.gov/">http://www.grants.gov/</a>
<b><i>Application Due</i></b>	<b>By 4:30:00 pm Washington DC time on August 20, 2015</b>	<a href="http://www.grants.gov/">http://www.grants.gov/</a>
<i>Applicants Notified</i>	By July 1, 2016	<a href="https://iesreview.ed.gov/">https://iesreview.ed.gov/</a>
<i>Possible Start Dates</i>	July 1, 2016 to September 1, 2016	

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## PART I: OVERVIEW AND GENERAL REQUIREMENTS

### A. INTRODUCTION

In this announcement, the Institute of Education Sciences (Institute) describes its Research Training Programs in the Education Sciences (Research Training) funded through the National Center for Education Research (NCER). **For FY 2016, the Institute is accepting applications for training under one topic: (1) Pathways to the Education Sciences Research Training Program (Pathways Training Program).** This program is designed to prepare undergraduate students, recent graduates, and master's students from underrepresented groups for doctoral study in education research.

Since 2004, the Institute has been invested in increasing the supply of scientists and researchers in education who are prepared to conduct rigorous education research through its training programs. The overall purpose of the Institute's training programs is to prepare individuals to conduct rigorous and relevant education research that advances knowledge within the field and addresses issues important to education policymakers and practitioners.

Through its training programs, the Institute seeks to fund new approaches to train and mentor students and researchers from diverse backgrounds in order to encourage their entry into and success in education research careers. The Institute intends these efforts to lead both to the training of talented education researchers from a variety of backgrounds and to the incorporation of diverse ideas and perspectives in education research.

For the FY 2016 competition, the Institute will consider only applications that meet the requirements outlined in this Request for Applications for the Pathways Training Program. The Institute **does not provide funds directly to individuals seeking training** (e.g., undergraduate students, graduate students, education researchers). Rather, the Institute provides funds to institutions to establish training programs and independently recruit and train participants for those programs.

For this competition, all awards will be made as cooperative agreements in order to support the Institute's involvement in the planning and implementation of the training program and coordination across programs.

Separate funding announcements are available on the Institute's web site (<http://ies.ed.gov/funding>) that pertain to the other research grant programs funded through the Institute's National Center for Education Research (<http://ncer.ed.gov>) and to those funded through the Institute's National Center for Special Education Research (<http://ncser.ed.gov>).

#### 1. Technical Assistance for Applicants

The Institute encourages you to contact the relevant Program Officer as you develop your application. Program Officers can provide guidance on substantive aspects of your application and answer any questions prior to submitting your application. The Program Officer for this competition is:

Dr. Katina Stapleton  
Email: [Katina.Stapleton@ed.gov](mailto:Katina.Stapleton@ed.gov)  
Telephone: (202) 219-2154

The Institute asks potential applicants to submit a Letter of Intent 75 days prior to the application submission deadline. Letters of Intent are optional but strongly encouraged by the Institute. If you submit a Letter of Intent, a Program Officer will contact you regarding your proposed training program. Institute staff also use the information in the letters of intent to identify the expertise needed for the

scientific peer-review panels and to secure a sufficient number of reviewers to handle the anticipated number of applications.

In addition, the Institute encourages you to sign up for the Institute's Funding Opportunities Webinars for advice on choosing the correct competition, grant writing, and submitting your application. For more information regarding the webinar topics, dates, and registration process, see <http://ies.ed.gov/funding/webinars/index.asp>.

## B. GENERAL AND APPLICANT REQUIREMENTS

### 1. Topics

Your application must be directed to the following training topic (see [Part II](#)). The topic identifies the type and purpose of the work you will be doing.

- The Pathways to the Education Sciences Research Training Program (Pathways Training Program) funds training programs at minority-serving institutions (MSIs) and institutions of higher education that partner with MSIs. These programs are open to all students and are designed to provide upper-level undergraduate students, recent graduates, and/or master's students, especially from underrepresented groups, with education research experience and professional development in order to prepare these students to pursue doctoral study in the education sciences or in fields relevant to education research.

### 2. Eligible Applicants

#### A. Eligible applicants for the **Pathways Training Program**:

- Minority-serving institutions (MSIs) in the United States and its territories that grant bachelor's degrees or graduate degrees in fields relevant to education.<sup>1</sup>
- Academic institutions in the United States and its territories that grant bachelor's degrees or graduate degrees in fields relevant to education and *that partner with an eligible MSI*.

MSIs are institutions of higher education in the United States and its territories enrolling populations with significant percentages of undergraduate minority students or that serve certain populations of minority students under various programs created by Congress or other federal agencies.

All Pathways applications must include an MSI as the applicant or as a partner institution. Eligible applicants must certify the institution's status as an MSI (or its partner institution's status as an MSI)<sup>2</sup> and grant bachelor's or graduate degrees in fields relevant to education.

There are several categories of MSIs eligible for this competition. For the purpose of this FY 2016 84.305B Request for Applications, the Institute is using the U.S. Department of Education's [Office of Postsecondary Education's Title III and Title V Program Eligibility lists](#) and lists maintained by the [White House Initiative on American Indian and Alaskan Native Education](#) and the [White House Initiative on Historically Black Colleges and Universities](#) to certify an institution's MSI status. Table 1 provides a list of MSI categories and criteria for certification as an MSI for the purpose of this FY 2016 84.305B Request for Applications.

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<sup>1</sup> MSIs can apply independently or in partnership with one or more other institutions of higher education.

<sup>2</sup> Applicants should indicate their institution's MSI status (or their partner's MSI status, if applicable) by using the appropriate Applicant Identifier on the Application for Federal Assistance SF 424 (R&R) form.

**Table 1: Minority-serving Institution Categories and Certification Methods**

<b>MSI Category</b>	<b>Certification Method</b>
Alaska Native Serving Institutions <a href="http://www2.ed.gov/programs/idadesannh/eligibility.html">http://www2.ed.gov/programs/idadesannh/eligibility.html</a>	FY14 or FY15 Designation as an Eligible Institution for Title III and Title V Programs <sup>3</sup>
American Indian Tribally Controlled Colleges and Universities (TCU) <a href="http://www2.ed.gov/programs/idadesaitcc/eligibility.html">http://www2.ed.gov/programs/idadesaitcc/eligibility.html</a>	Accredited TCU as identified by the White House Initiative on American Indian and Alaskan Native Education <sup>4</sup>
Asian American and Native American Pacific Islander-Serving Institutions (AANAPISI) <a href="http://www2.ed.gov/programs/aanapi/eligibility.html">http://www2.ed.gov/programs/aanapi/eligibility.html</a>	FY14 or FY15 Designation as an Eligible Institution for Title III and Title V Programs
Hispanic-Serving Institutions (HSI) <a href="http://www2.ed.gov/programs/idadeshsi/eligibility.html">http://www2.ed.gov/programs/idadeshsi/eligibility.html</a>	FY14 or FY15 Designation as an Eligible Institution for Title III and Title V Programs
Historically Black Colleges and Universities (HBCU) <a href="http://www2.ed.gov/programs/duesit3b/eligibility.html">http://www2.ed.gov/programs/duesit3b/eligibility.html</a>	Accredited HBCU as identified by the White House Initiative on Historically Black Colleges and Universities <sup>5</sup>
Native American-Serving, Nontribal Institutions <a href="http://www2.ed.gov/programs/nasnti/eligibility.html">http://www2.ed.gov/programs/nasnti/eligibility.html</a>	FY14 or FY15 Designation as an Eligible Institution for Title III and Title V Programs
Native Hawaiian-Serving Institutions <a href="http://www2.ed.gov/programs/idadesannh/eligibility.html">http://www2.ed.gov/programs/idadesannh/eligibility.html</a>	FY14 or FY15 Designation as an Eligible Institution for Title III and Title V Programs
Predominantly Black Institutions (PBI) <a href="http://www2.ed.gov/programs/pbi/eligibility.html">http://www2.ed.gov/programs/pbi/eligibility.html</a>	FY14 or FY15 Designation as an Eligible Institution for Title III and Title V Programs

### 3. The Principal Investigator and Authorized Organization Representative

#### *The Principal Investigator*

The Principal Investigator/Training Director (PI) is the individual who has the authority and responsibility for the proper conduct of the training, including the appropriate use of federal funds and the submission of required scientific progress reports.<sup>6</sup>

Your institution is responsible for identifying the PI on a grant application and may elect to designate more than one person to serve in this role. In so doing, your institution identifies these PIs as sharing the authority and responsibility for leading and directing the training project intellectually and logistically. All PIs will be listed on any grant award notification. However, institutions applying for funding must designate a single point of contact for the project. The role of this person is primarily for communication purposes on the scientific and related budgetary aspects of the project and should be listed as the PI. All other PIs should be listed as Co-Principal Investigators.

**Note:** The Pathways to the Education Sciences Research Training Program requires a minority-serving institution (MSI) to be the applicant or be included as a partner institution. If the MSI is serving as the partner in your application, you are required to designate a Co-Principal Investigator at the MSI.

<sup>3</sup> See FY 2014 or FY 2015 lists of Title III and Title V eligible institutions:  
<http://www2.ed.gov/about/offices/list/ope/idades/eligibility.html#el-inst>.

<sup>4</sup> White House Initiative on American Indian and Alaskan Native Education's Tribal College and University list:  
<http://www.ed.gov/edblogs/whiaiane/tribes-tcus/tribal-colleges-and-universities/>

<sup>5</sup> White House Initiative on Historically Black Colleges and Universities' Accredited HBCU Listing:  
<http://www.ed.gov/edblogs/whhbcu/one-hundred-and-five-historically-black-colleges-and-universities/>

<sup>6</sup> The Institute uses the uniform format for reporting performance progress on Federally-funded research projects, the Research Performance Progress Report (RPPR <http://www.nsf.gov/bfa/dias/policy/rppr/>) for these reports.

The PI will attend one meeting each year (for up to 2 days) in Washington, DC with other Institute grantees and Institute staff. The project's budget should include this meeting. Should the PI not be able to attend the meeting, he/she can designate another person who is key personnel on the research team to attend.

**Note:** If the MSI is serving as the partner in your application, your budget should also include funds for the Co-Principal Investigator at the MSI to also attend the PI meeting.

#### *The Authorized Organization Representative*

The Authorized Organization Representative (AOR) for the applicant institution is the official who has the authority to legally commit the applicant to (1) accept federal funding and (2) execute the proposed project. When your application is submitted through Grants.gov, the AOR automatically signs the cover sheet of the application and, in doing so, assures compliance with U.S. Department of Education policy on public access to scientific publications and data as well as other policies and regulations governing research awards (see [Part III.B Additional Award Requirements](#)).

#### **4. Common Applicant Questions**

- *May I submit an application if I did not submit a Letter of Intent?* Yes, but the Institute strongly encourages you to submit one. If you miss the deadline for submitting a Letter of Intent, contact the appropriate Program Officer for the topic you are interested in and that seems to best fit your training. Please see [Part III.C.1 Submitting a Letter of Intent](#) for more information.
- *May I submit the same application to more than one of the Institute's grant programs?* No. Please see [Part III.C.2 Multiple Submissions](#).
- *May I submit multiple training applications?* No. An institution may submit only one application to the Pathways Training Program. This restriction does not affect submissions to the Institute's research grant programs (i.e., submitting an application to a training grant program has no bearing on applying to the research grant programs).
- *May I apply if I intend to copyright products (e.g., curriculum) developed using grant funds?* Yes. Products derived from Institute-funded grants may be copyrighted and used by the grantee for proprietary purposes, but the U.S. Department of Education reserves a royalty-free, non-exclusive, and irrevocable right to reproduce, publish, or otherwise use such products for Federal purposes and to authorize others to do so [2 C.F.R. § 200.315(b) (2014) ([http://www.ecfr.gov/cgi-bin/text-idx?SID=114a76aaaec6398e1309d731056ee2df&node=pt2.1.200&rgn=div5#se2.1.200\\_1315](http://www.ecfr.gov/cgi-bin/text-idx?SID=114a76aaaec6398e1309d731056ee2df&node=pt2.1.200&rgn=div5#se2.1.200_1315))].
- *May I apply if I am not located in the United States?* No. Training grants are only awarded to institutions within the territorial United States.
- *How does an institution certify its status as a minority-serving institution (MSI) for the Pathways Training Program?* For the Pathways Training Program, the institution must already have been certified as an MSI and must be on one or more of the following lists:
  - The White House Initiative on Historically Black Colleges and Universities' maintains the list of accredited HBCUs: <http://www.ed.gov/edblogs/whhbcu/one-hundred-and-five-historically-black-colleges-and-universities/>.
  - The White House Initiative on American Indian and Alaskan Native Education maintains the list of tribal colleges and universities: <http://www.ed.gov/edblogs/whiaiane/tribes-ctus/tribal-colleges-and-universities/>.
  - The U.S. Department of Education's Office of Postsecondary Education certifies institutions across several categories of MSIs as part of its annual Designation as an Eligible Institution for Title III and Title V Program process. For the purposes of this



competition, institutions included on the Office of Postsecondary Education’s FY14 or FY15 lists of Title III and Title V eligible institutions will be considered MSIs. For more information, see <http://www2.ed.gov/about/offices/list/ope/itudes/eligibility.html#el-inst>.

### C. CHANGES IN THE FY 2016 REQUEST FOR APPLICATIONS

There are two major changes to the RFA for the Research Training Programs in the Education Sciences (CFDA 84.305B) competition in FY 2016:

- The Institute is introducing a new program, the Pathways to the Education Sciences Research Training Program.
- The Institute is **not** competing the Predoctoral Interdisciplinary Research Training Program in the Education Sciences, the Postdoctoral Research Training Program, or the Methods Training Program.

You should carefully read the requirements listed under the Pathways Training Program topic (see [Part II Topic Requirements](#)) as well as the instructions for preparing your application (see [Part IV Preparing your Application](#)) to ensure that your application is responsive to the RFA.

### D. READING THE RFA

The Institute encourages both **Principal Investigators and Authorized Organization Representatives** to read this Request for Applications to learn how to prepare an application that meets three types of criteria:

1. Criteria that are required for an application to be sent forward for peer review (Requirements)
2. Criteria that make for a strong (competitive) application and are used by the peer reviewers (Recommendations for a Strong Application)
3. Criteria that are required for a highly-rated application to receive funding (Pre-Award Requirements)

#### 1. Requirements

The Institute will examine all applications and determine whether they meet the following criteria. Applications that do not meet these criteria will not be sent forward for peer review.

- **RESPONSIVENESS**
  - Meets **Training Program Narrative requirements** for the selected *Topic* (see [Part II](#)).
  - Meets the following Award requirements for the selected Topic (see [Part II](#)).

Topic	Minimum Number of Fellows	Maximum Grant Duration	Maximum Grant Award
Pathways Training Program	40	5 Years	\$1.2 million

- **COMPLIANCE** (see [Part III](#) and [Part IV](#))
  - Follows **formatting and font size requirements**.
  - Follows **page limits**.
  - Includes only **allowable content**.
  - Includes all **required content**.
  
- **SUBMISSION** (see [Part IV](#) and [Part V](#))
  - Submitted electronically via Grants.gov no later than 4:30:00 pm, Washington, DC time, on August 20, 2015.
  - Completed using the **correct application package** downloaded from Grants.gov (see [Part IV.B](#)).
  - Includes **PDF files** that are **named and formatted appropriately** and **attached to the proper forms** in the application package (see [Part IV.D](#) and [Part V](#)).

## **2. Recommendations for a Strong Application**

Applications that meet the required criteria discussed above will be forwarded to peer review for an evaluation of their scientific and technical merit (see [Part III.C](#)). Under the Pathways Training Program topic (see [Part II](#)), the Institute provides recommendations to improve the quality of your application. The peer reviewers are asked to consider these recommendations in their evaluation of your application. The Institute strongly encourages you to incorporate the recommendations into your Project Narrative and relevant appendices.

## **3. Pre-Award Requirements**

Applications that are being considered for funding may be required to provide further information on their proposed research training activities (see [Part III.B](#)) before a grant award is made. For example, you may be required to provide updated letters of agreement from any participating departments/schools or partners reaffirming commitment to participating in the training program and proposed cost-sharing (if applicable). You may be asked for additional detail regarding your recruitment plan. In addition, you may be required to provide greater detail regarding your proposed work. Significant revisions to the project that arise from these information requests will have to be addressed under the original budget. For this reason, the Institute strongly encourages applicants to carefully review all the Requirements and the Recommendations for a Strong Application to ensure that their applications provide high-quality research training.

## PART II: TOPIC REQUIREMENTS

### A. APPLYING TO A TRAINING TOPIC

For the FY 2016 Research Training Programs, you must submit your application to the Pathways Training Program topic described in [Part II.A.1.](#)<sup>7</sup> This topic has specific requirements that must be met for an application to be found responsive and sent forward to peer review. The Institute strongly encourages you to contact the relevant Program Officer if you have questions regarding the appropriateness of a particular project for submission under the Pathways topic.

The following pages describe the Pathways Training Program topic's purpose, as well as Requirements and Recommendations for a Strong Application.

- The requirements for the Pathways topic are the minimum necessary for an application to be sent forward for peer review. **Your application must meet all requirements listed for the topic you select in order for your application to be considered responsive and sent forward for peer review.**
- In order to improve the quality of your application and its peer review, the Institute offers Recommendations for Strong Applications following each set of Training Program Narrative requirements. **The Institute strongly encourages you to incorporate the recommendations into your Training Program Narrative.**

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<sup>7</sup> You must identify your chosen topic on the SF-424 Form (Item 4b) of the Application Package (see Part V.E.1), or the Institute may reject your application as nonresponsive to the requirements of this RFA.

## 1. Pathways to the Education Sciences Research Training Program

Program Officer: Dr. Katina Stapleton (202-219-2154; [Katina.Stapleton@ed.gov](mailto:Katina.Stapleton@ed.gov))

### a) Purpose

Although the percent of underrepresented minorities earning science-related bachelor's and master's degrees has increased since 1993, the percent of underrepresented minorities earning doctorate degrees in science-related fields has remained flat at about 7 percent for the past 10 years.<sup>8</sup> The National Science Foundation (NSF)<sup>9</sup> and the National Institutes of Health (NIH)<sup>10</sup> have both made increasing diversity among researchers a priority, with NSF stating that "[b]roadening opportunities and enabling the participation of all citizens, women and men, underrepresented minorities, and persons with disabilities, are essential to the health and vitality of science and engineering" (NSF 2008, p. 3). Through the Pathways to the Education Sciences Research Training Program (Pathways Training Program), the Institute seeks to fund innovative training programs that promote diversity and prepare underrepresented students for doctoral study in education research. The Pathways Training Programs, while open to all students, seeks to increase the number of fellows from groups underrepresented in doctoral study, including racial and ethnic minorities, first-generation college students, economically disadvantaged students, veterans, and students with disabilities.

#### **Pathways Training Programs**

prepare undergraduate, post-baccalaureate, and master's students for doctoral study in education research, and target students who are underrepresented in such study.

For FY 2016, the Pathways Training Program grants will be awarded to minority-serving institutions (MSIs) and other institutions of higher education in partnership with MSIs. The goal is to provide students, especially underrepresented students, with an introduction to education research and scientific methods, meaningful opportunities to participate in education research studies, and professional development and mentoring that leads to doctoral study. The Institute chose to focus the Pathways Training Programs on MSIs because of their long history as critical stepping stones for underrepresented minority students who pursue doctoral degrees.<sup>11,12</sup>

Pathways training fellows may include upper-level undergraduates (juniors and seniors), post-baccalaureate students (within 5 years of receiving a bachelor's degree), or students enrolled in master's degree programs. Fellows who complete their Pathways Training program should be prepared to enter a doctoral program in which they can pursue a future career in education research.

<sup>8</sup> National Science Foundation, National Center for Science and Engineering Statistics. (2015). *Women, Minorities, and Persons with Disabilities in Science and Engineering: 2015*. Special Report NSF 15-311. Arlington, VA. Available at <http://www.nsf.gov/statistics/wmpd/>.

<sup>9</sup> See the National Science Foundation's report, *Broadening Participation at the National Science Foundation: A Framework for Action* (2008), which is available at [http://www.nsf.gov/od/broadeningparticipation/nsf\\_frameworkforaction\\_0808.pdf](http://www.nsf.gov/od/broadeningparticipation/nsf_frameworkforaction_0808.pdf).

<sup>10</sup> See the National Institute for Health's technical working group draft report, *Enhancing the Diversity of the NIH-Funded Workforce* (2012), which is available at <http://acd.od.nih.gov/Diversity%20in%20the%20Biomedical%20Research%20Workforce%20Report.pdf>.

<sup>11</sup> Lundy-Wagner, V., Vultaggio, J., and Gasman, M. (2013). "Preparing Underrepresented Students of Color for Doctoral Success: The Role of Undergraduate Institutions." *International Journal of Doctoral Studies* 8: 151.

<sup>12</sup> Fiegner, M. K., and Proudfoot, S. L. (2013) "Baccalaureate Origins of US-trained S&E Doctorate Recipients." *Arlington, VA: National Science Foundation, National Center for Science and Engineering Statistics*.

The core feature of the Pathways Training Program is a required research apprenticeship, in which fellows gain hands-on research experience under the supervision of faculty mentors. In order to prepare participants for doctoral study, programs will also provide training in multiple areas:

- Subject-matter knowledge in the chosen education research theme of the training program
- Methodological knowledge and skills
- Career development

Each proposed training program should be interdisciplinary—involving fields such as education, statistics, economics, sociology, psychology, and public policy—and provide opportunities for students to learn how researchers are addressing significant issues and challenges facing education policymakers and practitioners. Pathways training programs can be of varying formats, lengths, and foci; however, at a minimum, **they must each have an education research theme and research apprenticeship opportunities for fellows.** While not required, the Institute strongly encourages programs to provide a course or seminar that addresses the program’s theme, mentoring, and additional activities designed to assist fellows in applying for admission to doctoral programs.

Pathways fellowships can last from 8 weeks to 1 year per fellow. The length of the fellowship is dependent on your proposed training program’s format and proposed content. Pathway’s formats can include, but are not limited to:

- 8- to 10-week summer residential training programs that bring fellows from across the country together on campus for training.
- Semester-long training programs that bring local fellows (i.e., participants who live or attend college within commuting distance of the host institution) together on campus for training.
- Year-long training programs that first bring fellows from across the country together for training during the summer and then provide follow-up activities during the academic year through distance learning.

Each Pathways Training Program grant is required to train a minimum of 4 cohorts of fellows, totaling a minimum of 40 fellows over 5 years (e.g., 4 cohorts of 10 fellows or 5 cohorts of 8 fellows). Training programs may provide fellows with stipends and travel funds (see [Additional Budget Parameters and Limits](#)).

Upon completion of the award, all grantees under the Pathways Training Program topic will provide the following:

- A description of the training program as realized over the course of the grant, including descriptions of all key components discussed in the original application (e.g., required seminars or courses, workshops, research opportunities, mentoring, academic counseling, and presentation and writing opportunities).
- A description of the fellows accepted to the program, identification of completers and non-completers, and their research products (presentations, publications, and other work).
- A fully specified description of the measures used to track the progress of fellows through the training program as well as data demonstrating the program’s level of success in recruiting, training, and placing fellows in doctoral programs.
- An assessment of the program’s contributions to preparing fellows with the appropriate skills and knowledge to successfully apply to and enroll in doctoral programs in which they can pursue careers in education research, including the following:
  - Fellows’ success in securing admission to graduate school after completing the training program; and

- An analysis of the cost-per-fellow training by year, including recruitment efforts.
- Recommendations for future Pathways Training Programs.

## **b) Requirements and Recommendations**

Applications under the Pathways Training Program topic **must meet the requirements for the (1) Training Program Focus, (2) Academic Institutions, (3) Key Personnel, (4) Pathways Fellows, (5) Training Funds, (6) Training Program Narrative, and (7) Awards** in order to be responsive and sent forward for scientific peer review. The requirements are the minimum necessary for an application to be sent forward for peer review.

### **(1) Requirements for the Pathways Training Program Focus**

You must propose a training program that focuses on the use of scientific research methods to make improvements to the U.S. education system (prekindergarten through high school and postsecondary and adult education).

### **(2) Requirements for the Applying Academic Institution**

- The applicant must either be
  - a minority-serving institution (MSI) located in the territorial United States that confers bachelor's or master's degrees in academic fields relevant to education, or
  - an academic institution located in the territorial United States that confers bachelor's or master's degrees in academic fields relevant to education and that *partners with an eligible MSI*.
- An academic institution may host **no more than one** Institute-supported Pathways Training Program at a time.
- Institutions may submit only one application. If an institution submits more than one Pathways Training Program application, the Institute will request that the institution choose which application is to be reviewed, or the Institute will determine which application will be reviewed and/or is eligible for funding.
- The applying institution must propose to train a minimum of 40 fellows over 5 years.
- The training program must last a minimum of 8 weeks.
- The applying academic institution must provide specific strategies for promoting diversity in its program and recruiting fellows from diverse groups underrepresented in doctoral programs.

### **(3) Requirements for Key Personnel**

- All Core Faculty members must be named in the application and listed as key personnel.
- **For proposed training programs in which the MSI is not the Applying Academic Institution:** Your application must include Core Faculty members from both the Applying Academic Institution and the partner MSI.

### **(4) Requirements for the Pathways Fellows**

If you receive an award under the Pathways Training Program topic, you will have to certify that your training participants (henceforth *Pathways fellows*) meet the following requirements. Grant funds expended on fellows who do not meet these requirements will be disallowed (i.e., you will have to return such expended funds).

- Pathways fellows must be citizens or permanent residents of the United States **and**
  - must be a junior or senior enrolled part-time or full-time in a bachelor's program, *or*
  - must have received a bachelor's degree within 5 years prior to participation in the training program, *or*
  - must be enrolled part-time or full-time in a master's program.
- Pathways fellows' research conducted as part of the training program must be relevant to practical issues in U.S. education.
- If a Pathways fellow has peer-reviewed scholarly publications stemming from his or her fellowship activities, he or she must follow the Institute's policy on making research publicly available. See [Part III.B.1](#) for more details.

In addition to meeting the above requirements, Pathways fellows are expected to respond to the Institute's IES Fellows Survey.

### **(5) Requirements and Recommendations for the Training Program Narrative and Supporting Appendices**

The Training Program Narrative for a Pathways Training Program application **must be no more than 20-pages long** and **must include four sections:** Significance, Research Training Plan, Personnel, and Resources.

**a. Significance** - The purpose of this section is to describe the focus of your training program, how it will prepare fellows for acceptance into doctoral programs and for graduate study related to education research, the specific skills and knowledge fellows will receive in order to conduct research in general education, and the training program's potential contribution to increasing diversity in the field of education sciences.

**Requirements:** In order to be responsive and sent forward for peer review, applications under the Pathways Training Program topic must include a Significance section that describes the following:

- (i) The education research theme of your training program.

**Recommendations for a Strong Application:** In order to address the above requirement, the Institute recommends the following for your Significance section.

*Training Framework:*

- Describe your vision for the training program, including the knowledge and skills you believe are important for students to have when they are considering or beginning doctoral study.
- Present a conceptual framework that ties together the training needs of the fellows you intend to serve, the training to be provided to them, and the specific skills and knowledge they are to learn. Explain how these elements will lead to their development as students capable of doctoral study in fields related to education.
- Present a well-defined common education research theme that provides a focus to the training and builds rapport among the fellows. Your training program's theme may be broad (e.g., "Using Research to Improve Urban Schools" or "Research Practicum on Problems in American Education) or more narrow (e.g., "Quantitative Methods to Assess School Performance," "Can Education Technology Help Students Learn?", or "Studying the Education Needs of English Language Learners"). Describe your training program's theme and why it is important.

- Describe how the theme of the training program will develop fellows whose research will be useful to practitioners and policymakers in improving students' education outcomes.

*Skills and Knowledge:*

- Describe the skills and knowledge to be taught by your training program and explain their importance for preparing fellows for graduate study and future careers as researchers. These should include:
  - Research skills and knowledge (e.g., specific content and methodological expertise); and
  - Professional skills (e.g., study skills; presentation skills; collaborating with other students, education researchers, and/or practitioners; writing essays for graduate school applications; writing research results for course assignments or publication).

*Fellows:*

- Discuss your approach to identifying and preparing a diverse group of fellows for doctoral study in fields relevant to education.

**b. Research Training Plan** - The purpose of this section is to outline the specific activities your training program will provide, from fellow recruitment to post-fellowship career development.

**Requirements:** In order to be responsive and sent forward for peer review, applications under the Predoctoral Training Program **must** include a Research Training Plan section that describes the following:

- (i) A recruitment plan that reflects the Requirements for Pathways Fellows
- (ii) The research training activities you will provide
- (iii) The research apprenticeship
- (iv) The financial support to be provided to individual fellows and to the overall training program
- (v) A plan for tracking fellows' progress and determining the success of the training program.

**Recommendations for a Strong Application:** In order to address the above requirements, the Institute recommends the following for your Research Training Plan section.

*Recruitment Plan:*

- Discuss your proposed strategies to recruit candidates from multiple disciplines, departments, and institutions.
- Identify the underrepresented groups you intend to recruit fellows from and describe your strategies to recruit students from these groups. The Institute encourages you to consider strategies to reach out to groups traditionally underrepresented in graduate education and in the education sciences:



- Racial or Ethnic minority (i.e., American Indian/Alaska Native, Black/African American, Hispanic/Latino, Asian American/Pacific Islander)<sup>1314</sup>
- First-generation college students
- Economically disadvantaged students<sup>15</sup>
- Veterans
- Students with disabilities
- Provide a timeline (either in the Research Training Plan or [Appendix E](#)) delineating the expected recruitment and training of each fellow.

Because the announcement of grant awards takes place after the traditional recruitment period, grantees are not expected to recruit fellows for the 2016-2017 academic year. You may discuss special cases that would allow recruitment during this period, but for most programs, the Institute expects fellows to begin the program in summer 2017 or the 2017-2018 academic year.

*Research Training Activities:*

- Identify and describe the research apprenticeship placements, making clear the type of work fellows will be expected to do, how they will be supervised or mentored, and how their research skills will be developed (use the required table in [Appendix B](#) to provide the details). Apprenticeship placements can include, but are not limited to, the following:
  - Core faculty members' research projects that fellows will work on;
  - Research experiences designed specifically for the training program; or
  - Research apprenticeships conducted at other institutions (e.g., other colleges/universities, state or local education agencies, consortia, nonprofit and for-profit institutions) that partner with your institution (Letters of Agreement from partners should be provided in Appendix D).
- Explain any additional research training activities you will provide to fellows. These may include, but are not limited to, the following:
  - An ongoing lecture series or proseminar (or more formal curriculum);
  - Activities designed to assist fellows in securing admission to and financial assistance for enrollment in doctoral programs; and
  - Mentoring.
- Describe how the research training activities you provide will complement one another, ensure that fellows receive training in education research, and learn the four types of knowledge and skills listed in the box at the end of the Recommendations for Research Training Activities.

<sup>13</sup> In 2013, Whites represented approximately 72.9 percent of U.S. citizen and permanent resident doctorate recipients, followed by Asians (8.5%), Black/African Americans (6.4%), Hispanic/Latino (6.3%), two or more races (2.5%), and American Indian/Alaska Native (.4%). Source: NSF, Doctorate Recipients from U.S. Universities: 2013, TABLE 24. U.S. citizen and permanent resident doctorate recipients, by ethnicity, race, and major field of study: 2013. <http://www.nsf.gov/statistics/sed/2013/data/tab24.pdf>

<sup>14</sup> See the U.S. Department of Education, Office for Civil Right's Guidance on the Voluntary Use of Race to Achieve Diversity in Postsecondary Education <http://www2.ed.gov/about/offices/list/ocr/docs/guidance-pse-201111.html>.

<sup>15</sup> If enrolled in an undergraduate program within the last five years, eligible for the Pell grant during the most recent academic year enrolled.

- If you propose a lecture series, proseminar or curriculum, provide as much detail as possible on the expected content, how often it will be offered, and how it will be coordinated or integrated with the research experiences.
- If you propose to provide training during the academic year, describe how your program will train fellows who attend other institutions during the school year and may not be able to return easily to your campus.<sup>16</sup>
- Describe any career development activities and academic advising offered as part of the training program, the knowledge and skills the activities will provide, and how the program will monitor the contribution to the fellows' overall professional development and ability to enroll in graduate school.
- If fellows are offered the option of academic credit for participating in the training program, describe how credits will be awarded.
- The Institute encourages programs to provide high quality mentoring as part of the training experience. Describe any proposed mentoring activities, including mentor

### **Recommended Knowledge and Skills to be Learned through the Research Training Activities**

**Subject-matter and methodological knowledge and skills:** Fellows should gain knowledge about some of the country's major education challenges or issues and an awareness of how scientific education research could address these challenges or issues. Fellows may also receive instruction in research methods or statistics to help them prepare for doctoral study. This knowledge can be learned and applied through a seminar (lecture series or curriculum) or through mentoring, workshops to be held by the training program or other programs, or other activities.

**Research experiences:** Research experience can be gained through the required research apprenticeships. In addition to apprenticeships with Core Faculty, training programs may also offer apprenticeships with state and local education agencies, research firms, regional laboratories, and research consortia. Fellows may also gain research experience by initiating and conducting individual or joint research projects.

**Communication skills** (both written and oral): Programs can provide opportunities for fellows to learn, practice, and apply skills needed to communicate with other researchers, education practitioners, policymakers, and the public. Examples of such activities may include workshops to learn communication fundamentals, writing project documents and presenting to project staff, mock presentations, presentations at seminars and meetings (including practitioner-oriented meetings), and writing for publication (both peer-reviewed journals and more popular outlets, including publications geared toward policymakers and practitioners).

**Information about graduate school and careers:** Programs can provide fellows with support for their transition to graduate school, including help with identifying appropriate graduate programs; applying to graduate school and for financial aid, graduate scholarships, and fellowships; and preparing for graduate entrance exams. Career development activities should encourage fellows to pursue doctoral study in fields relevant to education research.

<sup>16</sup> Applicants who propose summer programs are strongly encouraged to provide housing and travel costs so that all fellows can fully participate in the training program.

selection and assignment, the mentor-fellow ratio, the mentorship process, and expectations of mentors and mentees.

*Financial support:*

- Describe the overall allocation of funds for supporting the fellows and the training program and the specific uses of the funds for fellows and for the program. (See [Additional Budget Parameters](#)). Be sure to describe how you are meeting the requirements for training funds (i.e., length of fellowships, number of cohorts, fellows per cohort, total number of fellows to be trained) and how the direct support and program funds will be used. If your institution is providing supplementary support funding, please describe how it will be used.

*Tracking fellows and program success:*

- Discuss how you will identify the academic strengths and weaknesses of fellows upon their entry to the program.
- Describe how you will track individual fellows' progress to determine whether they are making the satisfactory progress necessary to continue receiving their stipend.
- Describe the measures you will use to determine whether the training program is developing fellows who are prepared to enter doctoral study in fields relevant to research in the education sciences.
  - Basic measures include the training program's success at recruiting the intended type of fellows, as well as fellows' success at completing the training, applying to graduate school, and acceptance into graduate school.
  - Measures should be tailored to the training opportunities being offered. The Institute encourages you to include measures that will help you determine whether fellows are acquiring the knowledge and skills emphasized by your program.
  - Your plan should also include an analysis of the cost per fellow including recruitment efforts.

**c. Personnel** – The purpose of this section is to describe the relevant expertise of your training team, the responsibilities of each team member, and the time commitments of each team member at both the primary and any subaward institutions.

**Requirements:** In order to be responsive and sent forward for peer review, applications under the Pathways Training Program **must** include a Personnel section that

- (i) Identifies all key personnel on the project team including the Principal Investigator, Co-Principal Investigator (if there is one), program coordinator (if there is one), and core faculty (including research apprenticeship supervisors and mentors).
  - In addition, a summary table of the key personnel's completed or ongoing research projects must be included in [Appendix B](#).

**Recommendations for a Strong Proposal:** In order to address the above requirements, the Institute recommends the following for your Personnel section.

- Identify and briefly describe the following for all key personnel (i.e., Principal Investigator, Co-Principal Investigator(s), core faculty, program coordinator) on the project team:
  - Qualifications to carry out the work

- Roles and responsibilities within the project
- Percent of time and calendar months per year (academic plus summer) to be devoted to the project
- Past success at mentoring undergraduate students
- Strong applications will have several core faculty (including the Principal Investigator) who can demonstrate their ability to conduct research of the type funded by the Institute and a commitment to mentoring and preparing fellows to carry out such research. Core faculty may be from any discipline or field that carries out applied research in education, but should be able to provide intensive training in the education sciences and statistics. You should discuss how the collective expertise and experience of your core faculty will make possible the content and methodological foci of your training program and expected training outcomes for your fellows.
- You may also describe non-key personnel who will have a role in the fellows' training (e.g., other faculty whom fellows may consult with, speakers, or workshop leaders) to give a broader view of who will be involved in the training.

#### **Core Faculty**

The participating faculty members who conduct education research and will conduct the training activities including teaching seminars, mentoring fellows, supervising research apprenticeships, and monitoring fellows' progress.

**d. Resources** – The purpose of this section is to describe your access to institutional resources at the participating academic institution, the role of involved departments and colleges, and your access to schools and data sets if appropriate.

**Requirements:** In order to be responsive and sent forward for peer review, applications under the Pathways Training Program grant **must** include a Resources section that

- (i) Describes the institutional resources of both the primary applicant institution and any subaward institutions that are available to support the training program.

**Recommendations for a Strong Application:** In order to address the above requirements, the Institute recommends the following for your Resources section.

- Describe the institutional resources available to support the training program at the participating academic institution(s), including academic advising; research opportunities with faculty, other research institutions, and/or state and local education agencies; and access to field settings (e.g., schools/districts) or data sources that may be used to support fellows' research experiences. If your training program includes online training, describe your resources to conduct such training.
- For proposed training programs that include a partnership between two or more participating academic institutions,
  - Describe the partner's common interest in the proposed training program and how all of the partners will contribute to and benefit from the training program, and
  - Identify the management structure and procedures that will be used to keep the training program on track and ensure the quality of the research training.

**e. Appendices** – Certain materials are required to be provided in the Appendices to support the Training Program Narrative. See the discussion of each Appendix provided in [Part IV.D](#) for additional information.

## (6) Award Requirements

A Pathways Training Program **must** conform to the following limits on duration and cost:

### Duration Maximums:

- **The maximum duration of a Pathways Training Program is 5 years.** An application proposing a project length of greater than 5 years will be deemed nonresponsive to the Request for Applications and will not be accepted for review.

### Cost Maximums:

- **The maximum award for a Pathways Training Program is \$1,200,000 (total cost = direct costs + indirect costs).** An application proposing a budget higher than the maximum award will be deemed nonresponsive to the Request for Applications and will not be accepted for review.
- U.S. Department of Education policy (34 CFR 75.562 (c)(2)) limits indirect cost reimbursement on a training grant to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or 8 percent of a modified total direct cost base, whichever amount is less. For the purposes of this competition, a modified total direct cost base is defined as total direct costs less stipends and related fees, and capital expenditures of \$5,000 or more.
- The Institute expects that the majority of training programs funded will not enroll fellows into the training program until summer 2017. As a result, requests for Year 1 funding are expected to be lower than the following years, as expenditures will primarily be for program development and recruitment costs rather than fellowship costs.

### Maximum number of awards:

- The Institute intends to make no more than **four** awards for FY 2016.

### Additional Budget Parameters and Limits:

Pathways Training Program grant expenditures can be categorized as direct support to the fellows (stipend, tuition and benefits, travel, and research support) and support to the training program. The award can be used to support a maximum of \$10,500 in direct support costs per fellow (\$630,000 maximum) and a maximum of \$570,000 in program costs (including indirect costs). Your requested budget should depend upon the number of fellows to be supported, the length of support for each fellow, and the training program support funds requested.

#### i. Program Size

The maximum award (direct and indirect) for Pathways Training Programs is \$1.2 million. However, individual awards are further constrained by the number of fellows proposed.

- *Pathways Fellows:* For the Pathways Training Program, a Pathways fellow is defined as a participant who receives 8 weeks (minimum) to 1 year of training (maximum). Programs can request up to \$10,500 per fellow for direct support costs for up to \$630,000 maximum (See Direct Support for Fellows below for details).
- *Cohorts:* Pathways training programs are required to have at least four cohorts of fellows over the period of award. While the Institute expects that cohort sizes will vary, typical cohorts should be between 8 and 15 fellows depending on program size and training model.
- *Minimum Program Size:* Pathways training programs are required to have a minimum of 40 fellows, who receive 8 weeks to 1 year of training. In practice, this means the smallest allowable program (40 fellows), could have 4 cohorts of 10 fellows over the award (or 5 cohorts of 8 fellows).

- *Maximum Program Size:* There is no maximum number of fellows that the Pathways training program can support. However, a program requesting the maximum amount of direct support per fellow (\$10,500) would be limited to 60 fellows<sup>17</sup> (\$10,500 X 60 = \$630,000). In practice, this means that a program with 60 fellows could have 4 cohorts of 15 fellows (or 5 cohorts of 12 fellows).

**ii. Direct Support for Fellows (Participant Support Costs)**

Pathways fellowships can last from 8 weeks to 1 year per fellow. As noted in the Program Size section, the minimum number of fellows that can be proposed for support by a Pathways training grant is 40 fellows for at least 8 weeks apiece and the **maximum amount of direct support costs for fellows is \$630,000.**

The focus of a Pathways training program is the student experience, and the budget must reflect this principle. Pathways training programs are strongly discouraged from creating financial burdens for students to participate in the training. Specifically,

- You may not charge students fees to apply to the program;
- Your institution may not charge fellows tuition as a requirement for participation (although it is permissible to offer students the option of earning academic credit);
- Your institution may not charge fellows for access to campus facilities such as libraries or athletic facilities.
- Without preapproval from the Institute, you may not require fellows to pay for their own transportation cost to/from summer research training programs.
- If stipends or other funds are provided to fellows, you are encouraged to pay fellows these funds on an incremental basis (e.g., bi-weekly or monthly) rather than as a lump sum at the end of the summer or semester.

Direct support of fellows is contingent on fellows' making satisfactory progress in their research activities. The Institute allows for up to \$10,500 per fellow for direct support costs, including participant stipends, housing, meals, travel, and research support costs. The Institute anticipates that direct support costs will vary based on the program model and the training program's physical location. Therefore, the Institute provides the following broad guidelines on how the direct support costs can be allocated per fellow. Applicants may propose alternate allocations as long as the total direct support costs do not exceed \$10,500 per fellow and \$630,000 overall.

**Participant Stipends** (estimated \$3,000-\$5,000 per fellow)

- *Student stipends for summer research apprenticeships:* If you propose a summer research apprenticeship, you may provide fellows stipends. The Institute suggests such stipends be approximately \$300-\$500 per student per week (for 8 to 10 weeks). For example, the total stipend for a 10-week summer program at \$500 per week would be \$5,000.
- *Student stipends for research apprenticeships during the academic year:* If you propose a semester-long or academic year-long research apprenticeship, you may provide fellows stipends. The Institute suggests such stipends be no more than \$2,500 per semester.
- **Note:** Programs can propose to have research apprenticeships both during the academic year and the summer; however, the Institute suggests that the stipend does not exceed \$5,000 per fellow.

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<sup>17</sup> Programs can exceed 60 fellows if they have lower participant support costs or cost-share.

### **Housing and Sustenance**<sup>18</sup> (estimated \$4,000 per fellow)

- If you propose summer research training, you may provide fellows with campus housing and associated meal plans. The Institute estimates this amount to be \$4,000 per fellow; however, actual costs may vary depending on the length of the summer training programs and the training programs' physical locations.
- **Note:** Due to the budget constraints of the training programs, the Institute discourages programs from providing housing/sustenance during the academic year unless they are associated with onsite training conducted during winter or spring breaks (or intersessions).

### **Travel and Research** (estimated \$1,000 per fellow)

- You are strongly encouraged to provide costs for fellows to travel to/from their homes to summer residential programs (i.e. programs where fellows live on campus during the summer).
- If your program includes an academic/semester research experience, you may provide local travel costs for fellows to travel to/from their homes to training program activities (e.g., costs for subway or bus passes).
- You may also provide local travel costs for fellows to participate in professional development and research activities that take place off-campus.
- You may provide funds to support individual fellows' ability to conduct research including laboratory fees, software licenses, database access, etc.<sup>19</sup>

The academic institution may supplement the direct support of fellows. Such a supplement would be considered cost-sharing and should be described in your Training Program Narrative and noted in your budget and budget narrative.

### **iii. Support for Programs (Program Costs)**

**Costs in budget categories outside Participant Support (i.e., Program Costs) must be reasonable and appropriate. You may request up to an additional \$570,000 for training program support.** These funds can be used for personnel costs, a program website, and additional training activities including the following:

- A limited set of personnel costs including the following:
  - Up to 3 months of salary support per year for the Principal Investigator (or distributed among the PI, CO-PI and other research mentors) to support management of the program, mentoring, teaching the course/seminar and similar operational activities;
  - Up to 6 months of salary support per year combined for a Program Coordinator to provide logistical and clerical support for the program and/or for other personnel to support implementation of the research experiences or academic counseling (you may request additional months if you can show a need for them);
  - The Principal Investigator's **required**<sup>20</sup> attendance at one meeting (for up to 2 days) each year in Washington, DC with other Principal Investigators and Institute staff. **Note:** If your program is a partnership between two institutions, you should also budget for the Co-Principal Investigator to attend the PI meeting;

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<sup>18</sup> If selected for funding, the Institute will review all housing/sustenance requests to ensure that they are allowable, allocable, and reasonable.

<sup>19</sup> Resources meant to support the research activities of the fellows as a whole are considered program costs.

<sup>20</sup> Should the PI not be able to attend the meeting, he/she can designate another person who is key personnel on the research team to attend.

- Short-term visiting faculty who will provide training activities; or
- Guest speakers or trainers.
- Additional training activities run by the program: These activities may include workshops, colloquia, seminars, fellows' presentations, professional development activities, and activities designed to guide fellows in ways to secure admission to and financial assistance for enrollment in doctoral programs.
- Applicants are expected to budget some of the training program support funds for the development and maintenance of a training program website that, at a minimum, includes an overview of the training program and information about the coursework/seminar, curriculum, opportunities for research, fellowship requirements, fellowship benefits, and how to apply.
- These funds are also to cover recruitment of fellows, the program's tracking of the fellows' progress and the program's short-term success, and indirect costs.<sup>21</sup>

**iv. General Restrictions on the Use of Funds**

Grant funds **must not** be used for the following:

- Faculty research;
- Faculty salaries for purposes outside the limited set of personnel expenditures allowed;
- Facility construction, renovation, or maintenance;
- Hardware for Individual Fellows: Programs may not buy hardware (e.g., laptops, tablets) for individual fellows. That is, a program may not buy such things with the intent that they are used solely by a particular fellow. Programs may propose to buy such tools that will be used throughout the lifecycle of the award and by multiple fellows.
- Food and refreshments for non-work related events: Although the informal seminars, field trips, and similar gatherings through which students interact and become attuned to the culture of research and their discipline are often vital to the success of research experiences, applicants are reminded that costs of entertainment, amusement, diversion, and social activities, and any expenses directly associated with such activities (such as meals, lodging, rentals, transportation, and gratuities) are **unallowable** in the proposal budget. Federal/Institute funds may not be used to support these expenses. However, costs of "working meals" at seminars and other events at which student participation is required and for which there is a formal agenda may be allowable with Institute pre-approval.

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<sup>21</sup> See Part III.A.3. Special Considerations for Budget Expenses for additional details.



# PART III: COMPETITION REGULATIONS AND REVIEW CRITERIA

## A. FUNDING MECHANISMS AND RESTRICTIONS

### 1. Mechanism of Support

The Institute intends to award cooperative agreements pursuant to this Request for Applications. Through the terms of the cooperative agreements, grantees will work with the Institute to plan and implement their activities.

### 2. Funding Available

Although the Institute intends to support the research training topics described in this announcement, all awards pursuant to this Request for Applications are contingent upon the availability of funds and the receipt of meritorious applications. The Institute makes its awards to the highest quality applications as determined through scientific peer review, regardless of topic.

The size of the award depends on the topic and scope of the training program. Please attend to the duration and budget maximums set for each topic in [Part II Topic Requirements](#). **If you request an award length longer than the maximum or a budget higher than the maximum, your application will be deemed nonresponsive and will not be reviewed.**

- *Pathways to the Education Sciences Research Training Program*  
The size of the award depends on the scope of work. The maximum duration of the award is **5 years** and the maximum award is **\$1,200,000** (total cost = direct + indirect).

The Institute plans to award no more than **four grants** under the Pathways to the Education Sciences Research Training Program.

### 3. Special Considerations for Budget Expenses

#### *Indirect Cost Rate*

U.S. Department of Education policy (34 CFR 75.562 (c)(2)) limits indirect cost reimbursement on a training grant to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or 8 percent of a modified total direct cost base, whichever amount is less. For the purposes of this competition, a modified total direct cost base is defined as total direct costs less stipends, tuition and related fees (including fellows' benefits), and capital expenditures of \$5,000 or more. Questions about indirect cost rates should be directed to the U.S. Department of Education's Indirect Cost Group <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Institutions, both primary grantees and sub-awardees, not located in the territorial U.S. cannot charge indirect costs.

#### *Meetings and Conferences*

If you are requesting funds to cover expenses for hosting meetings or conferences, please note that there are statutory and regulatory requirements in determining whether costs are reasonable and necessary. Please refer to OMB's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR, [§200.432 Conferences](#).

In particular, federal grant funds cannot be used to pay for alcoholic beverages or entertainment, which includes costs for amusement, diversion, and social activities. In general, federal funds may not be used to pay for food. A grantee hosting a meeting or conference may not use grant funds to pay for food for conference attendees unless doing so is necessary to accomplish legitimate meeting or conference business. You may request funds to cover expenses for working meetings (e.g., working lunches);

however, the Institute will determine whether these costs are allowable in keeping with the Uniform Guidance Cost Principles. Grantees are responsible for the proper use of their grant awards and may have to repay funds to the Department if they violate the rules for meeting- and conference-related expenses or other disallowed expenditures.

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

20 U.S.C. 9501 et seq., the "Education Sciences Reform Act of 2002," Title I of Public Law 107-279, November 5, 2002. This program is not subject to the intergovernmental review requirements of Executive Order 12372.

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

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

## **B. ADDITIONAL AWARD REQUIREMENTS**

### **1. Public Availability of Results**

Recipients of awards are expected to publish or otherwise make publicly available the results of the work supported through this program. Institute-funded investigators must submit final manuscripts resulting from research supported in whole or in part by the Institute to the Educational Resources Information Center (ERIC, <http://eric.ed.gov>) upon acceptance for publication. An author's final manuscript is defined as the final version accepted for journal publication and includes all graphics and supplemental materials that are associated with the article. The Institute will make the manuscript available to the public through ERIC no later than 12 months after the official date of publication. Investigators and their institutions are responsible for ensuring that any publishing or copyright agreements concerning submitted articles fully comply with this requirement.

### **2. Special Conditions on Grants**

The Institute may impose special conditions on a grant if the grantee is not financially stable, has a history of unsatisfactory performance, has an unsatisfactory financial or other management system, has not fulfilled the conditions of a prior grant, or is otherwise not responsible.

Training grant recipients who have not successfully recruited the number of fellows/participants for whom they requested funding will have their continuation funding adjusted.

### **3. Demonstrating Access to Data and Authentic Education Settings**

The training you propose to do under a specific topic may require that you have (or will obtain) access to authentic education settings (e.g., classrooms, schools, districts), secondary data sets, or studies currently under way. In such cases, you will need to provide evidence that you have access to these resources prior to receiving funding. Whenever possible, include letters of agreement in [Appendix D](#) from those who have responsibility for or access to the data or settings you wish to incorporate when you submit your application. Even in circumstances where you have included such letters with your application, **the Institute may require additional supporting evidence prior to the release of funds.** If you cannot provide such documentation, the Institute may not award the grant or may withhold funds.

You will need supporting evidence of partnership or access if you are:

- *Applying for a training program in partnership with another institution.* If your program involves a partnership with other institutions, you must provide letters of commitment from those institutions.
- *Conducting research in or with authentic education settings* - If your application is being considered for funding based on scientific merit scores from the peer-review panel and your research training relies on access to authentic education settings (e.g., schools), you will need to provide documentation that you have access to the necessary settings in order to receive the grant. This means that if you do not have permission to conduct the proposed project in the necessary number of settings at the time of application, you will need to provide documentation to the Institute indicating that you have successfully recruited the necessary number of settings for the proposed research before the full first-year costs will be awarded. If you recruited sufficient numbers of settings prior to the application, the Institute may ask you to provide documentation that the settings originally recruited for the application are still willing to partner in the research.
- *Using secondary data sets* - If your application is being considered for funding based on scientific merit scores from the peer-review panel and your research training relies on access to secondary data sets (such as federally-collected data sets, state or district administrative data, or data collected by you or other researchers), you will need to provide documentation that you have access to the necessary data sets in order to receive the grant. This means that if you do not have permission to use the proposed data sets at the time of application, you must provide documentation to the Institute from the entity controlling the data set(s) before the grant will be awarded. This documentation must indicate that you have permission to use the data for the proposed research for the time period discussed in the application. If you obtained permission to use a proposed data set prior to submitting your application, the Institute may ask you to provide updated documentation indicating that you still have permission to use the data set to conduct the proposed research during the project period.

In addition to obtaining evidence of access, the Institute strongly advises applicants to establish a written agreement, within 3 months of receipt of an award, among all key collaborators and their institutions (e.g., Principal and Co-Principal Investigators) regarding roles, responsibilities, access to data, publication rights, and decision-making procedures.

## **C. OVERVIEW OF APPLICATION AND PEER REVIEW PROCESS**

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

The Institute strongly encourages potential applicants to submit a Letter of Intent by May 21, 2015. Letters of Intent are optional, non-binding, and not used in the peer review of a subsequent application. However, when you submit a Letter of Intent, one of the Institute's Program Officers will contact you regarding your proposed research to offer assistance. The Institute also uses the Letter of Intent to identify the expertise needed for the scientific peer-review panels and to secure a sufficient number of reviewers to handle the anticipated number of applications. Should you miss the deadline for submitting a Letter of Intent, you still may submit an application. If you miss the Letter of Intent deadline, the Institute asks that you inform the relevant Program Officer of your intention to submit an application.

Letters of Intent are submitted online at <https://iesreview.ed.gov>. **Select the Letter of Intent form for the topic under which you plan to submit your application.** The online submission form contains fields for you to provide information on the seven content areas listed below. The project description should be single-spaced and should not exceed one page (about 3,500 characters).

- Descriptive title
- Topic that you will address

- Brief description of the proposed training program
- Name, institutional affiliation, address, telephone number and e-mail address of the Principal Investigator and any Co-Principal Investigators
- Name and institutional affiliation of any key collaborators and contractors
- Duration of the proposed project (attend to the Duration maximums for each topic)
- Estimated total budget request (attend to the Budget maximums for each topic)

## 2. Multiple Submissions

- An institution may submit **only one** application to the Pathways Training Program.
- You may submit applications to more than one of the Institute's FY 2016 grant programs. However, you may submit a given application only once for the FY 2016 grant competitions (i.e., you may not submit the same application or similar applications to multiple grant programs, multiple topics, or multiple times within the same topic). If you submit more than one application to Pathways training topic or submit the same or similar applications to multiple competitions, the Institute will determine whether and which applications will be accepted for review and/or will be eligible for funding.

## 3. Application Processing

**Applications must be submitted electronically and received by 4:30:00 p.m., Washington, DC time on August 20, 2015** through the Internet using the software provided on the Grants.gov website: <http://www.grants.gov/>. You must follow the application procedures and submission requirements described in [Part IV Preparing Your Application](#) and [Part V Submitting Your Application](#) and the instructions in the User Guides provided by Grants.gov <http://www.grants.gov/web/grants/applicants/applicant-resources.html>.

After receiving the applications, Institute staff will review each application for compliance and responsiveness to this Request for Applications. Applications that do not address specific requirements of this request will not be considered further.

Once you formally submit an application, Institute staff will not comment on its status until the award decisions are announced (no later than July 1, 2016) except with respect to issues of compliance and responsiveness. This communication will come through the Applicant Notification System (<https://iesreview.ed.gov>).

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

## 4. Peer Review Process

The Institute will forward all applications that are compliant and responsive to this Request for Applications to be evaluated for scientific and technical merit. Scientific reviews are conducted in accordance with the review criteria stated below and the review procedures posted on the Institute's website, [http://ies.ed.gov/director/sro/peer\\_review/application\\_review.asp](http://ies.ed.gov/director/sro/peer_review/application_review.asp), by a panel of scientists who have substantive and methodological expertise appropriate to the Pathways Training program and the Request for Applications.

Each compliant and responsive application is assigned to one of the Institute's scientific review panels. At least two primary reviewers will complete written evaluations of the application, identifying strengths and weaknesses related to each of the review criteria. Primary reviewers will independently assign a score for each criterion, as well as an overall score, for each application they review. Based on the overall scores assigned by primary reviewers, the Institute calculates an average overall score for each application and

prepares a preliminary rank order of applications before the full peer-review panel convenes to complete the review of applications.

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

## **5. Review Criteria for Scientific Merit**

The purpose of Institute-supported research is to contribute to solving education problems and to provide reliable information about the education practices that support learning and improve academic achievement and access to education for all students. The specific purpose of Institute-supported training programs is to support this contribution by furthering the training of education researchers and policymakers. In doing so, the Institute aims to increase the quality, accessibility, use, and relevance of education research.

The Institute expects reviewers for all applications to assess the following aspects of an application in order to judge the likelihood that the proposed training program will have a substantial impact on the pursuit of the Institute's purpose. Information pertinent to each of these criteria is described in [Part II Topic Requirements](#).

### **a) Significance**

Does the applicant provide a compelling rationale for the significance of the training program as defined in the Significance section for the topic under which the applicant is submitting the application?

### **b) Research Training Plan**

Does the applicant address the requirements and recommendations for the training plans described in the Research Training Plan section for the topic under which the applicant is submitting the application?

### **c) Personnel**

Does the description of the personnel make it apparent that the Principal Investigator and other key personnel possess appropriate training and experience and will commit sufficient time to competently implement the proposed training?

### **d) Resources**

Does the applicant have the facilities, equipment, supplies, and other resources required to support the proposed activities? Do the commitments of each partner show support for the implementation and success of the project?

## **6. Award Decisions**

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

- Scientific merit as determined by peer review;
- Performance and use of funds under a previous Federal award;
- Contribution to the overall program of research described in this Request for Applications; and
- Availability of funds.

## **PART IV: PREPARING YOUR APPLICATION**

### **A. OVERVIEW**

The application contents – individual forms and their PDF attachments – represent the body of an application to the Institute. All applications for Institute funding must be self-contained. As an example, reviewers are under no obligation to view an internet website if you include the site address (URL) in the application. In addition, **you may not submit additional materials directly to the Institute after the application package is submitted.**

### **B. GRANT APPLICATION PACKAGE**

The Application Package for this competition (84-305B2016) provides all of the forms that you must complete and submit. The application form approved for use in the competition specified in this Request for Applications is the government-wide SF-424 Research and Related (R&R) Form (OMB Number 4040-0001).

#### **1. Date Application Package is Available on Grants.gov**

The Application Package will be available on <http://www.grants.gov/> by May 21, 2015.

#### **2. How to Download the Correct Application Package**

To find the correct downloadable Application Package, you must first search by the CFDA number for this research competition without the alpha suffix. To submit an application to the Research Training grants program, you must search on: CFDA 84.305.

The Grants.gov search on CFDA 84.305 will yield more than one Application Package. For the Research Training Programs in the Education Sciences competition, you must download the Application Package marked:

- Research Training Programs in the Education Sciences CFDA 84.305B

You must download the Application Package that is designated for this grant competition. If you use a different Application Package, even if it is for another Institute competition, the application will be submitted to the wrong competition. Applications submitted using the incorrect application package run the risk of not being reviewed according to the requirements and recommendations for the Research Training competition.

See [Part V Submitting Your Application](#), for a complete description of the forms that make up the application package and directions for filling out those forms.

### **C. GENERAL FORMATTING**

For a complete application, you must submit the following as individual attachments to the R&R forms that are contained in the application package for this competition in Adobe Portable Document Format (PDF):

- Training Program Summary/Abstract;
- Training Program Narrative and, if applicable, Appendix B, Appendix C, Appendix D, and Appendix E (all together as one PDF file);
- Bibliography and References Cited;
- Research on Human Subjects Narrative (i.e., Exempt or Non-Exempt Research Narrative);
- A Biographical Sketch for each senior/key person;

- A List of Current and Pending Support for each senior/key person;
- A Narrative Budget Justification for the total Project budget; and
- Subaward Budget(s) that has (have) been extracted from the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form, if applicable.

Information about the formatting requirements for all of these documents except the Subaward budget attachment (see [Part V.E.6](#)) is provided below.

### **1. Page and Margin Specifications**

For all Institute research grant applications, a "page" is 8.5 in. x 11 in., on one side only, with 1 inch margins at the top, bottom, and both sides.

### **2. Page Numbering**

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

### **3. Spacing**

Text must be single spaced.

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

Type must conform to the following three requirements:

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

You should check the type size using a standard device for measuring type size, rather than relying on the font selected for a particular word processing/prINTER combination. The type size used must conform to all three requirements. Small type size makes it difficult for reviewers to read the application; consequently, the use of small type will be grounds for the Institute to return the application without peer review.

Adherence to type size and line spacing requirements is necessary so that no applicant will have an unfair advantage by using small type or by providing more text in their applications. These requirements apply to the PDF file as submitted. As a practical matter, if you use a 12-point Times New Roman font without compressing, kerning, condensing or other alterations, the application will typically meet these requirements.

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

You are encouraged to use black and white in graphs, diagrams, tables, and charts. If color is used, you should ensure that the material reproduces well when photocopied in black and white.

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

## D. PDF ATTACHMENTS

### 1. Training Program Summary/Abstract

#### a) Submission

You must submit the training program summary/abstract as a separate PDF attachment at Item 7 of the Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)).

#### b) Page limitations

The training program summary/abstract is limited to one single-spaced page.

#### c) Content

The training program summary/abstract should include the following:

- Title of the training program
- The RFA (Research Training Programs in the Education Sciences) and the topic to which you are applying (Pathways Research Training Program)
- Name and affiliation of the Principal Investigator
- A brief description of the proposed training and its purpose
- The expected number of fellows or researchers to be recruited and length of their training
- A brief description of education research currently conducted by the proposed key personnel, opportunities for fellows to be involved in education research projects, and opportunities for fellows to collaborate with practitioners and policymakers

Please see <http://ies.ed.gov/ncер/projects> for examples of the content to be included in your training program summary/abstract.

### 2. Training Program Narrative

#### a) Submission

You must submit the Training Program Narrative as a separate PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)).

#### b) Page limitations

The Training Program Narrative is limited to 20 pages. **If the narrative exceeds this page limit, the Institute will remove any pages after the 20<sup>th</sup> page of the narrative.**

To help reviewers locate information and conduct the highest quality review, you should write a concise and easy to read narrative, with pages numbered consecutively using the header or footer function to place numbers at the top or bottom right-hand corner.

#### c) Format for citing references in text

To ensure that all applicants have the same amount of available space in which to describe their projects in the Training Program Narrative, use the author-date style of citation (e.g., James, 2004), such as that described in the Publication Manual of the American Psychological Association, 6th Ed. (American Psychological Association, 2009).

#### d) Content

Your Training Program Narrative **must** include four sections in order to be compliant with the requirements of this Request for Applications: (1) Significance, (2) Research Training Plan, (3) Personnel, and (4) Resources. Information to be included in each of these sections is detailed in [Part II Topic Requirements](#). **The information you include in each of these four sections will provide the majority of the information (along with the supporting Appendices) on which reviewers will evaluate the application.**



### **3. Appendix A (Not Applicable)**

Appendix A is not applicable for this competition. Applicants to the Research Training Programs should not include Appendix A in their applications.

### **4. Appendix B (Required)**

#### **a) Submission**

You must include Appendix B at the end of the Training Program Narrative, following the project narrative, and submit it as part of the same PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)).

#### **b) Page limitations**

Appendix B is limited to 15 pages.

#### **c) Content**

The following are the only materials that may be included in Appendix B: all other materials will be removed prior to the review of the application.

##### *Pathways Training Program*

- A summary table of completed and ongoing education research projects conducted by the core faculty that, for each project, includes:
  - The Principal Investigator and other key faculty involved in the project.
  - A brief description of each research project, including the topic addressed and methods used.
  - A brief explanation of where the project would fit within the Institute's research programs and goals, i.e., the Institute's Education Research Grants program (84.305A), the Statistical and Research Methodology in Education grants program (84.305D), or the Partnerships and Collaborations Focused on Problems of Practice and Policy grant program (84.305H). The Requests for Applications for these grant programs are available at <http://ies.ed.gov/funding>.
  - The funding source;
  - The duration of the project;
  - The outcomes and products of the project.
  - For ongoing projects, the possible apprenticeship opportunities for the fellows on the project, including the fellows' specific roles and the specific competencies fellows could potentially gain through working on the project;
- A summary table of additional apprenticeship opportunities (if applicable) that includes:
  - The partner institution and key staff involved in the apprenticeship opportunity.
  - A brief description of each research apprenticeship, including the topic addressed and methods used.
  - A brief explanation of how the apprenticeship aligns with the Institute's research programs and goals, i.e., the Institute's Education Research Grants program (84.305A), the Statistical and Research Methodology in Education grants program (84.305D), or the Partnerships and Collaborations Focused on Problems of Practice and Policy grant program (84.305H). The Requests for Applications for these grant programs are available at <http://ies.ed.gov/funding>.
  - The duration of the apprenticeship.
  - The specific roles of fellows as part of the research apprenticeship.

- The specific competencies fellows could potentially gain through participating in the apprenticeship.
- The outcomes and products of the apprenticeship.

## **5. Appendix C (Required)**

### **a) Submission**

You must include Appendix C at the end of the Training Program Narrative, following Appendix B, and submit it as part of the same PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)).

### **b) Page limitations**

Appendix C is limited to two pages.

### **c) Content**

Include an example of the Letter of Agreement that the Principal Investigator and each fellow will sign prior to the fellow's acceptance of the position. This letter should outline the conditions of the fellowship. The example letter is the only material that may be included in Appendix C: all other materials will be removed prior to the review of the application.

## **6. Appendix D (Required)**

### **a) Submission**

Appendix D must be included at the end of the Training Program Narrative, following Appendix C, and submitted as part of the same PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)).

### **b) Page limitations**

Appendix D does not have a page limit.

### **c) Content**

Include in Appendix D the Letters of Agreement from any institutional partners who will take part in the training program. Letters of Agreement should include enough information to make it clear that the author of the letter understands the nature of the commitment of time, space, and resources to the training program that will be required if the application is funded. Do not reduce the size of the letters. See [Part V.D.4 Attaching Files](#) for guidance regarding the size of file attachments. Letters of Agreement are the only materials that may be included in Appendix D: all other materials will be removed prior to the review of the application.

#### *Pathways Training Program*

- Letter of Agreement from a minority serving institution showing the institution's agreement to serve as a partner in the training program (if applicable).
- Letters of Agreement from all departments showing their agreement to be part of the training program.
- Letters of Agreement from outside partners providing research opportunities for fellows (if applicable).
- Letters of Agreement from outside partners providing opportunities for fellows to work in the field with practitioners and/or policymakers (if applicable).

## **7. Appendix E (Optional)**

### **a) Submission**

If you include Appendix E, you should include it at the end of the Training Program Narrative, following any appendices included, and submit it as part of the same PDF attachment at Item 8 of the Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)).

**b) Page limitations**

Appendix E is limited to 15 pages.

**c) Content**

Include in Appendix E examples of training materials and tables/charts that support the Research Training Narrative (e.g., a project timeline, syllabi, course descriptions, mentoring activities, seminars). These are the only materials that may be included in Appendix E: all other materials will be removed prior to the review of the application.

**8. Bibliography and References Cited****a) Submission**

You must submit this section as a separate PDF attachment at Item 9 of the Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)).

**b) Page limitations**

The Bibliography and References Cited does not have a page limit.

**c) Content**

You should include complete citations, including the names of all authors (in the same sequence in which they appear in the publication), titles (e.g., article and journal, chapter and book, book), page numbers, and year of publication for literature cited in the Training Program Narrative.

**9. Research on Human Subjects Narrative****a) Submission**

The human subjects narrative must be submitted as a PDF attachment at Item 12 of the Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)).

**b) Page limitations**

The human subjects narrative does not have a page limit.

**c) Content**

The human subjects narrative should address the information specified by the U.S. Department of Education's Regulations for the Protection of Human Subjects (see <http://www2.ed.gov/about/offices/list/ocfo/humansub.html> for additional information).

*Exempt Research on Human Subjects Narrative*

Provide an "exempt" narrative if you checked "yes" on Item 1 of the Research & Related Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)). The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by the Department that the designated exemption(s) are appropriate. The six categories of research that qualify for exemption from coverage by the regulations are described on the Department's website <http://www2.ed.gov/policy/fund/guid/humansub/overview.html>.

*Non-exempt Research on Human Subjects Narrative*

If some or all of the planned research activities are covered (not exempt) from the Human Subjects Regulations and you checked "no" on Item 1 of the Research & Related Other Project Information form (see [Part V.E.4 Research & Related Other Project Information](#)), provide a "nonexempt research" narrative. The nonexempt narrative should describe the following: the characteristics of the subject population; the data to be collected from human subjects; recruitment and consent procedures; any potential risks; planned procedures for protecting against or minimizing potential risks; the importance of the knowledge to be gained relative to potential risks; and any other sites where human subjects are involved.

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

## **10. Biographical Sketches of Senior/Key Personnel**

### **a) Submission**

Each sketch will be submitted as a separate PDF attachment and attached to the Research & Related Senior/Key Person Profile (Expanded) form (see [Part V.E.2 Research & Related Senior/Key Person Profile \(Expanded\)](#)).

### **b) Page limitations**

Each biographical sketch is limited to four pages.

### **c) Content**

Provide a biographical sketch for the Principal Investigator, each Co-Principal Investigator, and other key personnel that includes information sufficient to demonstrate that key personnel possess training and expertise commensurate with their specified duties on the proposed training program (e.g., publications, grants, and relevant research and training experience). If you'd like, you may also include biographical sketches for consultants (this form will allow for up to 40 biographical sketches in total).

## **11. Current & Pending Support of Senior/Key Personnel**

### **a) Submission**

Each list of current and pending support will be submitted as a separate PDF attachment to the Research & Related Senior/Key Person Profile (Expanded) form (see [Part V.E.2 Research & Related Senior/Key Person Profile \(Expanded\)](#)).

### **b) Page limitations**

Each list is limited to one page.

### **c) Content**

Provide a list of current and pending grants for the Principal Investigator, each Co-Principal Investigator, and other key personnel, along with the proportion of his/her time, expressed as percent effort over a 12-month calendar year, allocated to each project. This information should be provided as a table.

**Note:** Each senior/key person must include the proposed training program as one of his/her pending grants in this list. If the total 12-month calendar year percent effort across all current and pending projects exceeds 100 percent, you must explain how time will be allocated if all pending applications are successful in the Narrative Budget Justification.

## **12. Narrative Budget Justification**

### **a) Submission**

The narrative budget justification must be submitted as a PDF attachment at Section K of the first project period of the Research & Related Budget (SF 424) Sections A & B; C, D, & E; and F-K form for the Project (see [Part V.E.5 Research & Related Budget \(Total Federal + Non-Federal\) - Sections A & B; C, D, & E; and F-K](#)). For grant submissions with a subaward(s), a separate narrative budget justification for each subaward must be submitted and attached at Section K of the Research & Related Budget (SF 424) for the specific Subaward/Consortium that has been extracted and attached using the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form (see [Part V.E.6](#)).

### **b) Page limitations**

The narrative budget justification does not have a page limit.

**c) Content**

A narrative budget justification must be submitted for the training program budget, and a separate narrative budget justification must be submitted for any subaward budgets included in the application. Each narrative budget justification should provide sufficient detail to allow reviewers to judge whether reasonable costs have been attributed to the training program and its subawards, if applicable. The budget justification should correspond to the itemized breakdown of costs that is provided in the corresponding Research & Related Budget (SF 424) Sections A & B; C, D, & E; and F-K form for each year of the award. The narrative should include the time commitments for key personnel expressed as annual percent effort (i.e., calculated over a 12-month period) and brief descriptions of the responsibilities of key personnel. For consultants, the narrative should include the number of days of anticipated consultation, the expected rate of compensation, travel, per diem, and other related costs. A justification for equipment purchases, supplies, travel (including information regarding number of days of travel, mode of transportation, per diem rates, number of travelers, etc.), and other related project costs should also be provided in the budget narrative for each project year outlined in the Research & Related Budget (SF 424).

**d) Indirect cost rate**

U.S. Department of Education policy (34 CFR 75.562 (c)(2)) limits indirect cost reimbursement on a training grant to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or 8 percent of a modified total direct cost base, whichever amount is less. For the purposes of this competition, a modified total direct cost base is defined as total direct costs less stipends and related fees, and capital expenditures of \$5,000 or more.

If your institution does not have a federally negotiated indirect cost rate you should consult a member of the Indirect Cost Group (ICG) in the U.S. Department of Education's Office of the Chief Financial Officer <http://www2.ed.gov/about/offices/list/ocfo/fipao/icgreps.html> to help you estimate the indirect cost rate to put in your application.

## PART V: SUBMITTING YOUR APPLICATION

This part of the RFA describes important submission procedures you need to be aware of to ensure your application is received on time (no later than 4:30:00 pm Washington, DC time on August 20, 2015) and accepted by the Institute. Any questions that you may have about electronic submission via Grants.gov should first be addressed to the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, or call 1-800-518-4726.

Additional help with submitting an application electronically through the Grants.gov website is available at <http://www.grants.gov/web/grants/applicants/applicant-resources.html>. The Institute also offers webinars on the application submission process <http://ies.ed.gov/funding/webinars/index.asp>.

### A. MANDATORY ELECTRONIC SUBMISSION OF APPLICATIONS AND DEADLINE

Applications must be submitted electronically through the Internet using the software and application package provided on the Grants.gov web site: <http://www.grants.gov/>. Applications must be received (fully uploaded and processed by Grants.gov) no later than 4:30:00 pm Washington, DC time on August 20, 2015. Applications received by Grants.gov after the 4:30:00 pm application deadline will be considered late and will not be sent forward for scientific peer review.

Electronic submission is required unless you qualify for one of the exceptions to the electronic submission requirement *and* submit, no later than 2 weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. A description of the Allowable Exceptions to Electronic Submissions is provided at the end of this document.

Please consider submitting your application ahead of the deadline date (the Institute recommends 3 to 4 days in advance of the closing date and time) to avoid running the risk of a late submission that will not be reviewed. The Institute does not accept late applications.

### B. REGISTER ON GRANTS.GOV

To submit an application through Grants.gov, your institution must be registered with Grants.gov (<http://www.grants.gov/web/grants/register.html>).

Grants.gov registration involves many steps including registration in the System for Award Management (SAM - <http://www.sam.gov>, formerly known as the CCR - Central Contractor Registry). Grants.gov recommends that your institution begin the registration process at least 4 weeks prior to the application deadline date.

#### 1. Register Early

Registration involves multiple steps (described below) and takes at least 3 to 5 business days, or as long as 4 weeks, to complete. You must complete all registration steps to allow a successful application submission via Grants.gov. You may begin working on your application while completing the registration process, but you will not be permitted to submit your application until all of the Registration Steps are complete.

#### 2. How to Register

- Choose "Organization Applicant" for the type of registration.
- Complete the DUNS OR DUNS+4 Number field.

- If your organization does not already have a DUNS Number, you can request one online by using the form at the Dun & Bradstreet website <http://fedgov.dnb.com/webform> or by phone (866-705-5711).
- To submit your application successfully, the DUNS number in your application must be the one that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM. **If you don't enter the same DUNS number as the DUNS you registered with, Grants.gov will reject your application.**
- Register with the System for Award Management (SAM) <http://www.sam.gov>.
  - You can learn more about the SAM and the registration process for grant applicants in the SAM user guide: [https://www.sam.gov/sam/transcript/Quick Guide for Grants Registrations v1.7.pdf](https://www.sam.gov/sam/transcript/Quick%20Guide%20for%20Grants%20Registrations%20v1.7.pdf)  
For further assistance, please consult the tip sheet that the U.S. Department of Education has prepared for help with the SAM system <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.
  - Registration with the SAM may take a week to complete, but could take as many as several weeks to complete, depending on the completeness and accuracy of the data entered into the SAM database by an applicant. **The SAM registration must be updated annually.**
  - Once your SAM registration is active, it will take 24 to 48 hours for the information to be available in Grants.gov. You will only be able to submit your application via Grants.gov once the SAM information is available in Grants.gov.
- Create your Username & Password
  - Complete your AOR profile on Grants.gov and create your username and password. You will need to use your organization's DUNS Number to complete this step. <https://apply07.grants.gov/apply/OrcRegister>.
- AOR Authorization
  - The E-Business Point of Contact (E-Biz POC) at your organization must login to Grants.gov to confirm you as an AOR. Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization.

## C. SUBMISSION AND SUBMISSION VERIFICATION

### 1. Submit Early

The Institute strongly recommends that you not wait until the deadline date to submit an application. Grants.gov will put a date/time stamp on the application and then process it after it is fully uploaded.

**The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your internet connection.** If Grants.gov rejects your application due to errors in the application package, you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date as determined by Grants.gov. As an example, if you begin the submission process at 4:00:00 p.m. Washington, DC time on the deadline date, and Grants.gov rejects the application at 4:15:00 p.m. Washington, DC time, there may not be enough time for you to locate the error that caused the submission to be rejected, correct it, and then attempt to submit the application again before the 4:30:00 p.m. Washington, DC time deadline. **You are strongly**

**encouraged to begin the submission process at least 3 to 4 days before the deadline date to ensure a successful, on-time submission.**

## **2. Verify Submission is OK**

The Institute urges you to verify that Grants.gov and the Institute have received the application on time and that it was validated successfully. To see the date and time that your application was received by Grants.gov, you need to log on to Grants.gov and click on the "Track My Application" link <http://www.grants.gov/web/grants/applicants/track-my-application.html>. For a successful submission, the date/time received should be no later than 4:30:00 p.m. Washington DC time on the deadline date, AND the application status should be: (1) Validated (i.e., no errors in submission), (2) Received by Agency (i.e., Grants.gov has transmitted the submission to the U.S. Department of Education), or (3) Agency Tracking Number Assigned (the U.S. Department of Education has assigned a unique PR/Award Number to the application).

Note: If the date/time received is later than 4:30:00 p.m. Washington, DC time on the deadline date, the application is late. If the application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will change either to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," the application has not been received successfully. Grants.gov provides information on reasons why applications may be rejected in its Frequently Asked Questions (FAQ) page.

- Grants.gov FAQ  
<http://www.grants.gov/web/grants/support/general-support/faqs.html>
- Grants.gov Adobe Reader FAQs  
<http://www.grants.gov/web/grants/support/general-support/faqs/adobe-reader-faqs.html>

You will receive four emails regarding the status of your submission; the first three will come from Grants.gov and the fourth will come from the U.S. Department of Education. Within 2 days of submitting a grant application to Grants.gov, you will receive three emails from Grants.gov:

- The first email message will confirm receipt of the application by the Grants.gov system and will provide you with an application tracking number beginning with the word "GRANT", for example GRANT00234567. You can use this number to track your application on Grants.gov using the "Track My Application" link <http://www.grants.gov/web/grants/applicants/track-my-application.html> before it is transmitted to the U.S. Department of Education.
- The second email message will indicate that the application EITHER has been successfully validated by the Grants.gov system prior to transmission to the U.S. Department of Education OR has been rejected due to errors, in which case it will not be transmitted to the Department.
- The third email message will indicate that the U.S. Department of Education has confirmed retrieval of the application from Grants.gov once it has been validated.

If the second email message indicates that the application, as identified by its unique application tracking number, is valid and the time of receipt was no later than 4:30:00 p.m. Washington DC time, then the application is successful and on-time.

Note: You should not rely solely on e-mail to confirm whether an application has been received on-time and validated successfully. The Institute urges you to use the "Track My Application" link on Grants.gov to verify on-time, valid submissions in addition to the confirmation emails.  
<http://www.grants.gov/web/grants/applicants/track-my-application.html>

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



- This fourth email message will indicate that the application has been assigned a PR/Award number unique to the application beginning with the letter R, followed by the section of the CFDA number unique to that research competition (e.g., 305B), the fiscal year for the submission (e.g., 16 for fiscal year 2016), and finally four digits unique to the application, for example R305B16XXXX. If the application was received after the closing date/time, this email will also indicate that the application is late and will not be given further consideration.

**Note:** The Institute strongly recommends that you begin the submission process at least 3 to 4 days in advance of the deadline date to allow for a successful and timely submission.

### 3. Late Applications

If your application is submitted after 4:30:00 p.m. Washington, DC time on the application deadline date your application will not be accepted and will not be reviewed. **The Institute does not accept late applications.**

However, if you believe that a technical problem with the Grants.gov system prevented you from being able to submit your application on time, you must contact the Grants.gov Support Desk at [support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, or call 1-800-518-4726. The Grants.gov Support Desk will assign a Case Number (e.g., 1-12345678) that you must keep as a record of the problems. If you wish to petition that the Institute accept your late application due to technical problems with the Grants.gov system you should contact the Program Officer for the topic designated in your application and provide an explanation of the problem experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. **Your application will be accepted only if it is possible to confirm that a technical problem occurred with the Grants.gov system and that the problem (as documented with the Grants.gov Support Desk) affected your ability to submit the application by 4:30:00 p.m. Washington, DC time on the application deadline date.** The Institute will contact you approximately 1 month after the submission deadline as to whether the application will be accepted.

## D. TIPS FOR WORKING WITH GRANTS.GOV

The Institute strongly encourages you to use the "Check Application for Errors" button at the top of the grant application package to identify errors or missing required information that can prevent an application from being processed and sent forward for review.

**Note:** You must click the "Save and Submit" button at the top of the application package to upload the application to the Grants.gov website. The "Save and Submit" button will become active only after you have used the "Check Package for Errors" button and then clicked the "Save" button. Once the "Save and Submit" button is clicked, you will need to enter the user name and password that were created upon registration with Grants.gov.

### 1. Working Offline

When you download the application package from Grants.gov, you will be working offline and saving data on your computer. You will need to logon to Grants.gov to upload the completed application package and submit the application.

### 2. Connecting to the Internet

- Using a dial-up connection to upload and submit an application can take significantly longer than using a high-speed connection to the internet (e.g., cable modem/DSL/T1). Although times will vary depending upon the size of the application, it can take a few minutes to a few hours to complete the grant submission using a dial-up connection.

- Browser Support: Grants.gov is a Custom Java Application that uses standard web-browsers as the client. Grants.gov leverages the latest web technologies such as Ajax which relies extensively on JavaScript, HTML, and CSS. Grants.gov recommends you use the most up-to-date web browser to ensure an on-time submission.

### 3. Software Requirements

You will need Adobe software (at least Adobe Reader 10.1.14) to read and complete the application forms for submission through Grants.gov. You can verify if your Adobe software version is compatible with Grants.gov, and if it is not a compatible version, you can download the necessary version of Adobe from Grants.gov (<http://www.grants.gov/web/grants/support/technical-support/recommended-software.html>).

### 4. Attaching Files

The forms included in the application package provide the means for you to attach Adobe Portable Document Format (PDF) files. **You must attach read-only, non-modifiable PDF files**; any other file attachment will cause your application to be rejected by Grants.gov.

Grants.gov provides help for converting files to a PDF format:

<http://www.grants.gov/web/grants/support/general-support/faqs/adobe-reader-faqs.html>

If you include scanned documents as part of a PDF file (e.g., Letters of Agreement in Appendix D), scan them at the lowest resolution to minimize the size of the file and expedite the upload process. PDF files that contain graphics and/or scanned material can greatly increase the size of the file attachments and can result in difficulties opening the files. The average discretionary grant application package totals 1 to 2 MB; therefore, **check the total size of your application package before you attempt to submit it**. Very large application packages can take a long time to upload, putting the application at risk of being received late and therefore not accepted by the Institute.

PDF files included in the application **must** be:

- **In a read-only, non-modifiable format.**
- **Individual files** (attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable PDF file will not be read).
- **Not password protected.**
- **Given a file name that is:**
  - **Unique** - Grants.gov cannot process an application that includes two or more file attachments that have the same name.
  - **No more than 50 characters.**
  - **Contains no special characters (e.g., &, -, \*, %, /, #), blank spaces, periods, or accent marks in the file name** (you may use an underscore to indicate word separation in file names such as "my\_Attached\_File.pdf").

Please note that if these guidelines are not followed, your application will be rejected by Grants.gov and not forwarded to the U.S. Department of Education.

## E. REQUIRED RESEARCH & RELATED (R&R) FORMS AND OTHER FORMS

You must complete and submit the R&R forms described below. All of these forms are provided in the application package for this competition (84-305B2016). Please note that fields marked by an asterisk, highlighted in yellow, and outlined in red on these forms are required fields and must be completed to ensure a successful submission.

**Note:** Although not required fields, Items 4a (Federal Identifier) and b (Agency Routing Number) on the Application for Federal Assistance SF 424 (R&R) form provide critical information to the Institute and should be filled out for an application to this research grant competition.

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

This form asks for general information about the applicant, including but not limited to the following: contact information; an Employer Identification Number (EIN); a DUNS number; a descriptive title for the project; an indication of the project topic and, for program announcements that have explicit goals, the appropriate goal; Principal Investigator contact information; start and end dates for the project; congressional district; total estimated project funding; and Authorized Representative contact information.

Because information on this form populates selected fields on some of the other forms described below, you should complete this form first. This form also allows you to attach a cover letter; however, the Institute does not require a cover letter so do not attach one here.

Provide the requested information using the drop down menus when available. Guidance for completing selected items follows.

- Item 1

Type of Submission. Select either "Application" or "Changed/Corrected Application." "Changed/Corrected Application" should only be selected in the event that you need to submit an updated version of an already submitted application (e.g., due to an error). The Institute does not require Pre-applications for its grant competitions.

- Item 2

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

Applicant Identifier. Use this field to certify the Applicant Institution's status as a Minority Serving Institution (MSI), or if applicable, the Partner Institution's MSI status. Enter the applicable code for the MSI category in this field.

Note: This item provides important information that is used by the Institute to screen applications for responsiveness to the competition requirements. **It is critical that you complete this information completely and accurately or the application may be rejected as nonresponsive.** For this competition, applications that do not include an eligible MSI as the Applicant Institution (or as a Partner Institution, if applicable) will be deemed nonresponsive to the Request for Applications and will not be accepted for review.

MSI Category	Codes
Alaska Native Serving Institutions	Alaska Native
American Indian Tribally Controlled Colleges and Universities	TCU
Asian American and Native American Pacific Islander-Serving Institutions	AANAPISI
Hispanic-Serving Institutions	HSI
Historically Black Colleges and Universities	HBCU
Native American-Serving, Nontribal Institutions	Native American
Native Hawaiian-Serving Institutions	Native Hawaiian
Predominantly Black Institutions	PBI

- Item 3

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

- Item 4

Note: This item provides important information that is used by the Institute to screen applications for responsiveness to the competition requirements and for assignment to the appropriate scientific peer review panel. **It is critical that you complete this information completely and accurately or the application may be rejected as nonresponsive or assigned inaccurately for scientific review of merit.**

- Federal Identifier. **Enter information in this field if this is a Resubmission.** If this application is a revision of an application that was submitted to an Institute grant competition in a prior fiscal year (e.g., FY 2015) that received reviewer feedback, then this application is considered a "Resubmission" (see Item 8 Type of Application). You should **enter the PR/Award number that was assigned to the prior submission (e.g., R305B15XXXX) in this field.**
- Agency Routing Number. **Enter the code for the topic the application addresses in this field.** Applications to the Research Training (CFDA 84.305B) program must be submitted to a particular topic (see [Part II Topic Requirements](#) for additional information).

Topic	Code
Pathways to the Education Sciences Research Training Program	NCER-Pathways

**It is critical that you use the appropriate code in this field and that the code shown in this field agrees with the information included in the application abstract.** Indicating the correct code facilitates the appropriate processing and review of the application. Failure to do so may result in delays to processing and puts your application at risk for being identified as nonresponsive and not considered for further review.

- Item 4c: Previous Grants.gov Tracking ID. If you are submitting a "Changed/Corrected" application (see Item 1) to correct an error, enter the Grants.gov Tracking Number associated with the application that was already submitted through Grants.gov. Note: If you need to correct an error and submit a "Changed/Corrected" application, contact the Program Officer listed on the application package and provide the Grants.gov tracking numbers associated with both applications (the one with the error and the one that has been corrected) and identify which one should be reviewed by the Institute.

- Item 5

Applicant Information. Enter all of the information requested, including the legal name of the applicant, the name of the primary organizational unit (e.g., school, department, division, etc.) that will undertake the activity, and the address, including the county and the 9-digit ZIP/Postal Code of the primary performance site (i.e., the Applicant institution) location. This field is required if the Project Performance Site is located in the United States. The field for "Country" is pre-populated with "USA: UNITED STATES." For applicants located in another country, contact the cognizant Program Officer (see [Part II Topic Requirements](#) or the [list](#) of Program Officers in Part V.H) before submitting the application. Use the drop down menus where they are provided.

Organizational DUNS. Enter the DUNS or DUNS+4 number of the applicant organization. A **Data Universal Numbering System (DUNS)** number is a unique 9-character identification number provided by the commercial company Dun & Bradstreet (D&B) to identify organizations. If your

institution does not have a DUNS number and therefore needs to register for one, a DUNS number can be obtained through the Dun & Bradstreet website <http://fedgov.dnb.com/webform/displayHomePage.do>.

**Note:** The DUNS number provided on this form must be the same DUNS number used to register on Grants.gov (and the same as the DUNS number used when registering with the SAM). **If the DUNS number used in the application is not the same as the DUNS number used to register with Grants.gov, the application will be rejected with errors by Grants.gov.**

Person to Be Contacted on Matters Involving this Application. Enter all of the information requested, including the name, telephone and fax numbers, and email address of the person to be contacted on matters involving this application. The role of this person is primarily for communication purposes on the budgetary aspects of the project. As an example, this may be the contact person from the applicant institution's office of sponsored projects. Use the drop down menus where they are provided.

- Item 6

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

- Item 7

Type of Applicant. Use the drop down menu to select the type of applicant. If Other, please specify.

Small Business Organization Type. If "Small Business" is selected as Type of Applicant, indicate whether or not the applicant is a "Women Owned" small business – a small business that is at least 51% owned by a woman or women, who also control and operate it. Also indicate whether or not the applicant is a "Socially and Economically Disadvantaged" small business, as determined by the U.S. Small Business Administration pursuant to section 8(a) of the Small Business Act U.S.C. 637(a).

- Item 8

Type of Application. Indicate whether the application is a "New" application or a "Resubmission" of an application that was submitted under a previous Institute competition and received reviewer comments. Only the "New" and "Resubmission" options apply to Institute competitions. Do not select any option other than "New" or "Resubmission."

Submission to Other Agencies. Indicate whether or not this application is being submitted to another agency or agencies. If yes, indicate the name of the agency or agencies.

- Item 9

Name of Federal Agency. Do not complete this item. The name of the federal agency to which the application is being submitted will already be entered on the form.

- Item 10

Catalog of Federal Domestic Assistance Number. Do not complete this item. The CFDA number of the program competition to which the application is being submitted will already be entered on the form. The CFDA number can be found in the Federal Register Notice and on the face page of the Request for Applications.

- Item 11  
Descriptive Title of Applicant's Project. **Enter a distinctive, descriptive title for the training program.** The maximum number of characters allowed in this item field is 200.
- Item 12  
Proposed Project Start Date and Ending Date. Enter the proposed start date of the training program and the proposed end date of the training program. The start date must not be earlier than July 1, 2016, which is the Earliest Anticipated Start Date listed in this Request for Applications, and must not be later than September 1, 2016. The end date is restricted based on the duration maximums for the Pathways topic (see Part II).
- Item 13  
Congressional District of Applicant. For both the applicant and the training program, enter the Congressional District in this format: 2-character State Abbreviation and 3-character District Number (e.g., CA-005 for California's 5th district, CA-012 for California's 12th district). Grants.gov provides help for finding this information at the end of this page: <http://www.grants.gov/web/grants/applicants/applicant-faqs/applying-for-grants.html> under "How can I find my congressional district code?" If the program/project is outside the U.S., enter 00-000.
- Item 14  
Project Director/Principal Investigator Contact Information. Enter all of the information requested for the Principal Investigator/Training Director, including position/title, name, address (including county), organizational affiliation (e.g., organization, department, division, etc.), telephone and fax numbers, and email address. Use the drop down menus where they are provided.
- Item 15  
Estimated Project Funding
  - Total Federal Funds Requested. Enter the total Federal funds requested for the entire project period.
  - Total Non-federal Funds. Enter the total Non-federal funds requested for the entire project period.
  - Total Federal & Non-Federal Funds. Enter the total estimated funds for the entire project period, including both Federal and non-Federal funds.
  - Estimated Program Income. Identify any program income estimated for the project period, if applicable.
- Item 16  
Is Application Subject to Review by State Executive Order 12372 Process? The Institute is not soliciting applications that are subject to review by Executive Order 12372; therefore, check the box "Program is not covered by E.O. 12372" to indicate "No" for this item.
- Item 17  
 This is the Authorized Organization Representative's electronic signature.

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

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

By providing the electronic signature, the Authorized Organization Representative also provides the required assurances, agrees to comply with any resulting terms if an award is accepted, and acknowledges that any false, fictitious, or fraudulent statements or claims may subject him/her to criminal, civil, or administrative penalties.

Note: The certifications and assurances referred to here are described in [Part V.E.7 Other Forms Included in the Application Package](#)).

- Item 18

SF LLL or other Explanatory Documentation. Do not add the SF LLL here. A copy of the SF LLL is provided as an optional document within the application package. See [Part V.E.7 Other Forms Included in the Application Package](#) to determine applicability. If it is applicable to the grant submission, choose the SF LLL from the optional document menu, complete it, and save the completed SF LLL form as part of the application package.

- Item 19

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

Signature of Authorized Representative. Leave this item blank as it is automatically completed when the application is submitted through Grants.gov.

Date Signed. Leave this item blank as the date is automatically generated when the application is submitted through Grants.gov.

- Item 20

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

- Item 21

Cover letter. Do not complete this item as the Institute does not require cover letters for its grant competitions.

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

This form asks you to: (a) identify the Principal Investigator/Training Director and other senior and/or key persons involved in the project, (b) specify the role key staff will serve, and (c) provide contact information for each senior/key person identified. The form also requests information about the highest academic or professional degree or other credentials earned and the degree year.

This form also provides the means for attaching the Biographical Sketches of senior/key personnel and the Lists of Current and Pending Funding for senior/key personnel as PDF files. This form will allow for the attachment of a total of 40 biographical sketches and 40 lists of current and pending support: one of

each for the Principal Investigator/Training Director and up to 39 additional sketches and lists for senior/key staff. See [Part IV.D.10 Biographical Sketches of Senior/Key Personnel](#) for information about page limitations, format requirements, and content to be included in the biographical sketches and lists of current and pending funding. The persons listed on this form should be the same persons listed in the Personnel section of the Training Program Narrative.

### **3. Project/Performance Site Location(s)**

This form asks you to identify the primary site where training program work will be performed. You must complete the information for the primary site. If a portion of the work will be performed at any other site(s), the form also asks you to identify and provide information about the additional site(s). The form permits the identification of eight project/performance site locations in total. This form requires the applicant to identify the Congressional District for each site. See above, [Application for Federal Assistance SF 424 \(R&R\)](#), Item 13 for information about Congressional Districts. DUNS number information is optional on this form.

### **4. Research & Related Other Project Information**

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

This form also provides the means for attaching a number of PDF files (see [Part IV.D PDF Attachments](#) for information about page limitations, format requirements, and content) including the following:

- Training Program Summary/Abstract,
  - Training Program Narrative and Appendices,
  - Bibliography and References Cited, and
  - Research on Human Subjects Narrative.
- 
- Item 1

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

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

If you answer "yes" to the question "Is the Project Exempt from Federal Regulations?" you are required to check the appropriate exemption number box or boxes corresponding to one or more of the exemption categories. The six categories of research that qualify for exemption from



coverage by the regulations are described on the U.S. Department of Education's website <http://www2.ed.gov/policy/fund/guid/humansub/overview.html>. Provide an Exempt Research on Human Subjects Narrative at Item 12 of this form (see [Part IV.D.9. Research on Human Subjects Narrative](#)).

If you answer "no" to the question "Is the Project Exempt from Federal Regulations?" you will be prompted to answer questions about the Institutional Review Board (IRB) review.

If no, is the IRB review pending? Answer either "Yes" or "No."

If you answer "yes" because the review is pending, then leave the IRB approval date blank. If you answer "no" because the review is not pending, then you are required to enter the latest IRB approval date, if available. Therefore, you should select "No" only if a date is available for IRB approval.

Note: IRB Approval may not be pending because you have not begun the IRB process. In this case, an IRB Approval Date will not be available. However, a date must be entered in this field if "No" is selected or the application will be rejected with errors by Grants.gov. Therefore, you should check "Yes" to the question "Is the IRB review pending?" if an IRB Approval date is not available.

If you answer "no" to the question "Is the Project Exempt from Federal Regulations?" provide a Non-exempt Research on Human Subjects Narrative at Item 12 of this form (see [Part IV.D.9. Research on Human Subjects Narrative](#)).

Human Subject Assurance Number: Leave this item blank.

- Item 2

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

- Item 3

Is proprietary/privileged information included in the application? Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project. If the application includes such information, check "Yes" and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to, "The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation."

- Item 4

Does this project have an actual or potential impact on the environment? Check whether or not this project will have an actual or potential impact on the environment.

- Item 5

Is the research site designated or eligible to be designated as a historic place? Check whether or not the research site is designated or eligible to be designated as a historic place. Explain if necessary.

- Item 6  
Does the project involve activities outside of the United States or partnerships with international collaborators? Check "Yes" or "No." If the answer is "Yes," then you need to identify the countries with which international cooperative activities are involved. An explanation of these international activities or partnerships is optional.
- Item 7.  
Project Summary/Abstract. Attach the Training Program Summary/Abstract as a PDF file here. See [Part IV.D PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.
- Item 8.  
Training Program Narrative. Create a single PDF file that contains the Training Program Narrative as well as, when applicable, Appendix B, Appendix C, Appendix D, and Appendix E. Attach that single PDF file here. See [Part IV.D PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.
- Item 9.  
Bibliography and References Cited. Attach the Bibliography and References Cited as a PDF file here. See [Part IV.D PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.
- Item 10.  
Facilities and Other Resources. The Institute does not want an attachment here. Explanatory information about facilities and other resources must be included in the Resources Section of the 20-page Training Program Narrative for the application and may also be included in the Narrative Budget Justification. In the narrative of competitive proposals, applicants describe having access to institutional resources that adequately support research activities and access to schools in which to conduct the research. Strong applications document the availability and cooperation of other organizations that will be required to carry out the training proposed in the application via Letter of Agreements from them. Include Letters of Agreement in Appendix D.
- Item 11.  
Equipment. The Institute does not want an attachment here. Explanatory information about equipment may be included in the narrative budget justification.
- Item 12.  
Other Attachments. Attach a Research on Human Subjects Narrative as a PDF file here. You must attach either an Exempt Research on Human Subjects Narrative or a Non-Exempt Research on Human Subjects Narrative. See [Part IV.D PDF Attachments](#) for information about content, formatting, and page limitations for this PDF file.

If you checked "Yes" to Item 1 of this form "Are Human Subjects Involved?" and designated an exemption number(s), then you must provide an "Exempt Research" narrative. If some or all of the planned research activities are covered by (not exempt from) the Human Subjects Regulations, then you must provide a "Nonexempt Research" narrative.

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

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

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

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

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

**Note: Budget information for a subaward(s) on the project must be entered using a separate form, the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form,** described in [Part V.E.6](#). This is the only form that can be used to extract the proper file format to complete subaward budget information. **The application will be rejected with errors by Grants.gov if subaward budget information is included using any other form or file format.**

Enter the Federal Funds requested for all budget line items as instructed below. If any Non-Federal funds will be contributed to the project, enter the amount of those funds for the relevant budget categories in the spaces provided.

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

- Organizational DUNS.  
If you completed the SF 424 R&R Application for Federal Assistance form first the DUNS number will be pre-populated here. Otherwise, the organizational DUNS number must be entered here. See [Part V.E.1](#) for information on the DUNS number.
- Budget Type.  
Check the box labeled "Project" to indicate that this is the budget requested for the primary applicant organization. If the project involves a subaward(s), you must access the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form to complete a subaward budget (see [Part V.E.6](#) for instructions regarding budgets for a subaward).
- Budget Period Information.  
Enter the start date and the end date for each budget period. The system permits data entry for up to five budget periods; however, **enter only the number of budget periods allowed for the project as determined by the Award Duration Maximums for the relevant training program topic selected for your project** (see [Part II Topic Requirements](#)). Note: If you activate an extra budget period and leave it blank this may cause your application to be rejected with errors by Grants.gov.
- Budget Sections A & B  
A. Senior/Key Person. The project director/principal investigator information will be pre-populated here from the SF 424 R&R Application for Federal Assistance form if it was completed first. Then,

enter all of the information requested for each of the remaining senior/key personnel, including the project role of each and the number of months each will devote to the project, i.e., calendar or academic + summer. You may enter the annual compensation (base salary – dollars) paid by the employer for each senior/key person; however, you may choose to leave this field blank. Regardless of the number of months devoted to the project, indicate only the amount of salary being requested for each budget period for each senior/key person. Enter applicable fringe benefits, if any, for each senior/key person. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

**B. Other Personnel.** Enter all of the information requested for each project role listed – for example, Undergraduate Students, Secretary/Clerical, etc. – including, for each project role, the number of personnel proposed and the number of months devoted to the project (calendar or academic + summer). Regardless of the number of months devoted to the project, indicate only the amount of salary/wages being requested for each project role. Enter applicable fringe benefits, if any, for each project role category. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

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

- Budget Sections C, D & E

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

Total C. Equipment. This total will auto calculate.

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

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

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

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

**E. Participant/Trainee Support Costs.** Enter the funds requested for Participant/Trainee Support Costs by category.

Note: This section of the budget is only to be used for training program applications. Any funds that are to be spent directly on trainees and their activities, for example stipends, benefits, and travel, should be entered here in Section E. Other costs associated with trainees such as recruitment should not be entered in this section (see below "Section F. Other Direct Costs" for more information regarding this issue).

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

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

- Budget Sections F-K

F. Other Direct Costs. Describe any other direct costs in the space provided and enter the total funds requested for this "other" category of direct costs. Note: For training grants, funds requested for training program activities such as recruitment of fellows, invited speakers, or workshops should be entered here. Use the narrative budget justification to further itemize and justify. Enter all of the information requested under the various cost categories. Enter the Federal dollars and, if applicable, the Non-Federal dollars.

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

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

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

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

Subaward/Consortium/Contractual Costs. Enter the total funds requested for (1) all subaward/consortium organization(s) proposed for the project and (2) any other contractual costs proposed for the project. Use the R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form to provide detailed subaward information (see [Part V.E.6](#)).

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

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

Other. Describe any other direct costs in the space provided and enter the total funds requested for this "Other" category of direct costs. Use the narrative budget justification to further itemize and justify.

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

- G. Direct Costs

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

- H. Indirect Costs

Enter all of the information requested for Indirect Costs. Principal Investigators should note that if they are requesting reimbursement for indirect costs, this information is to be completed by their Business Office.

U.S. Department of Education policy (34 CFR 75.562 (c)(2)) limits indirect cost reimbursement on a training grant to the recipient's actual indirect costs, as determined by its negotiated indirect cost rate agreement, or 8 percent of a modified total direct cost base, whichever amount is less. For the purposes of this competition, a modified total direct cost base is defined as total direct costs less stipends and related fees, and capital expenditures of \$5,000 or more.

Indirect Cost Type. Indicate the type of base (e.g., Salary & Wages, Modified Total Direct Costs, Other (explain)). In addition, indicate if the Indirect Cost type is Off-site. If more than one rate/base is involved, use separate lines for each. When calculating your expenses for research conducted in field settings, you should apply your institution's negotiated off-campus indirect cost rate, as directed by the terms of your institution's negotiated agreement with the federal government.

Institutions, both primary grantees and sub-awardees, not located in the territorial US cannot charge indirect costs.

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

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

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

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

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

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

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

- I. Total Direct and Indirect Costs

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

- J. Fee.

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

- K. Budget Justification

Attach the Narrative Budget Justification as a PDF file at Section K of the first budget period (see [Part IV.D.12](#) for information about content, formatting, and page limitations for this PDF file). Note that if the justification is not attached at Section K of the first budget period, you will not be able to access the form for the second budget period and all subsequent budget periods. The single narrative must provide a budget justification for each year of the entire project.

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

**Final Note: The annual and total grant budget cannot exceed the maximum grant award for the topic being applied under, as listed below. Applications with budgets and durations greater than the maximums listed will not be forwarded for review.**

- *Pathways to the Education Sciences Research Training Program*  
The size of the award depends on the scope of work. The maximum duration of the award is **5 years** and the maximum award is **\$1,200,000** (total cost = direct + indirect).

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

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

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

"Subaward/Consortium" must be selected as the Budget Type, and all sections of the budget form for each project year must be completed in accordance with the R&R (Federal/Non-Federal) Budget instructions provided above in [Part V.E.5](#). Note that subaward organizations are also required to provide their DUNS or DUNS+4 number.

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

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

### **7. Other Forms Included in the Application Package**

You are required to submit the first two forms identified here. You are not required to submit the third form, Disclosure of Lobbying Activities – Standard Form LLL, unless it is applicable.

- SF 424B-Assurances-Non-Construction Programs.
- Grants.gov Lobbying form (formerly ED 80-0013 form).
- Disclosure of Lobbying Activities – Standard Form LLL (if applicable).



## F. SUMMARY OF REQUIRED APPLICATION CONTENT

R&R Form	Required	Instructions Provided	Additional Information
Application for Federal Assistance SF 424 (R & R)	<input checked="" type="checkbox"/>	<a href="#">Part V.E.1</a>	Form provided in Grants.gov application package
Senior/Key Person Profile (Expanded)	<input checked="" type="checkbox"/>	<a href="#">Part V.E.2</a>	Form provided in Grants.gov application package
Project/Performance Site Location(s)	<input checked="" type="checkbox"/>	<a href="#">Part V.E.3</a>	Form provided in Grants.gov application package
Other Project Information	<input checked="" type="checkbox"/>	<a href="#">Part V.E.4</a>	Form provided in Grants.gov application package
Budget (Total Federal + Non-Federal): Sections A & B Sections C, D, & E Sections F - K	<input checked="" type="checkbox"/>	<a href="#">Part V.E.5</a>	Form provided in Grants.gov application package
R&R Subaward Budget (Fed/Non-Fed) Attachment(s) Form	--	<a href="#">Part V.E.6</a>	Form provided in Grants.gov application package. Use this form to <i>extract and attach</i> a subaward budget(s).
SF 424B Assurances – Non-Construction Programs Grants.gov Lobbying form (formerly ED 80-0013 form) Disclosure of Lobby Activities – Standard Form LLL (if applicable)	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> --	<a href="#">Part V.E.7</a>	Forms provided in Grants.gov application package
Training Program Summary/Abstract	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.1</a>	Add as an attachment (PDF file) using Item 7 of the “Other Project Information” form
Training Program Narrative and Appendices  • Narrative  • Appendix A  • Appendix B  • Appendix C  • Appendix D  • Appendix E	<input checked="" type="checkbox"/> -- -- -- -- --	<a href="#">Part IV.D.2-7</a>	The Training Program Narrative and, if applicable, Appendix B, Appendix C, Appendix D, and Appendix E must ALL be included together in one PDF file and attached at Item 8 of the “Other Project Information” form.
Bibliography and References Cited	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.8</a>	Add as an attachment (PDF file) using Item 9 of the “Other Project Information” form.
Research on Human Subjects Narrative, if human subjects are involved	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.9</a>	Add as an attachment (PDF file) using Item 12 of the “Other Project Information” form.
Biographical Sketches of	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.10</a>	Add each as a separate

Senior/Key Personnel			attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form.
Lists of Current & Pending Support for Senior/Key Personnel	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.11</a>	Add each as a separate attachment (PDF file) using the "Senior/Key Person Profile (Expanded)" form.
Narrative Budget Justification	<input checked="" type="checkbox"/>	<a href="#">Part IV.D.12</a>	Add as an attachment (PDF file) using <i>Section K – Budget Period 1</i> of the "Budget (Total Federal + Non-Federal)" form.

## G. APPLICATION CHECKLIST

Have each of the following forms been completed?	
	SF 424 Application for Federal Assistance
	For item 4a, is the PR/Award number entered if this is a Resubmission following the instructions in <a href="#">Part V.E.1</a> ?
	For item 4b, is the correct topic code included following the instructions in <a href="#">Part V.E.1</a> ?
	For item 8, is the Type of Application appropriately marked as either "New" or "Resubmission" following the instructions in <a href="#">Part V.E.1</a> ?
	Senior/Key Person Profile (Expanded)
	Project/Performance Site Location(s)
	Other Project Information
	Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F - K
	R&R Subaward Budget (Federal/Non-Federal) Attachment(s) form (if applicable)
	SF 424B Assurances – Non-Construction Programs
	Grants.gov Lobbying form (formerly ED 80-0013 form)
	Disclosure of Lobby Activities – Standard Form LLL (if applicable)
Have each of the following items been attached as PDF files in the correct place?	
	Training Program Summary/Abstract, using Item 7 of the "Other Project Information" form
	Training Program Narrative and, where applicable, Appendix B, Appendix C, Appendix D, and Appendix E as a single file using Item 8 of the "Other Project Information" form
	Bibliography and References Cited, using Item 9 of the "Other Project Information" form
	Research on Human Subjects Narrative, either the Exempt Research Narrative or the Non-exempt Research Narrative, using Item 12 of the "Other Project Information" form
	Biographical Sketches of Senior/Key Personnel, using "Attach Biographical Sketch" of the "Senior/Key Person Profile (Expanded)" form
	Lists of Current & Pending Support, using "Attach Current & Pending Support" of the "Senior/Key Person Profile (Expanded)" form
	Narrative Budget Justification, using Section K – Budget Period 1 of the "Budget (Total Federal + Non-Federal)" form

	Budget (Total Federal + Non-Federal): Sections A & B; Sections C, D, & E; Sections F – K for the Subaward(s), using the "R&R Subaward Budget (Federal/Non-Federal) Attachment(s)" form, as appropriate, that conforms to the Award Duration and Budget Maximums for the topic chosen
Have the following actions been completed?	
	The correct PDF files are attached to the proper forms in the Grants.gov application package
	The "Check Package for Errors" button at the top of the grant application package has been used to identify errors or missing required information that prevents an application from being processed
	The "Track My Application" link has been used to verify that the upload was fully completed and that the application was processed and validated successfully by Grants.gov before 4:30:00 p.m., Washington, DC time on the deadline date

## **H. PROGRAM OFFICER CONTACT INFORMATION**

Please contact the Institute's Program Officers with any questions you may have about the best topic for your application. Program Officers function as knowledgeable colleagues who can provide substantive feedback on your training idea, including reading a draft of your Training Program Narrative. Program Officers can also help you with any questions you may have about the content and preparation of PDF file attachments. However, any questions you have about individual forms within the application package and electronic submission of your application through Grants.gov should be directed first to the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov), <http://www.grants.gov/web/grants/about/contact-us.html>, or call 1-800-518-4726.

### **Pathways to the Education Sciences Research Training Program**

Dr. Katina Stapleton

Email: [Katina.Stapleton@ed.gov](mailto:Katina.Stapleton@ed.gov)

Telephone: (202) 219-2154

## **ALLOWABLE EXCEPTIONS TO ELECTRONIC SUBMISSIONS**

You may qualify for an exception to the electronic submission requirement and submit an application in paper format if you are unable to submit the application through the Grants.gov system because: (a) you do not have access to the Internet; or (b) you do not have the capacity to upload large documents to the Grants.gov system; and (c) no later than 2 weeks before the application deadline date (14 calendar days or, if the fourteenth calendar date before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Institute explaining which of the two grounds for an exception prevents you from using the Internet to submit the application. If you mail the written statement to the Institute, it must be postmarked no later than 2 weeks before the application deadline date. If you fax the written statement to the Institute, the faxed statement must be received no later than 2 weeks before the application deadline date. The written statement should be addressed and mailed or faxed to:

Ellie Pelaez, Office of Administration and Policy  
Institute of Education Sciences, U.S. Department of Education  
555 New Jersey Avenue, NW, Room 600E  
Washington, DC 20208  
FAX: (202) 219-1466

If you request and qualify for an exception to the electronic submission requirement you may submit an application via mail, commercial carrier or hand delivery. To submit an application by mail, mail the original and two copies of the application on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.305B)  
LBJ Basement Level 1  
400 Maryland Avenue, S.W.  
Washington, DC 20202 – 4260

You must show one of the following as proof of mailing: (a) a legibly dated U.S. Postal Service Postmark; (b) a legible mail receipt with the date of mailing stamped by the U.S. Postal Service; (c) a dated shipping label, invoice, or receipt from a commercial carrier; or (d) any other proof of mailing acceptable to the U.S. Secretary of Education (a private metered postmark or a mail receipt that is not dated by the U.S. Postal Services will not be accepted by the Institute). Note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office. If your application is postmarked after the application deadline date, the Institute will not consider your application. The Application Control Center will mail you a notification of receipt of the grant application. If this notification is not received within 15 business days from the application deadline date, call the U.S. Department of Education Application Control Center at (202) 245-6288.

To submit an application by hand, you or your courier must hand deliver the original and two copies of the application by 4:30:00 p.m. (Washington, DC time) on or before the deadline date to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.305B)  
550 12th Street, S.W.  
Potomac Center Plaza - Room 7039  
Washington, DC 20202 – 4260

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