

U.S. DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES
WASHINGTON, D.C. 20202-2575

**FY 2009 APPLICATION KIT FOR NEW GRANTS
UNDER
THE NATIONAL INSTITUTE ON DISABILITY AND
REHABILITATION RESEARCH**

**SMALL BUSINESS INNOVATION
RESEARCH PROGRAM
PHASE I
CFDA NUMBER: 84.133S-1**



FORM APPROVED
OMB No. 1890-0012, EXP. DATE: 6/30/2009
ED FORM 424, OMB Approved: 7890-0012

DATED MATERIAL - OPEN IMMEDIATELY

CLOSING DATE: NOVEMBER 10, 2008

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SECTION I

DEAR APPLICANT LETTER

Dear Applicant:

The Secretary invites applications for new awards for Fiscal Year (FY) 2009 for the Small Business Innovation Research (SBIR) Program (CFDA 84.133S-1) in the September 9, 2008 Federal Register. The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of U.S. Department of Education (ED or the Department) supported research results, and improve the return on investment from Federally funded research for economic and social benefits to the Nation.

An application for an award must be: (1) hand-delivered, submitted electronically or mailed by the closing date and (2) for paper applications, have an original signature on at least copies of the assurances and certifications. It is also important to include the appropriate Catalog of Federal Domestic Assistance (CFDA) numeric and alpha in Item #4 on ED Form 424 (e.g., CFDA No 84.133S) for paper applications.

Please note the following:

- **ELIGIBLE APPLICANTS:** Each organization submitting an application must qualify as a small business concern as defined by the Small Business Administration at the time of the award. This definition is included in the application package. Firms with strong research capabilities in technologies, science, or engineering in any of the priority areas listed in this notice are encouraged to participate.
- **ESTIMATED NUMBER OF AWARDS:** 15
- **MAXIMUM AWARD:** \$75,000. We will reject any application that proposes a budget exceeding \$75,000 for a single budget period of six months.
- **PROJECT PERIOD:** Up to six months .
- **THE CLOSING DATE (APPLICATION DEADLINE):** **November 10, 2008**
- **PROGRAM RULES:** These grants are subject to (a) the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR part 75, 77, 81, 82, 85, 86, and 97, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs and (b) the program regulations 34 CFR part 350.
- **GRANTS.GOV APPLICATION SUBMISSION:** We encourage you to submit your application electronically. Electronic copies must be uploaded on Grants.gov by 4:30:00 pm, Washington DC time on the closing date and then processed by Grants.gov successfully. For additional information on electronic submission procedures, see the Grants.gov Submission Procedures and Tips for Applicants - Section VIII. A copy of your application must not be emailed directly to the Department. If you submit your application electronically, you must submit it electronically via Grants.gov. We strongly

suggest that you carefully check your submission to ensure that you have attached the correct files in the appropriate fields.

- **PAPER COPY APPLICATION SUBMISSION:** Applications must be postmarked by the closing date of **NOVEMBER 10, 2008**, if submitting in paper. Follow the Application Transmittal Instructions for submitting in paper or electronically which are found in section VIII. An electronic (disk) copy should be submitted with the paper application. The original of the application should be secured with a binder clip to facilitate any additional copying of the application that may be required.
- **FORMAT FOR APPLICATIONS:** Please note that additional information regarding formatting applications has been included in Section V, “Grant Application Preparation Instructions And Requirements,” of this package.
- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH:** The discretionary grant Application Form 424 (ED Supplement to the SF 424 on Grants.gov) requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the SF 424 from (ED supplement to the SF 424 on Grants.gov). You need information included in this attachment to complete the protection of human subjects’ item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the INTERNET at:

<http://www.ed.gov/about/offices/list/ocfo/gcsindex.html>

<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

- **COPIES OF THE APPLICATION:** Current Government-wide policy requires the submittal of an original and two (2) copies of the application. In addition to the submittal of the required original and two (2) copies, we ask that you voluntarily submit nine (9) additional copies to facilitate the peer review process (**12 copies in all**). **If you are submitting your application electronically, you do not need to submit paper copies of the application.**

If you have any questions about the information in this application package, please contact Lynn. Medley either by e-mail at lynn.medley@ed.gov or by telephone at (202) 245-7338. Individuals who use a telecommunications device may call the Federal Relay Service at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday.

In accord with Executive Order 13329, please be advised that in cases where there is a tie in the award selection process, priority will be given to manufacturing-related projects. For more information on Executive Order 13329, please see: <http://www.sba.gov/sbir/execorder.html>

NOTE: Please forward this entire application package to the individual or office responsible for preparing the grant application as the entire package will be needed to complete the grant application.

Thank you for your interest in this program.

Sincerely,

//Signed//

Jennifer Sheehy
Delegated the authority to carry out the
functions of the Director

SECTION II

PROGRAM OVERVIEW

II. PROGRAM OVERVIEW

A. Introduction

The U.S. Department of Education (ED), Office of Special Education and Rehabilitative Services (OSERS), National Institute on Disability and Rehabilitation Research (NIDRR) invites small business firms to submit Phase I research applications under this program announcement entitled **Small Business Innovation Research (SBIR)**. Firms with strong research capabilities in educational and assistive technologies, science, or engineering in any of the priority areas listed within are encouraged to participate. Consultative or other arrangements between such firms and universities or other non-profit organizations are permitted, but the small business must serve as the grantee.¹

The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation.

B. SBIR Program Description and Award Levels

The three phases of the SBIR program are:

Phase I. Phase I is intended to determine, insofar as possible, the scientific or technical merit and feasibility of ideas submitted under the SBIR program. The application should concentrate on research that will significantly contribute to proving the scientific or technical feasibility of the approach or concept and that would be prerequisite to further ED support in Phase II. Applications are evaluated by panels of expert reviewers based on criteria published in this program announcement. Awards are for periods **up to six months** in amounts up to **\$75,000, the maximum amount includes both direct and indirect costs and any reasonable profit/fee requested**. For FY 2009, ED anticipates making approximately 15 grant awards for CFDA number 84.133S-1.

Phase II. Phase II is intended to expand on the results of and to further pursue the development of Phase I projects. Phase II is the principal research or R&D effort. It requires a more comprehensive application, outlining the effort in detail including its commercial potential. Phase II applicants must be Phase I awardees with approaches that appear sufficiently promising as a result of Phase I. Once again, applications are evaluated based on published criteria by panels of experts.

*Awards are for periods **up to two years** in the maximum amount of \$500,000 for the two-year performance period. **This maximum amount should include both direct and indirect costs and fee.** Applicants are allowed the option to distribute the \$500,000 maximum amount for the two-year performance period in equal*

¹ A note of caution that such arrangements may be permitted as long as they do not affect the small business size, status or eligibility of the prime awardees as provided for in Definitions – “Small Business Concern.”

amounts for each budget period or to request an alternative distribution of funds. The second year of the award will be approved contingent upon submission of an annual performance report and the demonstration of adequate progress in the first year.

Both Phase I and Phase II awards may include a reasonable profit/fee. Funds requested for a profit/fee should be included in the funds specified (including any reasonable profit/fee) as requested in the Section A-Budget Summary of the application forms. The budget cannot exceed the maximum amount allowable in any budget year. Applications that exceed the maximum amount allowable in any year will not be reviewed.

Phase III. In Phase III, the small business must use non-SBIR capital to pursue commercial applications of the research or research and development. Also, under Phase III, Federal agencies may award non-SBIR follow-on funding for products or processes that meet the needs of those agencies. NIDRR does not presently participate in Phase III.

C. Authorization

The Small Business Act, Pub. L. 85-536, as amended (15 U. S. C. 631 and 638) requires certain agencies, including the Department of Education, to establish SBIR programs by reserving a statutory percentage of their extramural research and development budgets to be awarded to small business concerns for research or R&D through a uniform, highly competitive, three-phase process. The Act further requires the Small Business Administration (SBA) to issue policy directives for the general conduct of the SBIR programs within the Federal Government.

Note. -- The Small Business Innovation Research Policy Directive Notice was published in the "Federal Register" / Vol. 67, No. 185 / Tuesday, September 24, 2002 / pages 60072 – 60098. It is also available from the Small Business Administration's SBIR Web site at:

<http://www.sba.gov/sbir/birpolicydirective.html>

The SBIR policy directive guides the information and requirements set forth in this application package.

Funding for those awards issued as a result of this solicitation comes from:

Title II of the *Rehabilitation Act of 1973*, as amended, Pub. L. 105-220 (29 U.S.C. 760-764).

D. Applicant Eligibility

Each organization submitting an application **must** qualify as a **small business concern** as defined by the Small Business Administration **at the time of the award**. The complete definition is included in Section III, "Definitions."

In addition, the **primary employment of the principal investigator must** be with the small business firm at the time of award and during the conduct of the proposed research. That is, more than one-half of the principal investigator's working time must be spent with the small business firm during the period of performance. Also, for both Phase I and Phase II the research or R&D work **must** be performed in the United States. "United States" means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

Joint ventures are permitted, provided that the business entity created qualifies as a small business in accordance with the Small Business Act, 15 U.S.C. 631. For **Phase I**, the proposing firm must perform at least two-thirds of the research and/or analytic effort. Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-third of the total funding agreement price.

SBIR Eligibility Checklist

- ✓ For-profit small business concern.
- ✓ At least 51% U.S.-owned and independently operated.
- ✓ Small business located in the U.S.
- ✓ Principal investigator's primary employment with small business during the project.
- ✓ 500 or fewer employees.

Department of Education staff will examine all SBIR grant applications with the above considerations in mind. If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear, we will not make an SBIR award until the SBA provides a determination.

E. Application Limitations

An application must be limited to one priority listed in this program announcement. When an application is relevant to more than one priority, the applicant must decide which priority is most relevant and submit it under that priority only. However, there is no limitation on the number of different applications that an applicant may submit under this competition, even to the same priority. A firm may submit separate applications on different priorities, or different applications on the same priority, but each application should respond to only one priority. Duplicate applications will be returned without review.

F. Key Dates and Award Information

The Department of Education is required to participate in the Small Business Innovation Research (SBIR) program. The Government's obligation under this award is contingent upon the availability of appropriated funds from which payments are made. The Department is not bound by the estimates given below.

The Department of Education expects to make approximately 15 Phase I grant awards ranging up to \$75,000 in fiscal year 2009. *The Department expects to announce awards by mid-August to*

mid-September, 2009. The project start date should be October 1, 2009. Successful applicants have up to six (6) months to carry out the proposed Phase I effort.

For planning purposes only, ED anticipates that approximately one-third of the Phase I awardees will receive Phase II awards, depending on the results of the Phase I efforts, applicant evaluations and the availability of funds. Only Phase I grantees are eligible to apply for a Phase II award. The purpose of Phase II is to further develop ideas explored during Phase I. Specific instructions for the preparation of Phase II applications will be sent to qualifying Phase I awardees near the completion of the Phase I work.

APPLICATIONS ARE DUE ON NOVEMBER 10, 2008.

The National Institute on Disability and Rehabilitation Research is under no obligation to fund any specific application or make any specific number of awards in a given research priority area. The agency may elect to fund several or none of the proposed projects within a given priority area, and is not responsible for any monies expended by the applicant before an award.

G. Recent Changes in Legislation

Recent Changes in Legislation.

The authorizing legislation requires two (2) significant programmatic changes especially pertinent to Phase II applicants:

1. **Commercialization Plan** -- A succinct commercialization plan must be included with each proposal for an SBIR Phase II award moving toward commercialization. More specific information will be included with the Phase II program announcement.
2. **Data Collection Requirement** – Each Phase II applicant will be required to provide information for the Small Business Administration's (SBA) Tech-Net Database System (<http://technet.sba.gov>).

On February 24, 2004, President George W. Bush signed Executive Order 13229 Encouraging Innovation in Manufacturing. Executive Order 13329 requires the Federal government to do its part to assist the private sector in manufacturing innovative efforts. The law requires that agencies and departments participating in the SBIR and STTR programs do the following:

1. **Implementation** – to the extent permitted by law and in a manner consistent with the mission of that department or agency, give high priority within such program to manufacturing-related research and development; and
2. **Reporting** – submit reports annually to the Administrator of the Small Business Administration and the Director of the Office of Science and Technology Policy concerning the efforts of such department or agency to implement this order.

SECTION III
AGENCY CONTACT

III. AGENCY CONTACTS

The following table includes points of contact information for each of the ED awarding components:

AWARDING COMPONENT CONTACT INFORMATION		
AWARDING COMPONENT	PROGRAM OFFICE CONTACT	GRANTS MANAGEMENT CONTACT
Office of Special Education and Rehabilitative Services (OSERS) www.ed.gov/about/offices/list/osers	Delores Watkins Phone: 202-245-7568 E mail: delores.watkins@ed.gov	Lynn Medley Phone: 202-245-7338 E mail: lynn.medley@ed.gov

Address questions pertaining to **human subjects research issues** to:

Jeffery Rodamar

Coordinator, Protection of Human Subjects
Grants Policy Oversight Staff
U.S. Department of Education
Room 4C112 – FB6
400 Maryland Avenue, SW
Washington, DC 20202

Email: Jeffery.rodamar@ed.gov
Phone: 202-260-3353

SECTION IV
DEFINITIONS

IV. DEFINITIONS

The Small Business Administration (SBA) developed the following definitions relevant to the Small Business Innovation Research (SBIR) Program:

Applicant

The organizational entity that, at the time of award, will qualify as a Small Business Concern (SBC) and that submits a contract proposal or a grant application for a funding agreement under the SBIR Program.

Affiliate

This term has the same meaning as set forth in 13 CFR Part 121 - Small Business Size Regulations, §121.103.

Awardee

The SBC receiving an SBIR funding agreement.

Commercialization

The process of developing marketable products and/or services and producing and delivering products or services for sale (whether by the originating party or by others) to Government and/or commercial markets.

Essentially Equivalent Work

The "scientific overlap," which occurs when:

- (1) substantially the same research is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency;
- (2) substantially the same research is submitted to two or more different Federal agencies for review and funding consideration; or
- (3) a specific research objective and the research design for accomplishing an objective are the same or closely related in two or more proposals or awards, regardless of the funding source.

Extramural Budget

The sum of the total obligations for R/R&D minus amounts obligated for R/R&D activities by employees of a Federal agency in or through Government-owned, Government-operated facilities.

Feasibility

The practical extent to which a project is capable of being successfully performed.

Historically Underutilized Business Zone (HUBZone)

An SBC meeting the following criteria:

1. Located in a "historically underutilized business zone" or HUBZone area located in one or more of the following:
 - a) A qualified census tract (as defined in section 42(d)(5)(C)(i)(I) of the Internal Revenue Code of 1986;

- b) A qualified "non-metropolitan county" (as defined in section 143(k)(2)(B) of the Internal Revenue Code of 1986) with a median household income of less than 80 percent of the State median household income or with an unemployment rate of not less than 140 percent of the Statewide average, based on US Department of Labor recent data; or,
 - c) Lands within the boundaries of federally recognized Indian reservations.
2. Owned and controlled by one or more US Citizens; and,
 3. At least 35% of its employees must reside in a HUBZone.

Innovation

Something new or improved, having marketable potential, including (1) development of new technologies, (2) refinement of existing technologies, or (3) development of new applications for existing technologies.

Intellectual Property

The separate and distinct types of intangible property that are referred to collectively as "intellectual property," including but not limited to: patents, trademarks, copyrights, trade secrets, SBIR technical data (as defined in this section), ideas, designs, know-how, business, technical and research methods, and other types of intangible business assets, and including all types of intangible assets either proposed or generated by an SBC as a result of its participation in the SBIR Program.

Joint Venture

An association of persons or concerns with interests in any degree or proportion by way of contract, express or implied, consorting to engage in and carry out a single specific business venture for joint profit, for which purpose they combine their efforts, property, money, skill, or knowledge, but not on a continuing or permanent basis for conducting business generally. A joint venture is viewed as a business entity in determining power to control its management, has its own Employer Identification Number as assigned by the Internal Revenue Service, and is eligible under the SBIR Program provided that the entity created qualifies as a "SBC" as defined in this section.

Manufacturing-Related

Relating to manufacturing processes, equipment and systems, or manufacturing workforce skills and protection (as defined in Executive Order 13329.)

Principal Investigator/Project Manager

The one individual designated by the applicant to provide the scientific and technical direction to the project that will be supported by the funding agreement.

Prototype

A model of something to be further developed, which includes designs, protocols, questionnaires, software, and devices.

Research or Research and Development (R/R&D)

Any activity that is:

1. A systematic, intensive study directed toward greater knowledge or understanding of the subject studied;
2. A systematic study directed specifically toward applying new knowledge to meet a recognized need; or
3. A systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

SBIR Technical Data

Means all data generated in the performance of any SBIR funding agreement.

SBIR Technical Data Rights

The rights an SBC obtains in data generated in the performance of any SBIR funding agreement that an awardee delivers to the Government during or upon completion of a Federally-funded project, and to which the Government receives a license.

Small Business Concern

A concern that, on the date of award for both Phase I and Phase II funding agreements:

1. is organized for profit, with a place of business located in the United States, which operates primarily within the United States or which makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor;
2. is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture (as defined in this section) there can be no more than 49 percent participation by foreign business entities in the joint venture;
3. is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States; and,
4. has, including its affiliates, not more than 500 employees.

Socially and Economically Disadvantaged Individual

A member of any of the following groups:

1. Black Americans;
2. Hispanic Americans;
3. Native Americans;
4. Asian Pacific Americans
5. Subcontinent Asian Americans;
6. Other groups designated from time to time by SBA to be socially disadvantaged; or any other individual found to be socially and economically disadvantaged by SBA pursuant to Section 8(a) of the Small Business Act, 15 U.S. C. 637(a).

Subcontract

Any agreement, other than one involving an employer/employee relationship, entered into by an awardee of a funding agreement calling for supplies or services required solely for the performance of the original funding agreement.

United States

Means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

Woman-Owned Small Business Concern

A small business concern that is at least 51 percent owned and operated by a woman or women who also control an operate it. "Control" in this context means exercising the power to make policy decisions. "Operate" in this context means being actively involved in the day-to-day management.

SECTION V

GRANT APPLICATION PREPARATION INSTRUCTIONS AND REQUIREMENTS

V. GRANT APPLICATION PREPARATION INSTRUCTIONS AND REQUIREMENTS

A. Application Requirements

An application to OSERS/NIDRR under the SBIR program should present a sound approach to the investigation of an important education, technological, engineering or scientific question that it is worthy of support under the stated criteria of this program announcement.

An application should be self-contained and written with the care and thoroughness accorded to papers for publication. The applicant should review the program announcement carefully to ensure that information and data essential for evaluation are included. The scientific and technical merit of the proposed research is the primary concern for all research supported by OSERS. **[NOTE: The number of points weighted to this area is contained in the “Evaluation Criteria – Section V (B).”]**

The application's R/R&D must be responsive to the OSERS' program objectives, but it should also serve as the base for technological innovation, new commercial products, processes or services that may benefit the public. Applications must be confined principally to advanced concepts in educational and assistive technologies, scientific or engineering research or research and development.

A firm must not propose market research, patent applications, or litigation. The research may be carried out through construction and evaluation of a laboratory prototype, where necessary.

Applications primarily for the development of proven concepts toward commercialization or for market research should not be submitted because such efforts are considered the responsibility of the private sector.

B. Protection of Information in Applications

It is ED policy to use information included in applications for evaluation purposes only, and to protect such information from unauthorized use or disclosure. While this policy does not require that the application bear a notice, protection can be assured only to the extent that the “Legend” specified in “Considerations” instructions for “Rights in Data Developed Under SBIR Funding Agreements” is applied to those data that constitute trade secrets or to other commercial or financial information that is confidential or privileged. Other information may be afforded protection to the extent permitted by law, but ED assumes no liability for use and disclosure of information to which the “Legend” has not been appropriately applied.

C. Protection of Human Subjects

Research activities involving human subjects supported by awards under these programs are subject to Department of Education Regulations for the Protection of Human Subjects.

If you are applying on Grants.gov there is a separate place to include exempt and non-exempt narratives.

Applicants answering "Yes" to item 3 on form ED Supplemental to the SF 424 on Grants.gov or item 13 on form ED 424 whose research activities are nonexempt must complete the seven-point narrative on protection of human subjects. Additionally, seven point narratives are required for each participating partner if research is being conducted at other sites. You do not need IRB approval at the time of award.

Copies of the Department of Education regulations for the Protection of Human Subjects are available from the Grants Policy and Oversight Staff (GPOS), Office of the Chief Financial Officer, Washington, DC, telephone: 202-245-6154 and on the Protection of Human Subjects in research Web Site at:

www.ed.gov/about/offices/list/ocfo/humansub.html

D. Limitations on Length of Application

This program announcement is designed to reduce the investment of time and money to small firms in preparing a formal application. Those who wish to respond should submit a SBIR Phase I application narrative of **no more than 25 pages**, excluding abstract/summary/certification, any documentation of prior multiple Phase II awards, if applicable, and required forms.

The application must be clear, readily legible, and conform to the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Single space all text in the application narrative. Single space titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Draw all graphs, diagrams, tables, and charts in black ink. Do not include glossy photographs, or materials that cannot be photocopied, in the body of the application.

The Department will reject your application if--

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

In the interest of equity to all applicants, **all information must be in the 25 pages**. No appendices, other than the exclusion cited above, may be submitted and, if submitted, they will not be considered in the review of the application for scientific and technical merit.

The application should be direct, concise, and informative. Promotional and other discussion not related to the project is discouraged. The application must be primarily directed at research or R&D on the specific priority chosen

E. Phase I Application Guidance

To avoid any misunderstanding, applicants should be aware that applications not satisfying all the required instructions will be returned to the proposing organization without review.

Those applications may not be resubmitted with or without revision under this program announcement. All copies of the applications not accepted for evaluation will be returned.

1. **REQUIRED FORMS.** The instructions indicate that you can either submit your application electronically through the grants.gov system or you can mail (postmarked) or hand-deliver or by carrier services on original and two copies of your application on or before the application deadline date, to the address listed in Section VIII-Application Transmittal Instructions and Section XI Notice Inviting Applications.
2. **ONLY THE PRIMARY INSTITUTION FILLS OUT THE REQUIRED FORMS.** Any partner or collaborating groups will be a subcontractor to the primary. The only paperwork the subcontractor should complete is that required by the primary institution. You should include a letter of intent in the application from any collaborating group saying that if awarded what goals/duties they will be responsible for and the dollar amount associated with their involvement.

Application for Federal Assistance SF 424

1. Leave these blocks blank or enter N/A: **block 4**-Applicant Identifier, **block 5**-Applicant Identifier, **block 5a**- Federal Entity, **block 5b**- Federal Award Identifier, **block 6**-Date Received by State, and **block 7**,-State Application Number.
2. CFDA Number: In the title block of #11 on the SF 424 form, please note the appropriate CFDA. If applying via Grants.gov this area will populate automatically.
3. Legal Name: Block #8a is for the name of institution or entity that will be responsible for this grant if funded. If applying via Grants.gov this will match with information in the Central Contractor Registry (CCR).
4. DUNS number: It is important to verify with your fiscal office the DUNS number, which goes in Block #8c on the ED 424 form. If you do not have one, call 1-800-333-0505 to set one up. This number is required. If applying via Grants.gov you must enter the DUNS number for your organization used when it registered with the CCR.
5. Block #18a: The total amount of Federal funds requested includes both direct and indirect costs for the first year only. The totals on the ED 524 form must include direct and indirect costs and no year can be over the maximum amount.
6. Block #18b: The amount of cost share/matching that the applicant is providing. This amount should be on the "B" side of the ED 524 form and described in the budget narrative.
7. Block #18f: The amount of program income that is estimated to be generated by this application if funded. It should be described in the budget narrative.

8. EO 12372: Mark Block #19, the EO 12372 as no and not covered. This program is not covered.

ED Supplemental (If applying through Grants.gov)

9. Project Director: Block #1, Project director information. The Project Director is the primary person responsible for meeting the goals and objectives of the grant.
10. Novice applicant: Block #2. Please leave Block #6 blank. Does not apply to NIDRR programs.
11. Human Subjects: Block #3. You must include a separate 7-point narrative for each site where the research is being conducted. If you check “no”, please include a paragraph of why it is not required. IRB approval is not required at the time of award, but must be in place before research begins.

ED 524

12. **Budget Information: BE SURE TO CHECK THE MATH - the application will not be reviewed if the request for funds on block 18a of the SF 424 form, the ED 524 form or the budget justifications goes over the maximum amount for any year (direct and indirect costs).** The funding amounts requested under individual budgetary line items on the Budget Summary page of the SF 424 form must be consistent with requested funding amounts specified in the budget narrative. A detailed budget narrative is needed for the total grant period.
13. **1Project Narrative – ABSTRACT, CERTIFICATIONS, STATEMENTS, and LEGEND**
- a) **ABSTRACT.** The applicant should provide an abstract with the following two components. Nothing in this section should be proprietary or confidential.
- (1) **Technical Abstract** of no more than 200 words.
 - (2) **Summary of Anticipated Results and Potential Commercial Applications** of the research (for both Phases I and II).
- b) **CERTIFICATIONS.** The applicant should respond to the following certifications required by the Small Business Administration.

Small Business Certification --

Does the applicant certify that it is a SBC and meets the definition as stated in the program announcement or that it will meet that definition at the time of award?

Yes No

[NOTE: The next three (3) items are for statistical purposes only.]

Socially and Economically Disadvantaged SBC Certification --

Do you qualify as a socially and economically disadvantaged SBC and meet the definition as stated in this program announcement?

Yes No

Woman-owned SBC Certification --

Do you qualify as a woman-owned SBC and meet the definition as stated in this program announcement?

Yes No

HUBZone-owned SBC Certification --

Do you qualify as a HUBZone-owned SBC and meet the definition as stated in this solicitation?

Yes No

The Web site listed below contains information about the SBA's HUBZone program:

www.sba.gov/hubzone

- c) **STATEMENTS.** The applicant should respond to the following statements required by the Small Business Administration.

Duplicate Research Statement --

Has the applicant and/or Principal Investigator submitted applications/proposals for essentially equivalent work under other Federal program announcements or received other Federal awards for essentially equivalent work?

Yes No

If yes, identify applications/proposals and/or awards in "Project Narrative – RELATED APPLICATION(S) or AWARD(S)."

Disclosure Permission Statement –

Will you permit the Government to disclose the title and technical abstract page of your proposed project, plus the name, address, and telephone number of the corporate official of your firm, if your application does not result in an award, to concerns that may be interested in contacting you for further information?

Yes No

- d) **LEGEND for PROPRIETARY INFORMATION.** Information contained in unsuccessful applications will remain the property of the applicant. The Government may, however, retain copies of all applications. Public release of information in any application submitted will be subject to existing statutory and regulatory requirements.

If proprietary information provided by an applicant in an application, which constitutes a trade secret, proprietary commercial or financial information, confidential personal information, or data affecting the national security, it will be treated in confidence, to the extent permitted by law. This information **must** be clearly marked by the applicant with the term "**confidential proprietary information**" and the following **legend must** appear in this section of the application:

"These data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this application. If a funding agreement is awarded to this applicant as a result of or in connection with the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages _____ of this application."

Any other legend may be unacceptable to the Government and may constitute grounds for removing the application from further consideration, without assuming any liability for inadvertent disclosure. The Government will limit dissemination of such information to/within official channels.

- e) **DEPARTMENT OF EDUCATION STATEMENT.** The applicant should respond to the following statement:

Manufacturing-related--

Is this a manufacturing-related project?

Yes No

Project Narrative – TECHNICAL CONTENT

The subcategories of this section directly correspond to the “Evaluation Criteria” listed in this Program Announcement.

a) **Significance:**

- i) Identification and Significance of the Problem or Opportunity. Make a clear statement of the specific research problem or opportunity addressed and why it is important.
- ii) Related Research or R&D. Describe significant research or R&D that is directly related to the application, including any conducted by the principal investigator or by the applicant’s firm. Describe how it relates to the proposed effort, and describe any planned coordination with outside sources. The purpose of this section is to persuade reviewers of the applicant’s awareness of key recent developments in the specific priority area.
- iii) Potential Commercial Applications/Anticipated Societal Benefits. Briefly describe whether and by what means the proposed research also appears to have potential commercial application(s) and/or societal benefit(s). Also describe briefly whether and by what means the proposed project appears to have potential use by the Federal Government (if, in fact, it does).

b) **Quality of the Project Design:**

- i) Phase I Technical Objectives. State the specific objectives of the Phase I research or R&D effort, including the technical questions it will try to answer to determine the feasibility of the proposed approach.
- ii) Relationship with Future R&D. Discuss the significance of the Phase I effort in providing a foundation for the Phase II R&D effort. Also state the anticipated results of the proposed approach if Phases I and II are successful.
- iii) Phase I Work Plan. Include a detailed description of the Phase I research or R&D plan. The plan should indicate not only what will be done, but how the R&D will be carried out. Phase I research or R&D should address the objectives and the questions cited in 3 (b)(i) above. The methods planned to achieve each objective or task should be discussed in detail.

THE “WORK PLAN” SHOULD BE AT LEAST ONE-THIRD OF THE APPLICATION.

- iv) Human Subjects in Research. **If applicable**, include a brief narrative of human subject involvement. Projects involving research on human subjects will require grantee compliance with the Department of Education’s Protection of Human Subjects Regulations, 34 CFR Part 97. Copies of the Department of Education’s regulations for the Protection of Human Subjects are available from:

Grants Policy and Oversight Staff (GPOS)
Office of the Chief Financial Officer
Washington, DC 20202-4248
(202) 245-6154

This information is also available on the ED Web site at:

www.ed.gov/about/offices/list/ocfo/humansub.html

For a quick overview, see in particular “Information About the Protection of Human Subjects in Research Supported by the Department -- Overview.”

Please give thorough consideration for the need of any human subject involvement in the Phase I feasibility work. All human subjects in research issues **MUST** be resolved prior to a grant award.

Unless all the proposed human subjects research meets one or more of the regulation’s exemptions, awardees involving human subjects will be requested to file an “Assurance of Compliance with the Regulations” and have the project’s research protocol reviewed and approved by an Institutional Review Board (IRB). The costs related to obtaining required Institutional Review Board reviews can be included as a direct cost, provided the costs are necessary and reasonable.

YOU DO NOT NEED AN ASSURANCE OR IRB APPROVAL AS A CONDITION OF APPLYING FOR THIS AWARD.

- v. Protection of Pupil Rights Amendment (PPRA). This grant is subject to the Protection of Pupil Rights Amendment (PPRA), 20 U.S.C. 1232h, 34 CFR Part 98. PPRA is a law that governs the administration of certain Department-funded surveys. The law provides that a school district must obtain the prior written consent of a parent if the district “requires” a student to take a survey, i.e., the survey is not voluntary. In addition, the PPRA only applies to a survey if the survey asks certain types of questions (e.g., questions that reveal information about illegal behavior, psychological problems potentially embarrassing to the student, or sex behavior and attitudes). Grantees should be aware of the requirements of PPRA if they plan to use Departmental funds to develop surveys for elementary or secondary school students.

For additional information or technical assistance, you may call (202) 260-3887 (voice). Individuals who use TDD may call the Federal Relay Service at 1-800-877-8339.

Or you may contact us at the following address:

Family Policy Compliance Office
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-4605

Information is also available on the ED Web site at:

www.ed.gov/policy/gen/guid/fpc

c) Quality of Project Personnel:

- i) Key Personnel and Bibliography of Directly Related Work. Identify key personnel involved in Phase I, including their education and directly related experience, or writings. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired. Such summaries may be necessary to meet the application size limitation. Also list all other commitments that senior personnel have during the proposed period of performance.
- ii) Consultants. Involvement of consultants in the planning and research stages of the project is permitted. If such involvement is intended, it should be described in detail. [NOTE: See "Considerations" section for "Subcontracting Limits."]

d) Adequacy of Resources:

- i. Facilities and Equipment:
The conduct of advanced research may require the use of sophisticated instrumentation or computer facilities. The applicant should provide a detailed description of the availability and location of the facilities and equipment necessary to carry out Phase I.
- ii. Budget:
Use Budget Summary form (ED Form 524), to present a complete budget summary for the proposed project dates. Questions pertaining to this area can be discussed with the Grants Management Contacts listed in the "Contacts" section.

Please provide a justification for this budget by including a detailed narrative description for each budget line item.

The SBA has stated that SBIR funding agencies are to provide for a **reasonable** fee or profit on SBIR funding agreements, including grants, **consistent with normal profit margins provided to profit-making firms for R/R&D work** (SBIR "Policy Directive").

4. **Project Narrative – RELATED APPLICATION(S) or AWARD(S).**

If an applicant elects to submit identical applications or applications containing a significant amount of essentially equivalent work under other Federal program announcements, **a statement must be included** in this application indicating:

- a) The name and address of agencies to which application(s) was/were submitted or from which SBIR award(s) was/were received.
- b) The date(s) of application submission and date(s) of award.
- c) The title, number and date of SBIR program announcement under which application(s) was/were submitted or award(s) received.
- d) The applicable research priority in the program announcement for each SBIR application submitted or award received.
- e) The titles of research projects.
- f) The name and title of the principal investigator for each application submitted or award received.

WARNING

While it is permissible, with application notification, to submit identical or essentially equivalent applications for consideration under numerous Federal program announcements, it is unlawful to enter into funding agreements requiring essentially equivalent effort.

If there is any question concerning this issue, it must be disclosed to the soliciting agency or agencies before award.

5. **Project Narrative – DOCUMENTATION OF MULTIPLE PHASE II AWARDS.** A small business concern that submits a Phase I application and has received more than 15 Phase II SBIR awards, as totaled from all Federal agencies with SBIR programs, during the preceding five (5) fiscal years, **must** submit the following information for each Phase II award:

- the name of the awarding agency,
- the date of the award,
- the funding agreement number and award amount,
- the priority/topic or subtitle,
- the amount of the follow-on funding commitment, the source and the date of the commitment, and the current commercialization status.

[This required information **will not be** counted toward the application limitation of 25 pages.]

C. DUNS Number Instructions.

NOTE: Check with your fiscal office to see if your institution has an assigned DUNS before contacting Dun & Bradstreet

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

www.dnb.com/US/duns_update/index.html

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

Note: Electronic submission via Grants.gov must use DUNS number your organization used when it registered in the Central Contractor Registry.

SECTION VI

**METHOD OF SELECTION AND EVALUATION
CRITERIA**

VI. METHOD OF SELECTION AND EVALUATION CRITERIA

A. Introduction

Phase I applications will be judged on a competitive basis.

1. All applications will be **screened** to confirm that the required instructions were completed. Those applications not satisfying all the required instructions will be returned to the proposing organization without review.
2. Persons who are experts in the priority areas will evaluate applications meeting those requirements. Reviewers will include people outside the Federal Government. Each application will be judged on its own merit, according to the review criteria described below.

The Department of Education will make awards based upon these evaluation criteria and the availability of funds. In the evaluation and handling of applications, the Department will make every effort to protect the confidentiality of the application and any evaluations.

B. Evaluation Criteria for Phase I

The Secretary selects the following selection criteria in 34 CFR 75.210 to evaluate applications for new grants under this competition. The criteria below will receive the following weights. The maximum score for all of these criteria is 100 points. The weight for each criterion is indicated in parentheses. The Department of Education will make awards based upon these evaluation criteria and the availability of funds.

1. **Significance** (25 points)
 - (10 points) The significance of the problem or issue to be addressed by the proposed project.
 - (10 points) The likely utility of the products that will result from the proposed project, including the potential for their being used effectively in a variety of other settings.
 - (5 points) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.
2. **Quality of the Project Design** (50 points)
 - (10 points) The extent to which the goals, objectives and outcomes to be achieved by the proposed project are clearly specified and measurable.
 - (10 points) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.
 - (10 points) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.
 - (10 points) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives.

- (5 points) The quality of the methodology to be employed in the proposed project.
- (5 points) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

3. Quality of Project Personnel (15 points)

- (5 points) The qualifications, including relevant training and experience, of the project director or principal investigator.
- (5 points) The qualifications, including relevant training and experience, of key project personnel.
- (5 points) The qualifications, including relevant training and experience, of project consultants or subcontractors.

4. Adequacy of Resources (10 points)

- (4 points) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.
- (2 points) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
- (2 points) The extent to which the budget is adequate to support the proposed project.
- (2 points) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

C. Release of Grant Application Review Information

After final award decisions are made the Principal Investigator will be sent the technical evaluations. No one other than the Principal Investigator (and appropriate ED staff) may receive the technical evaluations.

Applicants normally receive their evaluations within six (6) to eight (8) weeks following the announcement of the awards. The identity of the reviewers will not be disclosed.

SECTION VII
CONSIDERATIONS

VII. CONSIDERATIONS

A. Reports

A final Phase I “Performance Report” **must** be submitted to the assigned Education Program Officer upon completion of the Phase I work. The report should identify the purpose of the research, and include a brief description of the research carried out, the research findings or results, and the potential applications of the research. **This project summary is to be submitted without restriction on publication and may be published by ED.** The performance report should include performance and financial expenditure information as required by the awarding Program Office.

B. Government Performance and Results Act

The Government Performance and Results Act (GPRA) of 1993 places new management expectations and requirements on Federal departments and agencies by creating a framework for more effective planning, budgeting, program evaluation, and fiscal accountability for Federal programs. The intent of the Act is to improve public confidence by holding departments and agencies accountable for achieving program results. Departments and agencies should clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement.

The purpose of the SBIR program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation. Grantees are required to report on the progress of their work throughout the award period and submit final reports to the U.S. Department of Education.

C. Innovations, Inventions and Patents

1. Rights in Data Developed Under SBIR Funding Agreements

To preserve the SBIR data rights of the awardee, the Legend (or statements) used in the SBIR Data Rights clause included in the SBIR award must be affixed to any submissions of technical data developed under that SBIR award. If no Data Rights clause is included in the SBIR award, the following legend, at a minimum, should be affixed to any data submissions under that award.

LEGEND

These SBIR data are furnished with SBIR rights under Funding Agreement No. _____ (and subcontract No. ____ if appropriate), Awardee Name _____, Address, Expiration Period of SBIR Data Rights _____. The Government may not use, modify, reproduce, release, perform, display, or disclose technical data or computer software marked with this legend for (choose four (4) or five (5) years). After expiration of the (4- or 5-year period), the Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for Government purposes, and is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of these data by third parties, except that any such data that is also protected and referenced under a subsequent SBIR award shall remain protected through the protection period of that subsequent SBIR award. Reproductions of these data or software must include this legend.”

2. Copyrights

With prior written permission of the Education Program Contact, the awardee normally may copyright and publish (consistent with appropriate national security considerations, if any) material developed with ED support. The Department of Education receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgment and disclaimer statement.

3. Patents

Small business firms normally may retain the principal worldwide patent rights to any invention developed with Government support. The Government receives a royalty-free license for Federal Government use, reserves the right to require the patent holder to license others in certain circumstances, and requires that anyone exclusively licensed to sell the invention in the United States must normally manufacture it domestically. To the extent authorized by 35 U.S.C. 205, the Government will not make public any information disclosing a Government-supported invention for a 4 year period (that may be extended by subsequent SBIR funding agreements) to allow the awardee a reasonable time to pursue a patent.

D. Subcontracting Limits – Research and Analytical Work

For **Phase I**, at least **two-thirds** of the research and/or analytic effort must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

For **Phase II**, at least **one-half** of the research and/or analytic effort must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

E. Joint Ventures or Limited Partnerships

Joint ventures and limited partnerships are permitted provided that the entity created qualifies as a small business concern as defined in this program announcement.

F. Cost-Sharing

Cost-sharing is permitted for applications under this program announcement; however, cost sharing is not required. Cost-sharing will not be an evaluation factor in consideration of your Phase I application.

G. Profit/Fee

Both Phase I and Phase II grants may include a reasonable fee or profit on SBIR funding agreements, consistent with normal profit margins provided to profit-making firms for R/R&D work.

H. American Made Equipment and Products

When purchasing equipment or a product under the SBIR funding agreement, purchase only American-made items whenever possible.

I. Standard Terms and Conditions

Upon acceptance of an award, the grantee must comply with the terms and conditions contained or referenced in the Notice of Award document. These terms and conditions, constituting legal requirements, are imposed on an awardee by statute, regulations, administrative policy, or the award document itself.

J. Additional Information

1. This program announcement is intended for informational purposes and reflects current planning. If there is an inconsistency between the information contained herein and the terms of any resulting SBIR funding agreement, then the terms of the funding agreement are controlling.
2. In the interests of those with special needs, the applicant is encouraged to develop products that include alternate formats (e.g., closed- or open-captioning for films and/or videotapes, Braille, large print, audiotape).
3. The SBIR program is not a substitute for existing unsolicited application mechanisms. The Government shall not accept unsolicited applications under the SBIR program in either Phase I or Phase II.
4. If an award is made pursuant to an application submitted under this program announcement, the grantee will be required to certify that he or she has not previously been, nor is currently being, paid for essentially equivalent work by any agency of the Federal Government.

SECTION VIII

GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS & APPLICATION TRANSMITTAL INSTRUCTIONS

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

ATTENTION

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your 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, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission,

the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/applicants/applicant_faqs.jsp#54. For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/contactus/contactus.jsp>, or use the customer support available on the Web site: http://www.grants.gov/applicants/applicant_help.jsp.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to http://www.grants.gov/applicants/applicant_help.jsp for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov http://www.grants.gov/help/submit_application_faqs.jsp.

Dial-Up Internet Connections

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. **(See the Federal Register notice for detailed instructions.)**

MAC Users

If you do not have a Windows operating System, you may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users http://www.grants.gov/help/download_software.jsp. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). Also, do not upload any password protected files to your application.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in

their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.

4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

VIII. APPLICATION TRANSMITTAL INSTRUCTIONS

Submission of Paper Applications by Mail.

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.133S-1)
400 Maryland Avenue, SW
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center – Stop 4260
Attention: (CFDA Number 84.133S-1)
7100 Old Landover Road
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or

- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: 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.

Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.133S-1)
550 12th Street, SW
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:

If you mail or hand deliver your application to the Department:

- (1) You must indicate on the envelope and — if not provided by the Department — in Item 4 of the Application for Federal Education Assistance (ED 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.
- (2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

SECTION IX

PRIORITIES

IX. PRIORITIES

For fiscal year 2009, there is one priority (with five invitational priorities) proposed by the **Office of Special Education and Rehabilitative Services (OSERS)** under CFDA Number 84.133S with awards up to \$75,000.

SBIR projects are encouraged to look to the future by exploring uses of technology to ensure equal access to education and promote educational excellence throughout the nation.

This application package includes a number of examples to illustrate the kinds of activities that could be funded under the priority. **Specific examples are listed only as examples of advanced applications or research of interest.** It is OSERS' intention to provide sufficient flexibility to obtain the greatest degree of creativity and innovation possible, consistent with overall SBIR and OSERS' program objectives.

PRIORITY 1

This priority supports research to develop methods, procedures, and rehabilitation technology that maximize the full inclusion and integration into society, employment, independent living, family and community support, and to promote economic and self-sufficiency of individuals with disabilities, especially individuals with the most significant disabilities; and improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended.

The following **five invitational priorities** relate to innovative research utilizing new technologies (including nanotechnologies and biotechnologies) to address the needs of individuals with disabilities and their families. We are particularly interested in applications that meet one of the following priorities. Under 34 CFR 75.105(c)(1), we do not give an application that meets one of these priorities a competitive or absolute preference over other applications.

These priorities are:

- (1) Development of technology to support access, promote integration, or foster independence of individuals with disabilities in the workplace, recreational activities, or educational settings.
- (2) Development of technology to enhance sensory or motor function of individuals with disabilities.
- (3) Development of technology to support access to employment, promote sustained employment, and promote employment advancement for individuals with disabilities.
- (4) Development of accessible information technology including Web access technology, software, and other systems and devices that promote access to information in educational, employment, and community settings, and voting technology that improves access for individuals with disabilities.
- (5) Development of technology to support independent access to health care services in the community for individuals with disabilities.

Applicants should describe the approaches they expect to use to collect empirical evidence that demonstrates the effectiveness of the technology they are proposing in an effort to assess the efficacy and usefulness of the technology.

SECTION X

**SCIENTIFIC AND
TECHNICAL INFORMATION SOURCES**

X. SCIENTIFIC AND TECHNICAL INFORMATION SOURCES

Certain sources can provide information that can be useful in preparing SBIR applications. The Internet sites listed below can provide you with helpful material and links to other sites.

SBIR Program-Related

SBIR State Support Entities
(historical information) www.ed.gov/programs/sbir

Small Business Administration (SBA)
Office of Technology (SBIR) www.sba.gov/sbir

Office of Special Education and Rehabilitative Services (OSERS)

OSERS Home Page www.ed.gov/offices/OSERS/

National Institute on Disability and
Rehabilitation Research www.ed.gov/about/offices/list/osers/nidrr

National Center for the Dissemination of
Disability Research www.ncddr.org

National Rehabilitation Information Center www.naric.com

General

U.S. Department of Education www.ed.gov

Education Department General
Administrative Regulations (EDGAR) www.ed.gov/policy/fund/reg/edgarReg/edgar.html

U.S. Department of Education
e-Grants System e-grants.ed.gov/egWelcome.asp

U.S. Department of Education
Grant Application and Other Forms www.ed.gov/fund/grant/apply/appforms/appforms.html

U.S. Department of Education
Technology Initiatives www.ed.gov/about/offices/list/os/technology

Educational Resources Information Center www.eric.ed.gov/resources

Small Business Administration
(SBA) Technical Resources Network
(TECH-Net) tech-net.sba.gov/

GRANT APPLICATION PACKAGE CHECKLIST

CLOSING DATE: NOVEMBER 10, 2008

CHECK:

- Have you prepared the application according to the “**type size**” and “**format**” **standards** that must be observed throughout the application?

- Does the application contain **no more than 25 pages, excluding** any documentation of prior multiple Phase II awards, if applicable; and, required forms?

- Has the **ED Supplemental and Standard Form 424** been completed according to the instructions?

- Are issues (and, if applicable, exemptions) relating to **Research Activities Involving Human Subjects** adequately addressed in item 12 of the **ED Supplemental Standard Form 424**?

- Has the **Budget Summary Form (ED Form 524)**, been completed according to the instructions?

- Have you included IN THE ABSTRACT FORM SECTION all the required components of the -- **ABSTRACT** section?
Abstracts: Technical Abstract of no more than 200 words and Summary of Anticipated Results and Potential Commercial Applications of the research (for both Phases I and II).
Certifications;
Statements; and,
Legend

- Have you addressed each of the components of the “**Technical Content and Work Plan**” **IN THE NARRATIVE** section? **NOTE: 25 Page limit.** Including –
Significance:
Quality of Project Design;
Quality of Project Personnel; and,
Adequacy of Resources
Is the Phase I “Work Plan” at least one-third of the application?

- Have you provided notification of “**Related Application(s) or Award(s)**” and “**Documentation of Multiple Phase II Awards,**” if applicable IN THE OTHER SECTION?

SECTION XI

NOTICE INVITING APPLICATION

4000-01-U

DEPARTMENT OF EDUCATION

Office of Special Education and Rehabilitative Services (OSERS)

Overview Information

National Institute on Disability and Rehabilitation Research

(NIDRR)--Small Business Innovation Research Program (SBIR)--

Phase I

Notice inviting applications for new awards for fiscal year (FY)

2009.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.133S-1.

Dates:

Applications Available: September 9, 2008.

Deadline for Transmittal of Applications: November 10, 2008.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of the U.S. Department of Education (Department) supported research results, and improve the return on investment from federally funded research for economic and social benefits to the Nation.

Note: This program is in concert with President George W. Bush's New Freedom Initiative (NFI) and NIDRR's Final Long-Range Plan for FY 2005-2009 (Plan). The NFI can be accessed on the Internet at the following site:

<http://www.whitehouse.gov/infocus/newfreedom>

The Plan, which was published in the Federal Register on February 15, 2006 (71 FR Doc 8166), can be accessed on the Internet at the following site:

<http://www.ed.gov/about/offices/list/osers/nidrr/policy.html>

Through the implementation of the NFI and the Plan, NIDRR seeks to: (1) improve the quality and utility of disability and rehabilitation research; (2) foster an exchange of expertise, information, and training to facilitate the advancement of knowledge and understanding of the unique needs of individuals with disabilities from traditionally underserved populations; (3) determine best strategies and programs to improve rehabilitation outcomes for individuals with disabilities from underserved populations; (4) identify research gaps; (5) identify mechanisms of integrating research and practice; and (6) disseminate findings.

NIDRR Supports Manufacturing-Related Innovation (Executive Order 13329):

Executive Order 13329 states that continued technological innovation is critical to a strong manufacturing sector in the

United States economy and ensures that Federal agencies assist the private sector in its manufacturing innovation efforts. The Department's SBIR program encourages innovative research and development (R&D) projects that are manufacturing-related, as defined by Executive Order 13329. Manufacturing-related R&D encompasses improvements in existing methods or processes, or wholly new processes, machines, or systems. The projects supported under the Department's SBIR program encompass a range of manufacturing-related R&D, including projects leading to the manufacture of such items as artificial intelligence or information technology devices, software, and systems. For more information on Executive Order 13329, please visit the following Web site: <http://www.sba.gov/sbir/execorder.html> or contact Lynn Medley at: lynn.medley@ed.gov

Background

The Small Business Reauthorization Act of 2000 (Act) was enacted on December 21, 2000. The Act requires certain agencies, including the Department, to establish SBIR programs by reserving a statutory percentage of their extramural R&D budgets to be awarded to small business concerns through a uniform, highly competitive three-phase process.

The three phases of the SBIR program are:

Phase I: Phase I projects determine, insofar as possible, the scientific or technical merit and feasibility of ideas

submitted under the SBIR program. An application for Phase I should concentrate on research that will significantly contribute to proving the scientific or technical feasibility of the approach or concept. Scientific or technical feasibility is a prerequisite to further support by the Department in Phase II.

Phase II: Phase II projects expand on the results of and further pursue the development of Phase I projects. Phase II is the principal R/R&D effort of the SBIR program. Applications for Phase II projects must be more comprehensive than applications for Phase I projects; Phase II applications must outline the proposed effort in detail, including the commercial potential of projects or processes developed or researched during the Phase I project. Phase II applicants must be Phase I grantees with approaches that appear sufficiently promising as a result of their efforts in Phase I. Phase II awards are for periods of up to two years in amounts up to a maximum total of \$500,000 over a period of two years.

Phase III: In Phase III, the small business grantee must use non-SBIR capital to pursue commercial applications of the R/R&D. Also, under Phase III, Federal agencies may award non-SBIR follow-on funding for products or processes that meet the needs of those agencies.

All SBIR projects funded by NIDRR must address the needs of individuals with disabilities and their families. (See 29 U.S.C.

762). Activities may include: conducting manufacturing-related R&D that encompasses improvements in existing methods or processes, or wholly new processes, machines, or systems; exploring the uses of technology to ensure equal access to education, employment, community environments, and information for individuals with disabilities; and improving the quality and utility of disability and rehabilitation research.

Priorities: Under this competition we are particularly interested in applications that address one of the following priorities.

Invitational Priorities: For FY 2009 these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets one of these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

Each of the following priorities relate to innovative research utilizing new technologies to address the needs of individuals with disabilities and their families. Applicants who choose to respond to one of the invitational priorities must propose projects whose activities contribute to one of the following outcomes:

(1) Increased independence of individuals with disabilities in the workplace, recreational settings, or educational settings

through the development of technology to support access and promote integration of individuals with disabilities.

(2) Enhanced sensory or motor function of individuals with disabilities through the development of technology to support improved functional capacity.

(3) Enhanced workforce participation through the development of technology to support access to employment, promote sustained employment, and promote employment advancement for individuals with disabilities.

(4) Enhanced community participation and living for individuals with disabilities through the development of accessible information technology including Web access technology, software, and other systems and devices that promote access to information in educational, employment, and community settings, and voting technology that improves access for individuals with disabilities.

(5) Improved interventions and increased use of health-care resources through the development of technology to support independent access to health-care services in the community for individuals with disabilities.

Applicants should describe the approaches they expect to use to collect empirical evidence demonstrating the effectiveness of the technology they are proposing. This

empirical evidence should facilitate the assessment of the efficacy and usefulness of the technology.

Note: NIDRR encourages applicants to adhere to universal design principles and guidelines. Universal design is defined as "the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design" (The Center for Universal Design, 1997). Accessible design of consumer products minimizes or alleviates barriers that reduce the ability of individuals with disabilities to effectively or safely use standard consumer products. (For more information see http://www.trace.wisc.edu/docs/consumer_product_guidelines/consumer.pcs/disabil.htm)

Reference:

The Center for Universal Design. (1997). The Principles of Universal Design, Version 2.0. Raleigh, NC: North Carolina State University. Web: www.design.ncsu.edu

Program Authority: The Small Business Act, Pub. L. 85-536, as amended (15 U.S.C. 631 and 638), and title II of the Rehabilitation Act of 1973, as amended (29 U.S.C. 760, et seq.).

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 81, 82, 84, 85, 97, 98, and 99.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$105,700,000 for the National Institute on Disability and Rehabilitation Research for FY 2009, of which we intend to use an estimated \$1,125,000 for new Phase I awards under the SBIR program. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Note: The estimated amount of funds available for new Phase I awards is based upon the estimated threshold SBIR allocation for OSERS, minus prior commitments for Phase II continuation awards.

Estimated Range of Awards: \$70,000-\$75,000.

Estimated Average Size of Awards: \$75,000.

Maximum Award: We will reject any application that proposes a budget exceeding \$75,000 for a single budget period of up to six months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Note: The maximum award amount includes direct and indirect costs and fees.

Estimated Number of Awards: 15.

Note: The Department is not bound by any estimates in this notice.

Maximum Project Period: We will reject any application that proposes a project period that exceeds a single budget period of up to six months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum project period through a notice published in the Federal Register.

III. Eligibility Information

1. Eligible Applicants: Entities that are, at the time of award, small business concerns as defined by the Small Business Administration (SBA). This definition is included in the application package.

All technology, science, or engineering firms with strong research capabilities in any of the priority areas listed in this notice are encouraged to participate. Consultative or other arrangements between these firms and universities or other non-profit organizations are permitted, but the small business concern must serve as the grantee. For Phase I projects, at least two-thirds of the research and/or analytic activities must be performed by the proposing small business concern.

Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-third of the total funding award.

If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear,

we will not make an SBIR award until the SBA makes a determination.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address:

<http://www.ed.gov/fund/grant/apply/grantapps/index.html>

To obtain a copy from ED Pubs, write, fax, or call the following: Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398. Telephone, toll free: 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also:

www.ed.gov/pubs/edpubs.html or at its e-mail address:

edpubs@inet.ed.gov

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.133S-1.

Individuals with disabilities can obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the

person listed under Alternative Format in section VIII of this notice.

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative (Part III) to the equivalent of no more than 25 pages, excluding any documentation of prior multiple Phase II awards, if applicable, and required forms, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

- Single space all text in the application narrative. Single space titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the coversheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or

the one-page abstract, the resumes, the bibliography, the letters of support; related application(s) or award(s); or documentation of multiple Phase II awards, if applicable. However, the page limit does apply to all of the application narrative section (Part III).

We will reject your application if you exceed the page limit.

The application package will provide instructions for completing all components to be included in the application. Each application must include a cover sheet (Standard Form 424); budget requirements (ED Form 524) and narrative justification; other required forms; an abstract, Human Subjects narrative, Part III narrative; resume of staff; and other related materials, if applicable.

3. Content Restrictions: If an applicant chooses to respond to more than one invitational priority, the applicant must submit a separate application for each priority. There is no limitation on the number of different applications that an applicant may submit under this competition. An applicant may submit separate applications on different priorities, or different applications on the same priority. However, an applicant may address only one priority in an application. The Plan is organized around the following research domains and arenas: (1) Community Living and Participation; (2) Health and

Function; (3) Technology; (4) Employment; and (5) Demographics. Applicants should indicate, for each application, the domain or arena under which they are applying. In their applications, applicants should clearly indicate whether they are applying for a research grant in the area of (1) Community Living and Participation; (2) Health and Function; (3) Technology; (4) Employment; or (5) Demographics. No more than one designation should be selected for each application.

4. Submission Dates and Times:

Applications Available: September 9, 2008.

Deadline for Transmittal of Applications: November 10, 2008.

Applications for grants under this competition may be submitted electronically using the Grants.gov Apply site (Grants.gov), or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery, please refer to section IV. 7. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII in this notice. If the Department provides an

accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

5. Intergovernmental Review: This program is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

6. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section in this notice.

7. Other Submission Requirements: Applications for grants under this program may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

To comply with the President's Management Agenda, we are participating as a partner in the Governmentwide Grants.gov Apply site. The SBIR Program, CFDA Number 84.133S-1, is included in this project. We request your participation in Grants.gov.

If you choose to submit your application electronically, you must use the Governmentwide Grants.gov Apply site at <http://www.Grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

You may access the electronic grant application for the SBIR Program at: <http://www.Grants.gov> You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.133, not 84.133S).

Please note the following:

- Your participation in Grants.gov is voluntary.
 - When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
 - Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see http://www.grants.gov/applicants/get_registered.jsp). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-

S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.
- If you submit your application electronically, you must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).
- If you submit your application electronically, you must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file

types specified in this paragraph or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.
- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of

technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII in this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if

the technical problem you experienced is unrelated to the Grants.gov system.

b. Submission of Paper Applications by Mail.

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.133S-1)
400 Maryland Avenue, SW
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center, Stop 4260
Attention: (CFDA Number 84.133S-1)
7100 Old Landover Road
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: 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.

c. Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.133S-1)
550 12th Street, SW
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

Selection Criteria: The selection criteria for this competition are from 35 CFR 75.210 of EDGAR and are listed in the application package.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notice (GAN). We may notify you informally, also. If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements:

We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section in this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

4. Performance Measures: To evaluate the overall success of its research program, NIDRR assesses the quality of its funded projects through review of grantee performance and

products. Each year, NIDRR examines, through expert review, a portion of its grantees to determine:

- The degree to which the grantees are conducting high-quality research, as reflected in the appropriateness of study designs, the rigor with which accepted standards of scientific and engineering methods are applied, and the degree to which the research builds on and contributes to the level of knowledge in the field; and

- The number of new or improved assistive and universally designed technologies, products, and devices developed by grantees that are deemed to improve rehabilitation services and outcomes, enhance opportunities for participation by individuals with disabilities, and are successfully transferred to industry or other private entities for potential commercialization.

VII. Agency Contact

For Further Information Contact: Lynn Medley, U.S. Department of Education, 400 Maryland Avenue, SW, room 6027, Potomac Center Plaza, Washington, DC 20202-2700.

Telephone: (202) 245-7338 or by e-mail: Lynn.Medley@ed.gov

If you use a TDD, call the TDD number at (202) 205-4475.

VIII. Other Information

Alternative Format: Individuals with disabilities can obtain this document and a copy of the application package in an

alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, SW, room 5075, PCP, Washington, DC 20202-2550.

Telephone: (202) 245-7363. If you use a TDD, call the Federal Relay Service, toll free, at 1-800-877-8339.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, D.C. area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

www.gpoaccess.gov/nara/index.html

Dated:

//Signed//
Tracy R. Justesen,
Assistant Secretary for Special
Education and Rehabilitative
Services.

SECTION XII
FORM INSTRUCTIONS

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:						
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.						
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.						
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <table style="margin-left: 20px; border: none;"> <tr> <td>A. Increase Award</td> <td>B. Decrease Award</td> </tr> <tr> <td>C. Increase Duration</td> <td>D. Decrease Duration</td> </tr> <tr> <td colspan="2">E. Other (specify)</td> </tr> </table> 	A. Increase Award	B. Decrease Award	C. Increase Duration	D. Decrease Duration	E. Other (specify)		12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		A. Increase Award	B. Decrease Award						
		C. Increase Duration	D. Decrease Duration						
E. Other (specify)									
13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.								
14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.								
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.						
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.								
5a	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s)						

Item	Entry:	Item	Entry:		
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 th district, NC-103 for North Carolina's 103 rd district. <ul style="list-style-type: none"> If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. 		
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.				
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.				
8.	Applicant Information: Enter the following in accordance with agency instructions: <p>a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p> <p>b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p>c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p>d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.		
		18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.		
		19.	Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State		
		20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.		
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions . <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; vertical-align: top;"> A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization </td> <td style="width: 50%; vertical-align: top;"> M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than </td> </tr> </table>	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than	21.	Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than				

Item	Entry:		Item	Entry:	
	F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)			

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. Novice Applicant. Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

3. Human Subjects Research. (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

If Not Human Subjects Research. Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

If Human Subjects Research. Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.

Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.

Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

3a. Human Subjects Assurance Number.

If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for

funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

Paperwork Burden Statement.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to:

Joyce I. Mays
Application Control Center
U.S. Department of Education
550 12th Street, SW, Room PCP 7076
Washington, DC 20202-4260.

DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

(Attachment to Instructions for Supplemental Information for SF 424)

Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without

exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.
- (6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special

classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: www.ed.gov/about/offices/list/OCFO/humansub.html

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the

comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.***

[Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 13 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 13 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 13 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or

professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

INSTRUCTIONS FOR ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office.

- (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.
- (2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other,” specify the name of the Federal agency that issued the approved agreement.
- (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2).

Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)]

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's Web site at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0004. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202.

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Paperwork Reduction Act

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

ESTIMATED PUBLIC REPORTING BURDEN

According to the *Paperwork Reduction Act* of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0012. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Lynn Medley, National Institute on Disability and Rehabilitation Research, U.S. Department of Education, Room 6027, PCP Building, 400 Maryland Avenue, Washington, D.C. 20202.

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center
(202) 245-6288

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page www.ed.gov