

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

**FY 2008 APPLICATION PACKAGE  
FOR RECOMPETE OF NEW GRANTS UNDER  
THE NATIONAL INSTITUTE ON DISABILITY AND  
REHABILITATION RESEARCH**

**REHABILITATION ENGINEERING  
RESEARCH CENTERS (RERC)**

**RERC FOR ACCESSIBLE PUBLIC TRANSPORTATION  
(CFDA NUMBER 84.133E-3)**



**FORM APPROVED  
OMB No. 1820-0027, EXP. DATE 04/30/2010  
SF FORM 424, 10/31/2009**

**DATED MATERIAL - OPEN IMMEDIATELY  
CLOSING DATE: AUGUST 1, 2008**

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**SECTION  
A**

**DEAR APPLICANT LETTER**

June 17, 2008

Dear Applicant:

The Secretary invites applications for a re-compete of a new award for fiscal year (FY) 2008 under the Rehabilitation Engineering Research Centers (RERC) program for Accessible Public Transportation (CFDA Number 84.133E-3). None of the applications we received for this competition were successful. Accordingly, we are inviting applications for another competition using this priority. The competition will only be open for 45 days and we are suggesting submitting electronically through Grants.gov.

The purpose of the RERC program is to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended, by conducting advanced engineering research and development on innovative technologies that are designed to solve particular rehabilitation problems, or remove environmental barriers. RERCs also demonstrate and evaluate such technologies, facilitate service delivery system changes, stimulate the production and distribution of new technologies and equipment in the private sector, and provide training opportunities.

This application package contains information and the required forms for potential applicants to re-apply and be considered for a FY 2008 grant award under this competition, including the published Federal Register notice dated Tuesday, June 17, 2008. The background statement from the Notice of Proposed Priorities is in Section D.

Potential applicants are advised to read the materials in this application package carefully. Please pay particular attention to the information on the types of organizations that are eligible to apply for these grants, how to prepare an application, the dollar amount for any year, the protection of human subjects, and the selection criteria. Applications must be responsive to the absolute priority in Section C and the general requirements for the RERC program in Section E. The application narrative should be written in the order of the selection criteria in Section F. The selection criteria will be used by the reviewers to evaluate the application.

**Include a one page abstract.** The abstract is a critical component of the proposal, and it should describe the purpose, target population to be served during the project period, planned goals and objectives, proposed methodological approach, and anticipated project outcomes.

It is critical that proposals describe expected public benefits, especially benefits for individuals with disabilities and propose projects that are designed to demonstrate outcomes that are consistent with the proposed goals.

#### Award Amounts, Indirect Cost, and Cost Share

We will reject any application that proposes a budget exceeding \$950,000 for a single budget period of 12 months for an RERC on Accessible Public Transportation (CFDA Number - 84.133E-3). This program has no restrictions on indirect cost – use your federally negotiated rate. Cost share is not required, but if contributing it as a voluntary match, it should be included in the proposal and budget (ED 524, side B and the budget narrative).

### Application Submission:

The instructions indicate that you can either submit your application electronically through the grants.gov system or by mail, hand-delivery or carrier service. You must submit one original and two copies of your application on or before the application deadline date, to the address listed in Section B, Notice Inviting Applications (NIA) and repeated in Section J - Application Transmittal Instructions.

### If you are submitting by mail, hand-delivery or carrier service

Applications must be postmarked by the closing date of **Friday, August 1, 2008**, if submitting by mail, hand-delivery or carrier service. Follow the Application Transmittal Instructions for submitting in paper found in the NIA (Section B) or repeated in Section J if submitting by mail, hand-delivery or carrier service. Please include an electronic copy (disk) with your application. NIDRR would appreciate your including 9 additional copies of your application to facilitate the peer review process (12 copies in all). Also, we would like to suggest that the original copy of the application be secured with a binder clip to facilitate any additional copying that might be required.

### If you are submitting electronically

We encourage you to submit your application electronically. Electronic copies must be fully uploaded on Grants.gov and then processed by Grants.gov to the Department of Education successfully by 4:30:00 pm, Washington DC time on the closing date. It may take up to several hours for this process. Please allow several hours or a full day because, if there is a submission error, time will be needed to correct the error and resubmit either electronically or by paper to meet the deadline time and date. For additional information on electronic submission procedures, see the Grants.gov Submission Procedures and Tips for Applicants (Section J). Do not e-mail a copy of your application directly to the Department; electronic submissions can only be made to Grants.gov. We strongly suggest that you carefully check your submission to ensure that you have attached the correct files in the appropriate fields.

**We encourage you to read Section J -- Grants.gov Submission Procedures and Tips for Applicants**

### PROGRAM REGULATIONS

These grants are subject to the requirements of the Education Department General Administrative Regulations (EDGAR), in 34 CFR Parts 74, 75, 77, 80, 81, 82, 84, 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.

## TECHNICAL ASSISTANCE

Pre-Application Meeting: A pre-application meeting will be held between 1:00 p.m. and 3:00 p.m. on Wednesday, July 9, 2008 by teleconference. Interested parties are invited to participate in the pre-application meeting to discuss the funding priority and to receive information and technical assistance. You must contact Donna Nangle by email at [Donna.Nangle@ed.gov](mailto:Donna.Nangle@ed.gov) by Monday, July 7, 2008 in order to participate in this meeting. NIDRR staff also will be available to provide information and technical assistance via individual phone consultations from 3:30 p.m. to 4:30 p.m. on July 9, 2008. Requests for individual consultations during this one hour window must be made in advance to Donna Nangle.

If you have any questions about the information in this application package, please contact Donna Nangle at [Donna.Nangle@ed.gov](mailto:Donna.Nangle@ed.gov) or by telephone at (202) 245-7462. Individuals who use a telecommunications device (TDD) may call the Federal Relay Service (FRS) at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday.

If you need help with Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

**NOTE**: Please forward this entire application package to the individual or office responsible for preparing an application, as they will need the entire package to complete the grant application.

We have included an abbreviated version of the February 1, 2008 Notice of Final Priorities. To see the complete version of the Notice of Final Priorities, please see <http://www.ed.gov/legislation/FedRegister/finrule/2008-1/020108a.html>.

Thank you for your interest in these programs.

Sincerely,

Jennifer Sheehy,  
Delegated the Authority to Carry Out the  
Functions of the Director of NIDRR,

**SECTION  
B**

**FEDERAL REGISTER NOTICE INVITING  
APPLICATIONS FOR NEW AWARDS  
FOR THE REHABILITATION ENGINEERING  
RESEARCH CENTERS (RERC)**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Special Education and Rehabilitative Services Overview  
Information

National Institute on Disability and Rehabilitation Research (NIDRR)--  
Disability and Rehabilitation Research Projects and Centers Program--  
Rehabilitation Engineering Research Centers (RERCs)--Accessible Public  
Transportation

Notice inviting applications for new awards for fiscal year (FY) 2008.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.133E-3.

Dates:

Applications Available: June 17, 2008.

Deadline for Transmittal of Applications: August 1, 2008.

Date of Pre-Application Meeting: July 9, 2008.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the RERC program is to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended, by conducting advanced engineering research and development on innovative technologies that are designed to solve particular rehabilitation problems, or remove environmental barriers. RERCs also demonstrate and evaluate such technologies, facilitate service delivery system changes, stimulate the production and distribution of new technologies and equipment in the private sector, and provide training opportunities.

Additional information on the RERC program can be found at:

<http://www.ed.gov/rschstat/research/pubs/res-program.html#RERC>

Priority: The Accessible Public Transportation priority is from the notice of final priorities for the Disability and Rehabilitation Research Projects and Centers Program, published in the Federal Register on February 1, 2008 (73 FR 6132).

Note: On February 1, 2008, we also published a notice in the Federal Register (73 FR 6166) inviting applications for a number of competitions, including one using the Accessible Public Transportation



priority. None of the applications we received for the Accessible Public Transportation competition announced in that notice were successful. Accordingly, through this notice, we are inviting applications for another competition using the Accessible Public Transportation priority.

Absolute Priority: For FY 2008, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

RERC on Accessible Public Transportation.

Program Authority: 29 U.S.C. 762(g) and 764(b)(3).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 85, 86, and 97. (b) The regulations for this program in 34 CFR part 350. (c) The notice of final priorities for the Disability and Rehabilitation Research Projects and Centers Program, published in the Federal Register on February 1, 2008 (73 FR 6132, 6144).

Note: The regulations in 34 CFR part 86 apply to institutions of higher education (IHEs) only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$950,000.

Estimated Range of Awards: \$947,999 - \$950,000.

Maximum Award: We will reject any application that proposes a budget exceeding \$950,000 for a single budget period of 12 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 amount includes direct and indirect costs.

Estimated Number of Awards: 1.

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

Project Period: Up to 60 months.

## III. Eligibility Information

1. Eligible Applicants: States; public or private agencies, including for-profit agencies; public or private organizations,

including for-profit organizations; IHEs; and Indian tribes and tribal organizations.

2. Cost Sharing or Matching: This competition 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](http://www.ed.gov/pubs/edpubs.html) or at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA Number 84.133E-3.

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 or team 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. We recommend that you limit Part III to the equivalent of no more than 125 pages, 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.

- Double space (no more than three lines per vertical inch) all text in the application narrative. Single spacing may be used for 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 recommended page limit does not apply to Part I, the cover sheet; 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, or the letters of support. However, the recommended page limit does apply to all of the application narrative section (Part III).

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; resumes of staff; and other related materials, if applicable.

### 3. Submission Dates and Times:

Applications Available: June 17, 2008.

Deadline for Transmittal of Applications: August 1, 2008.

Date of Pre-Application Meeting: Interested parties are invited to participate in a pre-application meeting and to receive information and technical assistance through individual consultation with NIDRR staff. The pre-application meeting will be held on July 9, 2008.

Interested parties may participate in this meeting by conference call with NIDRR staff from the Office of Special Education and Rehabilitative Services between 1:00 p.m. and 2:30 p.m., Washington, DC time. NIDRR staff also will be available from 3:00 p.m. to 4:00 p.m., Washington, DC time, on the same day, by telephone, to provide information and technical assistance through individual consultation. For further information or to make arrangements to participate in the meeting via conference call or for an individual consultation, contact Donna Nangle, U.S. Department of Education, Potomac Center Plaza

(PCP), room 6029, 550 12th Street, SW., Washington, DC 20202.

Telephone: (202) 245-7462 or by e-mail: Donna.Nangle@ed.gov

Applications for grants under this program 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. 6. 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.

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

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

6. 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 Rehabilitation Engineering Research Centers competition, CFDA number 84.133E-3, 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 Rehabilitation Engineering Research Centers competition--CFDA number 84.133E-3 at <http://www.Grants.gov> You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.133, not 84.133E-3).

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](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 84.133E-3)  
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 84.133E-3)  
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 84.133E-3)  
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

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 350.54 and are listed in the application package.

2. Review and Selection Process: Additional factors we consider in determining the merits of an application are as follows--

The Secretary is interested in outcomes-oriented research or development projects that use rigorous scientific methodologies. To address this interest, applicants are encouraged to articulate goals, objectives, and expected outcomes for the proposed research or development activities. Proposals should describe how results and planned outputs are expected to contribute to advances in knowledge, improvements in policy and practice, and public benefits for individuals with disabilities. Applicants should propose projects that are designed to be consistent with these goals. We encourage applicants to include in their application a description of how results will measure progress towards achievement of anticipated outcomes (including a discussion of measures of effectiveness), the mechanisms that will be used to evaluate outcomes associated with specific problems or issues, and how the proposed activities will support new intervention approaches and strategies. Submission of the information identified in this section V. 2. Review and Selection Process is voluntary, except where required by the selection criteria 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 Notification (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>

Note: NIDRR will provide information by letter to grantees on how and when to submit the final performance report.

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 a portion of its grantees to determine:

- The percentage of newly-awarded NIDRR projects that are multi-site, collaborative, controlled studies of interventions and programs.
- The number of accomplishments (e.g., new or improved tools, methods, discoveries, standards, interventions, programs, or devices) developed or tested with NIDRR funding that have been judged by expert panels to be of high quality and to advance the field.
- The number of new or improved NIDRR-funded assistive and universally designed technologies, products, and devices transferred to industry for potential commercialization.
- The average number of publications per award based on NIDRR-funded research and development activities in refereed journals.

- The percentage of new grants that include studies funded by NIDRR that assess the effectiveness of interventions, programs, and devices using rigorous methods.

NIDRR uses information submitted by grantees as part of their annual performance reports in support of these performance measures.

Updates on the Government Performance and Results Act of 1993 (GPRA) indicators, revisions, and methods appear on the NIDRR Program Review Web site:

<http://www.neweditions.net/pr/commonfiles/pmconcepts.htm>

Grantees should consult this site on a regular basis to obtain details and explanations on how NIDRR programs contribute to the advancement of the Department's long-term and annual performance goals.

#### VII. Agency Contact

For Further Information Contact: Donna Nangle, U.S. Department of Education, 400 Maryland Avenue, SW., room 6029, PCP, Washington, DC 20202. Telephone: (202) 245-7462 or by e-mail: [Donna.Nangle@ed.gov](mailto:Donna.Nangle@ed.gov)

If you use a TDD, call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

#### 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 FRS, 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](http://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, DC, 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](http://www.gpoaccess.gov/nara/index.html)

Dated: June 17, 2008

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

# **SECTION C**

## **FEDERAL REGISTER FINAL PRIORITY NOTICE**

**Including the priority for the:**

**RERC FOR ACCESSIBLE PUBLIC TRANSPORTATION (CFDA NUMBER 84.133E-3)**

NOTE: For your information the DRRP - Priority 6--Center on Knowledge Translation for Technology Transfer is included in the RERC abbreviated NFP version.

This is an abbreviated version of the NFP. To see the complete version with all of the other priorities, including DRRPs (133A) , RRTCs (133B), and RERCs (133E) – Please go to <http://www.ed.gov/legislation/FedRegister/finrule/2008-1/020108a.html>

4000-01-U

DEPARTMENT OF EDUCATION

National Institute on Disability and Rehabilitation Research--  
Disability and Rehabilitation Research Projects and Centers Program--  
Disability Rehabilitation Research Projects (DRRPs), Rehabilitation  
Research and Training Centers (RRTC's), and Rehabilitation Engineering  
Research Centers (RERCs)

AGENCY: Office of Special Education and Rehabilitative Services  
(OSERS), Department of Education.

ACTION: Notice of final priorities for DRRPs, RRTC's, and RERCs.

SUMMARY: The Assistant Secretary for Special Education and  
Rehabilitative Services announces certain funding priorities for the  
Disability and Rehabilitation Research Projects and Centers Program  
administered by the National Institute on Disability and  
Rehabilitation Research (NIDRR). Specifically, this notice announces  
nine priorities for DRRPs, five priorities for RRTC's, and six  
priorities for RERCs. The Assistant Secretary may use these  
priorities for competitions in fiscal year (FY) 2008 and later years.  
We take this action to focus research attention on areas of national  
need. We intend these priorities to improve rehabilitation services  
and outcomes for individuals with disabilities.

EFFECTIVE DATE: These priorities are effective March 1, 2008.

FOR FURTHER INFORMATION CONTACT: Donna Nangle, U.S. Department of  
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diskette) on request to the contact person listed under FOR FURTHER  
INFORMATION CONTACT.

SUPPLEMENTARY INFORMATION:

We published a notice of proposed priorities (NPP) for NIDRR's Disability and Rehabilitation Research Projects and Centers Program in the Federal Register on August 31, 2007 (72 FR 50516). The NPP included a background statement that described our rationale for each priority proposed in that notice.

In this notice, we are announcing nine priorities for DRRPs, five priorities for RRTCs, and six priorities for RERCs.

For DRRPs, the final priorities are:

- Priority 1--Health Care Coordination for Individuals With Physical Disabilities.
- Priority 2--Health and Health Care Disparities Among Individuals With Disabilities.
- Priority 3--Traumatic Brain Injury Model Systems (TBIMS) Centers Collaborative Research Projects.
- Priority 4--Classification and Measurement of Medical Rehabilitation Interventions.
- Priority 5--Vocational Rehabilitation Service Models for Individuals With Autism Spectrum Disorders.
- Priority 6--Center on Knowledge Translation for Technology Transfer.
- Priority 7--Asset Accumulation and Economic Self-Sufficiency for Individuals With Disabilities.
- Priority 8--Technology Access in Resource-Limited Environments.
- Priority 9--Research and Knowledge Translation Center for Individuals With Disabilities and Their Families.

For RRTCs, the final priorities are:

- Priority 10--General Rehabilitation Research and Training Center (RRTC) Requirements.
- Priority 11--Personal Assistance Services (PAS) in the 21st Century.
- Priority 12--Disability Statistics and Demographics.



- Priority 13--Health and Function Across the Lifespan of Individuals With Intellectual and Developmental Disabilities.

- Priority 14--Community Living and Employment for Individuals With Intellectual and Developmental Disabilities.

For RERCs, the final priorities are:

- Priority 15--RERC for Hearing Enhancement.
- Priority 16--RERC for Accessible Public Transportation.
- Priority 17--RERC for Prosthetics and Orthotics.
- Priority 18--RERC for Communication Enhancement.
- Priority 19--RERC for Universal Interface and Information Technology Access.

- Priority 20--RERC for Wheeled Mobility.

The Department is not finalizing certain priorities that were proposed in the NPP; we identify those priorities in the Analysis of Comments and Changes section of this notice of final priorities (NFP). The Department intends to revisit some of the priorities not being finalized in this NFP and to publish revised versions of those priorities in one or more separate notices of proposed priorities.

There are also other differences between the NPP and this NFP. Specifically, we have made changes to the following priorities: Priority 3--Traumatic Brain Injury Model Systems (TBIMS) Centers Collaborative Research Projects (Proposed Priority 4 in the NPP); Priority 6--Center on Knowledge Translation for Technology Transfer (Proposed Priority 7--Center on Knowledge Translation for Assistive Technology Transfer in the NPP); Priority 8--Technology Access in Resource-Limited Environments (Proposed Priority 9--Technology Transfer in Resource-Limited Environments in the NPP); Priority 9--Research and Knowledge Translation Center for Individuals With Disabilities and Their Families (Proposed Priority 10 in the NPP); Priority 10--General Rehabilitation Research and Training Center (RRTC) Requirements (Proposed Priority 11 in the NPP); Priority 11--Personal Assistance Services (PAS) in the 21st Century (Proposed Priority 15 in the NPP); Priority 14--Community Living and Employment for Individuals With Intellectual and Developmental Disabilities

(Proposed Priority 21--Participation and Community Living for Individuals With Intellectual and Developmental Disabilities in the NPP); and Priority 15--RERC for Hearing Enhancement (Proposed Priority 22 in the NPP).

### **Analysis of Comments and Changes**

In response to our invitation in the NPP, 90 parties submitted comments on the proposed priorities that are announced in this NFP.

An analysis of the comments and the changes in the priorities since the publication of the NPP follows. We discuss substantive issues under the priorities to which they pertain.

Generally, we do not address technical and other minor changes, or suggested changes the law does not authorize us to make under the applicable statutory authority. In addition, we do not address general comments that raised concerns not directly related to the proposed priorities.

### **DRRPs**

#### **Priority 6--Center on Knowledge Translation for Technology Transfer (Proposed Priority 7)**

Comment: None.

Discussion: NIDRR decided, upon review of the proposed priority, that limiting the activities of this priority to assistive technology was too restrictive because it would not allow applicants to focus on the range of technology developed by NIDRR funding.

Changes: The priority title has been changed to "Center on Knowledge Translation for Technology Transfer."

Comment: None.

Discussion: Upon further review of this priority, NIDRR has determined that the list of technology areas specified in the second paragraph is not fully inclusive of all technology areas covered by NIDRR's research portfolio, and that it, therefore, should not be a basis for limiting the scope of original research carried out by the Center.

Changes: We have revised the second paragraph of the priority by deleting the brief list of technology areas. We have clarified the language to indicate that the Center's original research and

development must concentrate on no more than three technology areas that are the focus of current NIDRR technology grantees. Information on technology research funded by NIDRR can be found at <http://www.naric.com/research/pd/priority.cfm>. Each applicant must define and justify its focus. The peer review panel will evaluate the merits of each proposal under this priority.

Comment: One commenter noted that requiring a grantee under this priority to focus on no more than three technology areas limits the usefulness of the Center. With this restriction, the commenter argued, the grantee would not be able to provide training and technical assistance to RERCs and other technology-related NIDRR grantees whose research and development activities fall outside of the selected technology areas.

Two other commenters expressed a concern that, by focusing only on technology produced with NIDRR resources, this priority lacked a broad approach to transferring technology for use by people with disabilities.

Discussion: NIDRR believes that limiting the Center's original research and development activities under this priority to specific technology areas that are the focus of current NIDRR-technology grantees is appropriate and that this limitation does not diminish the usefulness of the Center. Information on technology research funded by NIDRR can be found at <http://www.naric.com/research/pd/priority.cfm>.

The purpose of this priority is three-fold: (1) identifying and compiling existing information on how the results of scientifically-based research can be used to develop and improve technology for persons with disabilities (pursuant to paragraphs (a)(1) and (b)(1) of the priority), (2) conducting research and development in a limited number of specific technology areas (pursuant to paragraphs (a)(2), (b)(2), and (b)(3) of the priority), and (3) providing training and technical assistance to NIDRR-funded technology grantees to help them enhance their technology transfer activities.

The limitation on how many technology areas on which a Center may focus only applies to its original research and development. We

believe this limitation helps ensure the feasibility and quality of the proposed projects and increases the likelihood of achieving planned outcomes by ensuring that funding is not spread across too many projects. NIDRR understands that the findings from the Center's original research may not be applicable to the work of all NIDRR-funded technology grantees. However, we believe that the Center's compilation of existing research on the knowledge translation for technology transfer will enable it to provide all of NIDRR's research grantees with technical assistance on knowledge translation for technology transfer more generally.

In response to the two commenters' concerns about the priority's limited approach to transferring technology for individuals with disabilities, we acknowledge that the training and technical assistance components of this priority are designed to assist current NIDRR technology grantees with their technology transfer activities. NIDRR believes that it is critical to ensure that the results of its investment in technology are transferred to practitioners and ultimately to the individuals with disabilities who can benefit from these technological developments.

Changes: NIDRR has revised the second paragraph of the priority to clarify that the limit on technology areas only applies to the original research and development conducted by the Center. In addition, we have revised this paragraph to clarify that NIDRR intends that the information identified and collected by the Center in accordance with paragraphs (a)(1) and (b)(1) of the priority will serve as a knowledge base for the training and technical assistance to be provided to NIDRR technology grantees.

Comment: Two commenters suggested that paragraph (c) of the priority should be clarified to articulate the role of NIDRR-funded technology grantees who are to receive the training and technical assistance provided by the Center, including RERCs that will be funded in FY 2008. These commenters expressed concern that the Center would not be able to ensure the outcome of increased utilization of validated best practices pursuant to paragraph (c) of the priority if NIDRR-funded

technology grantees are not required to receive and implement the training and technical assistance offered by the Center.

Discussion: According to the priority, the Center must contribute to--not ensure--the outcome of increased utilization of validated best practices for knowledge translation for technology transfer. Toward that end, this priority describes the training and technical assistance that must be provided by the Center. The priority cannot specify the role or requirements of previously-funded NIDRR technology grantees. To promote the training and technical assistance provided by the Center, NIDRR will facilitate and coordinate effective collaborative relationships between the Center and NIDRR-funded technology grantees through its project monitoring efforts.

Changes: None.

#### **RERCs**

General

Comment: Two commenters asked whether the Department has a mechanism for ensuring that RERCs comply with the NIDRR requirement that all RERCs collaborate with the Center on Knowledge Translation for Technology Transfer to develop a technology transfer plan (paragraph (6) of the RERC priorities).

Discussion: All RERCs must propose methods for collaborating with the Center on Knowledge Translation for Technology Transfer, as specified in paragraph (6) of the RERC priorities. The peer review panel will evaluate the merits of the proposals received under the RERC priorities. Once RERC awards are made, NIDRR staff will facilitate and promote collaborative relationships between the RERCs and the Center on Knowledge Translation for Technology Transfer to help ensure that this collaboration occurs.

Changes: None.

**NOTE: No comments were received for Priority 16--RERC for Accessible Public Transportation.**

Note: This notice does not solicit applications. In any year in which we choose to use one or more of these final priorities, we invite applications through a notice in the Federal Register. When inviting applications, we designate each priority as absolute,

competitive preference, or invitational. The effect of each type of priority follows:

Absolute priority: Under an absolute priority, we consider only applications that meet the priority (34 CFR 75.105(c)(3)).

Competitive preference priority: Under a competitive preference priority, we give competitive preference to an application by either (1) awarding additional points, depending on how well or the extent to which the application meets the competitive preference priority (34 CFR 75.105(c)(2)(i)); or (2) selecting an application that meets the competitive preference priority over an application of comparable merit that does not meet the priority (34 CFR 75.105(c)(2)(ii)).

Invitational priority: Under an invitational priority, we are particularly interested in applications that meet the invitational priority. However, we do not give an application that meets the invitational priority a competitive or absolute preference over other applications (34 CFR 75.105(c)(1)).

This NFP 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 8165), 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 traditionally underserved populations; (3) identify best strategies and programs to improve rehabilitation outcomes for underserved populations; (4) identify research gaps; (5) identify mechanisms of integrating research and practice; and (6) disseminate findings.

PRIORITIES:

Disability and Rehabilitation Research Projects (DRRP) Program  
The purpose of the DRRP program is to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended, by developing methods, procedures, and rehabilitation technologies that advance a wide range of independent living and employment outcomes for individuals with disabilities, especially individuals with the most severe disabilities. DRRPs carry out one or more of the following types of activities, as specified and defined in 34 CFR 350.13 through 350.19: research, development, demonstration, training, dissemination, utilization, and technical assistance. An applicant for assistance under this program must demonstrate in its application how it will address, in whole or in part, the needs of individuals with disabilities from minority backgrounds (34 CFR 350.40(a)). The approaches an applicant may take to meet this requirement are found in 34 CFR 350.40(b). In addition, NIDRR intends to require all DRRP applicants to meet the General Disability and Rehabilitation Research Projects (DRRP) Requirements priority that it published in a notice of final priorities in the Federal Register on April 28, 2006 (71 FR 25472).

Additional information on the DRRP program can be found at:  
<http://www.ed.gov/rschstat/research/pubs/res-program.html#DRRP>

**Priority 6--Center on Knowledge Translation for Technology Transfer**  
Priority:

The Assistant Secretary for Special Education and Rehabilitative Services establishes a priority for a Disability and Rehabilitation Research Project to serve as the Center on Knowledge Translation for Technology Transfer (Center). The Center must conduct rigorous research, development, technical assistance, dissemination, and utilization activities to increase successful knowledge translation (KT) for the transfer of assistive technology products developed by NIDRR-funded technology grantees.

The Center must partner with key stakeholders such as trade and professional associations, and relevant industry representatives and focus its original research and development activities (i.e., those

activities conducted pursuant to paragraphs (a)(2), (b)(2), and (b)(3) of the priority) on no more than three technology areas that are the focus of current NIDRR technology grantees. Information on technology research funded by NIDRR can be found at <http://www.naric.com/research/pd/priority.cfm>. Each applicant must define and justify its focus. The Center's identification and compilation of existing research on technology transfer pursuant to paragraphs (a)(1) and (b)(1) of the priority must be designed to serve as a knowledge base for the training and technical assistance the Center must provide to NIDRR technology grantees.

Under this priority, the Center must be designed to contribute to the following outcomes:

(a) Improved understanding of barriers to, and facilitators of, successful KT for technology transfer in different industries related to NIDRR's technology portfolio. The Center must contribute to this outcome by--

(1) Identifying and compiling existing research-based knowledge about barriers to, and facilitators of, successful KT for technology transfer; and

(2) Conducting research on barriers to, and facilitators of, successful KT for technology transfer related to the technology areas on which the Center focuses.

(b) Advanced knowledge of best practices in KT for technology transfer. The Center must contribute to this outcome by--

(1) Identifying existing models, methods, or measures of KT for technology transfer in different industries related to NIDRR's technology portfolio;

(2) Further developing and testing models, methods, or measures in the technology areas on which the Center focuses; and

(3) Establishing best technology transfer practices that can be used to effectively implement and evaluate the success of technology transfer activities in the technology areas on which the Center focuses.

(c) Increased utilization of the validated best practices for KT for technology transfer. The Center must contribute to this outcome



by providing training and technical assistance to NIDRR-funded technology grantees to implement and evaluate the success of such practices.

#### Rehabilitation Engineering Research Centers Program (RERCs)

Purpose of Program: The purpose of the RERC program is to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended, by conducting advanced engineering research and development on innovative technologies that are designed to solve particular rehabilitation problems, or remove environmental barriers. RERCs also demonstrate and evaluate such technologies, facilitate service delivery system changes, stimulate the production and distribution of new technologies and equipment in the private sector, and provide training opportunities.

#### General Requirements of RERCs

RERCs carry out research or demonstration activities in support of the Rehabilitation Act of 1973, as amended, by--

- Developing and disseminating innovative methods of applying advanced technology, scientific achievement, and psychological and social knowledge to: (a) solve rehabilitation problems and remove environmental barriers; and (b) study and evaluate new or emerging technologies, products, or environments and their effectiveness and benefits; or

- Demonstrating and disseminating: (a) innovative models for the delivery of cost-effective rehabilitation technology services to rural and urban areas; and (b) other scientific research to assist in meeting the employment and independent living needs of individuals with severe disabilities; and

- Facilitating service delivery systems change through: (a) the development, evaluation, and dissemination of innovative consumer-responsive and individual- and family-centered models for the delivery to both rural and urban areas of innovative cost-effective rehabilitation technology services; and (b) other scientific research to assist in meeting the employment and independence needs of individuals with severe disabilities.

Each RERC must be operated by, or in collaboration with, one or more institutions of higher education or one or more nonprofit organizations.

Each RERC must provide training opportunities, in conjunction with institutions of higher education or nonprofit organizations, to assist individuals, including individuals with disabilities, to become rehabilitation technology researchers and practitioners.

Additional information on the RERC program can be found at:  
<http://www.ed.gov/rschstat/research/pubs/index.html>

Priorities 15, 16, 17, 18, 19, and 20--Rehabilitation Engineering Research Centers (RERCs) for Hearing Enhancement (Priority 15), **Accessible Public Transportation (Priority 16)**, Prosthetics and Orthotics (Priority 17), Communication Enhancement (Priority 18), Universal Interface and Information Technology Access (Priority 19), and Wheeled Mobility (Priority 20)

Priorities:

The Assistant Secretary for Special Education and Rehabilitative Services establishes the following priorities for (a) an RERC for Hearing Enhancement (priority 15); (b) **an RERC for Accessible Public Transportation (priority 16)**; (c) an RERC for Prosthetics and Orthotics (priority 17); (d) an RERC for Communication Enhancement (priority 18); (e) an RERC for Universal Interface and Information Technology Access (priority 19); and (f) an RERC for Wheeled Mobility (priority 20). Within its designated priority research area, each RERC will focus on innovative technologies, new knowledge, and concepts that will improve the lives of individuals with disabilities.

(b) RERC for Accessible Public Transportation (Priority 16). Under this priority, the RERC must research and develop methods, systems, and devices that will promote and enhance the ability of individuals with disabilities to safely, comfortably, and efficiently identify destination information, board and disembark, and use services and facilities on various types of public transportation systems such as buses, passenger trains, and airplanes. This RERC must emphasize the principles of universal design in its product research and development.

Under each priority, the RERC must be designed to contribute to the following outcomes:

(1) Increased technical and scientific knowledge relevant to its designated priority research area. The RERC must contribute to this outcome by conducting high-quality, rigorous research and development projects.

(2) Innovative technologies, products, environments, performance guidelines, and monitoring and assessment tools as applicable to its designated priority research area. The RERC must contribute to this outcome through the development and testing of these innovations.

(3) Improved research capacity in its designated priority research area. The RERC must contribute to this outcome by collaborating with the relevant industry and professional associations, and institutions of higher education.

(4) Improved focus on cutting edge developments in technologies within its designated priority research area. The RERC must contribute to this outcome by identifying and communicating with NIDRR and the field regarding trends and evolving product concepts related to its designated priority research area.

(5) Increased impact of research in the designated priority research area. The RERC must contribute to this outcome by providing technical assistance to public and private organizations, individuals with disabilities, and employers on policies, guidelines, and standards related to its designated priority research area.

(6) Increased transfer of RERC-developed technologies to the marketplace. The RERC must contribute to this outcome by developing and implementing a plan for ensuring that all technologies developed by the RERC are made available to the public. The technology transfer plan must be developed in the first year of the project period in consultation with the NIDRR-funded Disability Rehabilitation Research Project, Center on Knowledge Translation for Technology Transfer.

In addition, under each priority, the RERC must--

- Design, build, and test prototype devices and assist in the transfer of successful solutions to relevant production and service delivery settings;

- Evaluate the efficacy and safety of its new products, instrumentation, or assistive devices;

- Provide as part of its proposal, and then implement, a plan that describes how it will include, as appropriate, individuals with disabilities or their representatives in all phases of its activities, including research, development, training, dissemination, and evaluation;

- Provide as part of its proposal, and then implement, in consultation with the NIDRR-funded National Center for the Dissemination of Disability Research (NCDDR) ([www.ncddr.org](http://www.ncddr.org)), a plan to disseminate its research results to individuals with disabilities, their representatives, disability organizations, employers, service providers, professional journals, manufacturers, and other interested parties;

- Conduct a state-of-the-science conference on its designated priority research area in the fourth year of the project period, and publish a comprehensive report on the final outcomes of the conference in the fifth year of the project period; and

- Coordinate research projects of mutual interest with relevant NIDRR-funded projects, as identified through consultation with the NIDRR project officer.

#### Executive Order 12866

This NFP has been reviewed in accordance with Executive Order 12866. Under the terms of the order, we have assessed the potential costs and benefits of this regulatory action.

The potential costs associated with this NFP are those resulting from statutory requirements and those we have determined as necessary for administering this program effectively and efficiently.

In assessing the potential costs and benefits--both quantitative and qualitative--of this NFP, we have determined that the benefits of the final priorities justify the costs.

Summary of potential costs and benefits:

The benefits of the Disability and Rehabilitation Research Projects and Centers Programs have been well established over the years in that similar projects have been completed successfully. These final priorities will generate new knowledge and technologies through research, development, dissemination, utilization, and technical assistance projects.

Another benefit of these final priorities is that the establishment of new DRRPs, new RRTCs, and new RERCs will support the President's NFI and will improve the lives of individuals with disabilities. The new DRRPs, RRTCs, and RERCs will generate, disseminate, and promote the use of new information that will improve the options for individuals with disabilities to perform regular activities in the community.

Applicable Program Regulations: 34 CFR part 350.

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[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

(Catalog of Federal Domestic Assistance Numbers 84.133A Disability Rehabilitation Research Projects, 84.133B Rehabilitation Research and

Training Centers and 84.133E Rehabilitation Engineering Research  
Centers Program)

PROGRAM AUTHORITY: 29 U.S.C. 762(g), 764(a), 764(b)(2), and  
764(b)(3).

Dated: February 1, 2008

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

**SECTION  
D**

**BACKGROUND STATEMENTS**

## **Rehabilitation Engineering Research Centers**

Priorities 22, 23, 24, 25, 26, and 27--Rehabilitation Engineering Research Centers (RERCs) for Hearing Enhancement (Priority 22), **Accessible Public Transportation (Priority 23)**, Prosthetics and Orthotics (Priority 24), Communication Enhancement (Priority 25), Universal Interface and Information Technology Access (Priority 26), and Wheeled Mobility (Priority 27)

### Background:

Individuals with disabilities regularly use products that have been developed as the result of rehabilitation and biomedical research in order to achieve and maintain maximum physical function, live independently, study and learn, and attain gainful employment. Rehabilitation engineering research encompasses research on assistive technology, technology at the systems level (e.g., the built environment, transportation), and technology that allows individuals to interface with technology at the systems or environmental levels.

Advancements in basic biomedical science and technology have resulted in new opportunities to enhance further the lives of individuals with disabilities. Specifically, recent advances in biomaterials research, composite technologies, information and telecommunication technologies, nanotechnologies, micro electro mechanical systems (MEMS), sensor technologies, and the neurosciences provide a wealth of opportunities for individuals with disabilities and could be incorporated into research focused on disability and rehabilitation.

Through the following proposed priorities, NIDRR intends to fund RERCs that advance rehabilitation engineering research in the following priority research areas: Hearing Enhancement, Accessible Public Transportation, Prosthetics and Orthotics, Communication Enhancement, Universal Interface and Information Technology Access, and Wheeled Mobility.



### Priority 23--Accessible Public Transportation

Inaccessible transportation is a major barrier to independent living and limits the ability of individuals with disabilities to participate fully in their communities. One-third of individuals with disabilities report that inadequate transportation is a significant problem, and they are twice as likely to have inadequate transportation than individuals without disabilities (N.O.D./Harris Survey, 2004). Addressing the problems of accessibility of public transportation may help to provide the same degree of convenience, connection, and safety the general public enjoys when traveling via plane, train, or bus.

Points of entry and exit, public rights-of-way, communications, and bus and rail stations and stops are just a few of the areas posing transportation accessibility problems for individuals with disabilities. The physical dimensions and space limitations of the transport vehicle may prohibit easy entry, transfer to vehicle seats, or use of the services and facilities available on a plane, train, or bus. In addition, costs, physical ability, and perceptions of safety are all considered barriers to public transportation (Peck & Hess, 2006).

Accordingly, NIDRR seeks to fund an RERC on Accessible Public Transportation to address the need for improvements in the accessibility of public transportation, provide safe and dignified travel for individuals with disabilities, and increase community participation by individuals with disabilities. The focus of this RERC is on travel via air, rail, and bus.

#### References:

N.O.D./Harris Survey of Americans with Disabilities (2004).  
Harris Interactive, 111 Fifth Avenue, New York, NY 10003.

Peck, M. & Hess D. (2006). Barriers to Using Public Transit among Diverse Older Adults: Implications for Social Work.  
<http://sswr.confex.com/sswr/2007/techprogram/P7047.HTM>

**SECTION  
E**

**General Requirements For All RERCs**

Rehabilitation Engineering Research Centers Program  
General Requirements of Rehabilitation Engineering Research  
Centers (RERCs)

RERCs carry out research or demonstration activities in support of the Rehabilitation Act of 1973, as amended, by--

- Developing and disseminating innovative methods of applying advanced technology, scientific achievement, and psychological and social knowledge to: (a) solve rehabilitation problems and remove environmental barriers; and (b) study and evaluate new or emerging technologies, products, or environments and their effectiveness and benefits; or

- Demonstrating and disseminating: (a) innovative models for the delivery of cost-effective rehabilitation technology services to rural and urban areas; and (b) other scientific research to assist in meeting the employment and independent living needs of individuals with severe disabilities; and

- Facilitating service delivery systems change through: (a) the development, evaluation, and dissemination of consumer-responsive and individual and family-centered innovative models for the delivery to both rural and urban areas of innovative cost-effective rehabilitation technology services; and (b) other scientific research to assist in meeting the employment and independence needs of individuals with severe disabilities.

Each RERC must be operated by or in collaboration with one or more institutions of higher education or one or more nonprofit organizations.

Each RERC must provide training opportunities, in conjunction with institutions of higher education and nonprofit organizations, to assist individuals, including individuals with disabilities, to become rehabilitation technology researchers and practitioners.

**SECTION  
F**

**SELECTION CRITERIA**

**For All RERCs in this Application**

## **SELECTION CRITERIA**

We use the following selection criteria to evaluate applications under this program. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses.

**(a) Importance of the problem (10 points total)**

(1) The Secretary considers the importance of the problem.

(2) In determining the importance of the problem, the Secretary considers the extent to which the applicant clearly describes the need and target population.

**(b) Design of research activities (25 points total).**

(1) The Secretary considers the extent to which the design of research activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the quality of research activities, the Secretary considers the extent to which the methodology of each proposed research activity is meritorious, including consideration of the extent to which--

(A) The proposed design includes a comprehensive and informed review of the current literature, demonstrating knowledge of the state-of-the-art;

(B) Each research hypothesis is theoretically sound and based on current knowledge;

(C) Each sample population is appropriate and of sufficient size;

(D) The data collection and measurement techniques are appropriate and likely to be effective; and

(E) The data analysis methods are appropriate.

**(c) Design of development activities (25 points total).**

(1) The Secretary considers the extent to which the design of development activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the quality of development activities, the Secretary considers the extent to which the plan for development, clinical testing, and evaluation of new devices and technology is likely to yield significant products or techniques, including consideration of the extent to which-

(A) The proposed project will use the most effective and appropriate technology available in developing the new device or technique;

(B) The proposed development is based on a sound conceptual model that demonstrates an awareness of the state-of-the-art in technology;

(C) The new device or technique will be developed and tested in an appropriate environment;

(D) The new device or technique is likely to be cost-effective and useful;

(E) The new device or technique has the potential for commercial or private manufacture, marketing, and distribution of the product; and

(F) The proposed development efforts include adequate quality controls and, as appropriate, repeated testing of products.

**(d) Design of training activities (5 points total)**

(1) The Secretary considers the extent to which the design of training activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the quality of training activities, the Secretary considers the extent to which the type, extent, and quality of the proposed clinical and laboratory research experience,

including the opportunity to participate in advanced-level research, are likely to develop highly qualified researchers.

**(e) Design of dissemination activities (5 points total)**

(1) The Secretary considers the extent to which the design of dissemination activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the quality of dissemination activities, the Secretary considers the extent to which the materials to be disseminated are likely to be effective and usable, including consideration of their quality, clarity, variety, and format.

**(f) Plan of operation. (5 points total)**

(1) The Secretary considers the quality of the plan of operation.

(2) In determining the quality of the plan of operation, the Secretary considers the adequacy of the plan of operation to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, and timelines for accomplishing project tasks.

**(g) Adequacy and reasonableness of the budget (4 points total)**

(1) The Secretary considers the adequacy and the reasonableness of the proposed budget.

(2) In determining the adequacy and the reasonableness of the proposed budget, the Secretary considers the extent to which the budget for the project, including any subcontracts, is adequately justified to support the proposed project activities.

**(h) Plan of evaluation (8 points total).**

(1) The Secretary considers the quality of the plan of evaluation.

(2) In determining the quality of the plan of evaluation, the Secretary considers the extent to which the plan of evaluation will be used to improve the performance of the project through the feedback generated by its periodic assessments.

**(i) Project staff (8 points total).**

(1) The Secretary considers the quality of the project staff.

(2) In determining the quality of the project staff, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The extent to which the key personnel and other key staff have appropriate training and experience in disciplines required to conduct all proposed activities;

(ii) The extent to which the commitment of staff time is adequate to accomplish all the proposed activities of the project.

**(j) Adequacy and accessibility of resources (5 points total).**

(1) The Secretary considers the adequacy and accessibility of the applicant's resources to implement the proposed project.

(2) In determining the adequacy and accessibility of resources, the Secretary considers the following factors:

(i) The extent to which the applicant is committed to provide adequate facilities, equipment, other resources, including administrative support, and laboratories, if appropriate;



(ii) The extent to which the facilities, equipment, and other resources are appropriately accessible to individuals with disabilities who may use the facilities, equipment, and other resources of the project.

**SECTION  
G**

**PROTECTION OF HUMAN SUBJECTS**

## **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.

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, D.C., telephone: (202) 260-3353 and on the Protection of Human Subjects in research Web Site at:

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

**SECTION  
H  
APPLICATION FORMAT**

## **APPLICATION FORMAT**

Applications for an award must be postmarked or hand delivered by the closing date of ***Friday, August 1, 2008.***

It is recommended that your electronic (Grants.gov) or paper application be organized in the following manner and include the following:

Note: In Grants.gov the forms will appear in the order that they are built in the template- so they won't be the exact order below and the applicant won't be able to change the order.

### **1. Application for Federal Education Assistance (Form SF 424)**

- This application cover sheet requires basic identifying information about the applicant and the application.
- Applicants should clearly indicate the CFDA number of the program 84.133E-1, **84.133E-3**, 84.133E-4, 84.133E-5, 84.133E-6, or 84.133E-7 in block 11. If this information is not provided, your application may be assigned and reviewed under a different program. For electronic submissions, you must download the correct application package from Grants.gov, that matches your competition title.
- Applicants should use the **RELEVANT** CFDA Title from the NFP/NIA as the title.

### **2. Table of Contents**

- The Table of Contents shows where and how the important sections of your proposal are organized.
- While the application will be submitted electronically, the reviewers will use printed copies during the review process. The Table of Contents will assist them in more efficiently and effectively evaluating your application.

### **3. Project Abstract**

- The ONE-PAGE abstract should be a comprehensive description of what the whole (all years) project is, not a description of the competency of the institution or project director. It is not an executive summary. It can be single or double-spaced.
- If applying through Grants.gov attach a document with the title "Abstract".

### **4. Budget Form and Information (ED 524)**

- Remember that you must provide complete budget information for each year of the proposed project.
- Please report on any Federal and Non-Federal funds that will be used.
- Specific instructions for completing the budget forms are provided within this application package.

Name: Enter the Name of the applicant organization(s) or institution(s) in the space provided.

Personnel (Line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (Line 2): The institution's normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (Line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants and trainees on line 6.

Equipment (Line 4): Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible personal property except that on line 4.

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), stipends, training, and communication and printing costs.

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): There is no restricted indirect cost rate for this program. You should use your federal negotiated indirect cost rate.

Training Stipends (line 11): There are three types of projects that might include budget requests for stipends, tuition allowance, or other types of similar charges to support the objectives of the project:

- Fellowship or Scholarship Programs
- Educational Training Projects
- Projects where students receive tuition remission or other forms of compensation, as, or in lieu of wages.

Total Cost (line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year I* (a), should also be equal to item 18a on the application cover sheet (SF Form 424).

Cost Share or Matching: If you include a voluntary cost share or matching, please, include this information on the ED Form 524, Section B – Budget Summary, Non-Federal Funds.

## **5. Budget Narrative**

- This part requires an itemized budget breakdown for the project year and the basis for estimating the costs of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures.
- Address Cost Share or Matching in a separate budget narrative labeled “Cost Share or Matching”. Please provide an itemized budget breakdown for each project year.
- Descriptions of purchases may be included but is not required.
- If applying through Grants.gov use the Budget Narrative Attachment form to attach your detailed budget narrative/justification.

## **6. Application Narrative**

- The application narrative responds to the selection criteria found in Section E (General Requirements for RERCs) and Section F of this application package. The reviewers will use this section to evaluate your application.
- If applying through Grants.gov use the Project Narrative Attachment form to attach your narrative.

Each applicant is encouraged to limit the application narrative to the equivalent of no more than 125 pages, 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.
- Double-space (no more than three lines per vertical inch) all text in the application narrative. Single spacing may be used for 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).
- Begin numbering the first page in Arabic numerals (“1”) and number the pages consecutively throughout the document.
- Include all critical information in the program narrative, minimizing the need for additional appendices.
- Include a complete bibliography listing all materials that were referenced in the project narrative.

**NOTE:** The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one page abstract, the resumes, the bibliography, or the letters of support. However, the recommended page limit does apply to all of the application narrative section.

#### **7. Vitae/Bibliography/Letters of Support**

- Vitae of staff or consultants should include the individual's title and role in the proposed project, and other information that is specifically pertinent to this proposed project. The budgets for all years should be included.
- If applying through Grants.gov use the Other Narrative Attachment form to attach your vitas.
- If collaboration with another organization is involved in the proposed activity, the application should include assurances of participation by the other parties, including written agreements or assurances of cooperation.

#### **8 Assurances, Certifications, Disclosures**

- Assurances - Non-Construction Programs; Certifications Regarding Lobbying; or Grants.gov Lobbying form
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction; Disclosure of Lobbying Activities;

#### **9 Reporting Requirements**

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 specified by the Secretary under 34. CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.72 (c). For specific requirements on reporting please go to [http://www.ed.gov/fund/grant/apply/appforms/ed524b\\_instructions.pdf](http://www.ed.gov/fund/grant/apply/appforms/ed524b_instructions.pdf)

**Note:** NIDRR will provide information by letter to grantees on how and when to submit the report.



# **SECTION**

## **I**

### **FREQUENTLY ASKED QUESTIONS**

### **POINTS TO REMEMBER IN APPLICATION PREPARATION**

### **DUNS NUMBER INSTRUCTIONS**

## **FREQUENTLY ASKED QUESTIONS**

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### **1. CAN I GET AN EXTENSION OF THE DUE DATE?**

In the case of most competitions the answer is no. On rare occasions the Department of Education may extend a closing date for all applicants. If that occurs, a notice of the revised due date is published in the Federal Register, this extension applies to all applications for a given competition. There are no extensions or exceptions to the due date made for individual applicants. Additionally, there are provisions for extension for Grants.gov, per the guidance included in the application package.

### **2. WHAT SHOULD BE INCLUDED IN THE APPLICATION?**

The application should include a project narrative, vitae of key personnel, and a budget, as well as all other forms identified in this package. Vitae of staff or consultants should include the individual's title and role in the proposed projects, and other information that is specifically pertinent to this proposed project. The budgets for all years, including a detailed budget narrative, should be included. The 133F (Research Fellowship) is the exemption to the required budget. If collaboration with another organization or individual is involved in any proposed activity, the application should include assurances of participation by the other parties, including written agreements or letters of cooperation. It is not useful to include general letters of support or endorsement in the application. If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application. Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

### **3. WHAT FORMAT SHOULD BE USED FOR THE APPLICATION?**

NIDRR generally advises applicants to organize the application to follow the selection criteria that will be used. The project narrative should address the specific selection criteria for the competition. The specific review criteria vary according to the specific programs and are contained in this application package. Additionally, applicants should provide clearly stated hypotheses, goals, objectives, expected outcomes, and public benefit of the research or development project. The application should be organized to provide a thorough description of the methods and target population(s) and supported by evidence of need for the project, as identified in the relevant literature; citations are useful and may strengthen the proposal. Specific information on the format can be found in the application format section of this application package.

#### **4. ARE THERE PAGE LIMITS TO MY APPLICATION?**

NIDRR has two competitions with mandatory page limitations, Research Fellowships (133F) and Small Business Innovative Research (133S). All other competitions will suggest page limitations for the narrative sections of the proposal. The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. The Notice Inviting Applications will describe the mandatory or suggested limitations, such as page size, spacing, and font size. The suggested page limit does not apply to the cover sheet; the human subjects narrative; the budget narrative; the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, you must include all pertinent information in the application narrative.

#### **5. MAY I SUBMIT APPLICATIONS TO MORE THAN ONE OPEN NIDRR PROGRAM COMPETITIONS AT A TIME OR MORE THAN ONE APPLICATION TO A PARTICULAR PROGRAM COMPETITION?**

Yes. You may submit more than one application in any given competition. You may submit to as many open competitions, which an application is responsive to the program requirements. However, each competition is unique and the selection criteria will vary from one competition to another. It is important that each separate application include the required materials for that particular competition.

#### **6. DO I NEED AN ABSTRACT AND WHAT SHOULD IT INCLUDE?**

Yes. The abstract is used by both the peer reviewers and the program staff in the review and processing of the application. The ONE-PAGE abstract should be a comprehensive description of the project (all years), not a description of the competency of the institution or project director. It is not an executive summary. It can be single or double-spaced. If applying through Grants.gov, use the ED Abstract form to attach your abstract.

#### **7. WHAT IS THE ALLOWABLE INDIRECT COST RATE?**

The limits on indirect costs vary according to the program. NIDRR currently has two programs with a restricted indirect cost rate. An applicant for a Rehabilitation Research and Training Center (133B) program may not collect more than 15% of the total grant award as indirect cost charges. An applicant for Advanced Rehabilitation Research Training project (133P) is limited to a training grant indirect rate of 8%, less tuition, stipend, and fees. For all other programs, Disability Rehabilitation Research Projects (133A), Rehabilitation Engineering Research Centers (133E), Field Initiated projects (133G) and Small Business Innovative Research (133S), applicants must have a current indirect cost rate agreement to charge indirect costs. The maximum amount of the award includes both direct and indirect costs. The Department's Indirect Cost office has more information on indirect cost rates.

**8. CAN PROFIT MAKING BUSINESSES APPLY FOR GRANTS?**

Yes; however, for-profit organizations will not be able to collect a fee or profit on the grant. It varies by program.

**9. CAN INDIVIDUALS APPLY FOR GRANTS?**

Individuals are not eligible to apply for most grant competitions under NIDRR programs (133A, B, E, G, N, P, or S). The one exception is the Research Fellowship program (84.133F), which is available only to individuals.

**10. CAN NIDRR STAFF ADVISE ME WHETHER MY PROJECT IS OF INTEREST TO NIDRR OR LIKELY TO BE FUNDED?**

No. NIDRR staff can only advise you of the requirements of the program in which you propose to submit your application. However, staff cannot advise you of whether your subject area or proposed approach is likely to receive approval.

**11. HOW DO I ENSURE THAT MY APPLICATION WILL BE REVIEWED UNDER THE CORRECT COMPETITION?**

Applicants should be sure that their applications are referred to the correct competition by clearly including the competition title and CFDA number, including alphabetical code, on the Standard Form 424, and include a project title that describes the project, based on the competition. If reapplying for the Field Initiated (133G), you should identify if the application is a resubmittal from a previous fiscal year.

**12. HOW SOON AFTER SUBMITTING MY APPLICATION CAN I FIND OUT IF IT WILL BE FUNDED?**

The time from closing date to grant award date varies from program to program. Generally speaking, NIDRR endeavors to have awards made within six to seven months of the closing date. Unsuccessful applicants generally will be notified within that time frame as well. When NIDRR is able to release information on the status of grant applications, it will notify applicants by letter. The results of the peer review cannot be released except through this formal notification. This information is **not** posted on the NIDRR homepage or the Grants.gov website.

**13. WHAT START DATE SHOULD I USE ON MY APPLICATION?**

For the purpose of estimating a project start date, the applicant should estimate approximately six to seven months from the closing date, preferably October 1, but no later than December 1. You must have a start date that allows you to complete an Annual Performance Report (APR) by May 31<sup>st</sup> with six month of activities to report on.

**14. IF MY APPLICATION IS SUCCESSFUL, CAN I ASSUME I WILL GET THE REQUESTED BUDGET AMOUNT IN SUBSEQUENT YEARS?**

No. Funding in subsequent years is subject to availability of funds and project performance.

**15. WILL ALL APPROVED APPLICATIONS BE FUNDED?**

No. Peer review panels can result in more applications being determined to be worthy of consideration for funding than available resources allow.. Unsuccessful applicants are encouraged to consider resubmitting applications in future competitions. Funded applications will be notified in the manner described in #12.

**16 HOW DOES THE REPORTING REQUIREMENTS IN SUBSEQUENT YEARS IMPACT ON MY APPLICATION?**

Successful applicants with multi-year grants must submit an Annual Performance Report (APR) demonstrating and documenting their progress in meeting approved project objectives and their success in addressing the performance measures outlined in the Notice Inviting Applications. Grantees must also provide the most current financial and performance measure data for each year of the project. Grantees will also be required to submit a final performance report, 90 days after the end of the project period. For NIDRR, the APR is submitted electronically via a web-based system. This system is maintained by a contractor and grantees are notified after receiving an award with the appropriate URL and personal password to access the system. The contractor will also send a letter to the grantee informing them when and how to submit their APR. The Department will use the applicant's performance data for program management and administration, in such areas as determining new and continuation funding and planning technical assistance. Grantees will participate fully in any evaluation of the NIDRR program carried out by the Department of Education.

**17 DO I HAVE TO INCLUDE COST SHARE/MATCHING IN MY APPLICATION?**

NIDRR has cost share/matching requirements on two of its programs, the Disability Rehabilitation Research Projects (133A) and the Field Initiated program (133G). This information should be reflected on the ED 524 form in the Section B – Budget Summary Non-Federal Funds and in the budget narrative for each year. An amount of up to 1% of the total yearly budget amount is requested; however, you may include more than 1%. If the cost share amount is changed for a competition, it will be announced in the Notice Inviting Applications. For more information, see EDGAR 74.23 and 84.24.

## **18 WHAT DO I NEED TO DO ABOUT HUMAN SUBJECTS PROTECTION IN MY RESEARCH?**

If you are planning research involving human subjects at any time during the project period, you check “Yes” in the Human Subjects section of the 424 form. If you checked “Yes,” you need to indicate whether the research is exempt or not exempt from the protection of human subjects requirements of EDGAR part 97 and if you have an IRB number. You will need to fill out the human subjects narrative for each site where the research is being conducted. The program and the Department’s human subjects staff review the applicant’s response against the application itself to determine its accuracy. They contact you for additional information or clarification, if needed. More information can be found in the instructions for the SF 424 form and in this application package in the Human Subjects section.

## **19 SHOULD I SUBMIT MY APPLICATION VIA GRANTS.GOV?**

The Federal Government is moving towards mandatory electronic submission for its grant applications. The Notice Inviting Applications (NIA) provides information on how to submit via Grants.gov and the application package includes helpful tips. The NIA will also identify if paper submission is allowed. If you do submit by paper, include a disk copy of your application. **We strongly suggest:** (1) Read the Grants.gov instructions carefully; (2) Check with your organization or institution if they are already registered in Grants.gov; if not, **do not wait** to set up your account because it can take five or more days to register; (3) Review the form sections before sending the application to ensure that all information has been uploaded correctly and completely; and (4) Submit early; electronic applications must be uploaded on Grants.gov by 4:30:00 pm, Washington, D.C. time on the closing date and processed by Grants.gov successfully. Please allow several hours or a full day for this process; if there is a submission error, time will be needed to correct the error and resubmit to meet the deadline. Applications received/logged in after 4:30:00 pm (Washington, DC time) will not be reviewed.

If there is any doubt that your application was not successfully submitted to Grants.gov, you can submit this application by paper following the appropriate instructions in this application package.

## **POINTS TO REMEMBER IN APPLICATION PREPARATION**

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### **RELEVANT TO PROGRAM**

1. **CFDA Number**: In the title block on the SF 424 form, please note the appropriate CFDA 84.133E-3. For electronic submissions, you must download the correct application package from Grants.gov. Please note that NIDRR has multiple competitions available at this time.
2. **Indirect Cost**: There is no restricted indirect cost rate for this program. You should use your federal negotiated indirect cost rate. Indirect cost office:  
<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>
3. **Application Narrative** - Organize your narrative in accordance with the selection criteria in Section E (General Requirements for RERCS) and Section F of this package. Address all criteria. Include a table of contents in your application in order to highlight where the application narrative can be found in the application. If applying through Grants.gov use the Project Narrative form to attach your narrative. We recommend that you limit the application narrative to the equivalent of no more than 125 pages, 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. Double-space (no more than three lines per vertical inch) all text in the application narrative. Single spacing may be used for 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). Begin numbering the first page in Arabic numbers ("1") and number the pages consecutively throughout the document. Include all critical information in the program narrative, minimizing the need for additional appendices. Include a complete bibliography listing all materials that were referenced in the project narrative.

### **Closing Date/Transmittal of Application**

4. Applications must be **postmarked** by the closing date of **Friday, August 1, 2008, if submitting in paper**. Follow the transmittal instructions for submitting in paper or electronically found in the notice inviting applications. Please include an electronic copy (disk) with your application.
5. Electronic copies must be fully 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 section H. A copy of your application should not be emailed directly to the Department. You must submit it electronically via Grants.gov

### **Forms**

6. **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**

7. 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.
8. 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.
9. 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).
10. 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.
11. 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.
12. 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.
13. 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.
14. EO 12372: Mark Block #19, the EO 12372 as no and not covered. This program is not covered.

### **ED Supplemental**

15. Project Director: Block #1, Project director information. The Project Director is the primary person responsible for meeting the goals and objectives of the grant.
16. Novice applicant: Block #2. Please leave Block #6 blank. Does not apply to NIDRR programs.
17. 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

18. **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). A detailed budget narrative is needed for the total grant period years requested. A performance report that will be required annually will be used in place of the continuation application to determine progress.
19. Only the primary institution fills out the required forms. Any partner or collaborating groups will be a subcontractor to the primary. The only paperwork subcontractor needs to fill out is what is required by the primary institution. You should include a letter of intent in the application from any collaborating group saying that if awarded what they will be doing for your project and for what amount.

### Abstract/Narrative/Appendices

20. Abstract: The ONE-PAGE abstract should be a comprehensive description of what the whole (all years) project is, not a description of the competency of the institution or project director. It is not an executive summary. It can be single or double-spaced. If applying through Grants.gov use the ED Abstract form to attach your abstract.
21. Number all pages to make it easier for the reader to refer to a page number if comments are given (including the appendices).
22. Vitae: Remember to include pertinent information in your narrative of the qualifications of the key personnel. A more extensive 2-4 page vitae can be included in the appendices. If applying through Grants.gov use the Other Narrative form to attach your vitae.
23. Advisory Board: We suggest that you limit your list of advisory board members in the application. You can give a description of the type/qualification of the person. Remember that an extensive listing of proposed names effects our peer reviewer selection. If applying through Grants.gov use the Other Narrative form to attach your letters of commitment and vitae.
24. Letters of Commitment/Support: If you have identified a partner, sub-contractor or consultant you should include a letter of commitment from them stating what they'll be doing on your project. We suggest that you only include key letters of support. Remember that letters of support diminish our peer reviewer pool. If applying through Grants.gov use the Other Narrative form to attach your letters.
25. Use Of Person Loading Charts. It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find person loading charts useful formats for showing project personnel and their time commitments to individual activities. A person loading chart is a tabular representation

of major evaluation activities by number of days spent by each key person involved in each activity.

## GRANTS.GOV

The Federal Funding Opportunity number is: 84.133E-3—ED-GRANTS-06xx08-xxx;

26. **We strongly suggest:** (1) Read the instructions carefully; (2) Don't wait until close to the due date to set up your account - It can take five or more days to register; (3) Review the application before sending final version to ensure that all information has been uploaded correctly and completely; and (4) Submit early.
27. Electronic applications must be uploaded on Grants.gov by 4:30:00 pm, Washington, D.C. time on the closing date and processed by Grants.gov successfully. Please allow several hours or a full day for this process, if there is a submission error time will be needed to correct the error and resubmit to meet the deadline. For additional information on electronic submission procedures, see the transmittal section of the Notice Inviting Applications.
28. The application information will be uploaded in four areas: ED Abstract Form; Budget Narrative Attachment Form; Program Narrative Attachment Form; and Other Narrative Attachment Form. The ED Abstract Form is for the abstract. The Budget Narrative Attachment Form is for the budget justification. The Program Narrative Attachment Form is for the application narrative based on the selection criteria along with a table of contents - this section has the recommended 125-page limit recommendation. The Other Narrative Attachment Form will include vitas; letters, and any other appendices.
29. **Document Format:** 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 these three file types, such as Excel, or submit a password protected file, we will not review that material.
30. **UNSUBMIT:** Please note that Grants.gov does not allow you to unsubmit your application if you find an error before the due date and time. You will have to submit another "new" application and notify NIDRR that you have submitted two applications and which one is the "correct" one to review.

### Miscellaneous Information and Reminders

31. Rehabilitation Act: To find information on the Rehab Act of 1973, as amended, as well as other NIDRR policy & legislation, go to:  
<http://www.ed.gov/about/offices/list/osers/nidrr/policy.html> and  
<http://www.ed.gov/policy/speced/reg/narrative.html?exp=0>
32. Help in Preparing Applications. We are happy to provide general program information. Clearly it would not be appropriate for staff to participate in the actual writing of an

application, but we can respond to specific questions about our application requirements and evaluation criteria, or about the announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

33. Possibility Of Learning The Outcome Of Review Panels Prior To Official Notification. Every year we are called by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions, some need to notify a partner, etc. Regardless of the reason, we cannot share information about the review with anyone until the Assistant Secretary has approved a slate of projects recommended for funding. You will be notified as quickly as possible either by telephone (if your application is recommended for funding), or through a letter (if your application is not successful).
34. Return of Non-Funded Applications. We do not return original copies of applications. Thus, applicants should retain at least one copy of the application. Copies of reviewer comments will be mailed to all applicants.
35. Successful Applications And Estimated/Projected Budget Amounts In Subsequent Years. There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Since the yearly budgets for multi-year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1st year budgets. However, budget modifications during the negotiation process, the findings from the previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.
36. To see what NIDRR has funded or are currently funding on this priority topic, we have an on-line program directory at [www.naric.com](http://www.naric.com)

Once there - click on NIDRR. Under grantee resources click on search for other research projects. This will connect you to the program directory. Click on search all fields then type in your topic, by clicking on a grant number you can see information on who has the grant, how to contact them and a brief description of their project. Instead of search all field you can select searching by project type –Rehabilitation Engineering Research Centers.

## **DUNS NUMBER INSTRUCTIONS**

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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:

[http://www.dnb.com/US/duns\\_update/index.html](http://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. **Live help Monday-Friday 8am-6pm (EST) Dial 1.888.814.1435**

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

## **SECTION**

### **J**

#### **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

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**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](http://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](mailto: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](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](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](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](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](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](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.

## **APPLICATION TRANSMITTAL INSTRUCTIONS FOR MAIL OR HAND DELIVERY**

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### **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 84.133E-3)**  
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 84.133E-3)**  
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 84.133E-3)  
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.

**SECTION  
K**

**REQUIRED FORMS  
and  
FORM INSTRUCTIONS**

## **APPLICATION FORMS**

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The enclosed forms shall be used by all applicants for Federal Assistance under all NIDRR programs. A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. If an item does not appear to be relevant to the assistance requested, write "NA" for not applicable.

For paper submission this application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

- Part I - Federal Assistance Application Face Page (SF 424) and the ED Supplemental
- Part II - Budget Information
- Part III - Application Narrative
- Part IV - Assurances, Certifications and Disclosures

Each submitted application should include an index or table of contents and a one-page project abstract. Pages should be consecutively numbered.

For electronic submission through Grants.gov the application format is set in that system.

- Part I Federal Assistance Application Face Page (SF 424)  
ED Supplemental
- Part II ED Abstract form  
Budget Narrative Attachment form  
Project Narrative Attachment form  
Other Narrative Attachment form
- Part III - Assurances, Certifications and Disclosures

### **PAPERWORK BURDEN STATEMENT**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0027. The time required to complete this information collection is estimated to average 200 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, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: 84.133 Grant Program, Office of the Assistant Secretary for Special Education and Rehabilitation Services, National Institute on Disability and Rehabilitation Research, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202-2700.

## **REQUIRED FORMS:**

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For paper submission go to the website below to access the required forms.

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

If applying on Grants.gov the forms are set up in the system for you to fill out. The instructions to these forms are in the subsequent pages.

- Application for Federal Assistance SF-424
- ED Supplemental for SF-424
- Instruction for the SF-424
- Budget Information (ED 524)
- Assurances - Non-Construction Programs (SF 424b)
- Certifications Regarding Lobbying; or Grants.gov Lobbying form
- Disclosure of Lobbying Activities (SF LLL)

## 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.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• 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.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> 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.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• 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.</li> </ul> A. Increase Award            B. Decrease Award C. Increase Duration        D. Decrease Duration E. Other (specify)	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> 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.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (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.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s)

Item	Entry:	Item	Entry:																				
5b.	<b>Federal Award Identifier:</b> 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.		<p>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<sup>th</sup> district, NC-103 for North Carolina's 103<sup>rd</sup> district.</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>																				
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.																						
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.																						
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:																						
	<b>a. Legal Name:</b> (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.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.																				
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (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.	18.	<b>Estimated Funding:</b> (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.																				
	<b>c. Organizational DUNS:</b> (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.	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> 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																				
	<b>d. Address:</b> 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).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (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.																				
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.	21.	<b>Authorized Representative:</b> (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.)																				
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> 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.																						
9.	<b>Type of Applicant: (Required)</b> Select up to three applicant type(s) in accordance with agency instructions.																						
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit with 501C3</td> </tr> <tr> <td>B. County Government</td> <td>IRS Status (Other</td> </tr> <tr> <td>C. City or Township</td> <td>than Institution of</td> </tr> <tr> <td>Government</td> <td>Higher Education)</td> </tr> <tr> <td>D. Special District</td> <td>N. Nonprofit without</td> </tr> <tr> <td>Government</td> <td>501C3 IRS Status</td> </tr> <tr> <td>E. Regional</td> <td>(Other than Institution</td> </tr> <tr> <td>Organization</td> <td>of Higher Education)</td> </tr> <tr> <td>F. U.S. Territory or</td> <td>O. Private Institution of</td> </tr> <tr> <td>Possession</td> <td>Higher Education</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3	B. County Government	IRS Status (Other	C. City or Township	than Institution of	Government	Higher Education)	D. Special District	N. Nonprofit without	Government	501C3 IRS Status	E. Regional	(Other than Institution	Organization	of Higher Education)	F. U.S. Territory or	O. Private Institution of	Possession	Higher Education		
A. State Government	M. Nonprofit with 501C3																						
B. County Government	IRS Status (Other																						
C. City or Township	than Institution of																						
Government	Higher Education)																						
D. Special District	N. Nonprofit without																						
Government	501C3 IRS Status																						
E. Regional	(Other than Institution																						
Organization	of Higher Education)																						
F. U.S. Territory or	O. Private Institution of																						
Possession	Higher Education																						



Item	Entry:	Item	Entry:
	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	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

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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, D.C. 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, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

**DEFINITIONS FOR DEPARTMENT OF EDUCATION  
SUPPLEMENTAL INFORMATION FOR SF 424**

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**(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, D.C. 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](http://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).

## Instructions for ED 524

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### 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 website 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**

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This disclosure form shall be completed by the reporting entity, whether sub-awardee 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 follow-up 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 sub-award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub-awards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Sub-awardee," 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

**SECTION  
L  
APPLICATION CHECKLIST**

## **APPLICATION CHECKLIST**

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Does your application include each of the following?

- Cover page (SF 424) marked appropriately with CFDA Number 84.133E-3, if applying by post, hand-delivery or carrier service or download of correct package for **CFDA Number 84.133E-3** if applying electronically?
- Priority Topic identified in the Descriptive Title in Block 11 of the SF 424 match the title in the NFP/NIA?
- Budget form (ED form 524) with dollar amounts not exceeding the maximum in any year?
- Voluntary cost share or matching included both on the “B” side of the ED 524 and explained in the budget narrative for each year?
- Budget narrative for each year with arithmetic checked for accuracy
- Program narrative, including abstract and responses to the selection criteria
- Assurances and Certifications (from the forms list in section K)
- Correctly uploaded files if submitting electronically
- All required forms with original signatures and dates if submitting by post, hand-delivery or carrier service
- Narrative on the Protection of Human Subjects?

Did You do each of the following?

- Mail or submit application on or before **Friday, August 1, 2008**?
- Provide 1 original and 2 copies of the application if submitting by post, hand-delivery or carrier service (Although not required, 1 original and 11 copies are requested and a disk copy)?
- Fully complete the upload of your application and receive successful validation of the submission **before 4:30:00 pm**, Washington, D.C. time on the closing date if submitting electronically
- Use the correct mailing address from Section B or J if submitting by post, hand-delivery or carrier service?

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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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**

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

ED Internet Home Page      [www.ed.gov](http://www.ed.gov)