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

FY 2014 APPLICATION PACKAGE FOR NEW GRANTS

UNDER

THE NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH

RESEARCH FELLOWSHIPS PROGRAM

CFDA NUMBER: 84.133F-1

FORM APPROVED

OMB NO. 1820-0027, EXP. DATE 03/31/2016

SF FORM 424, 05/31/2014

DATED MATERIAL - OPEN IMMEDIATELY

CLOSING DATE: APRIL 14, 2014

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SECTION A

DEAR APPLICANT LETTER

Dear Applicant:

The Secretary invites applications for new awards for fiscal year (FY) 2014 under the Research Fellowships program (84.133F-1), also known as the Mary E. Switzer Research Fellowship, authorized under the Rehabilitation Act of 1973, as amended, to carry out either research or development activities. Prior to completing the grant application, please review the Federal Register Notice included in this application package (Section B).

Only individuals are eligible to apply for Switzer Research Fellowships. Institutions of Higher Education (IHE) and other organizational entities may not submit applications either for themselves or for individuals. The person who seeks the fellowship must sign all the forms, and not a representative of an organizational entity with which the person is affiliated.

For Switzer Research Fellowships, NIDRR wishes to receive applications from qualified individuals, including those with disabilities, whose areas of interest reflect the breadth of NIDRR's research agenda across the primary outcomes domains of individual well-being: Community Living and Participation, Employment, and Health and Function.

The project narrative section of applications for the Switzer Research Fellowship Program must be no longer than 24 double-spaced pages. This page limit does not include the abstract, forms, bibliography, eligibility statement, resume/curriculum vitae, letters of recommendation/support, and information on the protection of human subjects, if applicable. The project narrative must address the selection criteria included in this application package (Section C). To facilitate the peer review process, the project narrative should address the criteria in the order presented. Each application must include a one-page abstract. The abstract is a critical component of the application. It should highlight the purpose and importance of the proposed project; the target population to be studied and the intended beneficiaries of the proposed research, if different from the study population; the planned goals and objectives; research methods to be utilized; anticipated project outcomes; and dissemination strategies. The application must also include an eligibility statement, resume/curriculum vitae, letters of recommendation and support, and information on human subjects protection (if applicable). Letters of recommendation and support must be included in the application and not sent directly to NIDRR. No budget is required. (See Section F: "What should be included in the application")

All submissions must be in Portable Document Format (PDF). Files in any other type of format or files that are password-protected will not be reviewed.

APPLICATION PROCEDURES

This application package contains the information required for applying for a FY 2014 Switzer Research Fellowships award, including the published Federal Register notice **dated February 13, 2014**, the selection criteria and any special considerations for funding, if applicable, and a listing of required forms and assurances (see Section H). The required forms for submitting an electronic application are available in the Application Package on www.Grants.gov**.** Potential applicants for Switzer Research Fellowships are advised to read the materials carefully, particularly the information on how to prepare an application, the protection of human subjects, required formatting, instructions for submitting, and the selection criteria (Section C) used by the reviewers to evaluate each application.

Potential applicants who are non-U.S. residents or who receive certain federal and state benefits are cautioned that acceptance of a Switzer Research Fellowship may adversely affect their immigration or non-immigrant visa status or their eligibility for services such as In-Home Supportive Services under Supplemental Security Income Section 1619. This has occurred in

the past because Switzer Research Fellowships are awarded directly to individuals rather than host institutions, which can affect determinations of employment and income status. Also, a U.S. Social Security Number (SSN) is required for completing and submitting the application materials. Switzer applicants from other countries may be able to obtain a U.S. SSN through the following web site:

http://www.ssa.gov/pubs/EN-05-10096.pdf

Applications for Switzer Research Fellowships must be submitted electronically through the Grants.gov system, **www.grants.gov,** unless you receive an exemption **(**See Sections B and E). Applications for a Swtizer Research Fellowship are to be uploaded in Grants.gov in the following three section headings:

(1) ED Abstract Form;

(2) Project Narrative Attachment Form;

(3) Other Narrative Attachment Form; resume/curriculum vitae; letters of recommendation/support; protection of human subjects form, if applicable; and any other attachments

Grants.gov may impose a limit that only one document can be uploaded in each of the above sections. If you have multiple documents for a section, you may need to combine them into one PDF document before they are uploaded. There is also a file-size limitation to your application, and you will receive an error message from Grants.gov if you exceed the limit.

Electronic copies must be fully uploaded to the Grants.gov site by 4:30:00 pm, Washington DC time on the closing date **April 14, 2014.** The uploading process may take up to several hours. If there is a submission error, you will need additional time to correct the error and resubmit. Please allow at least several hours or a full day to submit your application.

PROGRAM RULES

Switzer Research Fellowship grants are subject to the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR part 77, 82, 84, and 85, 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: Interested parties are invited to participate in a pre-application meeting with NIDRR staff and to receive information and technical assistance appropriate to the Switzer Research Fellowships notice described in the NIA: These pre-application meetings will be held on March 6, 2014. Interested parties may participate in one of these meetings by conference call with NIDRR staff between 1:00 p.m. and 3:00 p.m., Washington, DC time. NIDRR staff also will be available from 3:30 p.m. to 4:30 p.m., Washington, DC time, on the same day, by telephone, to provide additional information and technical assistance through individual consultation. For further information or to make arrangements to participate in a pre-application meeting via conference call or to arrange for an individual consultation, contact Patricia Barrett at patricia.barrett@ed.gov or by telephone at (202) 245-6211.

Applicants are encouraged to review all the requirements and documents related to applying for a Switzer Research Fellowship early in their preparation process so that any questions can be addressed in sufficient time prior to the due date. If you have any questions, please contact Patricia Barrett at patricia.barrett@ed.gov or by telephone at (202) 245-6211.

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.

Thank you for your interest in NIDRR's Research Fellowship Program.

Sincerely,

/s/

Charlie Lakin,
Director,
National Institute on Disability and
Rehabilitation Research

SECTION B

NOTICE INVITING APPLICATIONS

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; National Institute on Disability and Rehabilitation Research--Research Fellowships Program

AGENCY: Office of Special Education and Rehabilitative Services, Department of Education

ACTION: Notice.

Overview Information:

National Institute on Disability and Rehabilitation Research (NIDRR)--Research Fellowships Program

Notice inviting applications for new awards for fiscal year (FY) 2014.

Catalog of Federal Domestic Assistance (CFDA) Number: **84.133F-1.**

Dates:

Applications Available: **February 13, 2014.**

Date of Pre-Application Meeting: **March 6, 2014.**

Deadline for Transmittal of Applications: **April 14, 2014.**

Full Text of Announcement

I. FUNDING OPPORTUNITY DESCRIPTION

Purpose of Program:

The purpose of the Research Fellowships Program is to build research capacity by providing support to highly qualified individuals, including those who are individuals with disabilities, to conduct research on the rehabilitation of individuals with disabilities.

Fellows must conduct original research in an area authorized by section 204 of the Rehabilitation Act of 1973, as amended. Section 204 authorizes research, demonstration projects, training, and related activities, the purposes of which are to develop methods, procedures, and rehabilitation technology that maximize the full inclusion and integration into society, employment, independent living, family support, and economic and social self-sufficiency, of individuals with disabilities, especially individuals with the most significant disabilities, and to improve the effectiveness of services authorized under the Act.

Note: An applicant should consult NIDRR's Long-Range Plan for Fiscal Years 2013-2017 (78 FR 20299) (the Plan) when preparing its application. The Plan is organized around the following outcome domains:

(1) community living and participation;

(2) health and function; and

(3) employment and can be accessed on the Internet at the following site: www.ed.gov/about/offices/list/osers/nidrr/policy.html

Priority:

The Research Fellowships Program permits two types of fellowships, Distinguished and Merit. At this time, NIDRR is choosing to fund Merit Fellowships. Under the Merit Fellowship competition, we are particularly interested in applications that address the following priority.

Invitational Priority:

For FY 2014, this priority is an invitational priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

The Secretary is particularly interested in applications from eligible applicants who are individuals with disabilities.

Program Authority:

29 U.S.C. 762(e).

Applicable Regulations:

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR 75.60 and 75.61, and parts 77, 81, 82, 84, and 97.

(b) The Education Department suspension and debarment regulations in 2 CFR part 3485.

(c) The regulations for this program in 34 CFR part 356.

(d) The regulations in 34 CFR 350.51 and 350.52.

II. AWARD INFORMATION

Type of Award:

Discretionary grants.

Estimated Available Funds:

The Administration has requested $110,000,000 for the NIDRR program for FY 2014, of which we intend to use an estimated $375,000 for Merit Fellowships. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2015 from the list of approved but unfunded applicants from this competition.

Estimated Range of Awards:

$74,500 to $75,000 for Merit Fellowships. (This fellowship is described in the Eligible Applicant section of this notice.)

Estimated Average Size of Awards:

$74,500

Maximum Award:

We will reject any application that proposes a budget exceeding $75,000 for Merit Fellowships for a single year. The Assistant Secretary for the Office of Special

Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards:

Five.

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

Project Period:

12 months. We will reject any application that proposes a project period other than 12 months. The Assistant Secretary for the Office of Special Education and Rehabilitative Services may change the maximum project period through a notice published in the Federal Register.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants:

Eligible individuals must:

(1) satisfy the requirements of 34 CFR §75.60 and §75.61 and

(2) have training and experience that indicate a potential for engaging in scientific research related to the solution of rehabilitation problems of individuals with disabilities.

To be eligible for a Merit Fellowship, an individual must have either advanced professional training or experience in independent study in an area which is directly pertinent to disability and rehabilitation.

Note: Institutions are not eligible to be recipients of research fellowships.

2. Cost Sharing or Matching:

This program does not require cost sharing or matching.

IV. Application and Submission Information

1. Address to Request Application Package:

You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address: www.ed.gov/fund/grant/apply/grantapps/index.html. To obtain a copy from ED Pubs, write, fax, or call the following:

ED Pubs
U.S. Department of Education
P.O. Box 22207
Alexandria, VA 22304

Telephone, toll free: 1-877-433-7827.

FAX: (703) 605-6794.

If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also: www.EDPubs.gov or at its email address: edpubs@inet.ed.gov.

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

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the team listed under Accessible 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 is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to the equivalent of no more than 24 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. You are not required to double space titles, headings, footnotes, references, captions, or 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).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The page limit for the application narrative does not apply to the documents you upload to the Grants.gov Apply site under the other two headings: ED Project Abstract and Other Attachments. The ED Project Abstract Form should contain only your one-page abstract. The Other Attachments Form should contain all other attachments, including your bibliography, eligibility statement, resume/curriculum vitae, and letters of recommendation/support. Information regarding the protection of human subjects, if applicable, should be included under the Other Attachments Form or in the place

provided on the SF-424 Supplemental Form. You do not need to upload a table of contents for your application, as this will be automatically generated by Grants.gov.

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

In concert with the balance principle described in NIDRR's Long-Range Plan, for Fiscal Years 2013-2017 (78 FR 20299), applicants for Merit Fellowships should specify in their abstract and application narrative which of NIDRR's major domains of individual well-being their research will focus on:

(a) community living and participation,

(b) employment, or

(c) health and function. Although applicants may propose projects that address more than one domain, they should select the applicable competition based on the primary domain addressed in their proposed project.

3. Submission Dates and Times:

Applications Available: February 13, 2014.

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 March 6, 2014. 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 3:00 p.m., Washington, DC time. NIDRR staff also will be available from 3:30 p.m. to 4:30 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 to arrange for an individual consultation, contact the person listed under For Further Information Contact in section VII of this notice.

Deadline for Transmittal of Applications: April 14, 2014.

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. Other Submission Requirements of 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 of 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 competition is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions:

Applicants are not required to submit a budget with their proposal.

The Merit Fellowship awards are one Full Time Equivalent (FTE) award. Fellows must work principally on the fellowship during the term of the fellowship award. We define “one FTE” as equal to 40 hours per week. No fellow is allowed to be a direct recipient of Federal government grant funds in addition to those provided by the Merit Fellowship grant (during the duration of the fellowship award performance period). Fellows may, subject to compliance with their institution's policy on additional employment, work on a Federal grant that has been awarded to the fellow's institution. Merit Fellows may be allowed to dedicate additional hours beyond their one FTE requirement for the fellowship to other work during their fellowship grant performance period, if this is in keeping with the guidelines offered by their home institutions. In other words, NIDRR defers to the guidelines of the fellows’ home institutions regarding the admissibility of work in excess of the one FTE dedicated to the fellowship. NIDRR strongly recommends that any additional hours be limited to .25 FTE (or 10 hours per week), but requires that additional hours not exceed .5 FTE (or 20 hours per week).

To satisfy the requirement that fellows devote one FTE to the fellowship work, applicants must include in their Eligibility Statement a plan for how they will fulfill the obligation to work principally on the fellowship during the term of the fellowship award. We will reject your application if you fail to include such a plan in your Eligibility Statement.

We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Requirements for Registering for Grants.gov and Submitting Your Application:

All individuals applying for a research fellowship must register at www.Grants.gov prior to submitting their application. To register with Grants.gov you must know the Funding Opportunity Number (FON) of the grant opportunity you are applying for. You can obtain this number by searching Grants.gov using the CFDA number, 84.133. This search will lead you to available NIDRR solicitations and identify the FON for each. You will use the FON to register in Grants.gov. Once you register with Grants.gov, to facilitate the safe and secure transfer of your application to the Department, you will be asked to create a profile with your username and password, which will be used to identify you within the system, and create an electronic signature. Details on registering with Grants.gov as an individual are outlined in the following Grants.gov tutorial: www.grants.gov/assets/IndividualRegistrationOverview.html.

To register with Grants.gov, you do not have to provide a Data Universal Numbering System Number, a Taxpayer Identification Number, or your Social Security Number (SSN). You also do not have to complete a Central Contractor Registry or System for Award Management registration in order to access Grants.gov or submit your application.

However, your SSN is required to complete your application for a research fellowship.

7. Other Submission Requirements:

Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Research Fellowships Program, CFDA Number 84.133F-1, must be submitted electronically using the Governmentwide Grants.gov Apply site at 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 email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you 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. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Research Fellowships Program at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.133, not 84.133F).

Please note the following:

- 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.
- To ensure that you submit your application in a timely manner to the Grants.gov system, 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 program. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at www.G5.gov. In addition, for specific guidance and procedures for submitting an application through Grants.gov, please refer to the Grants.gov Web site at: www.grants.gov/web/grants/applicants/apply-for-grants.html.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the

electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, and all necessary assurances and certifications.
- You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material. Additional, detailed information on how to attach files is in the application instructions.
- 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. Grants.gov will also notify you automatically by email if your application met all the Grants.gov validation requirements or if there were any errors. You will be given an opportunity to correct any errors and resubmit, but you must still meet the deadline for submission of applications.

Once your application is successfully validated by Grants.gov, the Department will retrieve your application and send you an email with a unique PR/Award number for your application.

These emails do not mean that your application is without any disqualifying errors. It is your responsibility to ensure that your submitted application has met all of the of the Department's requirements, including submitting only PDF documents, as prescribed in this notice and in the application instructions.

- 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 of 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.

Exception to Electronic Submission Requirement:

You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

  and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a

written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to:

Patricia Barrett
U.S. Department of Education
400 Maryland Avenue, SW.
Room 5142, Potomac Center Plaza (PCP)
Washington, DC 20202-2700

FAX: (202) 245-7323.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, 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 84.133F-1)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

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 qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You 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 84.133F-1)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the program 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 356.30 through 356.32 and are listed in the application package.

2. Review and Selection Process:

We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. Special Conditions:

Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

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); or we may send you an email containing a link to access an electronic version of your 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 of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of 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:

(1) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(2) 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 www.ed.gov/fund/grant/apply/appforms/appforms.html.

4. Performance Measures:

To evaluate the overall success of its research program, NIDRR assesses the quality of its funded projects through a review of grantee performance and products. Each year, NIDRR examines a portion of its grantees to determine the extent to which grantees are conducting high-quality research and related activities that lead to high-quality products. Performance measures for the Research Fellowships Program include--:

- The number of NIDRR-supported fellows, post-doctoral trainees, and doctoral students who publish results of NIDRR-sponsored research in refereed journals;
- The percentage of grantee research and development that has appropriate study design, meets rigorous standards of scientific and/or engineering methods, and builds on and contributes to knowledge in the field; and
- The average number of publications per award based on NIDRR-funded research and development activities in refereed journals.

NIDRR evaluates the overall success of individual research and development grants through a review of grantee performance and products. For these reviews, NIDRR uses

information submitted by grantees as part of their final performance report. Approved final performance report guidelines require grantees to submit information regarding research methods, results, outputs, and outcomes. Because grants made under the Research Fellowships Program are limited to a maximum of 12 months, they are not eligible for continuation awards.

VII. AGENCY CONTACT

For Further Information Contact:

Patricia Barrett
U.S. Department of Education
400 Maryland Avenue, SW.
Room 5142, PCP
Washington, DC 20202-2700

Telephone: (202) 245-6211, or by

Email: patricia.barrett@ed.gov.

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

VIII. OTHER INFORMATION

Accessible Format:

Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) 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 or a TTY, call the FRS, toll free, at 1-800-877-8339.

Electronic Access to This Document:

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 via the Federal Digital System at: www.gpo.gov/fdsys. At this site 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). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: www.federalregister.gov. Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

Michael K. Yudin,
Acting Assistant Secretary for Special Education and Rehabilitative Services.

SECTION C

SELECTION CRITERIA—
RESEARCH FELLOWSHIPS PROGRAM

SELECTION CRITERIA—RESEARCH FELLOWSHIPS PROGRAM

The Secretary evaluates applications for Fellowships according to the following criteria, which are found in 34 CFR 356.30:

(a) Quality and level of formal education (worth 15 points), previous work experience (worth 20 points), and recommendations of present or former supervisors or colleagues that include an indication of the applicant's ability to work creatively in scientific research (worth 15 points); and:

(b) The quality of a research proposal of no more than 24 double spaced pages containing the following information:

(1) The importance of the problem to be investigated to the purpose of the Rehabilitation Act and the mission of the National Institute on Disability and Rehabilitation Research (NIDRR) (worth 10 points).

(2) The research hypotheses or related objectives and the methodology and design to be followed (worth 30 points).

(3) Assurance of the availability of any necessary data resources, equipment, or institutional support, including technical consultation and support where appropriate, required to carry out the proposed activity (worth 10 points).

SECTION D

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) 245-6154 and on the Protection of Human Subjects in research Web site at:

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

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

SECTION E

GRANTS.GOV
SUBMISSION PROCEDURES
AND
TIPS FOR APPLICANTS

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

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

1. ADOBE FORMS AND PDF FILES REQUIRED.

Applications submitted to Grants.gov for the Department of Education are posted on Adobe forms that require applicants to use Adobe Reader version 10.1.14 or higher. (In early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI, but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version of Adobe Reader are available on Grants.gov at this link: compatibility table. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. Also, applicants are required to upload their attachments in .pdf format only. Applicants should allow extra time to ensure resolution of compatibility issues. (See details below under "Attaching Files – Additional Tips.") If you have questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

2. 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 the registration steps are complete. Details on registering with Grants.gov as an individual are located at Grants.gov (http://www.grants.gov/web/grants/applicants/individual-registration.html#).

Note: To register with Grants.gov you must know the Funding Opportunity Number (FON) of the Grant opportunity you are applying for. This number is available on the Research Fellowships Program Notice Inviting Applications for new awards for fiscal year (FY) 2014. Once you register with www.Grants.gov using the FON, you will be asked to create a profile with your username and password, which will be used to identify you within the system and create an electronic signature to have your grant application forwarded to the appropriate government agency safely and securely. To register with Grants.gov you do not have to provide a Data Universal Numbering System Number (DUNS), a Taxpayer Identification Number (TIN) or your Social Security Number. You also do not have to complete a CCR registration in order to access Grants.gov or submit your application. However, your Social Security Number is required to complete the application process.

3. 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; the time it takes Grants.gov to process applications varies, as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

4. VERIFY SUBMISSION IS OK.

You will want to verify that Grants.gov received your application submission on time 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 must 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. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

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. Grants.gov will also notify you automatically by email if your application met all the Grants.gov validation requirements or if there were any errors. You will be given an opportunity to correct any errors and resubmit, but you must still meet the deadline for submission of applications.

Once your application is successfully validated by Grants.gov, the Department will retrieve your application and send you an email with a unique PR/Award number for your application.

These emails do not mean that your application is without any disqualifying errors. It is your responsibility to ensure that your submitted application has met all of the of the Department's requirements, including submitting only PDF documents, as prescribed in this notice and in the application instructions.

Note: Please do not rely solely on automatic e-mail notifications from Grants.gov or the Department to confirm whether your application is correctly uploaded and without disqualifying errors. Assuring that your application was uploaded correctly in PDF and contains all the required forms and information described in the NIA is your responsibility.

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/web/grants/about/contact-us.html, or access the Grants.gov Self-Service web portal at: https://grants-portal.psc.gov/Welcome.aspx?pt=Grants

You must submit an electronic application before 4:30:00 p.m. Eastern Standard Time, on the due date, unless you qualify for one of the exceptions to the electronic submission requirement, follow the procedures in the Federal Register notice to obtain authorization to submit a paper copy, 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

Once you download an application form 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 so you do not lose your work. You will need to logon to Grants.gov to upload and submit the application.

Please go to http://www.grants.gov/web/grants/about/contact-us.html 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 website http://www.grants.gov/web/grants/applicants/applicant-resources.html.

DIAL-UP INTERNET CONNECTIONS

Using a dial up connection to upload and submit your application 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

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: http://www.grants.gov/web/grants/support/technical-support/recommended-software.html. **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, especially the requirement that applicants **include only read-only, non-modifiable .PDF files** in their application.

1. Ensure that all attachments to your application are .**PDF files** that are in a **read-only, non-modifiable format**. PDF files are the only Department of Education-approved file type accepted, as specified in the Federal Register application notice. Also, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or interactive or fillable .PDF files. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources: http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html.
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 follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must have less than 50 characters in the file name and contain no spaces, special characters (example: -, &, *, %, /, #, \), periods (.), blank spaces, or accent marks (!). Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department of Education for review.
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.

SECTION F

FREQUENTLY ASKED QUESTIONS AND POINTS TO REMEMBER IN APPLICATION PREPARATION

FREQUENTLY ASKED QUESTIONS

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 in a given competition. If that occurs, a notice of the revised due date is published in the Federal Register and this extension applies to all applications in that competition. There are no extensions or exceptions to the due date made for individual applicants. (However, there are provisions for extensions due to technical difficulties in the Grants.gov system, per the guidance included in the Notice Inviting Applications (See Section B.)

2. WHAT TOPICAL AREAS SHOULD APPLICATIONS FOCUS ON AND WHAT SHOULD BE INCLUDED IN THE APPLICATION?

NIDRR is interested in attracting applications for Switzer Research Fellowships from qualified individuals, including those who are individuals with disabilities that reflect the breadth of NIDRR's research agenda across the primary domains of individual well-being: Community Living and Participation, Employment, and Health and Function. In concert with the balance principle described in NIDRR's Long-Range Plan, applicants for Switzer Research Fellowships must specify in their abstract and project narrative which of NIDRR's major domains of individual well-being their research will focus on: (a) community living and participation, (b) employment, or (c) health and function. NIDRR will seek to fund Merit Fellowship applications under each of these domains, but there will be no quota for the number of applications per domain

The application should contain all required forms specified in this package (see Section H) as well as a project abstract, a project narrative, bibliography, an eligibility statement, a resume/curriculum vitae, letters of recommendation/support, and information on the protection of human subjects (if applicable). The abstract should highlight the purpose, target population to be served during the project period, planned goals and objectives, research methods to be utilized, project outcomes, and dissemination. The eligibility statement should describe the applicant's qualifications for the Switzer Research Fellowship described in the NIA and include a plan for how the applicant will fulfill the requirement to work one FTE on the fellowship during the project period. It is helpful to highlight evidence of the applicant's training and experience regarding any specialized research methods or data analytic techniques relevant to the proposed study. The curriculum vitae should include, but need not be limited to, information that is specifically pertinent to this proposed project and research experience. 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.

We recommend against including voluminous appendices with your application. 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. Appendices that are too large cannot be mailed to the reviewers.

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 (see Section C). Additionally, applicants should provide clearly stated goals, hypotheses or research questions, expected outcomes, and identify the 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. IS A D-U-N-S NUMBER, TIN OR CCR REQUIRED TO REGISTRER FOR GRANTS.GOV OR SUBMIT YOUR APPLICATION?

For this grant program, all you need to register with Grants.gov is the Funding Opportunity Number (FON) of the Grant opportunity you are applying for. This number is available on the Research Fellowships Program Notice Inviting Applications for new awards for fiscal year (FY) 2014. To submit your application on Grants.gov, you must provide your SocialSecurity Number. A Data Universal Numbering System (D-U-N-S) number, Tax Identification Number (TIN) and Central Contracting Registry (CCR) are no longer required to register with Grants.gov or submit applications for this grant program.

5. ARE THERE PAGE LIMITS TO MY APPLICATION?

For the Switzer Research Fellowships Program there is a restriction on the number of pages in the project narrative. Applicants must include all of their material for the project narrative within 24 double-spaced pages. This page limit does not include the required forms, abstract, bibliography, eligibility statement, resume/curriculum vitae, letters of recommendation/support, and information on the protection of human subjects. Applications too large to be handled by Grants.gov will be rejected.

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

A one-page abstract is required and is used by both the peer reviewers and the program staff in the review and processing of the application. The abstract should be a comprehensive description of the project, but should not include description of the competency of the institution or project director. It is not an executive summary. The abstract should highlight the purpose and importance of the proposed project; the target population to be studied and the intended beneficiaries of the proposed research, if different from the study population; planned goals and objectives; research methods to be utilized; anticipated project outcomes; and dissemination strategies. It can be single or

double-spaced. If applying through Grants.gov, upload this document under the ED Abstract Form attachment.

7. CAN INDIVIDUALS APPLY FOR GRANTS?

The Switzer Research Fellowships program (84.133F) is the only NIDRR funding program that is available only to individuals. Note that for Research Fellowships, the applicant is the legal name, the project director and the authorized representative on all forms. No IHE or institutional representatives should sign these forms. The individual must sign all of the forms. The individual will be disqualified if an institution applies or an institutional representative signs the forms for the application.

Potential applicants who are non-U.S. residents or who receive certain federal and state benefits are cautioned that acceptance of a Switzer Research Fellowship may adversely affect their immigration or non-immigrant visa status or their eligibility for services such as In-Home Supportive Services under Supplemental Security Income Section 1619. This has occurred in the past because Switzer Research Fellowships are awarded directly to individuals and not to host institutions, which can affect determinations of employment and income status. Applicants must have a U.S. Social Security Number.

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

NIDRR staff can advise you only regarding the requirements of the program in which you propose to submit your application. NIDRR staff cannot advise you regarding the likelihood of whether your subject area or proposed approach will be scored favorably by the peer reviewers.

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

Applicants should ensure that their application is referred to the correct competition by clearly including the title of the funding program, (Research Fellowships Program) and CFDA number of the specific competition within this program including the alphabetical code (e.g., 84.133F-1), on the Standard Form 424. Applicants should also use a project title that describes their proposed project.

10. WHAT START DATE SHOULD I USE ON MY APPLICATION?

The start date for NIDRR Research Fellowships is October 1.

11. 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.

12. 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 #11.

13. 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, 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.

14. SHOULD I SUBMIT MY APPLICATION VIA Grants.gov?

Yes. The Notice Inviting Applications (NIA) provides information on how to submit via Grants.gov and the application package includes helpful tips. The NIA also identifies conditions under which paper submission is allowed. If you do submit by paper, include a disk copy of your application.

We strongly suggest that you:

(1) Read the Grants.gov instructions carefully;

(2) Do not wait to set up your account because it can take up to a week to register;

(3) Review the form sections in Grants.gov before submitting your application to ensure you upload all information 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 at least several hours or a full day to upload your application. If there is a submission error; you will need time to correct the error and resubmit to meet the deadline. Applications received/logged in after 4:30:00 pm (Washington, D.C. time) of the day the application is due will not be reviewed.

15. MAY I ENGAGE IN ADDITIONAL WORK DURING MY GRANT PERFORMANCE PERIOD IF I AM AWARDED A RESEARCH FELLOWSHIP?

Fellows must work principally on their Fellowship activities. Fellows may be allowed to dedicate additional hours (beyond their 1FTE commitment to the Fellowship) to other work during their Fellowship grant performance period if this is in keeping with the guidelines offered by their home institutions. In other words, NIDRR defers to the guidelines of the Fellows' home institutions regarding the admissibility of work in excess of the 1 FTE dedicated to the Fellowship. NIDRR strongly suggests that any additional hours be limited to .25FTE (or 10 hours per week), but requires that additional hours be limited to .5FTE (or 20 hours per week).

16. MAY NIDRR RESEARCH FELLOWS RECEIVE FEDERAL FUNDING FROM OTHER SOURCES DURING THEIR FELLOWSHIP?

Fellows are not allowed to be a direct recipient of Federal government grant funds in addition to those provided by the Switzer Fellowships Program (during the duration of the fellowship award performance period). Fellows may, subject to compliance with their institution's policy on additional employment, work on a Federal grant that has been awarded to the fellow's institution as long as they comply with the one FTE requirement of the Switzer Fellowships Program.

POINTS TO REMEMBER IN APPLICATION PREPARATION

RELEVANT TO PROGRAM

1. **CFDA Number:**
   In the title block on the 424 form, please note the appropriate CFDA 84.133F.

2. **Budget:**
   No budget is required for this program.

3. **Organize your narrative**
   in accordance with the selection criterion in SECTION C of this package. Address all criteria. If applying through Grants.gov, use the Project Narrative Attachments form to attach your narrative.

4. **Page number limitations:**
   There is a strict page limit. The narrative (Part III) must be limited to 24 pages, double-spaced. The page limit does not apply to the required forms; cover sheet, the assurances and certifications, the one-page abstract, the eligibility statement, the curriculum vitae, the bibliography, the letters of recommendation, or the information on the protection of human subjects.

5. **The applicant is the legal name, project director and the authorized representative on all forms.**
   No IHE or institution should sign these forms. The individual must sign all of the forms. The application will be disqualified if an institution other than yourself applies or signs the forms for the application.

6. **Letters of recommendation/support:**
   Letters of recommendation/support should be addressed to the applicant. The letters should attest to the candidate's ability to work creatively in scientific research. This might include (but not necessarily be limited to) the applicant's ability to conduct the quality and level of research that is proposed and the applicant's ability to complete the research independently with access to the proper resources. All letters of recommendation/support must be included in the application package and not sent separately to NIDRR. Any letters received separately from the application will not be forwarded to the reviewers. For electronic submission, attach letters under the Other Narrative Attachments form.

7. **Research Methods:**
   Applicants should clearly state the proposed research hypotheses and/or research questions and should adequately describe the proposed research methodologies and data analysis plan. 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 them in the application.

8. **Project Period:**
   The project period for this grant program is one year (12 months).

9. **Grant Funds:**
   Fellows are strongly encouraged to draw down grant funds in comparably sized monthly installments. NIDRR staff cannot provide tax advice. Please be clear in your recruitment strategies for underserved populations including students with disabilities.

CLOSING DATE/TRANSMITTAL OF APPLICATION

10. For applicants who qualify for and choose to submit a paper application, your application must be **postmarked** by the closing date if a waiver was granted on **April 14, 2014.** Follow the transmittal instructions for submitting. Please include an electronic copy (disk) with your application, if submitting by paper.

11. Electronic submissions must be **uploaded** on Grants.gov by 4:30:00 pm, Washington DC time on the closing date and then processed by Grants.gov successfully. For additional information on electronic submission procedures, see the Section B. **Do not send a copy of your application by email directly to the Department**

12. **Legal Name:**
    Provide your own legal name in Block #8. Please note the CFDA, 84.133, will automatically populate on Block #11 of the SF 424. Do not include any institutional information in any of the blocks.

13. **SSN/D-U-N-S and TIN:**
    To complete and submit your application for a Switzer Fellowship in Grants.gov you must have a Social Security Number. A D-U-N-S- number and TIN are no longer required. Switzer applicants from other countries may be able to obtain a U.S. SSN through the following web site: http://www.ssa.gov/pubs/EN-05-10096.pdf.

14. **Project Director:**
    Project director information is on the ED supplemental form in Block #1. Provide your name as the person to contact, as the project director and as the authorized representative.

15. **Novice applicant.**
    Leave Block #2 on the ED Supplemental blank. This item does not apply to NIDRR programs.

16. **Block #18:**
    Enter the total amount you are requesting.

17. **EO 12372:**
    Mark Block #19, the EO 12372 as b. no and not covered.

18. **Human Subjects:**
    Block #3 b on the ED Supplemental. You must include a separate narrative for each site where the research is being conducted. If you check “no”, please include a paragraph addressing why it is not required. Provide in a letter from an institution if IRB is being provided.

ABSTRACT/NARRATIVE/APPENDICES

19. Abstract:
The ONE-PAGE abstract should be a comprehensive description of the project, not an executive summary. It should highlight the purpose and importance of the problem to be addressed; the target population to be studied and the intended beneficiaries of the proposed research, if different from the study population; planned goals and objectives; research methods to be utilized; anticipated project outcomes; and dissemination strategies. It can be single or double-spaced. If applying through Grants.gov, use the ED Abstract form to attach your abstract.

20. Number all pages
Numbering the pages makes it easier for the reader to refer to a page number if comments are given (including the appendices).

21. Eligibility Statement:
Applicants are required to submit a brief eligibility statement describing their qualifications for the Fellowship and including a plan for how they will fulfill the requirement to work one FTE on the fellowship during the project period. It is helpful to highlight evidence of your training and experience regarding any specialized research methods or data analytic techniques relevant to the proposed study. This statement is not included in the 24-page limit for the project narrative. In Grants.gov, attach this statement under the Other Narrative Attachment Form.

22. Curriculum Vitae or Resume:
A curriculum vitae must be included. If applying through Grants.gov attach the vitae under the Other Narrative Attachment Form.

GRANTS.GOV

23. We strongly suggest that applicants:

(1) Read the instructions carefully;

(2) Don't wait until close to the due date to set up your account as it can take up to a week to register;

(3) Review the application before sending the final version to ensure that all information has been uploaded correctly and completely; and

(4) Submit early.

24. Electronic applications must be uploaded on Grants.gov and validated by Grants.gov by 4:30:00 pm, Washington, D.C. time on the closing date. For additional information on electronic submission procedures, see the transmittal section of the Notice Inviting Applications (see Section B).

25. The application information will be uploaded in three areas:

(1) ED Abstract Form;

(2) Project Narrative Attachment Form; and

(3) Other Narrative Attachment Form.

The ED Abstract Form is to be used for the abstract. The Project Narrative Attachment Form is to be used for the application narrative, which addresses the selection criteria and any special consideration noted under the selection criteria, if appropriate. This section must be limited to 24-pages, doubled spaced. (Pages dedicated to the bibliography are not included in the page limit.). The Other Narrative Attachment Form is to be used for the bibliography, eligibility statement, curriculum vitae, letters of recommendation/support, protection of human subjects information, if applicable, and any other appendices.

MISCELLANEOUS INFORMATION AND REMINDERS

26. Rehabilitation Act:
To find information on the Rehab Act of 1973, as amended, as well as other NIDRR policy & legislation, go to: www.ed.gov/about/offices/list/osers/nidrr/policy.html or www.ed.gov/policy/speced/reg/narrative.html?exp=0

27. Help in Preparing Applications.
NIDRR staff may not participate in the actual writing of an application. NIDRR staff may provide general program information to applicants and may respond to specific questions about application requirements, evaluation criteria, and announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

28. Possibility Of Learning The Outcome Of Review Panels Prior To Official Notification.
Every year NIDRR is contacted 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, NIDRR 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 followed by a letter (if your application is recommended for funding), or through a letter (if your application is not successful).

29. 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.

30. Eligible Applicants.
Fellowships are awarded to individuals who have either advanced professional training or independent research experience in an area which is directly pertinent to disability and rehabilitation. For more information, see the Education Department regulations for eligibility in 34 CFR part 356.2.

31. Examples of Successful Applications.

To see Research Fellowship projects that NIDRR has funded or is currently funding, go to our online award directory at www.naric.com. Once there, scroll to middle of the page and under the heading “Search”, in the second bullet select “the Program Database”. Scroll down to “Project Type” and from the dropdown menu select “Fellowships” and then select “Search”. This will provide information about a large number of projects by NIDRR Fellows.

32. Reporting Requirements.

Successful fellowship applicants are required to submit both an annual performance report and a final performance report. The annual performance report (APR) must be submitted by July 1 of the project period, and the final report is submitted 90 days after the end of the project period. Both the APR and Final Report are standardized forms that are submitted electronically via a web-based system. This system is maintained by a contractor who notifies new grantees after receiving an award with the appropriate URL and personal password to access the system. The contractor also sends a letter to successful grantees informing them when and how to submit their annual and final performance reports. The annual and final reports require fellows to demonstrate and document progress in meeting approved project objectives and success in addressing the performance measures outlined in the Notice Inviting Applications. The final report differs from the APR in the inclusion of additional sections on Award Summary and Future Implications.

33. NIDRR’s currently approved Long Range Plan was published in the Federal Register on April 4, 2013 (78 FR 20299) and can be accessed at : http://www.ed.gov/about/offices/list/osers/nidrr/policy.html

SECTION G

APPLICATION FORMAT

APPLICATION FORMAT

Applications submitted electronically MUST be fully uploaded and transmitted by Grants.gov to the Department of Education by 4:30:00 p.m. Washington, D.C. time on **April 14, 2014**. Applications that are mailed either by regular or delivery service MUST be postmarked or logged in to a delivery company by close of business (COB), **April 14, 2014**.
It is recommended that your electronic or paper application be organized in the following manner and include the following:

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, in block #4 of either form, the CFDA number of the program (CDFA 84.133F). If this information is not provided, your application may be assigned and reviewed under a different program.

PROJECT ABSTRACT

- The abstract requires a concise (not exceeding one page) description of the purpose and importance of the problem to be addressed; the target population to be studied and the intended beneficiaries of the proposed research, if different from the study population; planned goals and objectives; research methods to be utilized; anticipated project outcomes; and dissemination strategies. For submissions on Grants.gov, attach the abstract under the ED Abstract Form section.

PROJECT NARRATIVE

- The project narrative must respond to the selection criteria found in this application package and to any special considerations noted under the selection criteria, if applicable. For submissions on Grants.gov, attach the project narrative under the Project Narrative Attachment Form.
- The application narrative must be limited to the equivalent of no more than 24 pages and adhere to the following formatting requirements:
    - 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 program narrative.
    - Use a font that is either 12-point or larger or no smaller than 10-pitch (characters per inch).
    - Begin numbering at the right bottom of 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 forms (including assurances and certifications), project abstract, bibliography, eligibility statement, curriculum vitae, letters of recommendation, or information on protection of human subjects.

ELIGIBILITY STATEMENT

- The required eligibility statement should describe the applicant's qualifications for the category of Switzer Research Fellowship being applied for, and include a plan for how the applicant will fulfill the requirement to work one FTE on the fellowship during the project period. It is helpful to highlight evidence of the applicant’s training and experience regarding any specialized research methods or data analytic techniques relevant to the proposed study. For Grants.gov submissions, attach the eligibility statement under the Other Narrative Attachment Form.

RESUME/CURRICULUM VITAE

- Provide a curriculum vitae (or resume) that includes relevant qualifications for contributions to the achievement of category of Switzer Research Fellowship being applied for and the goals and objectives of the proposed project. For Grants.gov submissions, attach the curriculum vitae under the Other Narrative Attachment Form.

LETTERS OF RECOMMENDATION/SUPPORT

- Include letters of recommendation or support that attest to the applicant's ability to work creatively in scientific research and to carry out the proposed research activities consistent with the category of Switzer Research Fellowship being applied for. This might include, but not necessarily be limited to, the applicant's ability to conduct the quality and level of research that is proposed and the applicant's ability to complete the research independently with access to the proper resources. For Grants.gov submissions, letters of recommendation/support must be submitted under the Other Narrative Attachment Form.

SECTION H

APPLICATION FORMS

REQUIRED FORMS:

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

SUBMITTING BY PAPER

- Federal Assistance Face Page (SF 424)
- SF 424 ED Supplemental
- Assurances - Non-Construction Programs (SF 424b)
- Disclosure of Lobbying Activities (SF-LLL)
- ED GEPA427 Form
- Grants.gov Lobbying Form
- Certifications Regarding Lobbying (ED 80-0013)

SUBMITTING BY GRANTS.GOV

- Federal Assistance Face Page (SF 424)
- SF 424 ED Supplemental
- Assurances - Non-Construction Programs (SF 424b)
- Disclosure of Lobbying Activities (SF-LLL)
- ED GEPA427 Form
- Grants.gov Lobbying Form
- Certifications Regarding Lobbying (ED 80-0013)

PAPERWORK REDUCTION ACT

According to the Paperwork Reduction Act of 1995, 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 1820-0027. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the:

U.S. Department of Education
Information Management and Compliance Division
Washington, DC 20202-4651

and to the

Office of Management and Budget
Paperwork Reduction Project 1820-0027
Washington, DC 20503

SECTION I

APPLICATION CHECKLIST

APPLICATION CHECKLIST

DOES YOUR APPLICATION INCLUDE EACH OF THE FOLLOWING?

[ ] Cover page for SF 424 marked **84.133F-1**

[ ] Priority Topic identified in the Descriptive Title Block 11 of the SF 424

[ ] Project Abstract

[ ] Project Narrative, and responses to the selection criteria and to any special considerations noted under the selection criteria, if applicable.

[ ] Bibliography for project narrative

[ ] Curriculum vitae/resume

[ ] Eligibility Statement

[ ] Letters of recommendation/support

[ ] Information on the Protection of Human Subjects, if applicable

[ ] Assurances and Certifications (from the forms list in section H)

[ ] Correctly uploaded PDF files if submitting electronically

[ ] All required forms with original signatures and dates if submitting by post, hand-delivery or carrier service

DID YOU DO EACH OF THE FOLLOWING?

[ ] Mail or submit application on or before **April 14, 2014**

[ ] Provide 1 original and 2 copies of the application if submitting by post, hand-delivery or carrier service (Although not required, 1 original and 8 copies are requested)

[ ] 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 if submitting by post, hand-delivery or carrier service

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 required for use as a cover sheet for submission of pre-applications 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 fields on the form are identified with an asterisk (*) and are also specified as “Required” in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item:	Entry:
1.	Type of Submission: (Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.	10.	Name Of Federal Agency: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant’s Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary
4.	Applicant Identifier: Enter the entity identifier assigned buy the Federal agency, if any, or the applicant’s control number if applicable.		

			description of the project.
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the federal agency, if any.	16.	Congressional Districts Of: 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	Federal Award Identifier: For new applications, enter NA. 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.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the state, if applicable.		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions: a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov. b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov. d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US). e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity. f. Name and contact information of person to be contacted on matters involving this application: Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
		18.	Estimated Funding: (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
		19.	Is Application Subject to Review by State Under Executive Order 12372 Process? (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
		20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.	21.	Authorized Representative: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax

				number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)		

http://www2.ed.gov/fund/grant/apply/appforms/appforms.html

[**U.S Department of Education note**: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (*) are mandatory.

2. **Novice Applicant.** Check "Yes" if you meet the definition for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424"). By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the definition for novice applicants**.**

This novice applicant information will be used by ED to: 1) determine the amount and type of technical assistance that a novice might need, if funded, and 2) determine novice applicant eligibility in discretionary grant competitions that give special consideration to novice applications. Certain ED discretionary grant programs give special consideration to novice applications, either by establishing a special competition for novice applicants or by giving competitive preference to novice applicants under the procedures in 34 CFR 75.105(c)(2). If special consideration is being given to novice applications under a particular discretionary grant competition, the application notice for the competition published in the Federal Register will specify this information

3. Human Subjects Research. (See I. A. "Definitions" in attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424.")

3a. 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.

3a. 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 U.S. Department of Education Supplemental Information for SF-424.")

3b. 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. Check 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 U.S. Department of Education Supplemental Information for the SF-424."

3b. 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 attached page

entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424."

3b. Human Subjects Assurance Number. If the applicant has an approved Federal Wide Assurance (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. **(A list of current FWAs is available at: http://ohrp.cit.nih.gov/search/asearch.asp#ASUR)** 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.

3c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to your submission of the U.S Department of Education Supplemental Information for the SF-424 form as instructed in item II, "Instructions for Exempt and Nonexempt Human Subjects Research Narratives" in the attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424."

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.

No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.

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 1894-0007. 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. 20202-0170. If you have comments or concerns regarding the status of your individual submission of this form write directly to: OSERS/NIDRR, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

DEFINITIONS FOR U.S. DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR THE SF-424

NOVICE APPLICANT (SEE 34 CFR 75.225)

For discretionary grant programs, 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 ***directly or indirectly*** *linked to that individual, 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. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.***

(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.***

(3) ***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.]

(4) 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.

(5) 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***. [This exemption applies only to retrospective studies using data collected before the initiation of the research.]***

(6) 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. ***[The standards of this exemption are rarely met because it was***

designed to apply only to specific research conducted by HHS at the time the regulations were established. We will strictly construe this exemption because it was not intended to apply to ED research.]

(7) 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.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects "exempt research" or "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. 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.b. and designated exemption numbers(s), attach the "exempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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.b. you must attach the "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. 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 Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4331, telephone: (202) 245-8090, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: 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 SF-424 in the upper right corner of the form (if applicable).

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

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).

DEFINITIONS FOR FORM ED 424

NOVICE APPLICANT (SEE 34 CFR 75.225).

For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that:

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

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

TYPE OF SUBMISSION.

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

EXECUTIVE ORDER 12372.

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

http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show

OMB Approval No. 0348-0040

ASSURANCES—NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), 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.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps;

(d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-

523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, “Audits of States, Local Governments, and Non-Profit Organizations.”

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

GENERAL EDUCATION PROVISIONS ACT (GEPA) REQUIREMENTS—SECTION 427

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving,

among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

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. Public reporting burden for this collection of information is estimated to average 1.5 hours 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. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the

U.S. Department of Education
400 Maryland Ave., SW
Washington, DC 20210-4537

or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

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

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

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

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

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

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

PAPERWORK REDUCTION ACT

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 205

SURVEY INSTRUCTIONS ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

PAPERWORK REDUCTION ACT

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GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

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

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

ELECTRONIC NOTIFICATION OPTION FOR GRANT AWARDS

If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); **OR** we may send you an e-mail containing a link to access G5, the Department's Grant Management System. The email will be sent to both the project director and certifying representative in order for them to view and print the Adobe Acrobat version of the electronically signed GAN. If neither the project director nor certifying representative is registered in G5, they will immediately be prompted to register once the link is accessed. **The electronic signature and issuance of the GAN makes it crucial that your application include correct email addresses for both the project director and certifying representative.**

GRANT AND CONTRACT FUNDING INFORMATION

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

ED Internet Home Page: www.ed.gov

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. Public reporting burden for this collection of information is estimated to average 200 hours 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. The obligation to respond to this collection is voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1820-0027. Note: Please do not return the completed application to this address.