

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

**FY 2013 APPLICATION KIT FOR NEW GRANTS**

**UNDER**

**THE NATIONAL INSTITUTE ON DISABILITY AND  
REHABILITATION RESEARCH**

**MINORITY-SERVING INSTITUTION ADVANCED  
REHABILITATION RESEARCH TRAINING  
PROJECTS**

**CFDA NUMBER: 84.133P-3**



FORM APPROVED  
OMB No. 1820-0027, EXP. DATE 03/31/2013  
SF FORM 424, 3/31/2012

DATED MATERIAL—OPEN IMMEDIATELY

**Closing Date: April 2, 2013**

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# **SECTION A**

## **DEAR APPLICANT LETTER**

Dear Applicant:

The Secretary invites applications for new awards for fiscal year (FY) 2013 for the Minority-Serving Institution (MSI) Advanced Rehabilitation Research Training (ARRT) Projects program—(CFDA 84.133P-3), to provide research training and experience at an advanced level to individuals with doctorates or similar advanced degrees, who have clinical or other relevant experience.

**Only Institutions of Higher Education are eligible to apply.**

Through this funding mechanism, NIDRR is interested in attracting applications that provide advanced research training to enhance the capacity to conduct high-quality, multidisciplinary rehabilitation research across the full breadth of NIDRR's research agenda, involving Employment, Health and Function, Community Living and Participation, Technology for Access and Function, and Disability Statistics.

The ARRT program does not require cost sharing or matching. However, any applicant may voluntarily promise to share in the cost of the ARRT project by supplementing the amount of the stipend paid to trainees with additional funds beyond the maximum awarded under this program. Applications submitted under this program with voluntary cost-sharing to supplement trainee stipends must use funds from non-Federal sources. For details on the required policies governing grantee voluntary cost-sharing or matching, we encourage you to read Section B –Notice Inviting Applications, under “III. Eligibility Information.”

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

**APPLICATION PROCEDURES**

This application kit contains information and the required forms for potential applicants to apply and be considered for a FY 2013 grant award under this competition published in the Notice Inviting Applications in the Federal Register dated **February 1, 2013**.

Potential applicants are advised to read the materials carefully, particularly the information on the types of organizations that are eligible to apply for these grants, how to prepare an application, the dollar amount for any year, the protection of human subjects, the format and addresses for submitting, and the selection criteria (Section C) used by the reviewers to evaluate each application.

The program narrative must address the selection criteria included in this application packet (Section C). To facilitate the peer review process, you should address the criteria in the order presented. Additionally, each proposal **should include a one-page abstract**. The abstract is a critical component of the proposal, and it should highlight the purpose, target population to be served during the project period, planned goals and objectives, innovative strategies utilized, project outcomes, and dissemination.

You **must** submit your application electronically through Grants.gov (www.grants.gov). See Section B, Notice Inviting Applications and Section E, Application Transmittal Instructions.

**NOTE:** You will be uploading sections of your application by heading. There is a heading for:

- (1) abstract;
- (2) table of contents;
- (3) project narrative;
- (4) other—resumes;
- (5) other—letters of commitment/support;
- (6) other and
- (7) budget narrative/justification.

There is a file-size limitation to each section and you may only upload one document under each heading which means that multiple resumes and letters of commitment/support must be combined into one document before being uploaded.

Electronic copies must be fully uploaded on the Grants.gov site by 4:30:00 pm, Washington DC time on the closing date, **April 2, 2013**. It may take up to several hours for this process. Please allow several hours or a full day to submit your application. If there is a submission error, time will be needed to correct the error and resubmit in paper or electronic format. **We encourage you to read Section E –Grants.gov Submission Procedures and Tips for Applicants**

## **PROGRAM RULES**

These 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:

A pre-application meeting will be held between 1:00 p.m. and 3:00 p.m. on **February 22, 2013** by teleconference. Interested parties are invited to participate in the pre-application meeting to discuss the funding priority and to receive information and technical assistance. You must contact Marlene Spencer at [marlene.spencer@ed.gov](mailto:marlene.spencer@ed.gov) by **February 20, 2013** in order to participate in this meeting. NIDRR staff also will be available to provide information and technical assistance via individual phone consultations from 3:30 p.m. to 4:30 p.m. on **February 22, 2013**. Requests for individual consultations during this one hour window must be made in advance to Marlene Spencer.

If you have any questions about the information in this application packet, please contact Marlene Spencer at [Marlene.Spencer@ed.gov](mailto:Marlene.Spencer@ed.gov) or by telephone at (202) 245-7532. Applicants are encouraged to closely review all the requirements and documents related to applying for a Minority-Serving Institution Advanced Rehabilitation Research Training project early in the preparation process, so that any questions can be addressed in sufficient time prior to the due date.

Individuals who use a telecommunications device (TDD) may call the Federal Relay Service (FRS) at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday. If you need help with Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

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

Thank you for your interest in these programs.

Sincerely,

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K. 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—  
Disability and Rehabilitation Research Projects and Centers Program—Minority-Serving  
Institution Advanced Rehabilitation Research Training Projects

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

**ACTION:** Notice.

**Overview Information:**

National Institute on Disability and Rehabilitation Research (NIDRR)—Disability and  
Rehabilitation Research Projects and Centers Program—**Minority-Serving Institution  
Advanced Rehabilitation Research Training Projects**

Notice inviting applications for new awards for fiscal year (FY) 2013.

Catalog of Federal Domestic Assistance (CFDA) Number: **84.133P-3.**

**Dates:**

Applications Available: **February 1, 2013.**

Date of Pre-Application Meeting: **February 22, 2013.**

Deadline for Transmittal of Applications: **April 2, 2013.**

**Full Text of Announcement**

## **I. Funding Opportunity Description**

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### **Purpose of Program:**

The purpose of the Advanced Rehabilitation Research Training (ARRT) Projects program is to provide advanced research training and experience to individuals with doctorates, or similar advanced degrees, who have clinical or other relevant experience. ARRT projects train rehabilitation researchers, including researchers with disabilities, with particular attention to research areas that support the implementation and objectives of the Rehabilitation Act of 1973, as amended (Act), and that improve the effectiveness of services authorized under the Act.

The purpose of this competition is to improve the capacity of minority entities to develop and support disability and rehabilitation research training opportunities, by limiting eligibility for ARRT grants to minority entities. Section 21(b)(2)(A) of the Act authorizes NIDRR to make awards to minority entities and Indian tribes to carry out activities authorized under Title II of the Act.

**Note:** This program is in concert with NIDRR's currently approved long-range plan (the Plan). The Plan is comprehensive and integrates many issues relating to disability and rehabilitation research topics. The Plan, which was published in the Federal Register on February 15, 2006 (71 FR 8166), can be accessed on the Internet at the following site:

[www.ed.gov/about/offices/list/osers/nidrr/policy.html](http://www.ed.gov/about/offices/list/osers/nidrr/policy.html).

Through the implementation of the Plan, NIDRR seeks to

- (1) improve the quality and utility of disability and rehabilitation research;
- (2) foster an exchange of expertise, information, and training methods to facilitate the advancement of knowledge and understanding of the unique needs of individuals with disabilities from traditionally underserved populations;
- (3) determine the best strategies and programs to improve rehabilitation outcomes for individuals with disabilities from underserved populations;
- (4) identify research gaps;
- (5) identify mechanisms for integrating research and practice; and

(6) disseminate findings.

**Priority:**

In accordance with 34 CFR 75.105(b)(2)(ii), this priority is from the regulations for this program (34 CFR 350.12 and 350.64 through 350.65).

**Absolute Priority:**

For FY 2013, and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

**Minority-Serving Institution (MSI) Advanced Rehabilitation Research Training Projects.**

This MSI-ARRT priority is intended to improve the capacity of minority entities, as defined in section 21 of the Act, to develop and support disability and rehabilitation research training opportunities. ARRT projects must

- (1) recruit and select candidates for advanced research training;
- (2) provide a training program that includes didactic and classroom instruction, is multidisciplinary, and emphasizes scientific methodology, and may involve collaboration among institutions;
- (3) provide research experience, laboratory experience or its equivalent in a community-based research setting, and a practicum that involve each individual in clinical research and in practical activities with organizations representing individuals with disabilities;
- (4) provide academic mentorship or guidance, and opportunities for scientific collaboration with qualified researchers at the host university and other appropriate institutions; and
- (5) provide opportunities for participation in the development of professional presentations and publications, and for attendance at professional conferences and meetings, as appropriate for the individual's field of study and level of experience.

The ARRT project must provide training to individuals for at least one academic year, unless a longer training period is necessary to ensure that each trainee is qualified to conduct independent research upon completion of the course of training; and require trainees to devote at least 80 percent of their time to the activities of the training program during the training period.

**NOTE:** We expect an applicant to articulate goals, objectives, and expected outcomes for the research training activities. An applicant should describe expected public benefits of these training activities, especially benefits for individuals with disabilities, and propose projects that are optimally designed to demonstrate outcomes that are consistent with the proposed goals. Each applicant is encouraged to include information describing how it will measure outcomes, including the indicators for determining that results have occurred. Submission of this measurement information is voluntary, except where required by the selection criteria listed in the application package.

**Program Authority:**

29 U.S.C. 762(k) and 29 U.S.C. 718.

**Applicable Regulations:**

- (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 86, 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 350.

## **II. Award Information**

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### **Type of Award:**

Discretionary grants.

### **Estimated Available Funds:**

The Administration has requested \$106,817,000 for NIDRR for FY 2013, of which we intend to use an estimated \$150,000 for this ARRT competition. 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 2013 from the list of unfunded applicants from this competition.

### **Estimated Range of Awards:**

\$147,000 to \$150,000.

### **Estimated Average Size of Awards:**

\$150,000.

### **Maximum Award:**

We will reject any application that proposes a budget exceeding \$150,000 for a single budget period of 12 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

**Note:** Consistent with 34 CFR 75.562, indirect cost reimbursement for a training grant is limited to eight percent of a modified total direct cost base, defined as total direct costs less stipends, tuition and related fees, equipment, and the amount of each subaward in excess of \$25,000. Indirect costs would be determined in the grantee's negotiated indirect cost rate agreement if that amount is less than the amount calculated under the formula above.

**Estimated Number of Awards:**

1.

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

**Project Period:**

Up to 60 months.

We will reject any application that proposes a project period exceeding 60 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum project period through a notice published in the Federal Register.

### **III. Eligibility Information**

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#### **1. Eligible Applicants:**

Parties eligible to apply for MSI ARRT Projects grants are limited to minority entities and Indian tribes as authorized by section 21(b)(2)(A) of the Act. A minority entity is defined as a historically black college or university (a part B institution, as defined in section 322(2) of the Higher Education Act of 1965, as amended), a Hispanic-serving institution of higher education, an American Indian tribal college or university, or another institution of higher education whose minority student enrollment is at least 50 percent.

#### **2. Cost Sharing or Matching:**

This program does not require cost sharing or matching. However, any applicant may voluntarily promise to share in the cost of the ARRT project by supplementing the amount of the stipend paid to trainees with additional funds beyond the maximum awarded under this program. The policies governing grantee cost sharing or matching are as follows:

- a. Cost sharing or matching is the portion of project costs not borne by the Federal Government. Applications submitted under this program with voluntary cost sharing to supplement trainee stipends must use funds from non-Federal sources (34 CFR 74.23(a)(5)).
- b. Any cost sharing promised by the grantee in its application must be fully documented and accounted for in the grantee's budget and expenditure records and reports. Applications submitted for funding that have voluntary cost-sharing must include—
  - The specific contributions proposed;
  - The source of the cost sharing; and
  - In the case of in-kind contributions, a description of how the value was determined for the donated or contributed services or goods.
- c. It is the policy of the Department that this additional cost share or match becomes part of the grantee's budget and therefore a condition of the grant. According to 34 CFR 74.25, any changes to an applicant's budget can be made only with the prior written approval of the Department.

## **IV. Application and Submission Information**

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### **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](http://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](http://www.EDPubs.gov) or at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

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

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 person or 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 are in the application package for this program, including the requirement for an applicant to provide assurances that it will comply with 34 CFR 350.64 and 350.65. The application package also includes the forms you must submit.

**Page Limit:**

The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you limit Part III to the equivalent of no more than 75 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, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The recommended page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section (Part III).

An applicant should consult NIDRR's Plan when preparing its application. The Plan is organized around the following research domains:

- (1) Community Living and Participation;
- (2) Health and Function;
- (3) Technology;
- (4) Employment; and
- (5) Demographics.

Each applicant should clearly indicate, for each application, the domain under which it is applying.

### **3. Submission Dates and Times:**

#### **Applications Available:**

February 1, 2013.

#### **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 February 21, 2013. 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 for an individual consultation, contact Marlene Spencer as follows:

Marlene Spencer  
U.S. Department of Education  
400 Maryland Avenue SW., Potomac Center Plaza (PCP), room 5133  
Washington, DC 20202-2700

Telephone: (202) 245-7532, or by

E-mail: [marlene.spencer@ed.gov](mailto:marlene.spencer@ed.gov).

#### **Deadline for Transmittal of Applications:**

April 2, 2013.

Applications for grants under this program 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 one of the persons 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 program is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

#### **5. Funding Restrictions:**

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

#### **6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry:**

To do business with the Department of Education, you must—

- a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);
- b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR)—and, after July 24, 2012, with the System for Award Management (SAM), the Government's primary registrant database;
- c. Provide your DUNS number and TIN on your application; and
- d. Maintain an active CCR or SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR or SAM registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your registration annually. This may take three or more business days to complete. Information about SAM is available at SAM.gov.

In addition, if you are submitting your application via Grants.gov, you must

(1) be designated by your organization as an Authorized Organization Representative (AOR);  
and

(2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

## **7. Other Submission Requirements:**

Applications for grants under this program 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 MSI-ARRT Projects program, CFDA Number 84.133P-3, must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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 MSI-ARRT Projects program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this program

by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.133, not 84.133P).

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.
- 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 to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system homepage at [www.G5.gov](http://www.G5.gov).
- 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.
- 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, Budget Information—Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- 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.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (a Department-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.

**Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System:**

If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact one of the persons 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:

Marlene Spencer  
U.S. Department of Education  
400 Maryland Avenue, SW., room 5133, Potomac Center Plaza  
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 84.133P-3)  
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 84.133P-3)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

**Note for Mail or Hand Delivery of Paper Applications:**

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

- (1) You must indicate on the envelope and—if not provided by the Department—in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the 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**

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### **1. Selection Criteria:**

The selection criteria for this program are from 34 CFR 350.54 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**

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### **1. Award Notices:**

If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

### **2. Administrative and National Policy Requirements:**

We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section 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:**

(a) 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).

(b) 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](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

### **4. Performance Measures:**

To evaluate the overall success of its research program, NIDRR assesses the quality of its funded projects through review of grantee performance and products. Each year, NIDRR

examines 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 MSI-ARRT Projects program include—

- The percentage of NIDRR-supported fellows, post-doctoral trainees, and doctoral students who publish results of NIDRR-sponsored research in refereed journals.
- The average number of publications per award based on NIDRR-funded research and development activities in refereed journals.

NIDRR uses information submitted by grantees as part of their Annual Performance Reports (APRs) to assess performance. NIDRR also determines, using information submitted as part of the grantees' APRs, the number of publications in refereed journals that are based on NIDRR-funded research and development activities.

Department of Education program performance reports, which include information on NIDRR programs, are available on the Department's Web site:

[www.ed.gov/about/offices/list/opepd/sas/index.html](http://www.ed.gov/about/offices/list/opepd/sas/index.html).

### **5. Continuation Awards:**

In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

## **VII. Agency Contacts**

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### **For Further Information Contact:**

Marlene Spencer as follows:

Marlene Spencer  
U.S. Department of Education  
400 Maryland Avenue, SW., room 5133, PCP  
Washington, DC 20202-2700

Telephone: (202) 245-7532 or by

E-mail: [marlene.spencer@ed.gov](mailto:marlene.spencer@ed.gov).

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

## **VIII. Other Information**

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### **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](http://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](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

/s/

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

**SECTION C**

**SELECTION CRITERIA—  
ADVANCED REHABILITATION  
RESEARCH TRAINING PROJECTS**

# SELECTION CRITERIA

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The selection criteria to be used for the Advanced Rehabilitation Research Training Project will be provided in the application package. The Secretary uses the following criteria to evaluate an application.

**(a) IMPORTANCE OF THE PROBLEM** **(10 POINTS TOTAL)**

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- (1) The Secretary considers the importance of the problem.
- (2) In determining the importance of the problem, the Secretary considers the extent to which the applicant proposes to provide training in a rehabilitation discipline or area of study in which there is a shortage of qualified researchers, or to a trainee population in which there is a need for more qualified researchers ..... (10 points)

**(b) DESIGN OF TRAINING ACTIVITIES** **(45 POINTS TOTAL)**

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- (1) The Secretary considers the extent to which the design of training activities is likely to be effective in accomplishing the objectives of the project.
- (2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Secretary considers the following factors:
  - (i) The extent to which the proposed training methods are of sufficient quality, intensity, and duration ..... (6 points)
  - (ii) The extent to which the proposed training materials and methods are accessible to individuals with disabilities ..... (6 points)
  - (iii) The extent to which the applicant's proposed recruitment program is likely to be effective in recruiting highly qualified trainees, including those who are individuals with disabilities ..... (9 points)
  - (iv) The extent to which the proposed didactic and classroom training programs emphasize scientific methodology and are likely to develop highly qualified researchers ..... (8 points)
  - (v) The extent to which the quality and extent of the academic mentorship, guidance, and supervision to be provided to each individual trainee are of a high level and are likely to develop highly qualified researchers ..... (6 points)
  - (vi) The extent to which the type, extent, and quality of the proposed clinical and laboratory research experience, including the opportunity to participate in advanced-level research, are likely to develop highly qualified researchers ..... (5 points)

- (3) The extent to which the opportunities for collegial and collaborative activities, exposure to outstanding scientists in the field, and opportunities to participate in the preparation of scholarly or scientific publications and presentations are extensive and appropriate ..... (5 points)

**(c) PLAN OF OPERATION (10 POINTS TOTAL)**

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- (1) The Secretary considers the quality of the plan of operation.
- (2) In determining the quality of the plan of operation, the Secretary considers the following factors:
  - (i) The adequacy of the plan of operation to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, and timelines for accomplishing project tasks..... (5 points)
  - (ii) The adequacy of the plan of operation to provide for using resources, equipment, and personnel to achieve each objective..... (5 points)

**(d) COLLABORATION (5 POINTS TOTAL)**

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- (1) The Secretary considers the quality of collaboration.
- (2) In determining the quality of collaboration, the Secretary considers one or more of the following factors:
  - (i) The extent to which the applicant’s proposed collaboration with one or more agencies, organizations, or institutions is likely to be effective in achieving the relevant proposed activities of the project..... (3 points)
  - (ii) The extent to which agencies, organizations, or institutions demonstrate a commitment to collaborate with the applicant ..... (2 points)

**(e) ADEQUACY AND REASONABLENESS OF THE BUDGET (5 POINTS)**

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- (1) The Secretary considers the adequacy and the reasonableness of the proposed budget.
- (2) In determining the adequacy and the reasonableness of the proposed budget, the Secretary considers the extent to which the costs are reasonable in relation to the proposed project activities ..... (5 points)

**(f) PLAN OF EVALUATION (10 POINTS)**

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- (1) The Secretary considers the quality of the plan of evaluation.
- (2) In determining the quality of the plan of evaluation, the Secretary considers the following factors:
  - (i) The extent to which the plan of evaluation provides for periodic assessment of progress toward achieving the project’s intended outcomes and expected impacts ..... (3 points)

- (ii) The extent to which the plan of evaluation will be used to improve the performance of the project through the feedback generated by its periodic assessments ..... (2 points)
- (iii) The extent to which the plan of evaluation provides for periodic assessment of a project's progress that is based on identified performance measures ..... (5 points)

**(g) PROJECT STAFF (10 POINTS TOTAL)**

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- (1) The Secretary considers the quality of the project staff.
- (2) In determining the quality of the project staff, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability ..... (2 points)
- (3) In addition, the Secretary considers the following:
  - (i) The extent to which the key personnel and other key staff have appropriate training and experience in disciplines required to conduct all proposed activities ..... (2 points)
  - (ii) The extent to which the commitment of staff time is adequate to accomplish all the proposed activities of the project ..... (2 points)
  - (iii) The extent to which key personnel have up-to-date knowledge from research or effective practice in the subject area covered in the priority ..... (4 points)

**(h) ADEQUACY AND ACCESSIBILITY OF RESOURCES (5 POINTS)**

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- (1) The Secretary considers the adequacy and accessibility of the applicant's resources to implement the proposed project.
- (2) In determining the adequacy and accessibility of resources, the Secretary considers the following factors:
  - (i) The extent to which the applicant is committed to provide adequate facilities, equipment, other resources, including administrative support, and laboratories, if appropriate ..... (2 points)
  - (ii) (ii) The quality of an applicant's past performance in carrying out a grant ..... (1 point)
  - (iii) (iii) The extent to which the facilities, equipment, and other resources are appropriately accessible to individuals with disabilities who may use the facilities, equipment, and other resources of the project ..... (2 points)

**SECTION D**  
**PROTECTION OF**  
**HUMAN SUBJECTS**

## **PROTECTION OF HUMAN SUBJECTS**

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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>

**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

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

## ATTENTION—Adobe Forms and PDF Files Required

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2, but 10.1.4 is recommended). Information on computer and operating system compatibility with Adobe, links to download the latest version, and warnings about using Adobe Reader XI are all available on Grants.gov. We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

### 1) REGISTER EARLY

Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR)\*.].

### 2) SUBMIT EARLY

**We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

**Note:** To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR -Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

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

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

[http://www.grants.gov/applicants/applicant\\_fags.jsp#54](http://www.grants.gov/applicants/applicant_fags.jsp#54). For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### **Submission Problems—What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/contactus/contactus.jsp>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

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

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

### **Helpful Hints When Working with Grants.gov**

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

Please go to <http://www.grants.gov/contactus/contactus.jsp> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/applicants/submit\\_application\\_faqs.jsp](http://www.grants.gov/applicants/submit_application_faqs.jsp).

## Dial-Up Internet Connections

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

## MAC Users

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

## Attaching Files—Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. 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/applicants/app\\_help\\_reso.jsp](http://www.grants.gov/applicants/app_help_reso.jsp)
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 be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank

spaces and 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.

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

\*Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov:

<http://grants-gov.blogspot.com/2012/07/information-about-pending-migration.html#!/2012/07/information-about-pending-migration.html>

# **SECTION F**

## **FREQUENTLY ASKED QUESTIONS AND POINTS TO REMEMBER IN APPLICATION PREPARATION**

# FREQUENTLY ASKED QUESTIONS AND POINTS TO REMEMBER IN APPLICATION PREPARATION

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

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

## 2. WHAT TOPICAL AREAS SHOULD APPLICANTS ADDRESS?

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NIDRR is interested in attracting applications that provide advanced research training to enhance the capacity to conduct high-quality, multidisciplinary rehabilitation research across the full breadth of NIDRR's research agenda, involving Employment, Health and Function, Community Living and Participation, Technology for Access and Function and Disability Statistics.

## 3. WHAT SHOULD BE INCLUDED IN THE APPLICATION?

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

#### **4. IS COST-SHARING OR MATCHING REQUIRED?**

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The ARRT program does not require cost sharing or matching. However, any applicant may voluntarily promise to share in the cost of the ARRT project by supplementing the amount of the stipend paid to trainees with additional funds beyond the maximum awarded under this program. The required policies governing grantee cost-sharing or matching are detailed in the Notice Inviting Applications, under “III. Eligibility Information.”

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

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

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

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

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

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Yes. You may submit more than one application in any given competition. You may submit to as many open competitions, which an application is responsive to the program requirements. However, each competition is unique and the selection

criteria will vary from one competition to another. It is important that each separate application includes the required materials for that particular competition.

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

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

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**9. WHAT IS THE ALLOWABLE INDIRECT COST RATE?**

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An applicant for Advanced Rehabilitation Research Training project (133P) is limited to a training grant indirect rate of 8%, less tuition, stipend, and fees. The maximum amount of the award includes both direct and indirect costs. The Department's Indirect Cost office has more information on indirect cost rates.

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

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

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

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

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

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

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

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Applicants should be sure that their applications are referred to the correct competition by clearly including the competition title and CFDA number, including alphabetical code, on the Standard Form 424, and include a project title that

describes the project, based on the competition. If reapplying for the Advanced Rehabilitation Research and Training (133P) you should identify if the application is a resubmittal from a previous fiscal year.

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

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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.

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

---

For the purpose of estimating a project start date, the applicant should estimate approximately six to seven months from the closing date, preferably October 1. You must have a start date that allows you to complete an Annual Performance Report (APR) by May 31<sup>st</sup> with six month of activities to report on.

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

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

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

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

**18. HOW DOES THE REPORTING REQUIREMENTS IN SUBSEQUENT YEARS IMPACT MY APPLICATION?**

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Successful applicants with multi-year grants must submit an Annual Performance Report (APR) demonstrating and documenting their substantial progress in meeting approved project objectives and their success in addressing the performance measures outlined in the Notice Inviting Applications. Grantees must also provide the most current financial and performance measure data for each

year of the project. Grantees will also be required to submit a final performance report, 90 days after the end of the project period. For NIDRR, the APR is submitted electronically via a web-based system. This system is maintained by a contractor and grantees are notified after receiving an award with the appropriate URL and personal password to access the system. The contractor will also send a letter to the grantee informing them when and how to submit their APR. The Department will use the applicant's performance data for program management and administration, in such areas as determining new and continuation funding and planning technical assistance. Grantees will participate fully in any evaluation of the NIDRR program carried out by the Department of Education.

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

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There is no cost sharing requirement for the Advanced Rehabilitation Research Training Program.

**20. WHAT DO I NEED TO DO ABOUT HUMAN SUBJECTS PROTECTION IN MY RESEARCH?**

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

**21. SHOULD I SUBMIT MY APPLICATION VIA Grants.gov?**

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The Federal Government is moving towards mandatory electronic submission for its grant applications. The Notice Inviting Applications (NIA) provides information on how to submit via grants.gov and the application package includes helpful tips. The NIA will also identify if paper submission is allowed. If you do submit by paper, include a disk copy of your application. **We strongly suggest:**

- (1) **Read** the Grants.gov instructions carefully;

- (2) **Check** with your organization or institution if they are already registered in Grants.gov; if not, **do not wait** to set up your account because it can take five or more days to register;
- (3) **Review** the form sections before sending the application to ensure that all information has been uploaded correctly and completely; and
- (4) **Submit** early; electronic applications must be uploaded on Grants.gov by 4:30:00 pm, Washington, D.C. time on the closing date and processed by Grants.gov successfully.

Please allow several hours or a full day for this process; if there is a submission error, time will be needed to correct the error and resubmit to meet the deadline. Applications received/logged in after 4:30:00 pm (Washington, DC time) will not be reviewed.

# POINTS TO REMEMBER IN APPLICATION PREPARATION

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## RELEVANT TO PROGRAM

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**1. CFDA Number:**

In the title block on the 424 form, please note the appropriate CFDA 84.133P-3

**2. Indirect Cost:**

There is a restricted indirect cost rate for this program of 8%. Indirect cost office:  
<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>

**3. Organize your narrative**

in accordance with the selection criterion in SECTION C of this package. Address all criteria. Include a table of contents in your application in order to highlight where the selection criteria can be found in the application. If applying through Grants.gov upload under the Project Narrative section.

**4. Page numbers limitations:**

We strongly suggest that you keep the narrative to 75 pages, double-spaced. Not included in these pages are the forms, the abstract, the budget narrative/justification or the information on human subjects.

**5. Grantee Voluntary Cost-Sharing or Matching:**

We strongly suggest that applicants who elect to voluntarily share in the cost of the ARRT project by supplementing the amount of the stipend paid to trainees pay close attention to the policies governing grantee cost-sharing described in the Notice Inviting Applications under “II. Award Information.”

**6. Give a careful rationale**

on the choice of focus of academic programs and how it contributes to developing rehabilitation research capacity.

**7. Be clear in explaining**

the balance between didactic and mentoring methods.

**8. Clearly identify indicators**

for documenting the post-doc fellows' productivity.

**9. Please be clear in your recruitment strategies**

for underserved populations including students with disabilities.

## **CLOSING DATE/TRANSMITTAL OF APPLICATION**

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### **10. Applications must be postmarked**

by the closing date of **April 2, 2013** if submitting in paper. Follow the transmittal instructions for submitting in paper found in Section B, starting at B-9. We would appreciate including an electronic copy (disk) with your application.

### **11. Electronic copies must be uploaded**

into grants.gov by 4:30:00 pm, Washington D.C. time on the closing date and then processed by grants.gov successfully. For additional information on electronic submission procedures, see the section B-6. A copy of your application should not be emailed directly to the Department. Please submit early and do not wait until late in the day. Late applications, even by 1 minute will not be reviewed.

## **FORMS**

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### **SF 424 and ED Supplemental**

#### **12. Legal Name:**

Block #5 is for the name of institution or entity. **Please note** the CFDA. 84.133, will automatically populate on Block #10 of the SF 424.

**13. Block #15a:** The total amount requested includes both direct and indirect costs for the first year only. The totals on the ED 524 form must include direct and indirect costs and no year can be over the maximum amount.

#### **14. EO 12372:**

Mark Block #16, the EO 12372 as b. no and not covered.

#### **15. Project Director:**

Project director information is on the ED supplemental form in Block #1.

#### **16. Novice applicant.**

Block #2 on the ED Supplemental - Please leave this one blank. Does not apply to NIDRR programs

#### **17. Human Subjects:**

Block #3 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 of why it is not required.

## **SF 424 and ED 524**

### **18. Budget Information: BE SURE TO CHECK THE MATH**

The application will not be reviewed if the request for funds on block 15a of either the SF 424 form, the ED 524 form or the budget justifications goes over the maximum amount for any year (direct and indirect costs). A detailed budget narrative is needed for the total grant period years requested. By requesting detailed budget information in the initial application for the total project period, the need for formal non-competing continuation applications in the remaining years will be eliminated. A performance report that will be required annually will be used in place of the continuation application to determine progress.

### **19. Only the primary institution fills out the required forms.**

Any partner or collaborating groups will be a subcontractor to the primary. The only paperwork subcontractor needs to fill out is what is required by the primary institution. You should include a letter of intent in the application from any collaborating group saying that if awarded what they will be doing for your project and for what amount.

## **Abstract/Narrative/Appendices**

### **20. Abstract:**

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

### **21. Number all pages**

to make it easier for the reader to refer to a page number if comments are given (including the appendices).

### **22. Vitae:**

Remember to include pertinent information in your narrative of the qualifications of the key personnel. A more extensive 2-4 page vitae can be included in the appendices. If applying through grants.gov upload under the Other Narrative section.

### **23. Advisory Board:**

We suggest that you limit your list of advisory board members in the application. You can give a description of the type/qualification of the person. Remember that an extensive listing of proposed names effects our peer reviewer selection. If applying through grants.gov use the Other Narrative form to attach your letters of commitment and vitas'.

#### **24. Letters of Commitment/Support:**

If you have identified a partner, sub-contractor or consultant you should include a letter of commitment from them stating what they'll be doing on your project. We suggest that you only include key letters of support. Remember that letters of support diminish our peer reviewer pool. If applying through Grants.gov upload under the Other Narrative section.

#### **25. Use of Person Loading Charts.**

It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find personnel loading charts useful formats for showing project personnel and their time commitments to individual activities. A personal loading chart is a tabular representation of major evaluation activities by number of days spent by each key person involved in each activity.

## **GRANTS.GOV**

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#### **26. We strongly suggest:**

- (1) Read the instructions carefully;
- (2) Don't wait until close to the due date to set up your account – It can take five or more days to register;
- (3) Review the application before sending final version to ensure that all information has been uploaded correctly and completely; and
- (4) Submit early.

#### **27. The application information will be uploaded in four areas:**

- ED Abstract Form;
- Budget Narrative Attachment Form;
- Program Narrative Attachment Form; and
- Other Narrative Attachment Form.

The ED Abstract Form is for the abstract. The Budget Narrative Attachment Form is for the budget justification. The Program Narrative Attachment Form is for the application narrative based on the selection—this section has the recommended 75-page limit recommendation. The Other Narrative Attachment Form will include vitas; letters, and any other appendices.

## **28. UNSUBMIT:**

Please note that grants.gov does not allow you to unsubmit your application if you find an error before the due date and time. You will have to submit another “new” application and notify NIDRR that you have submitted two applications and which one is the “correct” one to review.

## **29. 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. For additional information on electronic submission procedures, see the transmittal section of the Notice Inviting Applications.

## **MISCELLANEOUS INFORMATION AND REMINDERS**

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### **30. Rehabilitation Act:**

To find information on the Rehab Act of 1973, as amended, as well as other NIDRR policy & legislation, go to: <http://www.ed.gov/about/offices/list/osers/nidrr/policy.html> and <http://www.ed.gov/policy/speced/reg/narrative.html>

### **31. Help in Preparing Applications.**

We are happy to provide general program information. Clearly it would not be appropriate for staff to participate in the actual writing of an application, but we can respond to specific questions about our application requirements and evaluation criteria, or about the announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

### **32. Possibility of Learning the Outcome of Review Panels Prior To Official Notification.**

Every year we are called by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions, some need to notify a partner, etc. Regardless of the reason, we cannot share information about the review with anyone until the Assistant Secretary has approved a slate of projects recommended for funding. You will be notified as quickly as possible either by telephone (if your application is recommended for funding), or through a letter (if your application is not successful).

### **33. 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.

#### **34. Successful Applications and Estimated/Projected Budget Amounts in Subsequent Years.**

There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Since the yearly budgets for multi-year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1<sup>st</sup> year budgets. However, budget modifications during the negotiation process, the findings from the previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.

# **SECTION G**

## **APPLICATION FORMAT**

# APPLICATION FORMAT

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All grants for this competition must be submitted electronically (unless a waiver is granted) by the application due date that is listed in the Notice Inviting Applications. It is recommended that your electronic (grants.gov) or paper application be organized in the following manner and include the following:

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

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- This application cover sheet requires basic identifying information about the applicant and the application.
- Applicants should clearly indicate, in block 10 (SF 424) of this form, the CFDA number of the program (84.133P-3). If this information is not provided, your application may be assigned and reviewed under a different program.

## 2. Table of Contents

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

## 3. Project Abstract

---

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

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

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

**Name:**

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

**Personnel (Line 1):**

Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

**Fringe Benefits (Line 2):**

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

**Travel (Line 3):**

Indicate the travel costs of employees and participants only. Include travel of persons such as consultants and trainees on line 6.

**Equipment (Line 4):**

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

**Supplies (line 5):**

Show all tangible personal property except that on line 4.

**Contractual (line 6):**

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

**Construction (line 7):**

Not applicable.

**Other (line 8):**

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

**Total Direct Costs (line 9):**

The sum of lines 1-8.

**Indirect Costs (line 10):**

There is no restricted indirect cost rate for this program. You should use your federal negotiated indirect cost rate.

**Training Stipends (line 11):**

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

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

**Total Cost (line 12):**

This should equal the sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a)*, should also be equal to item 15a on the application cover sheet (SF Form 424).

**5. Budget Narrative**

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- This part requires an itemized budget breakdown for the project year and the basis for estimating the costs of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures.
- Descriptions of purchases may be included but is not required.
- **If applying through grants.gov use the Budget form to attach your detailed budget narrative/justification.**

**6. Application Narrative**

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- The application narrative responds to the selection criteria found in Section E of this application package. The reviewers will use this section to evaluate your application.
- If applying through grants.gov use the Project Narrative form to attach your narrative.  
Each applicant is encouraged to limit the application narrative to the equivalent of no more than 75 pages and adhere to the following guidelines:
  - A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Double-space (no more than three lines per vertical inch) all text in the application narrative. Single space may be used for Titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
  - Use a font that is either 12-point or larger or no smaller than 10-pitch (characters per inch).

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

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

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

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

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- Assurances—Non-Construction Programs;
- Certifications Regarding Lobbying; or Grants.gov Lobbying form;
- Disclosure of Lobbying Activities (SF LLL).

# **SECTION H**

## **APPLICATION FORMS**

## REQUIRED FORMS:

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For paper submission—If you have received a waiver—go to the website below to access the required forms.

[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html)

Applying on grants.gov the forms are set up in the system for you to fill out. The instructions to these forms are in the area.

- Application for Federal Assistance SF-424
- ED Supplemental
- Budget Information (ED 524)
- Assurances:
  - Non-Construction Programs (SF 424b)
  - Certifications Regarding Lobbying
  - Disclosure of Lobbying Activities (SF LLL)

# INSTRUCTIONS FOR THE SF-424

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

**Please do not return your completed form to the office of management and budget. Send it to the address provided by the sponsoring agency.**

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

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

Item	Entry:	Item	Entry:
5a	<p><b>a. Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.</p> <p><b>b. Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.</p>	16.	<p><b>a. Congressional Districts of:</b> (Required) Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12<sup>th</sup> district, NC-103 for North Carolina's 103<sup>rd</sup> district.</p> <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
6.	<p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.</p>	17.	<p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p>
7.	<p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.</p>	18.	<p><b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>
8.	<p><b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p> <p><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p> <p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>
		20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.</p>

Item	Entry:	Item	Entry:																								
9.	<p><b>Type of Applicant:</b> (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td>B. County Government</td> <td>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Private Institution of Higher Education</td> </tr> <tr> <td>D. Special District Government</td> <td>P. Individual</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Small Business</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Hispanic-serving Institution</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Non-domestic (non-US) Entity</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td>X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>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.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																										
B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)																										
C. City or Township Government	O. Private Institution of Higher Education																										
D. Special District Government	P. Individual																										
E. Regional Organization	Q. For-Profit Organization (Other than Small Business)																										
F. U.S. Territory or Possession	R. Small Business																										
G. Independent School District	S. Hispanic-serving Institution																										
H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)																										
I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)																										
J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions																										
K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity																										
L. Public/Indian Housing Authority	X. Other (specify)																										

# INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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## **1. Project Director.**

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

## **2. Novice Applicant.**

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

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

## **3. Human Subjects Research.**

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

### **If Not Human Subjects Research.**

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

### **If Human Subjects Research.**

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

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

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

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

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

## **3a. Human Subjects Assurance Number.**

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

### **Note about Institutional Review Board Approval.**

ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

### **PAPERWORK BURDEN STATEMENT.**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.

# DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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(Attachment to Instructions for Supplemental Information for SF 424)

## DEFINITIONS:

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### **Novice Applicant (See 34 CFR 75.225).**

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

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

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

# PROTECTION OF HUMAN SUBJECTS IN RESEARCH

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## I. Definitions and Exemptions

### A. Definitions.

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

#### —Research

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

#### —Human Subject

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

### B. Exemptions.

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

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless:
  - (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and
  - (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or

federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

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

## **II. INSTRUCTIONS FOR EXEMPT AND NONEXEMPT HUMAN SUBJECTS RESEARCH NARRATIVES**

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

label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

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

### **B. Nonexempt Research Narrative.**

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

#### **1. Human Subjects Involvement and Characteristics:**

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

#### **2. Sources of Materials:**

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

#### **3. Recruitment and Informed Consent:**

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

**4. Potential Risks:**

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

**5. Protection Against Risk:**

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

**6. Importance of the Knowledge to be Gained:**

Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

**7. Collaborating Site(s):**

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

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

[www.ed.gov/about/offices/list/OCFO/humansub.html](http://www.ed.gov/about/offices/list/OCFO/humansub.html)

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

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# DEFINITIONS FOR FORM ED 424

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## **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](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## **PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

### **I. DEFINITIONS AND EXEMPTIONS**

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#### **A. Definitions.**

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

#### **—Research**

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

#### **—Human Subject**

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains

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

reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation.

***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine:
  - (a) public benefit or service programs;
  - (b) procedures for obtaining benefits or services under those programs;
  - (c) possible changes in or alternatives to those programs or procedures; or
  - (d) possible changes in methods or levels of payment for benefits or services under those programs.

## **B. Exemptions.**

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

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as
  - (a) research on regular and special education instructional strategies, or
  - (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless:
  - (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and
  - (b) any disclosure of the human subjects’ responses outside the research could

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

## II. INSTRUCTIONS FOR EXEMPT AND NONEXEMPT HUMAN SUBJECTS RESEARCH NARRATIVES

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

### A. Exempt Research Narrative.

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

### B. Nonexempt Research Narrative.

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

(1) **Human Subjects Involvement and Characteristics:**

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant

women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:**

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

(3) **Recruitment and Informed Consent:**

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

(4) **Potential Risks:**

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

(5) **Protection Against Risk:**

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

(6) **Importance of the Knowledge to be Gained:**

Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

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

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

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

# INSTRUCTIONS FOR ED 524

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## GENERAL INSTRUCTIONS

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

## SECTION A—BUDGET SUMMARY

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### U.S. Department of Education Funds

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

#### Lines 1-11, columns (a)-(e):

For each project year for which funding is requested, show the total amount requested for each applicable budget category.

#### Lines 1-11, column (f):

Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

#### Line 12, columns (a)-(e):

Show the total budget request for each project year for which funding is requested.

#### Line 12, column (f):

Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Indirect Cost Information:

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

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

rate specified in 34 CFR 76.564(c) (2). Check only one response. Leave blank, if this item is not applicable.

## **SECTION B—BUDGET SUMMARY**

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### **Non-Federal Funds**

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

#### **Lines 1-11, columns (a)-(e):**

For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

#### **Lines 1-11, column (f):**

Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

#### **Line 12, columns (a)-(e):**

Show the total matching or other contribution for each project year.

#### **Line 12, column (f):**

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

## **SECTION C—BUDGET NARRATIVE [ATTACH SEPARATE SHEET(S)]**

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### ***Pay attention to applicable program specific instructions, if attached.***

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

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

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

1. Provide other explanations or comments you deem necessary.
2. Please provide your Indirect Cost Rate (e.g. 10%) and your Restricted Indirect Cost Rate, if applicable as part of your budget narrative.

#### **PAPERWORK BURDEN STATEMENT**

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

## 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.

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SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

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TITLE

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APPLICANT ORGANIZATION

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

## NOTICE TO ALL APPLICANTS

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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**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.

## **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**

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**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 BURDEN STATEMENT**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) 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 time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

OMB No. 1890-0014 Exp. 02/28/09

# **SECTION I**

## **DUNS NUMBER INSTRUCTIONS**

## DUNS NUMBER INSTRUCTIONS

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

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

<http://fedgov.dnb.com/webform>

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

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. **Live help Monday-Friday 8am-6pm (EST) Dial 1.888.814.1435**

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

# **SECTION J**

## **APPLICATION CHECKLIST**

# APPLICATION CHECKLIST

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## DOES YOUR APPLICATION INCLUDE EACH OF THE FOLLOWING?

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- Cover page or SF 424 marked **84.133P-3**
- Priority Topic identified in the Descriptive Title Block 11 of the SF 424?
- Budget form (ED form 524) with dollar amounts not exceeding the maximum in any year
- Budget narrative for each year with arithmetic checked for accuracy
- Program narrative, including abstract and responses to the selection criteria
- Assurances and Certifications (from the forms list in section H)
- Correctly uploaded files if submitting electronically
- All required forms with original signatures and dates if submitting by mail, hand-delivery or carrier service.
- Narrative on the Protection of Human Subjects?

## DID YOU DO EACH OF THE FOLLOWING?

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- Mail or submit application electronically on or before **April 2, 2013**
- Provide 1 original and 2 copies of the application if submitting by mail, 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 from grants.gov 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 mail, hand-delivery or carrier service?

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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

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

## **GRANT AND CONTRACT FUNDING INFORMATION**

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

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