

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

**FY 2011 APPLICATION KIT FOR NEW GRANTS  
UNDER  
THE NATIONAL INSTITUTE ON DISABILITY AND  
REHABILITATION RESEARCH**

**FIELD INITIATED PROGRAM  
(RESEARCH OR DEVELOPMENT)  
CFDA NUMBER: 84.133G**



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

**DATED MATERIAL - OPEN IMMEDIATELY**

**CLOSING DATE: FEBRUARY 4, 2011**

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# **SECTION A**

**DEAR APPLICANT LETTER**

Dear Applicant:

The Secretary invites applications for new awards for fiscal year (FY) 2011 for the Field-Initiated Program (CFDA 84.133G), authorized under the *Rehabilitation Act* of 1973, as amended, to carry out either research or development activities. Awards will be made in two distinct categories:

- (1) research, and
- (2) development, for a period of up to three years (36 months).

For review purposes, the research category is designated as (84.133G-1) and development is designated as (84.133G-2).

The applicant must clearly identify on the cover page of the application form whether the proposal is for a research (84.133G-1) or a development (84.133G-2) project. You also must identify if the application is a resubmittal from a previous competition, within the past two years, by putting the word “resubmittal” along with the descriptive title and the assigned application number (i.e., H133G08, H133G09) in the abstract, the introduction, and in a cover letter.

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

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

## **APPLICATION PROCEDURES**

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This application kit contains information and the required forms for potential applicants to apply and be considered for a FY 2011 grant award under this competition, including the published Federal Register notice dated **FEBRUARY 4, 2011**.

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, and the appropriate selection criteria for the specific program (Sections C & D) used by the reviewers to evaluate each application.

You **must** submit your application electronically through the Grants.gov system ([www.grants.gov](http://www.grants.gov)). See Section B, Notice Inviting Applications and Section H, 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.

Electronic copies must be fully uploaded on the Grants.gov site by 4:30:00 pm, Washington D.C. time on the closing date, February 4, 2011. 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 H—Grants.gov Submission Procedures and Tips for Applicants**

## **PROGRAM REGULATIONS**

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These grants are subject to the requirements of the Education Department General Administrative Regulations (EDGAR), in 34 CFR Parts 74, 75, 77, 80, 81, 82, 84, 85, 86, and 97, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs.

## **TECHNICAL ASSISTANCE**

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If you have any questions about the information in this application packet, please contact Lynn Medley at [Lynn.Medley@ed.gov](mailto:Lynn.Medley@ed.gov) or by telephone at 202-245-7338. 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.

**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,  
*/s/*

Sue Swenson,  
Acting Director,  
National Institute on Disability and  
Rehabilitation Research

# **SECTION B**

## **FEDERAL REGISTER NOTICE INVITING APPLICATIONS FOR NEW AWARDS**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Special Education and Rehabilitative Services Overview  
Information

National Institute on Disability and Rehabilitation Research  
(NIDRR)--Disability and Rehabilitation Research Projects and  
Centers Program--Field Initiated (FI) Projects

Notice inviting applications for new awards for fiscal year (FY)  
2011.

Catalog of Federal Domestic Assistance (CFDA) Numbers: 84.133G-1  
(Research) and 84.133G-2 (Development).

Dates:

Applications Available: December 6, 2010

Deadline for Transmittal of Applications: February 4, 2011

Full Text of Announcement

### **I. Funding Opportunity Description**

Purpose of Program: The purpose of the FI Projects program is to develop methods, procedures, and rehabilitation technology that maximize the full inclusion and integration into society, employment, independent living, family support, and economic and social self-sufficiency of individuals with disabilities, especially individuals with the most severe disabilities. Another purpose of the FI Projects program is to improve the

effectiveness of services authorized under the Rehabilitation Act of 1973, as amended.

NIDRR makes two types of awards under the FI Projects program: research grants (CFDA 84.133G-1) and development grants (CFDA 84.133G-2).

In carrying out a research activity under an FI research grant, a grantee must identify one or more hypotheses or research questions and, based on the hypotheses or research questions identified, perform an intensive, systematic study directed toward producing (1) new scientific knowledge, or (2) better understanding of the subject, problem studied, or body of knowledge.

In carrying out a development activity under an FI project development grant, a grantee must use knowledge and understanding gained from research to create materials, devices, systems, or methods, including designing and developing prototypes and processes, that are beneficial to the target population. Target population means the group of individuals, organizations, or other entities expected to be affected by the project. There may be more than one target population because a project may affect those who receive services, provide services, or administer services.

Note: Different selection criteria are used for FI projects research grants (84.133G-1) and development grants (84.133G-2).

Applicants must clearly indicate in the application whether they are applying for a research grant (84.133G-1) or a development grant (84.133G-2) and must address the selection criteria relevant for their grant type. Without exception, NIDRR will review each application based on the designation (i.e., research (84.133G-1) or development (84.133G-2)) made by the applicant. Applications will be determined ineligible and will not be reviewed if they do not include a clear designation of research or development.

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 8165), can be accessed on the Internet at the following site:

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

Through the implementation of the Plan, NIDRR seeks to (1) improve the quality and utility of disability and rehabilitation research; (2) foster an exchange of expertise, information, and training to facilitate the advancement of knowledge and understanding of the unique needs of individuals with disabilities from traditionally underserved populations; (3) determine the best strategies and programs to improve rehabilitation outcomes for individuals with disabilities from

underserved populations; (4) identify research gaps; (5) identify mechanisms of integrating research and practice; and (6) disseminate findings.

Program Authority: 29 U.S.C. 764.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 85, 86, and 97. (b) The regulations for this program in 34 CFR part 350.

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

## **II. Award Information**

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$111,919,000,000 for NIDRR for FY 2011, of which we intend to use an estimated \$4,000,000 for the FI Projects 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.

Estimated Range of Awards: \$195,000-\$200,000.

Estimated Average Size of Awards: \$200,000.

Maximum Award: We will reject any application that proposes a budget exceeding \$200,000 for a single budget period of 12 months. The Assistant Secretary for Special Education and

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

Note: The maximum amount includes direct and indirect costs.

Estimated Number of Awards: 20.

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

Maximum Project Period: We will reject any application that proposes a project period exceeding 36 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum project period through a notice published in the Federal Register.

### **III. Eligibility Information**

1. Eligible Applicants: States; public or private agencies, including for-profit agencies; public or private organizations, including for-profit organizations; IHEs; and Indian tribes and tribal organizations.

2. Cost Sharing or Matching: Cost sharing is required by 34 CFR 350.62 and will be negotiated at the time of the grant award.

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

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

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

To obtain a copy from ED Pubs, write, fax, or call the following: 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), 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 competition as follows: CFDA number 84.133G-1 or 84.133G-2.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) 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, together with the forms you must submit, are in the application package for this competition.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you limit Part III to the equivalent of no more than 50 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].

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

Applicants should consult NIDRR's Long-Range Plan when preparing their applications. The Plan is organized around the following research domains and arenas: (1) Community Living and Participation; (2) Health and Function; (3) Technology; (4) Employment; and (5) Demographics. Applicants should indicate, for each application, the domain or arena under which they are applying. In their applications, applicants should clearly indicate whether they are applying for a research grant in the area of (1) Community Living and Participation; (2) Health and Function; (3) Technology; (4) Employment; or (5) Demographics.

### 3. Submission Dates and Times:

Applications Available: December 6, 2010

Deadline for Transmittal of Applications: February 4, 2011

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

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

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should

contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

4. Intergovernmental Review: This 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), the Government's primary registrant database;

c. Provide your DUNS number on your application; and

d. Maintain an active CRR 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 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 CCR registration on an annual basis. This may take three or more business days to complete.

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 in the Grants.gov 3-Step Registration Guide (see [www.grants.gov/section910/Grants.govRegistrationBrochure.pdf](http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf)).

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

a. Electronic Submission of Applications.

Applications for grants under the Field Initiated Projects program, CFDA Number 84.133G-1 (Research) or 84.133G-2 (Development), 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 Field Initiated Projects program--CFDA Number 84.133G-1 (Research) or 84.133G-2 (Development)--at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.133, not 84.133G).

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.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system homepage at <http://www.G5.gov>.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: 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.

- You must attach any narrative sections of your application as files in a .PDF (Portable Document) format only. If you upload a file type other than a .PDF file or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

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

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the

following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII 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 prevent 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: Lynn Medley,  
U.S. Department of Education, 400 Maryland Avenue, SW., room  
5140, Potomac Center Plaza (PCP), Washington, DC 20202-2700.  
FAX: (202) 245-7323.

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

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: Applicants must identify either CFDA Number 84.133G-1 (Research) or 84.133G-2 (Development) depending on the designation of their proposed project.  
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: Applicants must identify either CFDA Number 84.133G-1 (Research) or 84.133G-2 (Development) depending on the designation of their proposed project.  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

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

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

## **V. Application Review Information**

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 350.54 and 350.55 and are listed in the application package.

Note: There are two different sets of selection criteria for FI projects: one set to evaluate applications proposing to carry out research activities (CFDA 84.133G-1), and a second set to evaluate applications proposing to carry out development activities (CFDA 84.133G-2). Each applicant will be evaluated

using the selection criteria for the type of project the applicant designates in its application.

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are as follows:

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

*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, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.*

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

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

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). 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).

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

4. Performance Measures: NIDRR assesses the quality of its funded projects through review of grantee performance and products. Each year, NIDRR examines a portion of its grantees to determine:

- The percentage of newly awarded NIDRR projects that are multi-site, collaborative, controlled studies of interventions and programs.

- The number of accomplishments (e.g., new or improved tools, methods, discoveries, standards, interventions, programs, or devices) developed or tested with NIDRR funding that have been judged by expert panels to be of high quality and to advance the field.

- The average number of publications per award based on NIDRR-funded research and development activities in refereed journals.

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

Each grantee must annually report on its performance through NIDRR's Annual Performance Report (APR) form. NIDRR uses APR information submitted by grantees to assess progress on these measures.

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 Contact**

For Further Information Contact: Either Lynn Medley or Marlene Spencer as follows: Lynn Medley, U.S. Department of Education,

400 Maryland Avenue, SW., room 5140, PCP, Washington, DC 20202-2700. Telephone: (202) 245-7338 or by e-mail: Lynn.Medley@ed.gov.

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.

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

### **VIII. Other Information**

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, SW., room 5075, PCP, Washington, DC 20202-2550. Telephone: (202) 245-7363.

If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

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

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister). To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal

Regulations is available on GPO Access at:

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

Dated:

/s/

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Alexa Posny,  
Assistant Secretary  
for Special Education and  
Rehabilitative Services.

**SECTION C**  
**SELECTION CRITERIA**  
**FIELD INITIATED—RESEARCH**

# SELECTION CRITERIA: FIELD-INITIATED RESEARCH PROJECT

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The Secretary uses the following criteria to evaluate a FI (84.133G) Project application that proposes to carry out **RESEARCH ACTIVITIES**.

## **(a) Importance of the problem** **(15 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 following factors:
  - (i) The extent to which the applicant clearly describes the need and target population ..... (5 points)
  - (ii) The extent to which the proposed activities further the purposes of the Act ..... (4 points)
  - (iii) The extent to which the proposed project will have beneficial impact on the target population ..... (6 points)

## **(b) Design of research activities** **(50 points total)**

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- (1) The Secretary considers the extent to which the design of research activities is likely to be effective in accomplishing the objectives of the project.
- (2) In determining the 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 methodology of each proposed research activity is meritorious, including consideration of the extent to which-
    - (A) The proposed design includes a comprehensive and informed review of the current literature, demonstrating knowledge of the state-of-the-art ..... (10 points)
    - (B) Each research hypothesis is theoretically sound and based on current knowledge ..... (10 points)
    - (C) Each sample population is appropriate and of sufficient size ..... (10 points)
    - (D) The data collection and measurement techniques are appropriate and likely to be effective ..... (10 points)
    - (E) The data analysis methods are appropriate ..... (10 points)

**(c) Plan of evaluation**

**(10 points total)**

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

**(d) Project staff**

**(15 total points)**

- (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 extent to which the key personnel and other key staff have appropriate training and experience in disciplines required to conduct all proposed activities..... (13 points)

**(e) Adequacy and accessibility of resources**

**(10 points total)**

- (1) The Secretary considers the adequacy and accessibility of the applicant's resources to implement the proposed project.
- (2) In determining the adequacy and accessibility of resources, the Secretary considers the following factors:
  - (i) The extent to which the applicant is committed to provide adequate facilities, equipment, other resources, including administrative support, and laboratories, if appropriate ..... (5 points)
  - (ii) The extent to which the facilities, equipment, and other resources are appropriately accessible to individuals with disabilities who may use the facilities, equipment, and other resources of the project ..... (5 points)

**SECTION D**  
**SELECTION CRITERIA**  
**FIELD INITIATED—DEVELOPMENT**

# SELECTION CRITERIA: FIELD-INITIATED DEVELOPMENT PROJECT

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The Secretary uses the following criteria to evaluate a FI (84.133G) Project application that proposes to carry out **DEVELOPMENT ACTIVITIES**.

## **(a) Importance of the problem** **(15 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 following factors:
  - (i) The extent to which the applicant clearly describes the need and target population ..... (5 points)
  - (ii) The extent to which the proposed activities further the purposes of the Act..... (4 points)
  - (iii) The extent to which the proposed project will have beneficial impact on the target population ..... (6 points)

## **(b) Design of development activities** **(50 points total)**

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- (1) The Secretary considers the extent to which the design of development activities is likely to be effective in accomplishing the objectives of the project.
- (2) In determining the 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 plan for development, clinical testing, and evaluation of new devices and technology is likely to yield significant products or techniques, including consideration of the extent to which--
    - (A) The proposed project will use the most effective and appropriate technology available in developing the new device or technique ..... (10 points)
    - (B) The proposed development is based on a sound conceptual model that demonstrates an awareness of the state-of-the-art in technology..... (10 points)
    - (C) The new device or technique will be developed and tested in an appropriate environment..... (5 points)
    - (D) The new device or technique is likely to be cost-effective and useful ..... (10 points)

- (E) The new device or technique has the potential for commercial or private manufacture, marketing, and distribution of the product..... (5 points)
- (F) The proposed development efforts include adequate quality controls and, as appropriate, repeated testing of products ..... (10 points)

**(c) Plan of evaluation** **(10 points total)**

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

**(d) Project staff** **(15 total points)**

- (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 extent to which the key personnel and other key staff have appropriate training and experience in disciplines required to conduct all proposed activities..... (13 points)

**(e) Adequacy and accessibility of resources** **(10 points total)**

- (1) The Secretary considers the adequacy and accessibility of the applicant's resources to implement the proposed project.
- (2) In determining the adequacy and accessibility of resources, the Secretary considers the following factors:
  - (i) The extent to which the applicant is committed to provide adequate facilities, equipment, other resources, including administrative support, and laboratories, if appropriate..... (5 points)
  - (ii) The extent to which the facilities, equipment, and other resources are appropriately accessible to individuals with disabilities who may use the facilities, equipment, and other resources of the project..... (5 points)

# **SECTION E**

## **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) 260-3353 and on the Protection of Human Subjects in research Web Site at:

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

# **SECTION F**

## **APPLICATION FORMAT**

# APPLICATION FORMAT

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**This Competition Requires Electronic Submission Via Grants.Gov ([www.grants.gov](http://www.grants.gov)).**

Applications for an award must be postmarked or hand delivered by the closing date of **FEBRUARY 4, 2011** if you obtained a waiver.

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

**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.

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

- This application cover sheet requires basic identifying information about the applicant and the application.
- Applicants should clearly indicate the CFDA number of the program (Research 84.133G-1 or Development 84.133G-2) in block 11. If this information is not provided, your application may be assigned and reviewed under a different program. For electronic submissions, you must download the correct application package from Grants.gov.

## **2. Table of Contents**

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

## **3. Project Abstract**

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

#### 4. Project/Application Narrative

- The application narrative responds to the selection criteria found in Section C for Research Projects and Section D for Development Projects of this application package. The reviewers will use this section to evaluate your application.
- If applying through Grants.gov use the Project Narrative Attachment form to attach your narrative.

**Each applicant is encouraged to limit the application narrative to the equivalent of no more than 50 pages, using the following standards:**

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double-space (no more than three lines per vertical inch) all text in the application narrative. Single spacing may be used for titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Begin numbering the first page in Arabic numerals (“1”) and number the pages consecutively throughout the document.
- Include all critical information in the program narrative, minimizing the need for additional appendices.
- Include a complete bibliography listing all materials that were referenced in the project narrative.

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

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

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

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

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

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

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

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

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

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

Construction (line 7): Not applicable.

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

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

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

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

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

Total Cost (line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a)*, should also be equal to item 13a on the application cover sheet (ED Form 424).

Cost Share or Matching: You are required to provide third party cost share or matching in the amount of up to 1% of your total budget amount. However, you may include more than 1% but "up to 1%" represents the requirement.

Please include this information on the ED Form 524, Section B – Budget Summary, Non-Federal Funds.

## **6. Budget Narrative**

- This part requires an itemized budget breakdown for the project year and the basis for estimating the costs of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures.
- Address Cost Share or Matching in a separate budget narrative labeled “Cost Share or Matching”. Please provide an itemized budget breakdown for each project year.
- Descriptions of purchases may be included but is not required.

**Use the Budget Narrative/Justification heading to upload your document.**

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

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

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

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

## **9 Reporting Requirements**

At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary under 34. CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.72 (c). For specific requirements on reporting please go to

[http://www.ed.gov/fund/grant/apply/appforms/ed524b\\_instructions.pdf](http://www.ed.gov/fund/grant/apply/appforms/ed524b_instructions.pdf)

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

# **SECTION G**

**FREQUENTLY ASKED QUESTIONS**

**POINTS TO REMEMBER IN APPLICATION PREPARATION**

**DUNS NUMBER INSTRUCTIONS**

## FREQUENTLY ASKED QUESTIONS

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

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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 applicants for a given competition. There are no extensions or exceptions to the due date made for individual applicants. Additionally, there are provisions for extension for Grants.gov, per the guidance included in the application package.

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

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The application should include the Application Cover Sheet (SF-424), Table of Contents, Project Abstract, Budget Form and Information, Budget Narrative, Application Narrative, Vitae/Bibliography/Letters of Support, and Assurances/ Certifications/ Disclosures. Please follow the instructions provided in Section F of this application package to organize your application package. It is not useful to include general letters of support or endorsement in the application. If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application. Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

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

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Please follow the recommended Application Format outlined in Section F of this application package. Organize your Application Narrative to ensure it responds to the selection criteria found in Section for Research Projects and Section D for Development Projects. 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 research or development project, as identified in the research literature; citations are useful and may strengthen the proposal.

### 4. DOES THIS PROGRAM REQUIRE COST SHARE OR MATCHING?

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Yes. You are required to provide third party cost share or matching in the amount of up to 1% of your total budget amount. However, you may include more than 1% but “up to 1%” represents the requirement. Please include this information on the SF Form 524, Section B – Budget Summary, Non-Federal Funds.

**5. MAY I SUBMIT APPLICATIONS TO MORE THAN ONE NIDRR PROGRAM COMPETITION OR MORE THAN ONE APPLICATION TO A PROGRAM?**

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Yes, you may submit applications to any program for which they are responsive to the program requirements. You may submit the same application to as many competitions as you believe appropriate. You may also submit more than one application in any given competition.

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

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The limits on indirect costs vary according to the program and the type of application. The Field Initiated Projects should limit indirect charges to the organization's approved rate. If the organization does not have an approved rate, the application should include an estimated actual rate. The maximum amount includes both the direct and indirect costs.

**7. CAN PROFITMAKING 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.

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

---

No. Only organizations are eligible to apply for this grant.

**9. 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 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.

**10. (a) HOW DO I ASSURE THAT MY APPLICATION WILL BE REFERRED TO THE MOST APPROPRIATE PANEL FOR REVIEW?**

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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.

**10. (b) HOW DO I ASSURE THAT MY APPLICATION WILL BE REVIEWED IN THE CORRECT CATEGORY (RESEARCH OR DEVELOPMENT)?**

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Applicants should be sure that their applications are reviewed in the correct category by clearly indicating on the cover page of the application form SF 424, block 11, whether the proposal is for a research (84.133G-1) or a development project (84.133G-2). For electronic submissions, you must download the correct application package from Grants.gov. The NIDRR program staff will contact you if they have any questions regarding what category your application should be read.

**11. 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 five to six months of the closing date. Unsuccessful applicants generally will be notified within that time frame as well. For the purpose of estimating a project start date, the applicant should estimate approximately six months from the closing date, but no later than the following September 30.

**12. CAN I CALL NIDRR TO FIND OUT IF MY APPLICATION IS BEING FUNDED?**

---

No. 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.

**13. 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.

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

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No. It often happens that the peer review panels result in more applications being determined to be worthy of consideration for funding than NIDRR can fund within available resources. Unsuccessful applicants are encouraged to consider submitting applications in future competitions.

# POINTS TO REMEMBER IN APPLICATION PREPARATION

## RELEVANT TO PROGRAM

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**1. CFDA Number:**

In the title block on the SF 424 form, please note the appropriate CFDA 84.133G-1, Research or 84.133G-2, Development. For electronic submissions, you must download the correct application package from Grants.gov.

**2. Indirect Cost:**

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

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

**3. Application Narrative:**

Organize your narrative in accordance with the selection criteria in Section C for Research Projects and Section D for Development Projects of this package. Address all criteria. Include a table of contents in your application in order to highlight where the application narrative can be found in the application. If applying through Grants.gov use the Project Narrative form to attach your narrative. We recommend that you limit the application narrative to the equivalent of no more than 50 pages, using the following standards: A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Double-space (no more than three lines per vertical inch) all text in the application narrative. Single spacing may be used for titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs. Use a font that is either 12-point or larger or no smaller than 10-pitch (characters per inch). Begin numbering the first page in Arabic numbers ("1") and number the pages consecutively throughout the document. Include all critical information in the program narrative, minimizing the need for additional appendices. Include a complete bibliography listing all materials that were referenced in the project narrative.

## CLOSING DATE/TRANSMITTAL OF APPLICATION

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**REMEMBER - MANDATORY ELECTRONIC SUBMISSION**

[www.Grants.Gov](http://www.Grants.Gov)

**4. You must submit your application electronically through the Grants.gov system ([www.Grants.Gov](http://www.Grants.Gov)) by FEBRUARY 4, 2011.**

See section B, Notice Inviting Applications and section H, Application Transmittal Instructions. .

5. **Electronic copies must be uploaded on Grants.gov by 4:30:00 pm, Washington DC time on the closing date and then processed by Grants.gov successfully.**

For additional information on electronic submission procedures, see the section H. A copy of your application should not be emailed directly to the Department. You must submit it electronically via Grants.gov

## FORMS

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6. **Only the primary institution fills out the required forms.**

Any partner or collaborating groups will be a subcontractor to the primary. The only paperwork the subcontractor should complete is that required by the primary institution. You should include a letter of intent in the application from any collaborating group saying that if awarded what goals/duties they will be responsible for and the dollar amount associated with their involvement.

## APPLICATION FOR FEDERAL ASSISTANCE SF 424

7. **Leave these blocks blank or enter N/A:**

**block 4**-Applicant Identifier, **block 5**-Applicant Identifier, **block 5a**- Federal Entity, **block 5b**- Federal Award Identifier, **block 6**-Date Received by State, and **block 7**,- State Application Number.

8. **CFDA Number:**

In the title block of #11 on the SF 424 form, please note the appropriate CFDA. If applying via Grants.gov this area will populate automatically.

9. **Legal Name:**

Block #8a is for the name of institution or entity that will be responsible for this grant if funded. If applying via Grants.gov this will match with information in the Central Contractor Registry (CCR).

10. **DUNS number:**

It is important to verify with your fiscal office the DUNS number, which goes in Block #8c on the ED 424 form. If you do not have one, call 1-800-333-0505 to set one up. This number is required. If applying via Grants.gov you must enter the DUNS number for your organization used when it registered with the CCR.

11. **Block #18a:**

The total amount of Federal funds requested includes both direct and indirect costs for the first year only. The totals on the ED 524 form must include direct and indirect costs and no year can be over the maximum amount.

12. **Block #18b:**

The amount of cost share/matching that the applicant is providing. This amount should be on the "B" side of the ED 524 form and described in the budget narrative.

13. **Block #18f:**  
The amount of program income that is estimated to be generated by this application if funded. It should be described in the budget narrative.
14. **EO 12372:**  
Mark Block #19, the EO 12372 as no and not covered. This program is not covered.

## **ED SUPPLEMENTAL (IF APPLYING THROUGH GRANTS.GOV)**

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

## **ED 524**

18. **Budget Information: BE SURE TO CHECK THE MATH -**  
The application will not be reviewed if the request for funds on block 18a of the SF 424 form, the ED 524 form or the budget justifications goes over the maximum amount for any year (direct and indirect costs). A detailed budget narrative is needed for the total grant period years requested. A performance report that will be required annually will be used in place of the continuation application to determine progress.

## **ABSTRACT/NARRATIVE/APPENDICES**

19. **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.
20. **Number all pages**  
to make it easier for the reader to refer to a page number if comments are given (including the appendices).
21. **Vitae:**  
Remember to include pertinent information in your narrative of the qualifications of the key personnel. A more extensive 2-4 page vitae can be included in the appendices. If applying through Grants.gov use the Other Narrative form to attach your vitae.

**21. Advisory Board:**

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

**22. 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 your peer reviewer pool. If applying through Grants.gov use the Other Narrative form to attach your letters.

**23. Use Of Person Loading Charts.**

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

**GRANTS.GOV**

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**WEB SITE: [www.GRANTS.GOV](http://www.GRANTS.GOV)**

**23. 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.

**24. Electronic applications must be uploaded on Grants.gov by 4:30:00 pm, Washington, D.C. time on the closing date and processed by Grants.gov successfully.**

Please allow several hours or a full day for this process, if there is a submission error time will be needed to correct the error and resubmit to meet the deadline. For additional information on electronic submission procedures, see the transmittal section of the Notice Inviting Applications.

## MISCELLANEOUS INFORMATION AND REMINDERS

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**25. Rehabilitation Act:**

To find information on the Rehab Act of 1973, as amended, as well as other NIDRR policy & legislation, go to:

<http://www.ed.gov/about/offices/list/osers/nidrr/policy.html> and  
<http://www.ed.gov/policy/speced/reg/narrative.html?exp=0>

**26. 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.

**27. 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).

**28. 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.

**29. Successful Applications And Estimated/Projected Budget Amounts In Subsequent Years.**

There is a maximum award amount specified for the competition 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. 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.

**30. To see what NIDRR has funded or are currently funding under the Field Initiated Program, we have an on-line program directory at [www.naric.com](http://www.naric.com)**

Once there - click on NIDRR. Under grantee resources click on search for other research projects. This will connect you to the program directory. Click on search all fields then type in Field Initiated Program. By clicking on a grant number you

can see information on who has the grant, how to contact them and a brief description of their project. Instead of search all field you can select searching by project type Research or Development.

## DUNS NUMBER INSTRUCTIONS

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

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

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

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

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. Live help Monday-Friday 8am-6pm (EST) Dial 1-888-814-1435.

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

# **SECTION H**

**GRANTS.GOV SUBMISSION PROCEDURES AND  
TIPS FOR APPLICANTS**

**APPLICATION TRANSMITTAL INSTRUCTIONS**

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**IMPORTANT—PLEASE READ FIRST**

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**U.S. Department of Education**  
**GRANTS.GOV SUBMISSION PROCEDURES AND**  
**TIPS FOR APPLICANTS—2011**

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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.**

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**ATTENTION**

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

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

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

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

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

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: [www.grants.gov/applicants/applicant\\_fags.jsp#54](http://www.grants.gov/applicants/applicant_fags.jsp#54).

For more detailed information on why an application may be rejected, you can review Application Error Tips [www.grants.gov/section910/ApplicationErrorTips.pdf](http://www.grants.gov/section910/ApplicationErrorTips.pdf).

If you discover your application is late or has been rejected, please see the instructions below.

**Note:** You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

## **SUBMISSION PROBLEMS—WHAT SHOULD YOU DO?**

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- If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/contactus/contactus.jsp>, or use the customer support available on the Web site: [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp).
- If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.
- If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

## **HELPFUL HINTS WHEN WORKING WITH GRANTS.GOV**

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- Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide on your**

**application the DUNS number that was used when your organization registered with the CCR.**

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

## **DIAL-UP INTERNET CONNECTIONS**

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

## **MAC USERS**

- For MAC compatibility information, review the FAQs for non-windows user at the following Grants.gov link: [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **If Error! Hyperlink reference not valid. 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:

- Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). Also, do not upload any password protected files to your application.
- 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.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names

and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.

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

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

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### **SUBMISSION OF PAPER APPLICATIONS BY MAIL.**

If you 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 [Applicants must identify either CFDA Number 84.133G-1 (Research) or 84.133G-2 (Development) depending on the designation of their proposed project.])  
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.

### **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 [*Applicants must identify either CFDA Number 84.133G-1 (Research) or 84.133G-2 (Development) depending on the designation of their proposed project.*])  
550 12th Street, SW  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

### **NOTE FOR MAIL OR HAND DELIVERY OF PAPER APPLICATIONS**

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

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

**SECTION I**  
**REQUIRED FORMS**  
**AND**  
**FORM INSTRUCTIONS**

# APPLICATION FORMS

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

This application is MANDATORY electronic submission through Grants.gov and the application format is set in the headings

**Part I Federal Assistance Application Face Page (SF 424)**

- ED Supplemental

**Part II Table of Contents**

- Abstract
- Project/Application Narrative
- Other—Resumes/Vitae
- Other—Letters of Commitment/Support
- Other
- Budget Information

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

## PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0027. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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

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

And to the

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

## REQUIRED FORMS:

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- Application for Federal Assistance Face Page (SF 424)
- ED Supplemental to the SF-424
- Instruction for the SF-424
- Budget Information (ED 524)
- Assurances - Non-Construction Programs (SF 424b)
- Certifications Regarding Lobbying (ED-80-0013)
- Disclosure of Lobbying Activities (SF LLL)
- Survey on Ensuring Equal Opportunity for Applicants

**Paper Submission:** If you received a waiver—go to the following website to access the required forms:

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

**Grants.gov:** The forms and instructions are set up in the system for you to complete.

# **SECTION J**

## **APPLICATION CHECKLIST**

## APPLICATION CHECKLIST

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- Did you complete the registration process for Grants.gov for the mandatory electronic submission on [www.grants.gov](http://www.grants.gov)?

### DOES YOUR APPLICATION INCLUDE EACH OF THE FOLLOWING?

- Cover page (SF 424) marked appropriately with 84.133G-1 for Research and 84-133G-2 for Development, if applying by paper? Or did you download the correct package for Research or Development if applying electronically?
- Is the Priority Topic in the Descriptive Title Block 11 in the SF 424?
- Budget form (ED form 524) dollar amounts not exceeding the maximum in any year?
- Cost Share is included both on the "B" side of the ED 524 and explained in the budget narrative for each year?
- Budget narrative for each year (MATH CHECKED)
- Program narrative, including abstract and responses to the selection criteria
- Assurances and Certifications [list]

### DID YOU—

- Mail or submit application on or before **FEBRUARY 4, 2011**?
- If submitting by paper, provide one (1) original plus 2 copies of the application (One original and 10 copies are requested)?
- If submitting by paper, include all required forms with original signatures and dates?
- Include narrative on the Protection of Human Subjects?
- If submitting on Grants.gov was the application fully upload and completed before the 4:30:00 pm, and validated successfully?
- Used correct mailing address from Section C?

## **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)