

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

**FY 2014 APPLICATION PACKAGE FOR NEW GRANTS**

**UNDER**

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

**REHABILITATION RESEARCH AND TRAINING CENTERS**

**IMPROVING EMPLOYMENT OUTCOMES FOR  
INDIVIDUALS WITH PSYCHIATRIC DISABILITIES**

**CFDA NUMBER: 84.133B-5**

**FORM APPROVED**



OMB No. 1820-0027, EXP. DATE 03/31/2016  
SF FORM 424, 08/31/2016

**DATED MATERIAL—OPEN IMMEDIATELY  
CLOSING DATE: August 25, 2014**

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# **SECTION A**

## **DEAR APPLICANT LETTER**

Dear Applicant:

The Secretary invites applications for a new award in fiscal year (FY) 2014 under the priority for a Rehabilitation Research and Training Center (RRTC) on Improving Employment Outcomes for Individuals with Psychiatric Disabilities (CFDA Number-84.133B-5).

NIDRR is seeking applications that address all elements of the priority, and that propose appropriate, high-quality research methodologies. It is critical that proposals describe expected public benefits, especially benefits for individuals with disabilities, and propose projects that are designed to demonstrate outcomes that are consistent with the proposed goals.

The start date for new awards for the (FY) 2014 programs will be no later than October 1, 2014.

### **APPLICATION PROCEDURES**

This application package contains information and the required forms for potential applicants to apply and be considered for a FY 2014 grant award under this competition, including the published Federal Register notice dated June 25, 2014. The background statement from the Notice of Proposed Priorities is in Section D.

The closing date (application deadline) is August 25, 2014.

Potential applicants are advised to read the materials in this application package carefully. Please pay particular attention to the information contained in the Notice Inviting Applications on the eligible applicants, and the dollar amount available for this competition. Applicants should also pay close attention to Section F – the Selection Criteria, Section G – Protection of Human Subjects, and Section H – Application Format and Instructions. Applications must be responsive to the absolute priority in Section C and the statutory, regulatory, and general requirements for the RRTC program in Section E. The application narrative should be written in the order of the selection criteria in Section F. The selection criteria will be used by the reviewers to evaluate the application.

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

### **AWARD AMOUNTS AND RESTRICTED INDIRECT COST RATE**

We will reject any application that proposes a budget exceeding the amount of \$875,000 for a single budget period of 12 months for the RRTC on Improving Employment Outcomes for Individuals with Psychiatric Disabilities (CFDA Number-84.133B-5). The restricted indirect cost rate is 15%.

### **APPLICATION SUBMISSION PROCEDURES**

You **must** submit your application electronically using the Grants.gov Apply site. See Section B, Notice Inviting Applications and Section J, Application Transmittal Instructions.

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

- (1) Application for Federal Assistance (SF 424);
- (2) Table of Contents;
- (3) Abstract;
- (4) ED Budget Information Non-Construction Programs (ED-524);
- (5) Budget Narrative;
- (6) Project Narrative;
- (7) General Education Provisions Act (GEPA) Requirements – Section 427;
- (8) GG Lobbying Form (90-0013);
- (9) ED Supplemental Form for SF 424;
- (10) SF LLL Disclosure of Lobbying; and
- (11) Vitae/Bibliography/Letters of Support.

There is a file size limitation to each section, and you may upload only one document under each heading. Therefore, in order to make sure that all of your materials are uploaded successfully, you will need to combine multiple original documents for a heading (e.g., letters, resumes) into a single document before uploading.

Electronic copies must be fully uploaded on the Grants.gov site by 4:30:00 pm, Washington DC time on the closing date, August 25, 2014. 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, additional time will be needed to correct the error and resubmit. **We encourage you to read Section J – Grants.gov Submission Procedures and Tips for Applicants**

## **PROGRAM REGULATIONS**

These grants are subject to the requirements of the Education Department General Administrative Regulations (EDGAR), in 34 CFR Parts 74, 75, 77, 80, 81, 82, 84, 86, and 97, and The Education Department suspension and debarment regulations in 2 CFR part 3485, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs.

## **TECHNICAL ASSISTANCE**

Pre-Application Meeting: A pre-application meeting will be held between 1:00 p.m. and 3:00 p.m. on July 16, 2014 by teleconference. Interested parties are invited to participate in the pre-application meeting to discuss the funding priority and to receive information and technical assistance. You must contact Patricia Barrett at [patricia.barrett@ed.gov](mailto:patricia.barrett@ed.gov) by July 14, 2014 in order to participate in this meeting. NIDRR staff also will be available to provide information and technical assistance via individual phone consultations from 3:30 p.m. to 4:30 p.m. on July 16, 2014. Requests for individual consultations during this one-hour window must be made in advance to Patricia Barrett.

## **LETTER OF INTENT**

Due to the open nature of the RRTC on Improving Employment Outcomes for Individuals with Psychiatric Disabilities competition, and to assist with the selection of reviewers for this competition, NIDRR is requesting all potential applicants to submit a Letter of Intent (LOI) by July 30, 2014. Please see Section K of this kit for details.

## **OTHER INFORMATION**

Please submit an appendix that lists every collaborating organization and individual named in the application, including staff, consultants, contractors, advisory board member, and anyone else whose selection as a peer reviewer might constitute a conflict of interest. We will use this information to help us screen for conflicts of interest with our reviewers.

If you have any questions about the information in this application package, please contact Patricia Barrett at [patricia.barrett@ed.gov](mailto:patricia.barrett@ed.gov) or by telephone at (202) 245-6211. Individuals who use a telecommunications device (TDD) may call the Federal Relay Service (FRS) at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday.

If you experience problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726.

Thank you for your interest in this program.

Sincerely,

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John Tschida  
Director  
National Institute on Disability and  
Rehabilitation Research

## **SECTION B**

# **NOTICE INVITING APPLICATIONS FOR NEW AWARDS**

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; National Institute on Disability and Rehabilitation Research—  
Rehabilitation Research and Training Centers.

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

**ACTION:** Notice.

**Overview Information:**

National Institute on Disability and Rehabilitation Research (NIDRR)--Disability and  
Rehabilitation Research Projects and Centers Program--Rehabilitation Research and Training  
Centers--Improving Employment Outcomes for Individuals with Psychiatric Disabilities

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

Catalog of Federal Domestic Assistance (CFDA) Number: 84.133B-5.

**Dates:**

Applications Available: June 25, 2014.

Deadline for Letter of Intent to Apply: July 30, 2014.

Date of Pre-Application Meeting: July 16, 2014.

Deadline for Transmittal of Applications: August 25, 2014.

## FULL TEXT OF ANNOUNCEMENT

### **I. FUNDING OPPORTUNITY DESCRIPTION**

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#### **Purpose of Program:**

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The purpose of the Disability and Rehabilitation Research Projects and Centers Program is to plan and conduct research, demonstration projects, training, and related activities, including international activities, 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, and to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended (Rehabilitation Act).

#### **Rehabilitation Research and Training Centers (RRTCs)**

The purpose of the RRTCs, which are funded through the Disability and Rehabilitation Research Projects and Centers Program, is to achieve the goals of, and improve the effectiveness of, services authorized under the Rehabilitation Act through well-designed research, training, technical assistance, and dissemination activities in important topical areas, as specified by NIDRR. These activities are designed to benefit rehabilitation service providers, individuals with disabilities, family members, policymakers, and other research stakeholders.

Additional information on the RRTC program can be found at:

<http://www2.ed.gov/programs/rrtc/index.html#types>.

#### **Priorities:**

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NIDRR has established two absolute priorities for the competition announced in this notice. The General RRTC Requirements priority, which applies to all RRTC competitions, is from the notice of final priorities for the Disability and Rehabilitation Research Projects and Centers Program, published in the Federal Register on February 1, 2008 (73 FR 6132). The Improving Employment Outcomes for Individuals with Psychiatric Disabilities priority is from the notice of final priority for the Disability and Rehabilitation Research Projects and Centers Program, published elsewhere in this issue of the Federal Register.

## **Absolute Priorities:**

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For FY 2014 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3), we consider only applications that meet both of these priorities.

These priorities are:

### Absolute Priority 1--General RRTC Requirements.

Note: The full text of the General RRTC Requirements priority is included in the notice of final priority for the Disability and Rehabilitation Research Projects and Centers Program, published in the Federal Register on February 1, 2008 (73 FR 6132), and in the applicable application package.

### Absolute Priority 2--Improving Employment Outcomes for Individuals with Psychiatric Disabilities.

Note: The full text of the Improving Employment Outcomes for Individuals with Psychiatric Disabilities priority is included in the notice of final priority published elsewhere in this issue of the Federal Register and in the applicable application package.

## **Program Authority:**

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29 U.S.C. 762(g) and 764(b)(2)(A).

## **Applicable Regulations:**

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- (a) The Education Department General Administrative Regulations in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 86, and 97.
- (b) The Education Department debarment and suspension regulations in 2 CFR part 3485.
- (c) The regulations for this program in 34 CFR part 350.
- (d) The notice of final priorities for the Disability and Rehabilitation Research Projects and Centers Program published in the Federal Register on February 1, 2008 (73 FR 6132).
- (e) The notice of final priority, published elsewhere in this issue of the Federal Register.

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

## **II. AWARD INFORMATION**

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**Type of Award:**

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Discretionary grants.

**Estimated Available Funds:**

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\$875,000.

**Maximum Award:**

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\$875,000.

**Estimated Number of Awards:**

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1.

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

**Project Period:**

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60 months.

### **III. ELIGIBILITY INFORMATION**

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

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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:**

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This competition does not require cost sharing or matching.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

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### **1. Address to Request Application Package:**

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

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

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

FAX: (703) 605-6794.

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

You can contact ED Pubs at its Web site, also: [www.EDPubs.gov](http://www.EDPubs.gov) or at its email address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application package from ED Pubs, be sure to identify this program as follows: **CFDA number 84.133B-5.**

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the person or team listed under Accessible Format in section VIII of this notice.

### **2. Content and Form of Application Submission:**

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

Letter of Intent to Apply: Due to the broad nature of the priorities in the competition, and to assist with the selection of reviewers for the competition, NIDRR is requesting all potential applicants to submit a letter of intent (LOI). The submission is not mandatory and the content of the LOI will not be peer reviewed or otherwise used to rate an application.

Each LOI should be limited to a maximum of four pages and include the following information:

- (1) the title of the proposed project, the name of the applicant, the name of the Project Director or Principal Investigator (PI), and the names of partner institutions and entities;
- (2) a brief statement of the vision, goals, and objectives of the proposed project and a description of its activities at a sufficient level of detail to allow NIDRR to select potential peer reviewers;
- (3) a list of proposed project staff including the Project Director or PI and key personnel;
- (4) a list of individuals whose selection as a peer reviewer might constitute a conflict of interest due to involvement in proposal development, selection as an advisory board member, co-PI relationships, etc.; and
- (5) contact information for the Project Director or PI. Submission of an LOI is not a prerequisite for eligibility to submit an application.

NIDRR will accept the optional LOI via mail (through the U.S. Postal Service or commercial carrier) or email, by July 30, 2014. The LOI must be sent to:

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

Or by email to: [patricia.barrett@ed.gov](mailto:patricia.barrett@ed.gov).

For further information regarding the LOI submission process, contact Patricia Barrett at (202) 245-6211.

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 100 pages, using the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative. You are not required to double space titles, headings, footnotes, references, captions, or text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The 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).

Note 1: Please submit an appendix that lists every collaborating organization and individual named in the application, including staff, consultants, contractors, and advisory board members. We will use this information to help us screen for conflicts of interest with our reviewers.

Note 2: An applicant should consult NIDRR's Long-Range Plan for Fiscal Years 2013-2017 (78 FR 20299) (Plan) when preparing its application. The Plan is organized around the following research domains:

- (1) Community Living and Participation;
- (2) Health and Function; and
- (3) Employment.

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

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**Applications Available:** June 25, 2014.

**Deadline for Letter of Intent to Apply:** July 30, 2014.

**Date of Pre-Application Meeting:** Interested parties are invited to participate in a pre-application meeting and to receive information and technical assistance through individual consultation with NIDRR staff. The pre-application meeting will be held on July 16, 2014. Interested parties may participate in this meeting by conference call with NIDRR staff from the Office of Special Education and Rehabilitative Services between 1:00 p.m. and 3:00 p.m., Washington, DC time. NIDRR staff also will be available from 3:30 p.m. to 4:30 p.m., Washington, DC time, on the same day, by telephone, to provide information and technical assistance through individual consultation. For further information or to make arrangements to participate in the meeting via conference call or to arrange for an individual consultation, contact the person listed under For Further Information Contact in section VII of this notice.

**Deadline for Transmittal of Applications:** August 25, 2014.

Applications for grants under the competition announced in this notice 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:**

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

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

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

#### **6. Data Universal Numbering System Number, Taxpayer Identification Number, and System for Award Management:**

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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 System for Award Management (SAM) (formerly the Central Contractor Registry (CCR)), the Government's primary registrant database;
- c. Provide your DUNS number and TIN on your application; and
- d. Maintain an active SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

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

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 two to five weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

Note: Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov and before you can submit an application through Grants.gov.

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

Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, we have prepared a SAM.gov Tip Sheet, which you can find at:

<http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.

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

- (1) be designated by your organization as an Authorized Organization Representative (AOR); and
- (2) register yourself with Grants.gov as an AOR.

Details on these steps are outlined at the following Grants.gov Web page:

[www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html)

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

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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 RRTC competition, CFDA Number 84.133B-5, 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 email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the RRTC competition (CFDA Number 84.133B-5) 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 84.133B).

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 home page. In addition, for specific guidance and procedures for submitting an application through Grants.gov, please refer to the Grants.gov Web site at: [www.grants.gov/web/grants/applicants/apply-for-grants.html](http://www.grants.gov/web/grants/applicants/apply-for-grants.html).
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.
- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information—Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material. Additional, detailed information on how to attach files is in the application instructions.
- Your electronic application must comply with any page-limit requirements described in this notice.
- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. This

notification indicates receipt by Grants.gov only, not receipt by the Department. Grants.gov will also notify you automatically by email if your application met all the Grants.gov validation requirements or if there were any errors. You will be given an opportunity to correct any errors and resubmit, but you must still meet the deadline for submission of applications.

- Once your application is successfully validated by Grants.gov, the Department will retrieve your application from Grants.gov and send you an email with a unique PR/Award number for your application. 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). These emails do not mean that your application is free of any disqualifying errors. It is your responsibility to ensure that your submitted application has met all of the Department's requirements, including submitting all of the attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format, as described in this notice and in the application instructions.
- We may request that you provide us original signatures on forms at a later date.

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

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

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

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

that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

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

**Exception to Electronic Submission Requirement:**

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

- You do not have access to the Internet; or
  - You do not have the capacity to upload large documents to the Grants.gov system;
- and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application.

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

Address and mail or fax your statement to:

Patricia Barrett  
U.S. Department of Education  
400 Maryland Avenue, SW., room 5142, PCP  
Washington, DC 20202-2700  
FAX: (202) 245-6211.

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

**b. Submission of Paper Applications by Mail.**

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133B-5)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

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

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

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

**c. Submission of Paper Applications by Hand Delivery.**

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133B-5)  
550 12th Street, SW.  
Room 7039, 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**

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

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

### **2. Review and Selection Process:**

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

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

### **3. Special Conditions:**

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

## **VI. AWARD ADMINISTRATION INFORMATION**

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

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If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

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

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

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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:**

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- (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).
- (b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

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

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To evaluate the overall success of its research program, NIDRR assesses the quality of its funded projects through a review of grantee performance and products. Each year, NIDRR examines a portion of its grantees to determine:

- The number of products (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 NIDRR grants that assess the effectiveness of interventions, programs, and devices using rigorous methods.

NIDRR uses information submitted by grantees as part of their Annual Performance Reports for these reviews.

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

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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

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### For Further Information Contact:

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

Telephone: (202) 245-6211, or by

Email: [patricia.barrett@ed.gov](mailto:patricia.barrett@ed.gov).

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

## VIII. OTHER INFORMATION

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### **Accessible Format:**

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Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, SW., room 5037, PCP, Washington, DC 20202-2550. Telephone: (202) 245-7363. If you use a TDD or a TTY, call the FRS, toll-free, at 1-800-877-8339.

### **Electronic Access to This Document:**

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The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

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

Dated:

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

**SECTION C**

**NOTICE OF FINAL PRIORITY  
PUBLISHED:  
JUNE 25, 2014**

4000-01-U

DEPARTMENT OF EDUCATION

34 CFR Chapter III

[Docket ID ED-2014-OSERS-0022]

**Final priority.** National Institute on Disability and Rehabilitation Research--Rehabilitation Research and Training Centers

[CFDA Number: 84.133B-5.]

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

**ACTION:** Final priority.

**SUMMARY:** The Assistant Secretary for Special Education and Rehabilitative Services announces a priority under the Rehabilitation Research and Training Center (RRTC) Program administered by the National Institute on Disability and Rehabilitation Research (NIDRR). Specifically, this notice announces a priority for an RRTC on Improving Employment Outcomes for Individuals with Psychiatric Disabilities. We take this action to focus research attention on an area of national need. We intend this priority to contribute to improved employment outcomes for individuals with psychiatric disabilities.

**EFFECTIVE DATE:** This priority is effective July 25, 2014.

**FOR FURTHER INFORMATION CONTACT:**

Patricia Barrett  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Room 5142, Potomac Center Plaza (PCP)  
Washington, DC 20202-2700.  
Telephone: (202) 245-6211, or by  
Email: [patricia.barrett@ed.gov](mailto:patricia.barrett@ed.gov).

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

#### **SUPPLEMENTARY INFORMATION:**

**Purpose of Program:** The purpose of the Disability and Rehabilitation Research Projects and Centers Program is to plan and conduct research, demonstration projects, training, and related activities, including international activities, 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, and to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended (Rehabilitation Act).

#### **Rehabilitation Research and Training Centers**

The purpose of the RRTCs, which are funded through the Disability and Rehabilitation Research Projects and Centers Program, is to achieve the goals of, and improve the effectiveness of, services authorized under the Rehabilitation Act through well-designed research, training, technical assistance, and dissemination activities in important topical areas, as specified by NIDRR. These activities are designed to benefit rehabilitation service providers, individuals with disabilities, family members, policymakers, and other research stakeholders. Additional information on the RRTC program can be found at:

<http://www2.ed.gov/programs/rrtc/index.html#types>.

Program Authority: 29 U.S.C. 762(g) and 764(b)(2).

**Applicable Program Regulations:** 34 CFR part 350.

We published a notice of proposed priority for this program in the Federal Register on Wednesday, March 26, 2014 (79 FR 16707). That notice contained background information and our reasons for proposing the particular priority.

There are no differences between the proposed priority and this final priority as discussed in the Analysis of Comments and Changes section elsewhere in this notice.

**Public Comment:** In response to our invitation in the notice of proposed priority, four parties submitted comments on the proposed priority.

Generally, we do not address technical and other minor changes. In addition, we do not address the general comments we received that raised concerns not directly related to the proposed priority.

**Analysis of Comments and Changes:** An analysis of the comments and of any changes in the priority since publication of the notice of proposed priority follows.

**Comment:** . Two commenters suggested that NIDRR modify the priority to require a focus on promising practices that could enhance employment outcomes for individuals with psychiatric disabilities and serve as the basis for research by the RRTC. One commenter suggested that NIDRR modify the priority to focus on psychiatric treatment programs that emphasize timely intervention following an initial psychiatric episode, as well as supported education programs for youth and young adults with psychiatric disabilities. The other commenter suggested that NIDRR modify the priority to focus on educational and supported housing interventions for adults with psychiatric disabilities, as well as early screening and assessment programs to identify children with psychiatric disabilities while they are in school.

**Discussion:** Nothing in the priority precludes applicants from focusing on the topics described by the commenters. However, we do not wish to preclude applicants from proposing other areas of research by requiring all applicants to address the topics presented by the commenters. The peer review process will determine the merits of each proposal.

**Changes:** None.

**FINAL PRIORITY:**

The Assistant Secretary for Special Education and Rehabilitative Services establishes a priority for an RRTC on Improving Employment Outcomes for Individuals with Psychiatric Disabilities. . This priority will be jointly funded by NIDRR and the Substance Abuse and Mental Health Services Administration (SAMHSA). For the purposes of this priority, “employment outcomes” may refer to, but are not limited to, obtaining employment, job retention, job advancement, or compensation.

The RRTC must contribute to improving the employment outcomes of individuals with psychiatric disabilities by:

(a) Conducting well-designed research activities, with an emphasis on promising practices with currently limited evidence bases, in one or more of the following priority areas, focusing on individuals with psychiatric disabilities as a group or on individuals with a specific disability or on demographic subpopulations of individuals with psychiatric disabilities:

(1) Technology to improve employment outcomes for individuals with psychiatric disabilities.

(2) Individual, work environment, or employer factors associated with improved employment outcomes for individuals with psychiatric disabilities.

(3) Interventions that contribute to improved employment outcomes for individuals with psychiatric disabilities. Interventions include any strategy, practice, program, policy, or tool that, when implemented as intended, contributes to improvements in employment outcomes for individuals with psychiatric disabilities, and may include interventions focused on individuals, families, employers, or service providers.

(4) Effects of current or modified government practices, policies, and programs on employment outcomes for individuals with psychiatric disabilities;

(b) Focusing its research on one or more specific stages of research. If the RRTC is to conduct research that can be categorized under more than one of the research stages, or research that progresses from one stage to another, those stages should be clearly specified.

Note: For purposes of this priority, the stages of research are from the notice of final priority published in the Federal Register on June 7, 2013 (78 FR 34261).

(c) Serving as a national resource center related to employment for individuals with psychiatric disabilities, their families, and other stakeholders by conducting knowledge translation activities that include, but are not limited to:

(1) Providing information and technical assistance to employment service providers, mental health service providers, employers, individuals with psychiatric disabilities and their representatives, and other key stakeholders. These activities will include providing technical assistance on evidence-based, supported employment to SAMHSA grantees that are awarded

funds in FY 2014 to enhance State and community capacity to provide supported employment programs targeting adults with serious mental illnesses, including persons with co-occurring mental illness and substance abuse disorders.

(2) Providing training, including graduate, pre-service, and in-service training, to vocational rehabilitation and other employment service providers, to facilitate more effective delivery of employment services to individuals with psychiatric disabilities. This training may be provided through conferences, workshops, public education programs, in-service training programs, and similar activities.

(3) Disseminating research-based information and materials related to increasing employment levels for individuals with psychiatric disabilities.

(4) Involving key stakeholder groups in the activities conducted under paragraph (a) of this priority to promote the new knowledge generated by the RRTC.

#### **Types of Priorities:**

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When inviting applications for a competition using one or more priorities, we designate the type of each priority as absolute, competitive preference, or invitational through a notice in the Federal Register. The effect of each type of priority follows:

**Absolute priority:**

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

**Competitive preference priority:**

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

**Invitational priority:**

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

This notice does not preclude us from proposing additional priorities, requirements, definitions, or selection criteria, subject to meeting applicable rulemaking requirements.

Note: This notice does not solicit applications. In any year in which we choose to use this priority, we invite applications through a notice in the Federal Register.

## **EXECUTIVE ORDERS 12866 AND 13563**

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### Regulatory Impact Analysis

Under Executive Order 12866, the Secretary must determine whether this regulatory action is “significant” and, therefore, subject to the requirements of the Executive order and subject to review by the Office of Management and Budget (OMB). Section 3(f) of Executive Order 12866 defines a “significant regulatory action” as an action likely to result in a rule that may—

- (1) Have an annual effect on the economy of \$100 million or more, or adversely affect a sector of the economy, productivity, competition, jobs, the environment, public health or safety, or State, local, or tribal governments or communities in a material way (also referred to as an “economically significant” rule);
- (2) Create serious inconsistency or otherwise interfere with an action taken or planned by another agency;
- (3) Materially alter the budgetary impacts of entitlement grants, user fees, or loan programs or the rights and obligations of recipients thereof; or
- (4) Raise novel legal or policy issues arising out of legal mandates, the President's priorities, or the principles stated in the Executive order.

This final regulatory action is not a significant regulatory action subject to review by OMB under section 3(f) of Executive Order 12866.

We have also reviewed this final regulatory action under Executive Order 13563, which supplements and explicitly reaffirms the principles, structures, and definitions governing regulatory review established in Executive Order 12866. To the extent permitted by law, Executive Order 13563 requires that an agency—

- (1) Propose or adopt regulations only upon a reasoned determination that their benefits justify their costs (recognizing that some benefits and costs are difficult to quantify);
- (2) Tailor its regulations to impose the least burden on society, consistent with obtaining regulatory objectives and taking into account—among other things and to the extent practicable—the costs of cumulative regulations;

- (3) In choosing among alternative regulatory approaches, select those approaches that maximize net benefits (including potential economic, environmental, public health and safety, and other advantages; distributive impacts; and equity);
- (4) To the extent feasible, specify performance objectives, rather than the behavior or manner of compliance a regulated entity must adopt; and
- (5) Identify and assess available alternatives to direct regulation, including economic incentives—such as user fees or marketable permits—to encourage the desired behavior, or provide information that enables the public to make choices.

Executive Order 13563 also requires an agency “to use the best available techniques to quantify anticipated present and future benefits and costs as accurately as possible.” The Office of Information and Regulatory Affairs of OMB has emphasized that these techniques may include “identifying changing future compliance costs that might result from technological innovation or anticipated behavioral changes.”

We are issuing this final priority only on a reasoned determination that its benefits justify its costs. In choosing among alternative regulatory approaches, we selected those approaches that maximize net benefits. Based on the analysis that follows, the Department believes that this regulatory action is consistent with the principles in Executive Order 13563.

We also have determined that this regulatory action does not unduly interfere with State, local, and tribal governments in the exercise of their governmental functions.

In accordance with both Executive orders, the Department has assessed the potential costs and benefits, both quantitative and qualitative, of this regulatory action. The potential costs are those resulting from statutory requirements and those we have determined as necessary for administering the Department’s programs and activities.

The benefits of the Disability and Rehabilitation Research Projects and Centers Program have been well established over the years. Projects similar to the one envisioned by the final priority have been completed successfully, and the proposed priority would generate new knowledge through research. The new RRTC would generate, disseminate, and promote the use of new information that would improve outcomes for individuals with disabilities in the areas of community living and participation, employment, and health and function.

**Accessible Format:**

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Individuals with disabilities can obtain this document in an accessible format (e.g., braille, large print, audiotape, or compact disc) on request to the program contact person listed under FOR FURTHER INFORMATION CONTACT.

**Electronic Access to This Document:**

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The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

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

Dated:

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

**SECTION D**

**BACKGROUND STATEMENT AND  
DEFINITIONS FOR STAGES OF  
RESEARCH**

## **BACKGROUND:**

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According to the Substance Abuse and Mental Health Services Administration's (SAMHSA's) 2011 National Survey on Drug Use and Health (SAMHSA, 2011a), an estimated 19.6 percent of all adults age 18 and older had a mental illness. An estimated 5 percent had a serious mental illness (i.e., "a diagnosable mental, behavioral, or emotional disorder (excluding developmental and substance use disorders) of sufficient duration to meet diagnostic criteria specified within the 4th edition of the *Diagnostic and Statistical Manual of Mental Disorders* (DSM-IV) (American Psychological Association, 1994) and that has resulted in serious functional impairment that substantially interferes with or limits one or more major life activities"), including employment.

Mental illness has a pronounced negative effect on employment. Both internal and external factors, e.g., stigma, discrimination, co-occurring conditions such as substance abuse, and medications used in treating mental health conditions contribute to poor employment outcomes.

According to a recent report, only 17 percent of individuals who received publicly funded mental health services were employed (SAMHSA, 2011b). Individuals with mental illness represent the largest disability group receiving public income support and they are least likely to achieve successful employment outcomes after vocational rehabilitation (Cook, 2006). Between 1996 and 2009, the number of Social Security Disability Insurance (SSDI) beneficiaries with a primary diagnosis of "Other Mental Disorders" increased 38 percent (Frey et al., 2011). In 2012, SSDI beneficiaries with a primary diagnosis of "Mood Disorders," "Schizophrenic and Other Psychotic disorders," or "Other Mental Disorders" accounted for 23 percent of SSDI beneficiaries (Social Security Administration, 2012). For those individuals with mental illness who are employed, mental illness is associated with decreased productivity and job retention (Cook, 2006; Lerner et al., 2012).

Supported employment has been demonstrated to be an effective intervention and has improved employment outcomes for individuals with mental illness (Campbell et al., 2009; Cook et al., 2005; Drake et al., 2012; Frey et al., 2011). However, supported employment frequently results in only part-time employment, and earnings are typically insufficient to maintain self-sufficiency (Cook et al., 2008). Supported employment requires collaboration across agencies (e.g., mental health services, and vocational rehabilitation services) that are difficult and costly to implement (Cook, 2006; Frey, 2011). NIDRR's collaborator on this priority, SAMHSA, plans to award its own grants in 2014 to behavioral health State agencies to enhance State and community capacity to provide evidence-based, supported employment programs that will target

adults with serious mental illnesses, including persons with co-occurring mental illness and substance abuse disorders.

The evidence base for other interventions that may improve employment outcomes for individuals with psychiatric disabilities is limited. Recent research has focused on additional or alternative interventions, including but not limited to, cognitive remediation (McGurk et al, 2009), consumer-provided services (Doughty & Tse, 2005), and interdisciplinary work-focused care (Lerner et al, 2012). Further research is needed in order to improve employment outcomes of individuals with psychiatric disabilities (also referred to as mental illness) and to address the barriers they face in obtaining, retaining, and advancing in meaningful competitive employment.

## REFERENCES:

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Cook, J. A., Blyler, C. R., Leff, H. S., McFarlane, W. R., Goldberg, R. W., Gold, P. B., Mueser, K. T., Shafer, M. S., Onken, S. J., Donegan, K., Carey, M. A., Kaufmann, C., & Razzano, L. A., (2008). The Employment Intervention Demonstration Program: Major findings and policy implications. *Psychiatric Rehabilitation Journal*, 4, 291-295.

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Substance Abuse and Mental Health Services Administration. (2011b). *2011 Mental Health National Outcome Measures (NOMS): CMHS Uniform Reporting System*. Retrieved from [www.samhsa.gov/dataoutcomes/urs](http://www.samhsa.gov/dataoutcomes/urs).

## **DEFINITIONS:**

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The research that is proposed under this priority must be focused on one or more stages of research. If the RRTC is to conduct research that can be categorized under more than one research stage, or research that progresses from one stage to another, those research stages must be clearly specified. For purposes of this priority, the stages of research are from the final priorities and definitions published in the Federal Register on May 7, 2013 (78 FR 26513):

(i) Exploration and Discovery means the stage of research that generates hypotheses or theories by conducting new and refined analyses of data, producing observational findings, and creating other sources of research-based information. This research stage may include identifying or describing the barriers to and facilitators of improved outcomes of individuals with disabilities, as well as identifying or describing existing practices, programs, or policies that are associated with important aspects of the lives of individuals with disabilities. Results achieved under this stage of research may inform the development of interventions or lead to evaluations of interventions or policies. The results of the exploration and discovery stage of research may also be used to inform decisions or priorities.

(ii) Intervention Development means the stage of research that focuses on generating and testing interventions that have the potential to improve outcomes for individuals with disabilities. Intervention development involves determining the active components of possible interventions, developing measures that would be required to illustrate outcomes, specifying target populations, conducting field tests, and assessing the feasibility of conducting a well-designed intervention study. Results from this stage of research may be used to inform the design of a study to test the efficacy of an intervention.

(iii) Intervention Efficacy means the stage of research during which a project evaluates and tests whether an intervention is feasible, practical, and has the potential to yield positive outcomes for individuals with disabilities. Efficacy research may assess the strength of the relationships between an intervention and outcomes, and may identify factors or individual characteristics that affect the relationship between the intervention and outcomes. Efficacy research can inform decisions about whether there is sufficient evidence to support “scaling-up” an intervention to other sites and contexts. This stage of research can include assessing the training needed for wide-scale implementation of the intervention, and approaches to evaluation of the intervention in real world applications.

(iv) Scale-Up Evaluation means the stage of research during which a project analyzes whether an intervention is effective in producing improved outcomes for individuals with disabilities when implemented in a real-world setting. During this stage of research, a project tests the outcomes of an evidence-based intervention in different settings. The project examines the challenges to successful replication of the intervention, and the circumstances and activities that contribute to successful adoption of the intervention in real-world settings. This stage of research may also include well-designed studies of an intervention that has been widely adopted in practice, but that lacks a sufficient evidence-base to demonstrate its effectiveness.

## **SECTION E**

# **STATUTORY AND REGULATORY REQUIREMENTS OF RRTC'S AND GENERAL RRTC REQUIREMENTS**

## REHABILITATION RESEARCH AND TRAINING CENTERS PROGRAM

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### STATUTORY AND REGULATORY REQUIREMENTS OF RRTC PROGRAM

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The purpose of the RRTC program is to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended, through advanced research, training, technical assistance, and dissemination activities in general problem areas, as specified by NIDRR. Such activities are designed to benefit rehabilitation service providers, individuals with disabilities, and the family members or other authorized representatives of individuals with disabilities. In addition, NIDRR intends to require all RRTC applicants to meet the requirements of the General Rehabilitation Research and Training Centers (RRTC) Requirements priority.

#### Statutory and Regulatory Requirements of RRTCs

RRTCs must—

- Carry out coordinated advanced programs of rehabilitation research;
- Provide training, including graduate, pre-service, and in-service training, to help rehabilitation personnel more effectively provide rehabilitation services to individuals with disabilities;
- Provide technical assistance to individuals with disabilities, their representatives, providers, and other interested parties;
- Disseminate informational materials to individuals with disabilities, their representatives, providers, and other interested parties; and
- Serve as centers of national excellence in rehabilitation research for individuals with disabilities, their representatives, providers, and other interested parties.
- Applicants for RRTC grants must also demonstrate in their applications how they will address, in whole or in part, the needs of individuals with disabilities from minority backgrounds.

## **GENERAL REHABILITATION RESEARCH AND TRAINING CENTER (RRTC) REQUIREMENTS**

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### Background:

NIDRR proposes the following General RRTC Requirements priority because it believes that the effectiveness of any RRTC depends on, among other things, how well the RRTC coordinates its research efforts with the research of other NIDRR-funded projects, involves individuals with disabilities in its activities, and identifies specific anticipated outcomes that are linked to its objectives in applying for RRTC funding. Accordingly, NIDRR intends to use Priority--General RRTC Requirements in conjunction with all of the other RRTC priorities in any notice.

### Final Priority (73 FR 6132):

To meet this priority, the Rehabilitation Research and Training Center (RRTC) must--

- (a) Conduct a state-of-the-science conference on its respective area of research by the fourth year of the grant cycle and publish a comprehensive report on the final outcomes of the conference by the end of the fourth year of the grant cycle. This conference must include materials from the experts internal and external to the RRTC;
- (b) Coordinate on research projects of mutual interest with relevant NIDRR-funded projects as identified through consultation with the NIDRR project officer;
- (c) Involve individuals with disabilities in planning and implementing its research, training, and dissemination activities, and in evaluating the RRTC; and
- (d) Coordinate with the appropriate NIDRR-funded Knowledge Translation Centers and professional and consumer organizations, to provide scientific results and information for dissemination to policymakers, service providers, researchers, and others, including vocational rehabilitation and independent living center providers.

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**SECTION F**  
**SELECTION CRITERIA**

## **SELECTION CRITERIA**

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

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

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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.
  - (ii) The extent to which the proposed activities further the purposes of the Act.
  - (iii) The extent to which the proposed project will have beneficial impact on the target population.

### **(b) Design of research activities (40 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;
    - (B) Each research hypothesis is theoretically sound and based on current knowledge;
    - (C) Each sample population is appropriate and of sufficient size;
    - (D) The data collection and measurement techniques are appropriate and likely to be effective; and
    - (E) The data analysis methods are appropriate.

**(c) Design of dissemination activities (10 points total).**

---

- (1) The Secretary considers the extent to which the design of dissemination activities is likely to be effective in accomplishing the objectives of the project.
- (2) In determining the 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 materials to be disseminated are likely to be effective and usable, including consideration of their quality, clarity, variety, and format.
  - (ii) The extent to which the materials and information to be disseminated and the methods for dissemination are appropriate to the target population, including consideration of the familiarity of the target population with the subject matter, format of the information, and subject matter.
  - (iii) The extent to which the information to be disseminated will be accessible to individuals with disabilities.

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

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- (1) The Secretary considers the extent to which the design of training activities is likely to be effective in accomplishing the objectives of the project.
- (2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Secretary considers the following factors:
  - (i) The extent to which the proposed training materials are likely to be effective, including consideration of their quality, clarity, and variety.
  - (ii) The extent to which the proposed training methods are of sufficient quality, intensity, and duration.
  - (iii) The extent to which the proposed training materials and methods are accessible to individuals with disabilities.

**(e) Design of technical assistance activities (10 points total).**

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- (1) The Secretary considers the extent to which the design of technical assistance 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 methods for providing technical assistance are of sufficient quality, intensity, and duration.
  - (ii) The extent to which the technical assistance is appropriate to the target population, including consideration of the knowledge level of the target population, needs of the target population, and format for providing information.
  - (iii) The extent to which the technical assistance is accessible to individuals with disabilities.

**(f) Design of utilization activities (5 points total).**

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- (1) The Secretary considers the extent to which the design of utilization 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 one or more of the following factors:
  - (i) The extent to which the potential new users of the information or technology have a practical use for the information and are likely to adopt the practices or use the information or technology, including new devices.

**(g) Project staff (10 points total).**

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

- (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.

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

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

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

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

**SECTION G**

**PROTECTION OF HUMAN SUBJECTS**

## **PROTECTION OF HUMAN SUBJECTS**

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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. You do **not** need an assurance or IRB approval as a condition of applying for this competition.

If you marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, you must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, please indicate which project each set of responses addresses.

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

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If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct. In addition, narratives are required for each participating partner if research is being conducted at other sites.

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

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

Copies of the Department of Education regulations for the Protection of Human Subjects as well as other documents are available on the website below. For more information call (202) 260-3353 or go on-line the Protection of Human Subjects in research Web Site:

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

**SECTION H**

**APPLICATION FORMAT AND  
INSTRUCTIONS**

## **APPLICATION FORMAT AND INSTRUCTIONS**

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Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (grants.gov) by the closing date unless you qualify for an exception to this requirement.

It is recommended that your electronic application (or paper application if you have requested and been approved for a waiver), 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) Application for Federal Assistance (SF 424);
- (2) Table of Contents;
- (3) Abstract;
- (4) ED Budget Information Non-Construction Programs (ED-524);
- (5) Budget Narrative;
- (6) Project Narrative;
- (2) General Education Provisions Act (GEPA) Requirements – Section 427;
- (3) GG Lobbying Form (90-0013);
- (4) ED Supplemental Form for SF 424;
- (5) SF LLL Disclosure of Lobbying; and
- (6) Vitae/Bibliography/Letters of Support.

There is a file size limitation to each section and you may only upload one document under each heading. Therefore, in order to make sure that all of your materials are uploaded successfully, you will need to combine multiple original documents for a heading (e.g., letters, resumes) into a single document before uploading.

### **1. APPLICATION FOR FEDERAL ASSISTANCE (FORM SF 424)**

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This form requires basic identifying information about the applicant and the application.

Applicants should note that if there are multiple RRTC's open to use the **RELEVANT** CFDA and Title from the NFP/NIA as the title.

## **2. TABLE OF CONTENTS**

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The Table of Contents shows where and how the important sections of your proposal are organized.

While the application will be submitted electronically, the reviewers will use printed copies during the review process. The Table of Contents will assist them in more efficiently and effectively evaluating your application.

Upload the Table of Contents to Optional Forms: Other Attachments.

## **3. ABSTRACT**

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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.

Upload the Abstract to ED Abstract.

## **4. ED BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS (ED-524)**

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Remember that you must provide complete budget information for each year of the proposed project. Use the Budget Narrative heading to upload.

Please report Federal Funds in Section A—Budget Summary and Non-Federal Funds Section B—Budget Summary.

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 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 a 15% restricted indirect cost rate for this program.

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 18a on the application cover sheet (SF Form 424).

Cost Share: If you are providing voluntary cost share. Please include this information on the ED Form 524, Section B – Budget Summary, Non-Federal Funds – Tab 2 and in your budget narrative.

## 5. BUDGET NARRATIVE

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This part requires an itemized budget breakdown for the project year and the basis for estimating the costs of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures.

Address voluntary Cost Share in a separate section of the budget narrative labeled "Cost Share".

Please provide an itemized budget breakdown for each project year.

Upload the Budget Narrative to the Budget Narrative Section.

## 6. PROJECT NARRATIVE

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The application narrative responds to the General Requirements of RRTC's found in Section E and the Selection Criteria found in Section F of this application package. The reviewers will use this section to evaluate your application.

Upload the Project Narrative to the Project Narrative Section.

Each applicant is encouraged to limit the project narrative to the equivalent of no more than 100 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double-space (no more than three lines per vertical inch) all text in the application narrative. You are not required to double space titles, headings, footnotes, references, captions, or text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New or Arial.
- Include all critical information in the program narrative, minimizing the need for additional appendices. Ensure that you attach **.PDF files only** for any attachments to your application. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to this Grants.gov webpage with links to conversion programs:  
[http://www.grants.gov/help/download\\_software.jsp#pdf\\_conversion\\_programs](http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs)

**NOTE:** The recommended page limit does not apply to the Application for Federal Assistance (SF 424); the budget narrative, the forms; the one page abstract, the resumes; the bibliography; or the letters of support. However, the recommended page limit does apply to all of the project narrative section.

## **7. OTHER INFORMATION**

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Please submit an appendix that lists every collaborating organization and individual named in the application, including staff, consultants, contractors, advisory board member, and anyone else whose selection as a peer reviewer might constitute a conflict of interest. We will use this information to help us screen for conflicts of interest with our reviewers.

## **8. GENERAL EDUCATION PROVISIONS ACT (GEPA) REQUIREMENTS—SECTION 427**

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Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

## **9. GG LOBBYING FORM (90-0013)**

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Instructions for completing this form are included on the Grants.gov website.

## **10. ED SUPPLEMENTAL FORM FOR SF 424**

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Instructions for completing this form are included on the Grants.gov website.

## **11. SF LLL DISCLOSURE OF LOBBYING**

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Instructions for completing this form are included on the Grants.gov website.

## **12. VITAE/BIBLIOGRAPHY/LETTERS OF SUPPORT**

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Vitae of staff or consultants should include the individual's title and role in the proposed project, and other information that is specifically pertinent to this proposed project. 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. Upload the Vitae/Bibliography/Letters of Support to the Other Attachments—Optional Section.

**SECTION I**

**FREQUENTLY ASKED QUESTIONS**

**AND**

**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 will identify who is eligible to apply 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 following:

- (1) Application for Federal Assistance (SF 424);
- (2) Abstract;
- (3) ED Budget Information Non-Construction Programs (ED-524);
- (4) Budget Narrative;
- (5) Project Narrative;
- (6) General Education Provisions Act (GEPA) Requirements—Section 427;
- (7) GG Lobbying Form (90-0013);
- (8) ED Supplemental Form for SF 424;
- (9) SF LLL Disclosure of Lobbying; and
- (10) Vitae/Bibliography/Letters of Support.

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

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

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NIDRR generally advises applicants to organize the project narrative to follow the selection criteria. The project narrative should address the specific selection criteria for the

competition. The specific review criteria vary according to the specific programs and are included in this application package. Additionally, applicants should provide clearly stated hypotheses or research questions, goals, objectives, expected outcomes, and public benefit of the research or development project. The application should be organized to provide a thorough description of the methods and target population(s) and supported by evidence of need for the project, as identified in the relevant literature; citations are useful and may strengthen the proposal. Specific information on the format can be found in Section H—Application Format and Instructions of this application package.

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

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The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you limit the application narrative to the equivalent of no more than 100 pages, using the following standards:

- (1) A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides;
- (2) Double-space (no more than three lines per vertical inch) all text in the application narrative. You are not required to double space titles, headings, footnotes, references, captions, or text in charts, tables, figures, and graphs,;
- (3) Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch);
- (4) Use one of the following fonts: Times New Roman, Courier, Courier New or Arial; and
- (5) Include all critical information in the program narrative, minimizing the need for additional appendices.

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

---

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

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

---

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

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

---

An applicant for a Rehabilitation Research and Training Centers (133B) program may not collect more than 15% of the total grant award as indirect cost charges. The applicant must have a current indirect cost rate agreement to charge indirect costs to a grant. The maximum amount of the award includes both direct and indirect costs (ED Budget Information non-Construction programs (ED-524). The Department's Indirect Cost Group has more information on what you should know about indirect cost rates, at its Web site: <http://www2.ed.gov/about/offices/list/ocfo/fipao/abouticg.html>

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

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Yes. However, for-profit organizations will not be able to collect a fee or profit on the grant.

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

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Individuals are not eligible to apply for Rehabilitation Research and Training Centers Program.

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

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

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

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Applicants must clearly include the competition title and CFDA number on the Standard Form 424, and include a project title that describes the project, based on the competition.

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

---

The time from closing date to grant award date varies from program to program. Generally speaking, NIDRR makes awards within six to seven months after the closing date. Unsuccessful applicants generally will be notified within that time frame as well. When NIDRR is able to release information on the status of grant applications, it will notify applicants by letter. This information is **not** posted on the NIDRR homepage or Grants.gov.

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

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For the purpose of estimating a project start date, the applicant should estimate approximately six to seven months from the closing date, preferably October 1. You must

have a start date that allows you to complete an Annual Performance Report (APR) by July 1<sup>st</sup> with a minimum of six month of activities to report on.

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

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

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

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

**16. DO I HAVE TO INCLUDE COST SHARE IN MY APPLICATION?**

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Cost share is not required for this program. If you choose to share costs, include the information on the SF 424, ED 524, and the budget narrative.

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

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

**18. MUST I SUBMIT MY APPLICATION VIA GRANTS.GOV?**

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Applications for grants for this competition must be submitted electronically using the government-wide 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 email an electronic copy of a grant application to us. **We will reject your application if you submit it in paper format unless 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.**

**19. HOW WILL I RECEIVE FUNDING FOR THE ADDITIONAL YEARS OF MY GRANT (CONTINUATION AWARD)?**

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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)

## DUNS NUMBER INSTRUCTIONS

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**NOTE:** Check with your fiscal office to see if your institution has an assigned DUNS number 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 **1-800-234-3867** 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 1.800.234.3867**

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

# **SECTION J**

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

**AND**

## **APPLICATION TRANSMITTAL INSTRUCTIONS**

# IMPORTANT—PLEASE READ FIRST

## U.S. DEPARTMENT OF EDUCATION GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

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

### **ATTENTION—Adobe Forms and PDF Files Required**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: [compatibility table](#). We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files—Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

### **1) REGISTER EARLY**

Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. 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. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html> [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR)\*].

Primary information about SAM is available at [www.sam.gov](http://www.sam.gov). However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, the Department of Education has prepared a SAM.gov Tip Sheet which you can find at : <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>

### **2) SUBMIT EARLY**

**We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary

depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

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

### 3) **VERIFY SUBMISSION IS OK –**

You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

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

<http://www.grants.gov/web/grants/applicants/applicant-faqs/tracking-an-application.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>. 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 email about the status of your application. Please do not rely solely on email 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/web/grants/about/contact-us.html>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

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 the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to <http://www.grants.gov/web/grants/about/contact-us.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov <http://www.grants.gov/web/grants/applicants/applicant-resources.html>.

## **DIAL-UP INTERNET CONNECTIONS**

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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**

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

## ATTACHING FILES—ADDITIONAL TIPS

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

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources:  
<http://www.grants.gov/web/grants/support/technical-support/software/pdf-conversion-software.html>
  2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
  3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters in the file name, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
  4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.
- \* Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov:

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

## **APPLICATION TRANSMITTAL INSTRUCTIONS FOR MAIL OR HAND DELIVERY IF A WAIVER HAS BEEN OBTAINED**

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

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

### **BY MAIL THROUGH THE U.S. POSTAL SERVICE:**

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U.S. Department of Education  
Application Control Center  
Attention: **CFDA number 84.133B-5**  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

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

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

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

### **C. SUBMISSION OF PAPER APPLICATIONS BY HAND DELIVERY.**

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If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: **CFDA Number 84.133B-5**  
550 12th Street, SW.  
Room 7039, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

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

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

**SECTION K**  
**LETTER OF INTENT**

## LETTER OF INTENT TO APPLY:

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Due to the broad nature of the priority in this competition, and to assist with the selection of reviewers for this competition, NIDRR is requesting all potential applicants to submit a letter of intent (LOI). The submission is not mandatory and the content of the LOI will not be peer reviewed or otherwise used to rate an application.

Each LOI should be limited to a maximum of four pages and include the following information:

- (1) the title of the proposed project, the name of the applicant, the name of the Project Director or Principal Investigator (PI), and the names of partner institutions and entities;
- (2) a brief statement of the vision, goals, and objectives of the proposed project and a description of its activities at a sufficient level of detail to allow NIDRR to select potential peer reviewers;
- (3) a list of proposed project staff including the Project Director or PI and key personnel;
- (4) a list of individuals whose selection as a peer reviewer might constitute a conflict of interest due to involvement in proposal development, selection as an advisory board member, co-PI relationships, etc.; and
- (5) contact information for the Project Director or PI.

Submission of an LOI is not a prerequisite for eligibility to submit an application.

NIDRR will accept the optional LOI via mail (through the U.S. Postal Service or commercial carrier) or email, by July 30, 2014. The LOI must be sent to:

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

Or by email to: [patricia.barrett@ed.gov](mailto:patricia.barrett@ed.gov).

For further information regarding the LOI submission process, contact Patricia Barrett at (202) 245-6211.

**SECTION L**  
**REQUIRED FORMS**  
**AND**  
**FORM INSTRUCTIONS**

## **REQUIRED FORMS**

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All electronic and paper (if a waiver has been submitted and approved) applications submitted to NIDRR must include the following forms/parts:

- Application for Federal Assistance (SF 424)
- Abstract
- ED Budget Information Non-Construction Programs (ED-524)
- Budget Narrative
- Project Narrative
- General Education Provisions Act (GEPA) Requirements – Section 427
- GG Lobbying Form (90-0013)
- ED Supplemental Form for SF 424
- SF LLL Disclosure of Lobbying
- Vitae/Bibliography/Letters of Support

A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. All above forms are mandatory and must be submitted with the application. If an item does not appear to be relevant, write "NA" for not applicable.

Instructions for each form are provided on the Grants.gov website.

**SECTION M**

**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?**

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- Cover page (SF 424) marked appropriately with **84.133B-5**. Download of correct package for **84.133B-5** applying electronically
- Priority Topic identified in the Descriptive Title in Block 12 of the SF 424
- Budget form (ED form 524) with dollar amounts not exceeding the maximum in any year
- Voluntary Cost Share included side “B” of the ED 524 and explained in the budget narrative for each year
- Budget narrative for each year with arithmetic checked for accuracy
- Program narrative, including abstract and responses to the selection criteria
- Assurances and Certifications (from the forms list in section L)
- Correctly uploaded files on e-Application
- Narrative on the Protection of Human Subjects

### **DID YOU DO EACH OF THE FOLLOWING?**

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- Submit application on or before August 25, 2014.
- Fully complete the upload of your application and receive successful validation of the submission before 4:30:00 pm, Washington, D.C. time on the closing date
- Provide the required 1 original and 2 copies of the application if submitting by post, hand-delivery, or carrier service. (If possible, please also send 9 additional paper copies and a disk copy.)
- Use the correct mailing address from Section J if submitting by post, hand-delivery or carrier service

## **ELECTRONIC NOTIFICATION OPTION FOR GRANT AWARDS**

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

### **PAPERWORK BURDEN STATEMENT**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 200 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the:

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

Or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number **1820-0027**.

Note: Please do not return the completed application to this address.