

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

FY (Enter Year) APPLICATION KIT FOR NEW GRANTS  
UNDER

THE NATIONAL INSTITUTE ON DISABILITY AND  
REHABILITATION RESEARCH

**SMALL BUSINESS INNOVATION RESEARCH PROGRAM**

**PHASE I**

**CFDA NUMBER: 84.133S-1**



FORM APPROVED  
OMB No. 1820-0684, EXP. DATE: xx/xx/xxxx

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 45 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain a benefit (Small Business Authorization Act of 2000, H.R. 5667). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1820-0684. Note: Please do not return the completed Small Business Innovation Research Program Phase I Grant Application Package to this address.

**DATED MATERIAL - OPEN IMMEDIATELY**

**CLOSING DATE: ENTER DATE**

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## **SECTION I**

### **DEAR APPLICANT LETTER**

Dear Applicant:

The Secretary invites applications for new awards for Fiscal Year (FY) (Enter Year) for the Small Business Innovation Research (SBIR) Program (CFDA 84.133S-1) in the **ENTER DATE** Federal Register. The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of U.S. Department of Education (ED or the Department) supported research results, and improve the return on investment from Federally funded research for economic and social benefits to the Nation.

An application for an award must be submitted electronically using Grants.gov ([www.grants.gov](http://www.grants.gov)), (see Section VIII and Section XI). Or, you may request an exception to the electronic submission requirement (see Section VIII and Section XI).

Please note the following:

- **ELIGIBLE APPLICANTS:** Each organization submitting an application must qualify as a small business concern as defined by the Small Business Administration at the time of the award. This definition is included in the application package. Firms with strong research capabilities in technologies, science, or engineering in any of the priority areas listed in this notice are encouraged to participate.
- **ESTIMATED NUMBER OF AWARDS:** 15
- **MAXIMUM AWARD:** \$75,000. We will reject any application that proposes a budget exceeding \$75,000 for a single budget period of six months.
- **PROJECT PERIOD:** Up to six months.
- **FUNDING OPPORTUNITY NUMBER:** ENTER FOP NUMBER
- **THE CLOSING DATE (APPLICATION DEADLINE):** ENTER DATE

- **PROGRAM RULES:** These grants are subject to (a) the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR part 75, 77, 81, 82, 85, 86, and 97, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs and (b) the program regulations 34 CFR part 350.
- **GRANTS.GOV APPLICATION SUBMISSION:** You must submit your application electronically. Electronic copies must be uploaded on Grants.gov by 4:30:00 pm, Washington DC time on the closing date and then processed by Grants.gov successfully. For additional information on electronic submission procedures, see the Grants.gov Submission Procedures and Tips for Applicants - Section VIII. A copy of your application must not be emailed directly to the Department. If you submit your application electronically, you must submit it electronically via Grants.gov. We strongly suggest that you carefully check your submission to ensure that you have attached the correct files in the appropriate fields.
- **EXCEPTION TO GRANTS.GOV APPLICATION SUBMISSION REQUIREMENT:** 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 deadline date, a written statement to the Department that you qualify for one of the exceptions (see the Grants.gov-Application Submission Procedures and Tips for Applicants – Section VIII). If you receive an exception to submitting your application electronically it must be postmarked by the closing date of ENTER DATE. Follow the Application Transmittal Instructions for submitting in paper which are found in section VIII. An electronic (disk) copy should be submitted with the paper application. The original of the application should be secured with a binder clip to facilitate any additional copying of the application that may be required.
- **FORMAT FOR APPLICATIONS:** Please note that additional information regarding formatting applications has been included in Section V, “Grant Application Preparation Instructions and Requirements,” of this package.
- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH:** The discretionary grant Application Form 424 (ED Supplement to the SF 424 on Grants.gov) requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the SF 424 from (ED supplement to the SF 424 on Grants.gov). You need information included in this attachment to complete the protection of human subjects item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the INTERNET at:

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

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

- **COPIES OF THE APPLICATION:** If you qualify for an exception to the electronic submission requirement and may submit your application in paper format, current Government-wide policy requires the submittal of an original and two (2) copies of the application. In addition to the submittal of the required original and two (2) copies, we ask that you voluntarily submit nine (9) additional copies to facilitate the peer review process **(12 copies in all)**. **If you are submitting your application electronically, you do not need to submit paper copies of the application.**

If you have any questions about the information in this application package, please contact Lynn Medley either by e-mail at [lynn.medley@ed.gov](mailto:lynn.medley@ed.gov) or by telephone at (202) 245-7338. Individuals who use a telecommunications device may call the Federal Relay Service at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday.

In accord with Executive Order 13329, please be advised that in cases where there is a tie in the award selection process, priority will be given to manufacturing-related projects. For more information on Executive Order 13329, please see: <http://www.sba.gov/sbir/execorder.html>.

**NOTE:** Please forward this entire application package to the individual or office responsible for preparing the grant application as the entire package will be needed to complete the grant application.

Thank you for your interest in this program.

Sincerely,

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

**SECTION II**  
**PROGRAM OVERVIEW**

## II. PROGRAM OVERVIEW

### A. Introduction

The U.S. Department of Education (ED), Office of Special Education and Rehabilitative Services (OSERS), National Institute on Disability and Rehabilitation Research (NIDRR) invites small business firms to submit Phase I research applications under this program announcement entitled **Small Business Innovation Research (SBIR)**. Firms with strong research capabilities in educational and assistive technologies, science, or engineering in any of the priority areas listed within are encouraged to participate. Consultative or other arrangements between such firms and universities or other non-profit organizations are permitted, but the small business must serve as the grantee.<sup>1</sup>

The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation.

### B. SBIR Program Description and Award Levels

The three phases of the SBIR program are:

**Phase I** – Phase I is intended to determine, insofar as possible, the scientific or technical merit and feasibility of ideas submitted under the SBIR program. The application should concentrate on research that will significantly contribute to proving the scientific or technical feasibility of the approach or concept and that would be prerequisite to further ED support in Phase II. Applications are evaluated by panels of expert reviewers based on criteria published in this program announcement. Awards are for periods **up to six months** in amounts up to **\$75,000, the maximum amount includes both direct and indirect costs and any reasonable profit/fee requested.** For FY ENTER YEAR, ED anticipates making approximately 15 grant awards for CFDA number 84.133S-1.

**Phase II** – Phase II is intended to expand on the results of and to further pursue the development of Phase I projects. Phase II is the principal research or R&D effort. It requires a more comprehensive application, outlining the effort in detail including its commercial potential. Phase II applicants must be Phase I awardees with approaches that appear sufficiently promising as a result of Phase I. Once again, applications are evaluated based on published criteria by panels of experts.

*Awards are for periods **up to two years** in the maximum amount of \$500,000 for the two-year performance period. **This maximum amount should include both direct and indirect costs and fee.** Applicants are allowed the option to distribute the \$500,000 maximum amount for the two-year performance period in equal amounts for each budget period or to request an alternative distribution of funds. The second year of the award will be approved contingent upon submission of an annual performance report and the demonstration of adequate progress in the first year.*

Both Phase I and Phase II awards may include a reasonable profit/fee. Funds requested for a profit/fee should be included in the funds specified (including any reasonable profit/fee) as requested in Section A-- Budget Summary of the application forms. The budget cannot exceed the maximum amount allowable in any budget year. Applications that exceed the maximum amount allowable in any year will not be reviewed.

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<sup>1</sup> ? A note of caution that such arrangements may be permitted as long as they do not affect the small business size, status or eligibility of the prime awardees as provided for in Definitions – “Small Business Concern.”



**Phase III** – In Phase III, the small business must use non-SBIR capital to pursue commercial applications of the research or research and development. Also, under Phase III, Federal agencies may award non-SBIR follow-on funding for products or processes that meet the needs of those agencies. NIDRR does not presently participate in Phase III.

### **C. Authorization**

The Small Business Act, Pub. L. 85-536, as amended (15 U.S.C. 631 and 638) requires certain agencies, including the Department of Education, to establish SBIR programs by reserving a statutory percentage of their extramural research and development budgets to be awarded to small business concerns for research or R&D through a uniform, highly competitive, three-phase process. The Act further requires the Small Business Administration (SBA) to issue policy directives for the general conduct of the SBIR programs within the Federal Government.

Note. -- The Small Business Innovation Research Policy Directive Notice was published in the “Federal Register” / Vol. 67, No. 185 / Tuesday, September 24, 2002 / pages 60072 – 60098. It is also available from the Small Business Administration’s SBIR website at: <http://www.sba.gov/sbir/birpolicydirective.html>

The SBIR policy directive guides the information and requirements set forth in this application package.

Funding for those awards issued as a result of this solicitation comes from:

Title II of the Rehabilitation Act of 1973, as amended, Pub. L. 105-220 (29 U.S.C. 760-764).

### **D. Applicant Eligibility**

Each organization submitting an application **must** qualify as a **small business concern** as defined by the Small Business Administration **at the time of the award**. The complete definition is included in Section IV, “Definitions.”

In addition, the **primary employment of the principal investigator must** be with the small business firm at the time of award and during the conduct of the proposed research. That is, more than one-half of the principal investigators working time must be spent with the small business firm during the period of performance. Also, for both Phase I and Phase II the research or R&D work **must** be performed in the United States. “United States” means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Joint ventures** are permitted, provided that the business entity created qualifies as a small business in accordance with the Small Business Act, 15 U.S.C. 631. For **Phase I**, the proposing firm must perform at least two-thirds of the research and/or analytic effort. Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-third of the total funding agreement price.

### **SBIR Eligibility Checklist**

- ✓ For-profit small business concern.
- ✓ At least 51% U.S.-owned and independently operated.
- ✓ Small business located in the U.S.
- ✓ Principal investigator’s primary employment with small business during the project.
- ✓ 500 or fewer employees.

Department of Education staff will examine all SBIR grant applications with the above considerations in mind. If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear, we will not make an SBIR award until the SBA provides a determination.

### **E. Application Limitations**

An application must be limited to one priority listed in this program announcement. When an application is relevant to more than one priority, the applicant must decide which priority is most relevant and submit it under that priority only. However, there is no limitation on the number of different applications that an applicant may submit under this competition, even to the same priority. A firm may submit separate applications on different priorities, or different applications on the same priority, but each application should respond to only one priority. Duplicate applications will be returned without review.

### **F. Key Dates and Award Information**

The Department of Education is required to participate in the Small Business Innovation Research (SBIR) program. The Government's obligation under this award is contingent upon the availability of appropriated funds from which payments are made. The Department is not bound by the estimates given below.

The Department of Education expects to make approximately 15 Phase I grant awards ranging up to \$75,000 in fiscal year ENTER YEAR. *The Department expects to announce awards by mid-August to mid-September, ENTER YEAR.* The project start date should be October 1, ENTER YEAR. Successful applicants have up to six (6) months to carry out the proposed Phase I effort.

For planning purposes only, ED anticipates that approximately one-third of the Phase I awardees will receive Phase II awards, depending on the results of the Phase I efforts, applicant evaluations and the availability of funds. Only Phase I grantees are eligible to apply for a Phase II award. The purpose of Phase II is to further develop ideas explored during Phase I. Specific instructions for the preparation of Phase II applications will be sent to qualifying Phase I awardees near the completion of the Phase I work.

### **APPLICATIONS ARE DUE ON ENTER DATE.**

**The National Institute on Disability and Rehabilitation Research is under no obligation to fund any specific application or make any specific number of awards in a given research priority area. The agency may elect to fund several or none of the proposed projects within a given priority area, and is not responsible for any monies expended by the applicant before an award.**

### **G. Recent Changes in Legislation**

The authorizing legislation requires two (2) significant programmatic changes especially pertinent to Phase II applicants:

1. **Commercialization Plan** -- A succinct commercialization plan must be included with each proposal for an SBIR Phase II award moving toward commercialization. More specific information will be included with the Phase II program announcement.
2. **Data Collection Requirement** – Each Phase II applicant will be required to provide information for the Small Business Administration's (SBA) Tech-Net Database System (<http://technet.sba.gov>).

Executive Order 13229, *Encouraging Innovation in Manufacturing*, requires the Federal government to do its part to assist the private sector in manufacturing innovative efforts. The law requires that agencies and departments participating in the SBIR and STTR programs engage in the following activities:

1. Implementation – to the extent permitted by law and in a manner consistent with the mission of that department or agency, give high priority within such program to manufacturing-related research and development; and
2. Reporting – submit reports annually to the Administrator of the Small Business Administration and the Director of the Office of Science and Technology Policy concerning the efforts of such department or agency to implement this order.

**SECTION III**  
**AGENCY CONTACT**

### III. AGENCY CONTACTS

The following table includes points of contact information for each of the ED awarding components:

AWARDING COMPONENT CONTACT INFORMATION		
<u>AWARDING COMPONENT</u>	PROGRAM OFFICE CONTACT	GRANTS MANAGEMENT CONTACT
<b>Office of Special Education and Rehabilitative Services (OSERS)</b> <b>National Institute on Disability and Rehabilitation Research (NIDRR)</b> <a href="http://www2.ed.gov/programs/nidrr/index.html">http://www2.ed.gov/programs/nidrr/index.html</a>	<b>Vanessa Tesoriero</b> Phone/VCO/VP: (202) 715-1464  <u>Email:</u> Vanessa.Tesoriero@ed.gov	<b>Lynn Medley</b> Phone: (202) 245-7338  <u>Email:</u> Lynn.Medley@ed.gov

Address questions pertaining to **human subjects research issues** to:

**Jeffery Rodamar**  
 Protection of Human Subjects Coordinator  
 Office of the Chief Financial Officer  
 400 Maryland Avenue, SW  
 Room 6144, PCP  
 Washington, DC 20202

**Telephone:** (202) 245-8090  
**Email:** Jeffery.Rodamar@ed.gov

**SECTION IV**  
**DEFINITIONS**

## **IV. DEFINITIONS**

The Small Business Administration (SBA) developed the following definitions relevant to the Small Business Innovation Research (SBIR) Program:

### **Applicant**

The organizational entity that, at the time of award, will qualify as a Small Business Concern (SBC) and that submits a contract proposal or a grant application for a funding agreement under the SBIR Program.

### **Affiliate**

This term has the same meaning as set forth in 13 CFR Part 121 - Small Business Size Regulations, §121.103.

### **Awardee**

The SBC receiving an SBIR funding agreement.

### **Commercialization**

The process of developing marketable products and/or services and producing and delivering products or services for sale (whether by the originating party or by others) to Government and/or commercial markets.

### **Essentially Equivalent Work**

The "scientific overlap," which occurs when (1) substantially the same research is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency; (2) substantially the same research is submitted to two or more different Federal agencies for review and funding consideration; or (3) a specific research objective and the research design for accomplishing an objective are the same or closely related in two or more proposals or awards, regardless of the funding source.

### **Extramural Budget**

The sum of the total obligations for R/R&D minus amounts obligated for R/R&D activities by employees of a Federal agency in or through Government-owned, Government-operated facilities.

### **Feasibility**

The practical extent to which a project is capable of being successfully performed.

### **Historically Underutilized Business Zone (HUBZone)**

An SBC meeting the following criteria:

1. Located in a "historically underutilized business zone" or HUBZone area located in one or more of the following:
  - a) A qualified census tract (as defined in section 42(d)(5)(C)(i)(I) of the Internal Revenue Code of 1986;
  - b) A qualified "non-metropolitan county" (as defined in section 143(k)(2)(B) of the Internal Revenue Code of 1986) with a median household income of less than 80 percent of the State median household income or with an unemployment rate of not less than 140 percent of the Statewide average, based on US Department of Labor recent data; or,
  - c) Lands within the boundaries of federally recognized Indian reservations.
2. Owned and controlled by one or more US Citizens; and,
3. At least 35% of its employees must reside in a HUBZone.

### **Innovation**

Something new or improved, having marketable potential, including (1) development of new technologies, (2) refinement of existing technologies, or (3) development of new applications for existing technologies.

### **Intellectual Property**

The separate and distinct types of intangible property that are referred to collectively as "intellectual property," including but not limited to: patents; trademarks; copyrights; trade secrets; SBIR technical data (as defined in this section); ideas; designs; know-how; business, technical and research methods; and other types of intangible business assets, including all types of intangible assets either proposed or generated by an SBC as a result of its participation in the SBIR Program.

### **Joint Venture**

An association of persons or concerns with interests in any degree or proportion by way of contract, express or implied, consorting to engage in and carry out a single specific business venture for joint profit, for which purpose they combine their efforts, property, money, skill, or knowledge, but not on a continuing or permanent basis for conducting business generally. A joint venture is viewed as a business entity in determining power to control its management, has its own Employer Identification Number as assigned by the Internal Revenue Service, and is eligible under the SBIR Program provided that the entity created qualifies as an "SBC" as defined in this section.

### **Manufacturing-Related**

Relating to manufacturing processes, equipment and systems, or manufacturing workforce skills and protection (as defined in Executive Order 13329.)

### **Principal Investigator/Project Manager**

The one individual designated by the applicant to provide the scientific and technical direction to the project that will be supported by the funding agreement.

### **Prototype**

A model of something to be further developed, which includes designs, protocols, questionnaires, software, and devices.

### **Research or Research and Development (R/R&D)**

Any activity that is:

1. A systematic, intensive study directed toward greater knowledge or understanding of the subject studied;
2. A systematic study directed specifically toward applying new knowledge to meet a recognized need; or
3. A systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

### **SBIR Technical Data**

All data generated in the performance of any SBIR funding agreement.

### **SBIR Technical Data Rights**

The rights an SBC obtains in data generated in the performance of any SBIR funding agreement that an awardee delivers to the Government during or upon completion of a Federally-funded project, and to which the Government receives a license.

### **Small Business Concern**

A concern that, on the date of award for both Phase I and Phase II funding agreements:



1. is organized for profit, with a place of business located in the United States, which operates primarily within the United States or which makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor;
2. is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture (as defined in this section) there can be no more than 49 percent participation by foreign business entities in the joint venture;
3. is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States; and,
4. Has, including its affiliates, not more than 500 employees.

### **Socially and Economically Disadvantaged Individual**

A member of any of the following groups:

1. Black Americans;
2. Hispanic Americans;
3. Native Americans;
4. Asian Pacific Americans
5. Subcontinent Asian Americans;
6. Other groups designated from time to time by SBA to be socially disadvantaged; or any other individual found to be socially and economically disadvantaged by SBA pursuant to Section 8(a) of the Small Business Act, 15 U.S.C. 637(a).

### **Subcontract**

Any agreement, other than one involving an employer/employee relationship, entered into by an awardee of a funding agreement calling for supplies or services required solely for the performance of the original funding agreement.

### **United States**

The 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

### **Woman-Owned Small Business Concern**

A small business concern that is at least 51 percent owned and operated by a woman or women who also control and operate it. "Control" in this context means exercising the power to make policy decisions. "Operate" in this context means being actively involved in the day-to-day management.

**SECTION V**

**GRANT APPLICATION PREPARATION  
INSTRUCTIONS  
AND REQUIREMENTS**

## V. GRANT APPLICATION PREPARATION INSTRUCTIONS AND REQUIREMENTS

### A. Application Requirements

An application to OSERS/NIDRR under the SBIR program should present a sound approach to the investigation of an important education, technological, engineering or scientific question that it is worthy of support under the stated criteria of this program announcement.

An application should be self-contained and written with the care and thoroughness accorded to papers for publication. The applicant should review the program announcement carefully to ensure that information and data essential for evaluation are included. The scientific and technical merit of the proposed research is the primary concern for all research supported by OSERS. **[NOTE: The number of points weighted to this area is contained in the “Evaluation Criteria – Section VI (B).”]**

The application's R/R&D must be responsive to the OSERS' program objectives, but it should also serve as the base for technological innovation, new commercial products, processes or services that may benefit the public. Applications must be confined principally to advanced concepts in educational and assistive technologies, scientific or engineering research or research and development.

A firm must not propose market research, patent applications, or litigation. The research may be carried out through construction and evaluation of a laboratory prototype, where necessary.

**Applications primarily for the development of proven concepts toward commercialization or for market research should not be submitted because such efforts are considered the responsibility of the private sector.**

### B. Protection of Information in Applications

It is ED policy to use information included in applications for evaluation purposes only, and to protect such information from unauthorized use or disclosure. While this policy does not require that the application bear a notice, protection can be assured only to the extent that the “Legend” specified in “Considerations” instructions for “Rights in Data Developed Under SBIR Funding Agreements” is applied to those data that constitute trade secrets or to other commercial or financial information that is confidential or privileged. Other information may be afforded protection to the extent permitted by law, but ED assumes no liability for use and disclosure of information to which the “Legend” has not been appropriately applied.

### C. Protection of Human Subjects

Research activities involving human subjects supported by awards under these programs are subject to Department of Education Regulations for the Protection of Human Subjects.

If you are applying on Grants.gov there is a separate place to include exempt and non-exempt narratives.

Applicants answering "Yes" to item 3 on form **ED Supplemental to the SF 424** on Grants.gov or item 13 on form **ED 424** whose research activities are nonexempt must complete the seven-point narrative on protection of human subjects. Additionally, seven point narratives are required for each participating partner if research is being conducted at other sites. You do not need IRB approval at the time of award.

Human Subjects in Research. **If applicable**, include a brief narrative of human subject involvement. Projects involving research on human subjects will require grantee compliance with the Department of Education's Protection of Human Subjects Regulations, 34 CFR Part 97.

Copies of the Department of Education's regulations for the Protection of Human Subjects are available from:

Jeffery Rodamar  
Protection of Human Subjects Coordinator  
Office of the Chief Financial Officer  
400 Maryland Avenue, SW  
Room 6144, PCP  
Washington, DC 20202  
(202) 245-8090

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service at 1-800-877-8339 between 8 a.m. and 8 p.m., Eastern Standard Time, Monday through Friday.

This information is also available on the ED website at:  
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

For a quick overview, see in particular "Information About the Protection of Human Subjects in Research Supported by the Department—Overview".

Please give thorough consideration for the need of any human subject involvement in the Phase I feasibility work. All human subjects in research issues **MUST** be resolved prior to a grant award.

**Unless all the proposed human subjects research meets one or more of the regulation's exemptions**, awardees involving human subjects will be requested to file an "Assurance of Compliance with the Regulations" and have the project's research protocol reviewed and approved by an Institutional Review Board (IRB). The costs related to obtaining required Institutional Review Board reviews can be included as a direct cost, provided the costs are necessary and reasonable.

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

Protection of Pupil Rights Amendment (PPRA). This grant is subject to the Protection of Pupil Rights Amendment (PPRA), 20 U.S.C. 1232h, 34 CFR Part 98. PPRA is a law that governs the administration of certain Department-funded surveys. The law provides that a school district must obtain the prior written consent of a parent if the district "requires" a student to take a survey, i.e., the survey is not voluntary. In addition, the PPRA only applies to a survey if the survey asks certain types of questions (e.g., questions that reveal information about illegal behavior, psychological problems potentially embarrassing to the student, or sex behavior and attitudes). Grantees should be aware of the requirements of PPRA if they plan to use Departmental funds to develop surveys for elementary or secondary school students.

For additional information or technical assistance, you may call (202) 260-3887 (voice). Individuals who use TDD may call the Federal Relay Service at 1-800-877-8339. Or you may contact us at the following address:

Family Policy Compliance Office -- U.S. Department of Education  
400 Maryland Avenue, SW -- Washington, D.C. 20202-4605

Information is also available on the ED website at: <http://www.ed.gov/policy/gen/guid/fpco/index.html>

## D. Limitations on Length of Application

This program announcement is designed to reduce the investment of time and money to small firms in preparing a formal application. Those who wish to respond should submit an SBIR Phase I application narrative of **no more than 50 pages**, excluding abstract/summary/certification, any documentation of prior multiple Phase II awards, if applicable, and required forms.

The application must be clear, readily legible, and conform to the following standards:

- A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch). Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.
- Draw all graphs, diagrams, tables, and charts in black ink. Do not include glossy photographs, or materials that cannot be photocopied, in the body of the application.

### **The Department will reject your application if--**

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

In the interest of equity to all applicants, **all information must be in the 50 double-spaced pages**. No appendices, other than the exclusion cited above, may be submitted and, if submitted, they will not be considered in the review of the application for scientific and technical merit.

The application should be direct, concise, and informative. Promotional and other discussion not related to the project is discouraged. The application must be primarily directed at research or R&D on the specific priority chosen.

## E. Phase I Application Guidance

**To avoid any misunderstanding, applicants should be aware that applications not satisfying all the required instructions will be returned to the proposing organization without review.** Those applications may not be resubmitted with or without revision under this program announcement.

1. **REQUIRED FORMS.** Applications for grants under this competition must be submitted electronically using the Grants.gov system ([www.grants.gov](http://www.grants.gov)). You can receive an exception to the electronic submission requirement.

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 Grants.gov because—

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

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: Lynn Medley, U.S. Department of Education, 400 Maryland Avenue, SW, room 5140, Potomac Center Plaza (PCP), Washington, DC 20202-2700. Fax: (202) 245-7323.

See Section VIII – Application Transmittal Instructions and Section XI Notice Inviting Applications.

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

### **Application for Federal Assistance SF 424**

**Block 4:** Leave these blocks blank or enter N/A: **block 4-**Applicant Identifier, **block 5a-** Federal Entity Identifier, **block 5b-** Federal Award Identifier, **block 6-**Date Received by State, and **block 7,-** State Application Number.

- a) **CFDA Number:** In the title block of #11 on the SF 424 form, please note the appropriate CFDA (84.133S-1).
- b) **Legal Name:** Block #8a is for the name of institution or entity that will be responsible for this grant if funded.
- c) **Funding Opportunity Number (Block 12):** **ENTER NUMBER.**
- d) **DUNS number:** It is important to verify with your fiscal office the DUNS number, which goes in Block #8c on the ED 424 form. If you do not have one, call 1-800-333-0505 to set one up. This number is required.
- e) **Block #18a:** The total amount of Federal funds requested includes both direct and indirect costs for the first year only. The totals on the ED 524 form must include direct and indirect costs and no year can be over the maximum amount.
- f) **Block #18b:** The amount of cost share/matching that the applicant is providing. This amount should be on the “B” side of the ED 524 form and described in the budget narrative.
- g) **Block #18f:** The amount of program income that is estimated to be generated by this application if funded. It should be described in the budget narrative.
- h) **EO 12372:** Mark Block #19, the EO 12372 as no and not covered. This program is not covered.

### **ED Supplemental (If applying through Grants.gov)**

**Block #1 Project Director:** The Project Director is the primary person responsible for meeting the goals and objectives of the grant.

**Block #2 Novice applicant:** Please leave Block #6 blank. Does not apply to NIDRR

programs.

Block #3 **Human Subjects**: You must include a separate 7-point narrative for each site where the research is being conducted. If you check “no”, please include a paragraph of why it is not required. IRB approval is not required at the time of award, but must be in place before research begins.

## ED 524

**Budget Information: BE SURE TO CHECK THE MATH - the application will not be reviewed if the request for funds on block 18a of the SF 424 form, the ED 524 form or the budget justifications goes over the maximum amount for any year (direct and indirect costs).** The funding amounts requested under individual budgetary line items on the Budget Summary page of the SF 424 form must be consistent with requested funding amounts specified in the budget narrative. A detailed budget narrative is needed for the total grant period.

### 3. **Application Narrative – ABSTRACT, CERTIFICATIONS, STATEMENTS, and LEGEND**

- a) **ABSTRACT.** The applicant should provide an abstract with the following two components. Nothing in this section should be proprietary or confidential.
- 1) **Technical Abstract** of no more than 200 words.
  - 2) **Summary of Anticipated Results and Potential Commercial Applications** of the research (for both Phases I and II).
- b) **CERTIFICATIONS.** The applicant should respond to the following certifications required by the Small Business Administration.

#### **Small Business Certification --**

Does the applicant certify that it is an SBC and meets the definition as stated in the program announcement or that it will meet that definition at the time of award?

Yes       No

[NOTE: The next three (3) items are for statistical purposes only.]

#### **Socially and Economically Disadvantaged SBC Certification --**

Do you qualify as a socially and economically disadvantaged SBC and meet the definition as stated in this program announcement?

Yes       No

#### **Woman-owned SBC Certification --**

Do you qualify as a woman-owned SBC and meet the definition as stated in this program announcement?

Yes       No

#### **HUBZone-owned SBC Certification --**

Do you qualify as a HUBZone-owned SBC and meet the definition as stated in this solicitation?

Yes       No

The website listed below contains information about the SBA's HUBZone program:

<http://www.sba.gov/hubzone/>

- c) **STATEMENTS.** The applicant should respond to the following statements required by the Small Business Administration.

**Duplicate Research Statement --**

Has the applicant and/or Principal Investigator submitted applications/proposals for essentially equivalent work under other Federal program announcements or received other Federal awards for essentially equivalent work?

Yes       No

If yes, identify applications/proposals and/or awards in "Project Narrative – RELATED APPLICATION(S) or AWARD(S)."

**Disclosure Permission Statement –**

Will you permit the Government to disclose the title and technical abstract page of your proposed project, plus the name, address, and telephone number of the corporate official of your firm, if your application does not result in an award, to concerns that may be interested in contacting you for further information?

Yes       No

- d) **LEGEND for PROPRIETARY INFORMATION.** Information contained in unsuccessful applications will remain the property of the applicant. The Government may, however, retain copies of all applications. Public release of information in any application submitted will be subject to existing statutory and regulatory requirements.

If proprietary information provided by an applicant in an application, which constitutes a trade secret, proprietary commercial or financial information, confidential personal information, or data affecting the national security, it will be treated in confidence, to the extent permitted by law. This information **must** be clearly marked by the applicant with the term "**confidential proprietary information**" and the following **legend must** appear in this section of the application:

"These data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this application. If a funding agreement is awarded to this applicant as a result of or in connection with the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages \_\_\_\_\_ of this application."

Any other legend may be unacceptable to the Government and may constitute grounds for removing the application from further consideration, without assuming any liability for inadvertent disclosure. The Government will limit dissemination of such information to/within official channels.

- e) **DEPARTMENT OF EDUCATION STATEMENT.** The applicant should respond to the following statement:

**Manufacturing-related--**

Is this a manufacturing-related project?

Yes       No



#### 4. **Application Narrative – TECHNICAL CONTENT**

The subcategories of this section directly correspond to the “Evaluation Criteria” listed in this Program Announcement.

##### a) **Significance:**

- 1) Identification and Significance of the Problem or Opportunity. Make a clear statement of the specific research problem or opportunity addressed and why it is important.
- 2) Related Research or R&D. Describe significant research or R&D that is directly related to the application, including any conducted by the principal investigator or by the applicant’s firm. Describe how it relates to the proposed effort, and describe any planned coordination with outside sources. The purpose of this section is to persuade reviewers of the applicant’s awareness of key recent developments in the specific priority area.
- 3) Potential Commercial Applications/Anticipated Societal Benefits. Briefly describe whether and by what means the proposed research also appears to have potential commercial application(s) and/or societal benefit(s). Also describe briefly whether and by what means the proposed project appears to have potential use by the Federal Government (if, in fact, it does).

##### b) **Quality of the Project:**

- 1) Phase I Technical Objectives. State the specific objectives of the Phase I research or R&D effort, including the technical questions it will try to answer to determine the feasibility of the proposed approach.
- 2) Relationship with Future R&D. Discuss the significance of the Phase I effort in providing a foundation for the Phase II R&D effort. Also state the anticipated results of the proposed approach if Phases I and II are successful.
- 3) Phase I Work Plan. Include a detailed description of the Phase I research or R&D plan. The plan should indicate not only what will be done, but how the R&D will be carried out. Phase I research or R&D should address the objectives and the questions cited in 3 (b)(i) above. The methods planned to achieve each objective or task should be discussed in detail.

**THE “WORK PLAN” SHOULD BE AT LEAST ONE-THIRD OF THE APPLICATION.**

##### c) **Quality of Project Personnel:**

- 1) Key Personnel and Bibliography of Directly Related Work. Identify key personnel involved in Phase I, including their education and directly related experience, or writings. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired. Such summaries may be necessary to meet the application size limitation. Also list all other commitments that senior personnel have during the proposed period of performance.
- 2) Consultants. Involvement of consultants in the planning and research stages of the project is permitted. If such involvement is intended, it should be described in detail. [NOTE: See “Considerations” section for “Subcontracting Limits.”]

##### d) **Adequacy of Resources:**

- 1) Facilities and Equipment:  
The conduct of advanced research may require the use of sophisticated instrumentation or computer facilities. The applicant should provide a detailed description of the availability and location of the facilities and equipment necessary to carry out Phase I.
- 2) Budget:  
Use Budget Summary form (ED Form 524), to present a complete budget summary for the proposed project dates. Questions pertaining to this area can be discussed with the Grants Management Contacts listed in the “Contacts” section.

Please provide a justification for this budget by including a detailed narrative description for each budget line item.

The SBA has stated that SBIR funding agencies are to provide for a **reasonable** fee or profit on SBIR funding agreements, including grants, **consistent with normal profit margins provided to profit-making firms for R/R&D work** (SBIR “Policy Directive”).

#### 5. **Application Narrative – RELATED APPLICATION(S) or AWARD(S).**

If an applicant elects to submit identical applications or applications containing a significant amount of essentially equivalent work under other Federal program announcements, **a statement must be included** in this application indicating:

- a) The name and address of agencies to which application(s) was/were submitted or from which SBIR award(s) was/were received.
- b) The date(s) of application submission and date(s) of award.
- c) The title, number and date of SBIR program announcement under which application(s) was/were submitted or award(s) received.
- d) The applicable research priority in the program announcement for each SBIR application submitted or award received.
- e) The titles of research projects.
- f) The name and title of the principal investigator for each application submitted or award received.

#### **WARNING**

**While it is permissible, with application notification, to submit identical or essentially equivalent applications for consideration under numerous Federal program announcements, it is unlawful to enter into funding agreements requiring essentially equivalent effort.**

**If there is any question concerning this issue, it must be disclosed to the soliciting agency or agencies before award.**

6. **Application Narrative – DOCUMENTATION OF MULTIPLE PHASE II AWARDS.** A small business concern that submits a Phase I application and has received more than 15 Phase II SBIR awards, as totaled from all Federal agencies with SBIR programs, during the preceding five (5) fiscal years, **must** submit the following information for each Phase II award:

- the name of the awarding agency,
- the date of the award,
- the funding agreement number and award amount,
- the priority/topic or subtitle,

- the amount of the follow-on funding commitment, the source and the date of the commitment, and the current commercialization status.

[This required information **will not be** counted toward the application limitation of 50 pages.]

## **F. DUNS Number Instructions.**

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

DUNS No.: Please provide the applicant's DUNS Number. You can obtain your DUNS Number at no charge by calling **1-800-333-0505** or by completing a DUNS 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 DUNS 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 DUNS 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 DUNS Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned DUNS numbers to over 43 million companies worldwide.

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

**SECTION VI**

**METHOD OF SELECTION AND EVALUATION  
CRITERIA**

## VI. METHOD OF SELECTION AND EVALUATION CRITERIA

### A. Introduction

Phase I applications will be judged on a competitive basis.

1. All applications will be **screened** to confirm that the required instructions were completed. Those applications not satisfying all the required instructions will be returned to the proposing organization without review.
2. Persons who are experts in the priority areas will evaluate applications meeting those requirements. Reviewers will include people outside the Federal Government. Each application will be judged on its own merit, according to the review criteria described below.

**The Department of Education will make awards based upon these evaluation criteria and the availability of funds.** In the evaluation and handling of applications, the Department will make every effort to protect the confidentiality of the application and any evaluations.

### B. Evaluation Criteria for Phase I

The Secretary selects the following selection criteria in 34 CFR 75.210 to evaluate applications for new grants under this competition. The criteria below will receive the following weights. The maximum score for all of these criteria is 100 points. The weight for each criterion is indicated in parentheses. The Department of Education will make awards based upon these evaluation criteria and the availability of funds.

- 1. Significance (25 points)**
  - The significance of the problem or issue to be addressed by the proposed project.
  - The likely utility of the products that will result from the proposed project, including the potential for their being used effectively in a variety of other settings.
  - The importance or magnitude of the results or outcomes likely to be attained by the proposed project.
- 2. Quality of the Project Design (50 points)**
  - The extent to which the goals, objectives and outcomes to be achieved by the proposed project are clearly specified and measurable.
  - The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.
  - The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.
  - The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives.
  - The quality of the methodology to be employed in the proposed project.
  - The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.
- 3. Quality of Project Personnel (15 points)**
  - The qualifications, including relevant training and experience, of the project director or principal investigator.
  - The qualifications, including relevant training and experience, of key project personnel.
  - The qualifications, including relevant training and experience, of project consultants or subcontractors.
- 4. Adequacy of Resources (10 points)**

- The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.
- The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
- The extent to which the budget is adequate to support the proposed project.
- The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

### **C. Release of Grant Application Review Information**

**After final award decisions are made the Principal Investigator will be sent the technical evaluations.** No one other than the Principal Investigator (and appropriate ED staff) may receive the technical evaluations.

Applicants normally receive their evaluations within six (6) to eight (8) weeks following the announcement of the awards. The identity of the reviewers will not be disclosed.

**D. Grant Application Package Checklist**

**CLOSING DATE: ENTER DATE**

**CHECK:**

- Have you prepared the application according to the **“type size” and “format” standards** that must be observed throughout the application?
  
- Does the application contain **no more than 50 double-spaced pages, excluding** any documentation of prior multiple Phase II awards, if applicable; and, required forms?
  
- Has the **ED Supplemental and Standard Form 424** been completed according to the instructions?
  
- Are issues (and, if applicable, exemptions) relating to **Research Activities Involving Human Subjects** adequately addressed in item 12 of the **ED Supplemental Standard Form 424**?
  
- Has the **Budget Summary Form (ED Form 524)**, been completed according to the instructions?
  
- Have you included all the required components of the **ABSTRACT** section?
  - Abstracts: Technical Abstract of no more than 200 words and Summary of Anticipated Results and Potential Commercial Applications of the research (for both Phases I and II)
  - Certifications
  - Statements
  - Legend
  
- Have you addressed each of the components of the **“Technical Content and Work Plan”** in the **NARRATIVE** section? **NOTE: 50 Page limit (double spaced)**. Including:
  - Significance
  - Quality of Project Design
  - Quality of Project Personnel
  - Adequacy of Resources
  
- Is the Phase I “Work Plan” at least one-third of the application?
  
- Have you provided notification of **“Related Application(s) or Award(s)”** and **“Documentation of Multiple Phase II Awards,”** if applicable in the **OTHER** section?

**SECTION VII**  
**CONSIDERATIONS**



## VII. CONSIDERATIONS

### A. Reports

A final Phase I “Performance Report” **must** be submitted to the assigned Education Program Officer upon completion of the Phase I work. The report should identify the purpose of the research, and include a brief description of the research carried out, the research findings or results, and the potential applications of the research. **This project summary is to be submitted without restriction on publication and may be published by ED.** The performance report should include performance and financial expenditure information as required by the awarding Program Office.

### B. Government Performance and Results Act

The Government Performance and Results Act (GPRA) of 1993 places new management expectations and requirements on Federal departments and agencies by creating a framework for more effective planning, budgeting, program evaluation, and fiscal accountability for Federal programs. The intent of the Act is to improve public confidence by holding departments and agencies accountable for achieving program results. Departments and agencies should clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement.

The purpose of the SBIR program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation. Grantees are required to report on the progress of their work throughout the award period and submit final reports to the U.S. Department of Education.

### C. Innovations, Inventions and Patents

#### 1. **Rights in Data Developed Under SBIR Funding Agreements**

To preserve the SBIR data rights of the awardee, the Legend (or statements) used in the SBIR Data Rights clause included in the SBIR award must be affixed to any submissions of technical data developed under that SBIR award. If no Data Rights clause is included in the SBIR award, the following legend, at a minimum, should be affixed to any data submissions under that award.

#### **LEGEND**

These SBIR data are furnished with SBIR rights under Funding Agreement No. \_\_\_\_\_ (and subcontract No. \_\_\_\_ if appropriate), Awardee Name \_\_\_\_\_, Address, Expiration Period of SBIR Data Rights \_\_\_\_\_. The Government may not use, modify, reproduce, release, perform, display, or disclose technical data or computer software marked with this legend for (choose four (4) or five (5) years). After expiration of the (4- or 5-year period), the Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for Government purposes, and is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of these data by third parties, except that any such data that is also protected and referenced under a subsequent SBIR award shall remain protected through the protection period of that subsequent SBIR award. Reproductions of these data or software must include this legend.”

## **2. Copyrights**

With prior written permission of the Education Program Contact, the awardee normally may copyright and publish (consistent with appropriate national security considerations, if any) material developed with ED support. The Department of Education receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgment and disclaimer statement.

## **3. Patents**

Small business firms normally may retain the principal worldwide patent rights to any invention developed with Government support. The Government receives a royalty-free license for Federal Government use, reserves the right to require the patent holder to license others in certain circumstances, and requires that anyone exclusively licensed to sell the invention in the United States must normally manufacture it domestically. To the extent authorized by 35 U.S.C. 205, the Government will not make public any information disclosing a Government-supported invention for a 4 year period (that may be extended by subsequent SBIR funding agreements) to allow the awardee a reasonable time to pursue a patent.

### **D. Subcontracting Limits – Research and Analytical Work**

For **Phase I**, at least **two-thirds** of the research and/or analytic effort must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

For **Phase II**, at least **one-half** of the research and/or analytic effort must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

### **E. Joint Ventures or Limited Partnerships**

Joint ventures and limited partnerships are permitted provided that the entity created qualifies as a small business concern as defined in this program announcement.

### **F. Cost-Sharing**

Cost-sharing is permitted for applications under this program announcement; however, cost sharing is not required. Cost-sharing will not be an evaluation factor in consideration of your Phase I application.

### **G. Profit/Fee**

Both Phase I and Phase II grants may include a reasonable fee or profit on SBIR funding agreements, consistent with normal profit margins provided to profit-making firms for R/R&D work.

### **H. American Made Equipment and Products**

When purchasing equipment or a product under the SBIR funding agreement, purchase only American-made items whenever possible.

### **I. Standard Terms and Conditions**

Upon acceptance of an award, the grantee must comply with the terms and conditions contained or referenced in the Notice of Award document. These terms and conditions, constituting legal requirements, are imposed on an awardee by statute, regulations, administrative policy, or the award document itself.

**J. Additional Information**

1. This program announcement is intended for informational purposes and reflects current planning. If there is an inconsistency between the information contained herein and the terms of any resulting SBIR funding agreement, then the terms of the funding agreement are controlling.
2. In the interests of those with special needs, the applicant is encouraged to develop products that include alternate formats (e.g., closed- or open-captioning for films and/or videotapes, Braille, large print, audiotape).
3. The SBIR program is not a substitute for existing unsolicited application mechanisms. The Government shall not accept unsolicited applications under the SBIR program in either Phase I or Phase II.
4. If an award is made pursuant to an application submitted under this program announcement, the grantee will be required to certify that he or she has not previously been, nor is currently being, paid for essentially equivalent work by any agency of the Federal Government.

## **SECTION VIII**

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

### **APPLICATION TRANSMITTAL INSTRUCTIONS**

# ENTER GRANTS.GOV-APPLICATION SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

## VIII. APPLICATION TRANSMITTAL INSTRUCTIONS

**PLEASE NOTE: Applications Under This Competition Must Be Submitted Electronically Using Grants.gov (www.grants.gov).**

### 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 84.133S-1)  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260

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

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (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, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

### Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133S-1)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

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

**SECTION IX**  
**PRIORITIES**



## IX. PRIORITIES

All SBIR projects funded by NIDRR must address the needs of individuals with disabilities and their families. (See 29 U.S.C. 762). Activities may include: conducting manufacturing related R&D that encompasses improvements in existing methods or processes, or wholly new processes, machines, or systems; exploring the uses of technology to ensure equal access to education, employment, community environments, and information for individuals with disabilities; and improving the quality and utility of disability and rehabilitation research.

For FY ENTER YEAR the following priorities are **invitational priorities**. Under 34 CFR 75.105( c)(1) we do not give an application that meets one of these invitational priorities a competitive or absolute preference over other applications.

These invitational priorities are:

- (1) Increased independence of individuals with disabilities in the workplace, recreational settings, or educational settings through the development of technology to support access and promote integration of individuals with disabilities.
- (2) Enhanced sensory or motor function of individuals with disabilities through the development of technology to support improved functional capacity.
- (3) Enhanced workforce participation through the development of technology to support access to employment, promote sustained employment, and promote employment advancement for individuals with disabilities.
- (4) Enhanced community participation and living for individuals with disabilities through the development of accessible information technology including Web access technology, software, and other systems and devices that promote access to information in educational, employment, and community settings, and voting technology that improves access for individuals with disabilities.
- (5) Improved interventions and increased use of health-care resources through the development of technology to support independent access to health-care services in the community for individuals with disabilities.

Applicants should describe the approaches they expect to use to collect empirical evidence that demonstrates the effectiveness of the technology they are proposing. This empirical evidence should facilitate the assessment of the efficacy and usefulness of the technology.

Note: NIDRR encourages applicants to adhere to universal design principles and guidelines. The term “universal design” is defined as “the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design” (The Center for Universal Design, 1997). Universal design of consumer products minimizes or alleviates barriers that reduce the ability of individuals with disabilities to effectively or safely use standard consumer products. (For more information see [www.trace.wisc.edu/docs/consumer\\_product\\_guidelines/consumer.pcs/disabil.htm](http://www.trace.wisc.edu/docs/consumer_product_guidelines/consumer.pcs/disabil.htm)).

**SECTION X**

**SCIENTIFIC AND TECHNICAL INFORMATION  
SOURCES**

## X. SCIENTIFIC AND TECHNICAL INFORMATION SOURCES

Certain sources can provide information that can be useful in preparing SBIR applications. The Internet sites listed below can provide you with helpful material and links to other sites.

### SBIR Program-Related

SBIR State Support Entities (historical information)	<a href="http://www.ed.gov/programs/sbir/index.html">http://www.ed.gov/programs/sbir/index.html</a>
Small Business Administration (SBA) Office of Technology (SBIR)	<a href="http://www.sba.gov/sbir/">www.sba.gov/sbir/</a>

### Office of Special Education and Rehabilitative Services (OSERS)

OSERS Home Page	<a href="http://www.ed.gov/offices/OSERS/">www.ed.gov/offices/OSERS/</a>
National Institute on Disability and Rehabilitation Research	<a href="http://www.ed.gov/about/offices/list/osers/nidrr/index.html">www.ed.gov/about/offices/list/osers/nidrr/index.html</a>
National Center for the Dissemination of Disability Research	<a href="http://www.ncddr.org/">www.ncddr.org/</a>
National Rehabilitation Information Center	<a href="http://www.naric.com">www.naric.com</a>

### General

U.S. Department of Education	<a href="http://www.ed.gov/">www.ed.gov/</a>
Education Department General Administrative Regulations (EDGAR)	<a href="http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html">www.ed.gov/policy/fund/reg/edgarReg/edgar.html</a>
U.S. Department of Education Grant Application and Other Forms	<a href="http://www.ed.gov/fund/grant/apply/appforms/appforms.html">www.ed.gov/fund/grant/apply/appforms/appforms.html</a>
U.S. Department of Education Technology Initiatives	<a href="http://www.ed.gov/about/offices/list/os/technology/index.html">www.ed.gov/about/offices/list/os/technology/index.html</a>
Small Business Administration (SBA) Technical Resources Network (TECH-Net)	<a href="http://tech-net.sba.gov/">tech-net.sba.gov/</a>

**SECTION XI**

**NOTICE INVITING APPLICATION**

# **ENTER NOTICE INVITING APPLICATION**

**SECTION XII**

**REQUIRED FORMS  
and  
FORM INSTRUCTIONS**

## **APPLICATION FORMAT**

### **THIS COMPETITION REQUIRES ELECTRONIC SUBMISSION VIA GRANTS.GOV (WWW.GRANTS.GOV).**

Applications for an award must be postmarked or hand delivered by the closing date of **ENTER DATE** if you obtained a waiver.

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

**NOTE:** You will be uploading sections of your application by heading. There is a heading for: (1) abstract; (2) table of contents; (3) project narrative; (4) other – resumes; (5) other – letters of commitment/support; (6) other and (7) budget narrative/justification. There is a file-size limitation to each section and you may only upload one document under each heading.

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

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

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

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

#### **3. Project Abstract**

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

#### **4. Project/Application Narrative**

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

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

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

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

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

- Please report on any Federal and Non-Federal funds that will be used.

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

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

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

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

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

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

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

Construction (line 7): Not applicable.



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

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

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

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

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

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

Cost Share or Matching: Is not required by this program.

## **6. Budget Narrative**

- This part requires an itemized budget breakdown for the project year and the basis for estimating the costs of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures.
- Descriptions of purchases may be included but is not required.
- Use the Budget Narrative/Justification heading to upload your document.

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

- Curricula vitae of staff or consultants should include the individual's title and role in the proposed project and other information that is specifically pertinent to this proposed project. The budgets for all years should be included.
- If applying through Grants.gov use the Other Narrative Attachment form to attach curricula vitae.
- If collaboration with another organization is involved in the proposed activity, the application should include a partnership agreement or letter of support.

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

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

## **9. Reporting Requirements**

At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. The Secretary may also require more frequent performance reports under 34 CFR 75.72 (c). For specific requirements on reporting please go to [http://www.ed.gov/fund/grant/apply/appforms/ed524b\\_instructions.pdf](http://www.ed.gov/fund/grant/apply/appforms/ed524b_instructions.pdf)

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

## **REQUIRED FORMS:**

**Application for Federal Assistance Face Page (SF 424)**

**ED Supplemental to the SF-424**

**Instruction for the SF-424**

**Budget Information (ED 524)**

**Assurances - Non-Construction Programs (SF 424b)**

**Certifications Regarding Lobbying (ED-80-0013)**

**Disclosure of Lobbying Activities (SF LLL)**

**Survey on Ensuring Equal Opportunity for Applicants**

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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

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

## **GRANT AND CONTRACT FUNDING INFORMATION**

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

**ED Internet Home Page      <http://www.ed.gov/>      **(WWW address)****