Administration for Community Living

National Institute on Disability, Independent Living, and Rehabilitation Research

Small Business Innovation Research Program (SBIR) Phase II
HHS-2025-ACL-NIDILRR-BISB-0109
03/10/2025

Table of Contents

ACL Center:
National Institute on Disability, Independent Living, and Rehabilitation Research
Funding Opportunity Title:
Small Business Innovation Research Program (SBIR) Phase II
Funding Opportunity Number:
HHS-2025-ACL-NIDILRR-BISB-0109
Primary CFDA Number:
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Due Date for Letter of Intent:
02/07/2025
Due Date for Applications:
03/10/2025
Date for Informational Conference Call:
02/03/2025
Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or, with https://www.grants.gov. Grants.gov can take up to 48 hours to notify you of a successful submission.

Executive Summary

Additional Overview Content/Executive Summary

The Administrator of the Administration for Community Living invites applications for new awards for fiscal year (FY) 2025 for NIDILRR's Small Business Innovation Research (SBIR) Program – Phase II (CFDA 93.433). All SBIR projects funded by NIDILRR must address the needs of individuals with disabilities (see 29 U.S.C. 760). The scientific and technical merit of the proposed research/research and development (R/R&D) is the primary concern for all projects supported by NIDILRR.

I. Funding Opportunity Description

NIDILRR's mission is to generate new knowledge and to promote its effective use to improve the abilities of individuals with disabilities to perform activities of their choice in the community and to expand society's capacity to provide full opportunities and accommodations for its citizens with disabilities. **An application to NILDRR's SBIR program must support this mission. All SBIR projects funded by NIDILRR must address the needs of individuals with disabilities (see 29 U.S.C. 760).** Applicants should present a sound approach to the investigation of an important technological, engineering, or scientific question that it is worthy of support under the stated criteria of this program announcement. 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 and research and development (R/R&D) is the primary concern for all work supported by NIDILRR.

The Small Business Administration defines the following activities as Research or Research and Development (R/R&D):

(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.

NIDILRR's SBIR program can support each of these types of activities toward new knowledge or products that can be used to improve the health and function, employment, or community living and participation outcomes of people with disabilities.

The application's R/R&D must be responsive to NIDILRR's SBIR program objectives, and it should also serve as the basis for technological innovation, new commercial products, or processes or services that may benefit the public.

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

The purpose of the Federal SBIR program is to stimulate technological innovation in the private sector and to strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs. The specific purpose of NIDILRR's SBIR program is to increase the commercial application of research and development results and improve the return on

investment from research and development that can be used to improve the lives of individuals with disabilities.

NOTE: An applicant should consult NIDILRR's Long-Range Plan for Fiscal Years 2024-2028 (the Plan) when preparing its application. The Plan is organized around the following outcome domains:

(1) Community living and participation;
(2) Health and function;
(3) Employment

Applicants for these SBIR projects must specify in their abstract and project narrative which of these major outcome domains of individual well-being their proposed project will focus on. Although applicants may propose projects that address more than one domain, they should select the primary domain addressed in their proposed project.

An applicant must demonstrate, in its original application, that people with disabilities from diverse racial and ethnic communities will be included in proposed samples in sufficient numbers to generate knowledge or products that are relevant to the racial and ethnic diversity of the population of people with disabilities being addressed. The applicant must describe and justify, in its original application, the planned racial and ethnic distribution of people with disabilities who will participate in the proposed R/R&D activities.

Applicants should describe the approaches they expect to use to collect empirical evidence demonstrating the effectiveness of the knowledge or products they are proposing to create. This empirical evidence should facilitate the assessment of the efficacy and usefulness of the knowledge or products.

Consultative or other arrangements between applicant firms and universities or other nonprofit organizations are permitted, but the small business concern must serve as the grantee. For Phase II projects, at least one-half of the research or analytic activities must be performed by the small business concern grantee.

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 establishing the scientific or technical feasibility of the approach or concept, a prerequisite to further ACL support in Phase II. Applications are evaluated by panels of expert reviewers. Awards are for periods up to six months. The maximum award amount includes both direct and indirect costs and any reasonable profit/fee requested.

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. All Phase I awardees who have completed their Phase I work in the past three years with approaches that appear sufficiently promising are eligible to apply for Phase II.

Phase II awards are for periods up to two years. The maximum award amount includes both

direct costs, indirect costs and fee. Applicants are required to distribute the funding for the two-year performance period in equal amounts for each budget period. 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.

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. NIDILRR does not participate in Phase III.

Note: NIDILRR encourages all 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.

NIDILRR SBIR Funding Restrictions:

A firm must not propose market research, patent applications, or litigation. Projects that propose service provision without a research/development component will not be considered.

Starting in FY 2020, NIDILRR will not review SBIR applications or make SBIR awards that are used exclusively for research and development toward mobile applications (apps). A mobile application is defined as a program or software application designed to run on a mobile hardware device such as a smart phone, tablet, or watch. NIDILRR will only support development of mobile applications through its SBIR program if the mobile application is integral to a piece of hardware that is also being developed through the SBIR grant funding.

At current funding levels, grantees who receive NIDILRR SBIR Phase I and Phase II funding receive a total of $675,000. This funding is provided over a course of three years, at a minimum. This funding level is significantly higher than available estimates for the development of mobile applications (Jones, Mueller, Morris, 2016). Mobile applications developed over the course of a three-year funding period also face serious risks of being obsolete by the end of the grantee performance period. For information about other NIDILRR-funded programs that support the development of mobile applications, please contact Brian Bard at Brian.Bard@acl.hhs.gov.

References:

Jones, M., Mueller, J., & Morris, J. (2016). App Factory: A flexible approach to rehabilitation engineering in an era of rapid technology advancement. Assistive Technology, 29(2), 85–90. https://doi.org/10.1080/10400435.2016.1211201.

Definitions:

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

Act. The Small Business Act
(15 U.S.C. 631, et seq.), as amended.
Applicant
The organizational entity that qualifies as an SBC at all pertinent times and that submits a contract proposal or a grant application for a funding agreement under the SBIR/STTR programs.
Awardee
The organizational entity that receives an SBIR or STTR Phase I, Phase II, or Phase III award. An "SBIR/STTR Awardee."
Commercialization
The process of developing products, processes, technologies, or services and the production and delivery (whether by the originating party or others) of the products, processes, technologies, or services for sale to or use by the Federal Government or commercial markets.
Computer Software
Computer Programs, source code, source code listings, object, code listings, design details, algorithms, processes, flow charts, formulae, and related material that would enable the software to be reproduced, recreated, or recompiled. Computer Software does not include Computer Databases or Computer Software Documentation.
Computer Software Documentation
Owner's manuals, user's manuals, installation instructions, operating instructions, and other similar items, regardless of storage medium, that explain the capabilities of the Computer Software or provide instructions for using the software.
Covered Small Business Concern
(SBIR only) A small business concern that: (1) was not majority-owned by multiple venture capital operating companies (VCOCs), hedge funds, or private equity firms on the date on which it submitted an application in response to a solicitation under the SBIR program;
Data
All recorded information, regardless of the form or method of recording or the media on which it may be recorded. The term does not include information incidental to contract or grant administration, such as financial, administrative, cost or pricing or management information.
Essentially Equivalent Work
Work that is substantially the same research, which is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency or submitted to two or more different Federal agencies for review and funding consideration; or work where a specific research objective and the research design for accomplishing the objective are the same or closely related to another proposal or award, regardless of the funding source.
Federal Agency
An executive agency as defined in 5 U.S.C. §105, and a military department as defined in 5 U.S.C. 102 (Department of the Army, Department of the Navy, Department of the Air Force), except that it does not include any agency within the Intelligence Community as defined in Executive Order 12333, §3.4(f), or its successor orders.
Funding Agreement
Any contract, grant, or cooperative agreement entered into between any Federal agency and any SBC for the performance of experimental, developmental, or research work, including products or services, funded in whole or in part by the Federal Government.

Government Purpose
Any activity in which the United States Government is a party, including cooperative agreements with international or multi-national defense organizations or sales or transfers by the United States Government to foreign governments or international organizations. Government purposes include competitive procurement, but do not include the rights to use, modify, reproduce, release, perform, display, or disclose Technical Data or Computer Software for commercial purposes or authorize others to do so.

Innovation
Something new or improved, having marketable potential, that includes the development of new technology, the refinement of existing technology, or the development of new applications for existing technology. (u) 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, and mask works.

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
See 13 CFR 121.103(h).

Just-in-Time (JIT)
Just-in-Time (JIT) is defined as a process that allows a signing official (applicant) to submit additional award application information that is requested by the awarding agency after the completion of the peer review, and prior to funding. This includes (but is not limited to) required certification forms, and foreign disclosure forms.

Key Individual
The Principal Investigator/Project Manager and any other person named as a “key” employee in a proposal submitted in response to a Program Solicitation.

Principal Investigator/Project Manager
The one individual designated by the Applicant to provide the scientific and technical direction to a project supported by the Funding Agreement.

Program Solicitation
A formal solicitation for proposals issued by a Federal Agency that notifies the small business community of its R/R&D needs and interests in broad and selected areas, as appropriate to the agency, and requests for proposals from SBCs in response to these needs and interests.

Prototype
A product, material, object, system, or process, or a model thereof, that is in development, regardless of whether it is in tangible, electronic, graphic or other form, at any stage of development prior to its intended ultimate commercial production and sale. The term “Prototype” includes Computer Programs embedded in hardware or devices.

Research Institution
One that has a place of business located in the United States, which operates primarily within the United States or which makes a significant contribution to the U.S. economy through payment of taxes or use of American products, materials or labor, and is: (1) A non-profit institution as

defined in section 4(3) of the Stevenson-Wydler Technology Innovation Act of 1980 (that is, an organization that is owned and operated exclusively for scientific or educational purposes, no part of the net earnings of which inures to the benefit of any private shareholder or individual); or (2) A Federally-funded R/R&D center (FFRDC) as identified by the National Science Foundation (NSF) in accordance with the Federal Acquisition Regulation issued in accordance with section 35(c)(1) of the Office of Federal Procurement Policy Act (or any successor regulation). A non-profit institution can include hospitals and military educational institutions, if they meet the definition above.

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

Any activity that is: (1) a systematic study directed toward greater knowledge or understanding of the subject studied; (2) a systematic study directed specifically toward applying knowledge and innovation to meet a recognized but unmet need; or (3) a systematic application of knowledge and innovation 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/STTR Computer Software Rights

The Federal Government's rights during the SBIR/STTR Protection Period in specific types of SBIR/STTR Data that are Computer Software.

(1) The Federal Government may use, modify, reproduce, release, perform, display, or disclose SBIR/STTR Data that are Computer Software within the Federal Government. The Government may exercise SBIR/STTR Computer Software Rights within the Government for:

(i) Use in Government computers;

(ii) Modification, adaptation, or combination with other Computer Software, provided that the Data incorporated into any derivative software are subject to the rights in paragraph and that the derivative software is marked as containing SBIR/STTR Data;

(iii) Archive or backup; or

(iv) Distribution of a computer program to another Government agency, without further permission of the Awardee, if the Awardee is notified of the distribution and the identity of the recipient prior to the distribution, and a copy of the SBIR/STTR Computer Software Rights included in the Funding Agreement is provided to the recipient prior to the distribution. The agency in receipt of the distributed SBIR/STTR Data is subject to the data rights provisions in the SBIR/STTR Awardees SBIR/STTR funding agreement.

(2) The Government shall not release, disclose, or permit access to SBIR/STTR Data that is Computer Software for commercial, manufacturing, or procurement purposes without the written permission of the Awardee. The Government shall not release, disclose, or permit access to SBIR/STTR Data outside the Government without the written permission of the Awardee unless:

(i) The non-Governmental entity has entered into a non-disclosure agreement with the Government that complies with the terms for such agreements outlined in § 8 of this Policy Directive; and

(ii) The release or disclosure is—

(A) To a Government support service contractor or their subcontractor in the performance of a Government support services contract for internal Government use or activities, including evaluation, diagnosis and correction of deficiencies, and adaptation, combination, or integration with other Computer Software, provided that SBIR/STTR Data incorporated into any derivative software are subject to the rights in paragraph (ee), and provided that the release is not for commercial purposes or manufacture; or

(B) Necessary to support certain narrowly-tailored essential Government activities for which law or regulation permits access of a non-Government entity to a contractors' data developed exclusively at private expense, nonSBIR/STTR Data, such as for emergency repair and overhaul.

SBIR/STTR Data

All Data developed or generated in the performance of an SBIR or STTR award, including Technical Data and Computer Software developed or generated in the performance of an SBIR or STTR award. The term does not include information incidental to contract or grant administration, such as financial, administrative, cost or pricing or management information.

SBIR/STTR Data Rights

The Government's license rights in properly marked SBIR/STTR Data during the SBIR/STTR Protection Period as follows: SBIR/STTR Technical Data Rights in SBIR/STTR Data that are Technical Data or any other type of Data other than Computer Software and SBIR/STTR Computer Software Rights in SBIR/STTR Data that is Computer Software. Upon expiration of the protection period for SBIR/STTR Data, 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. The Government receives Unlimited Rights in all Form, Fit, and Function Data, OMIT Data, and unmarked SBIR/STTR Data.

SBIR/STTR Protection Period

The period of time during which the Government is obligated to protect SBIR/STTR Data against unauthorized use and disclosure in accordance with SBIR/STTR Data Rights. The SBIR/STTR Protection Period begins at award of an SBIR/STTR Funding Agreement and ends not less than twenty years from that date. (See § 8(b)(4) of this Policy Directive).

SBIR/STTR Technical Data Rights

The Federal Government's rights during the SBIR/STTR Protection Period in SBIR/STTR Data that are Technical Data or any other type of Data other than Computer Software.

(1) The Government may, use, modify, reproduce, perform, display, release, or disclose SBIR/STTR Data that are Technical Data within the Federal Government; however, the Federal Government shall not use, release, or disclose the data for procurement, manufacture or commercial purposes; or release or disclose the SBIR/STTR Data outside the Government except as permitted by paragraph (2) below or by written permission of the Awardee.

(2) SBIR/STTR Data that are Technical Data may be released outside the Federal Government without any additional written permission of the Awardee only if the non-Governmental entity or foreign government has entered into a non-disclosure agreement with the Federal Government that complies with the terms for such agreements outlined in § 8 of this Policy Directive and the release is:

(i) Necessary to support certain narrowly-tailored essential Government activities for which law or regulation permits access of a non-Government entity to a contractors' data developed exclusively at private expense, non-SBIR/STTR Data, such as for emergency repair and overhaul;

(ii) To a Government support services contractor in the performance of a Government support services contract for internal Government use or activities, including evaluation, diagnosis or modification provided that SBIR/STTR Technical Data incorporated into any derivative Data are subject to the rights in paragraph (ii), and the release is not for commercial purposes or manufacture; (iii) To a foreign government for purposes of information and evaluation if required to serve the interests of the U.S. Government; or

(iv) To non-Government entities or individuals for purposes of evaluation.

Small Business Concern (SBC)

A concern that meets the SBIR/STTR program eligibility requirements set forth in 13 CFR 121.702, "What size and eligibility standards are applicable to the SBIR and STTR programs?". Socially and Economically Disadvantaged Individual. See 13 CFR 124.103 and 124.104.

Socially and Economically Disadvantaged SBC (SDB)

See 13 CFR. Part 124, subpart B.

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 for the performance of the original Funding Agreement.

Technical Data

Recorded information, regardless of the form or method of the recording, of a scientific or technical nature (including Computer Software Documentation and Computer Databases). The term does not include Computer Software or financial, administrative, cost or pricing, or management information, or other data incidental to contract or grant administration. The term includes recorded Data of a scientific or technical nature that is included in Computer Databases.

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.

Unlimited Rights

The Federal Government's rights to use, modify, prepare derivative works, reproduce, release, perform, display, disclose, or distribute Data in whole or in part, in any manner and for any purpose whatsoever, and to have or authorize others to do so.

Women-Owned SBC (WOSB)

An SBC that is at least 51% owned by one or more women, or in the case of any publicly owned business, at least 51% of the stock is owned by women, and women control the management and daily business operations.

Statutory Authority

The Small Business Innovation Development Act of 1982, Pub. L. 97–219, as amended (15 U.S.C. 631 and 638); the SBIR and STTR Reauthorization Act of 2022; and Title II of the Rehabilitation Act of 1973, as amended (29 U.S.C. 760 et seq.).

II. Award Information

Funding Instrument Type:
G (Grant)

Estimated Total Funding:
$1,150,000

Expected Number of Awards:
4

Award Ceiling:
$287,500
Per Budget Period

Award Floor:
$280,000
Per Budget Period

Length of Project Period:
24-month project period with two 12-month budget periods

Additional Information on Project Periods and Explanation of 'Other'
The Administration has requested funding for the NIDILRR program for FY 2025. The actual level of funding, if any, depends on final Congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2026 from the list of approved but unfunded applicants from this competition.

III. Eligibility Information

1. Eligible Applicants

For FY 2024 the below guidance is provided to advance the Administration's policy, as stated in E.O. 13985, to "pursue a comprehensive approach to advancing equity for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality." This guidance is intended to begin to address inequities in HHS programs, processes, and policies that may serve as barriers to equal opportunity. By advancing equity in our NOFOs, we can "create opportunities for the improvement of communities that have been historically underserved, which benefits everyone."

Each organization submitting an application **must** qualify **at the time of the award** as a **small business concern** as defined by the Small Business Administration.

Consultative or other arrangements between applicant firms and universities or other nonprofit organizations are permitted, but the small business concern must serve as the grantee. For SBIR Phase II, a minimum of one-half of the research or analytical effort must be performed by the Awardee. NIDILRR measures the percentage effort spent on research or analytic activities by examining the time or percent effort of each collaborator in the application.

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 investigator's 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.

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 SBIR Phase II, a minimum of one-half of the research or analytical effort must be performed by the Awardee. Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-half 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;
- Phase I grant completed in FY 2023, 2024, or 2025.

Performance Benchmark Requirements

Phase I to Phase II Transition Rate Benchmark: In accordance with guidance from the SBA, the HHS SBIR/STTR Program is implementing the Phase I to Phase II Transition Rate benchmark required by the SBIR/STTR Reauthorization Act of 2011 and the SBIR and STTR Extension Act of 2022. The benchmark establishes a minimum number of Phase II awards the company must have received relative to a given number of Phase I awards received during the 5-fiscal year time period. The Transition Rate is calculated as the total number of SBIR and STTR Phase II awards a company received during the past 5 fiscal years divided by the total number of SBIR and STTR Phase I awards it received during the past 5 fiscal years excluding the most recently-completed year. The Transition Rate requirement, agreed upon and established by all 11 SBIR agencies, was published for public comment in a Federal Register Notice on October 16, 2012 (77 FR 63410) and amended on May 23, 2013 (78 FR 30951).

- For SBIR and STTR Phase I applicants that have received more than 20 Phase I awards over the past 5 fiscal years (excluding the most recently-completed fiscal year): Companies that do not meet or exceed the benchmark minimum Transition Rate of 0.25 will not be eligible to apply for a Phase I, Fast-Track, or Direct Phase II (if available) award for a period of one year from the date of the application submission. This requirement does not apply to companies that have received 20 or fewer Phase I awards over the prior 5-fiscal year period.
- For application deadlines that fall on or after April 5, 2023: For SBIR and STTR Phase I applicants that have received more than 50 Phase I awards over the past 5 fiscal years (excluding the most recently-completed fiscal year): Companies that do not meet or exceed the benchmark minimum Transition Rate of 0.5 will not be eligible to receive more than 20 total Phase I and Phase II awards for a period of one year from the date on which such determination is made. This requirement does not apply to companies that have received 50 or fewer Phase I awards over the 5-fiscal year period.

On June 1 of each year, SBA will identify the companies that fail to meet minimum performance requirements. SBA calculates individual company Phase I to Phase II Transition Rates using SBIR and STTR award information across all federal agencies. SBA will notify companies and the relevant officials at the participating agencies. More information on the Phase I to Phase II Transition Rate requirement is available at SBIR.gov.

Phase II to Commercialization Benchmark: In accordance with guidance from the SBA, the HHS SBIR/STTR Programs are implementing the Phase II to Commercialization Rate benchmark for Phase I applicants, as required by the SBIR/STTR Reauthorization Act of 2011

and the SBIR and STTR Extension Act of 2022. The Commercialization Rate Benchmark was published in a Federal Register notice on August 8, 2013 (78 FR 48537), with a reopening of the comment period published on September 26, 2013 (78 FR 59410).

- For companies that have received more than 15 Phase II awards from all agencies over the past 10 fiscal years (excluding the two most recently completed fiscal year): Companies that meet this criterion must show an average of at least $100,000 in revenues and/or investments per Phase II award or at least 0.15 (15%) patents per Phase II award resulting from these awards during the past 10- fiscal year period. Applicants that fail this benchmark will not be eligible to apply for New Phase I, Fast-track or Direct Phase II (if applicable) awards for a period of one year. This requirement does not apply to companies that have received 15 or fewer Phase II awards over the 10-fiscal year period, excluding the two most recently-completed fiscal years.
- For application deadlines that fall on or after April 5, 2023: For companies that have received more than 50 Phase II awards from all agencies over the past 10-fiscal years (excluding the two most recently completed Fiscal Year): Companies that meet this criterion must show an average of at least $250,000 of aggregated sales and investment per Phase II award over the past 10-fiscal year period. Applicants that fail this benchmark will not be eligible to receive more than 20 total Phase I and Phase II awards for a period of one year from the date on which such determination is made. This requirement does not apply to companies that have received 50 or fewer Phase II awards over the 10-fiscal year period, excluding the two most recently-completed fiscal years.
- For application deadlines that fall on or after April 5, 2023: For companies that have received more than 100 Phase II awards from all agencies over the past 10-fiscal years (excluding the two most recently completed Fiscal Year): Companies that meet this criterion must show an average of at least $450,000 of aggregated sales and investment per Phase II award over the past 10-fiscal year period. Applicants that fail this benchmark will not be eligible to receive more than 20 total Phase I and Phase II awards for a period of one year from the date on which such determination is made. This requirement does not apply to companies that have received 100 or fewer Phase II awards over the 10-fiscal year period, excluding the two most recently-completed fiscal years.

On June 1 of each year, SBA will identify the companies that fail to meet minimum performance requirements. SBA will notify companies and the relevant officials at the participating agencies. More information on the Phase II to Commercialization requirement is available at SBIR.gov.

Administration for Community Living 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 makes a determination that the applicant is eligible under its definition of small business concern.

Similar Proposals or Awards

WARNING -While it is permissible with proposal notification to submit identical proposals or proposals containing a significant amount of essentially equivalent work for consideration under numerous Federal program solicitations, **it is unlawful to enter into funding agreements requiring essentially equivalent work.** If there is any question concerning this, it must be disclosed to the soliciting agency or agencies before award. If an applicant elects to submit

identical proposals or proposals containing a significant amount of essentially equivalent work under other Federal program solicitations, a statement must be included in each such proposal indicating:

1. The name and address of the agencies to which proposals were submitted or from which awards were received.
2. Date of proposal submission or date of award.
3. Title, number, and date of solicitations under which proposals were submitted or awards received.
4. The specific applicable research topics for each proposal submitted or award received.
5. Titles of research projects.
6. Name and title of principal investigator or project manager for each proposal submitted or award.

2. Cost Sharing or Matching

Cost Sharing / Matching Requirement:
No
For awards that do not require matching or cost sharing by statute, recipients are not expected to provide cost sharing or matching. However, recipients are allowed to voluntarily propose a commitment of non-federal resources. If an applicant decides to voluntarily contribute non-federal resources towards project costs and the costs are accepted by ACL, the non-federal resources will be included in the approved project budget. The applicant will be held accountable for all proposed non-federal resources as shown in the Notice of Award (NOA). **A recipient's failure to meet the voluntary amount of non-federal resources that was accepted by ACL as part of the approved project costs and that was identified in the approved budget in the NOA, may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.**

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria
Applicants must propose research and development projects that support NIDILRR's mission of improving the lives of individuals with disabilities in at least one of the following outcome domains: (1) community living and participation, (2) health and function, or (3) employment.

Application Screening Criteria
We will screen all applications and will reject any applications that:

- Were not a SBIR Phase I grantee who successfully completed a Phase I grant in the past three years (FY 2023, 2024, or 2025);
- Are submitted after the deadline;
- Propose a budget that exceeds $287,500 for a performance period of one year;
- Propose a project period that exceeds two years;
- Propose the development of mobile applications; or
- Propose service provision instead of research/ development.

The Project Narrative section of the application must be double-spaced, on 8 1/2” X 11” pages with 1" margins on both sides, and a standard font size of not less than 12. The project narrative

must not exceed 40 double-spaced pages. For project narratives that exceed 40 double-spaced pages, NIDILRR will instruct reviewers to disregard all the content on the pages beyond the 40th page.

IV. Application and Submission Information

1. Address to Request Application Package

Application materials can be obtained from https://www.grants.gov or https://www.acl.gov/grants/applying-grants.

Please note, ACL requires applications for all announcements to be submitted electronically through http://www.grants.gov in Workspace. Grants.gov Workspace is the standard way for organizations and individuals to apply for federal grants in Grants.gov. An overview and training on Grants.gov Workspace can be found here at: https://www.grants.gov/web/grants/applicants/workspace-overview.html

The Grants.gov registration process can take several days. If your organization is not currently registered, please begin this process immediately. For assistance with https://www.grants.gov, please contact them at support@grants.gov or 800-518-4726 between 7:00 a.m. and 9:00 p.m. Eastern Time.

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    - At the https://www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process because of the time involved to complete the registration process.
    - All applicants must have a UEI and be registered with the System for Award Management (SAM, www.sam.gov) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Effective June 11, 2018, when registering or renewing your registration, you must submit a notarized letter appointing the authorized Entity Administrator. Please be sure to read the FAQs located at www.sam.gov to learn more. Applicants should allot sufficient time prior to the application deadline to finalize a new, or renew an existing registration. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award. Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline. See the SAM Quick Guide for Grantees at: SAM.GOV Quick Start Guide for Financial Assistance Registrations.

Note: Once your SAM registration is active, allow 24 to 48 hours for the information to be available in Grants.gov before you can submit an application through Grants.gov. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award.

1.
    - Note: Failure to submit the correct EIN Suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.

- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) or receive subawards directly from the recipients of those grant funds to:

2. Register in SAM prior to submitting an application or plan;
3. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
4. Provide its UEI number in each application or plan to submit to the OPDIV.

Additionally, all first-tier subaward recipients must have a UEI number at the time the subaward is made.

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    - The Federal Government will transition from the DUNS Number to the New Unique Entity Identifier. As of April of 2022, the federal government stopped using the DUNS number to uniquely identify entities. At that point, entities doing business with the federal government will use a Unique Entity Identifier (SAM) created in SAM.gov. It is entered on the SF-424. It is a unique, nine-digit identification number, which provides unique identifiers of single business entities.
    - You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications. In accordance with the Federal Government's efforts to reduce reporting burden for recipients of federal financial assistance, the general certification and representation requirements contained in the Standard Form 424B (SF-424B) – Assurances – Non-Construction Programs, and the Standard Form 424D (SF-424D) – Assurances – Construction Programs, have been standardized federal-wide. Effective January 1, 2020, the updated common certification and representation requirements will be stored and maintained within SAM. Organizations or individuals applying for federal financial assistance as of January 1, 2020, must validate the federally required common certifications and representations annually through SAM located at SAM.gov.
    - After you electronically submit your application, you will receive an automatic acknowledgment from https://www.grants.gov that contains https://www.grants.gov tracking number. The Administration for Community Living will retrieve your application form from https://www.grants.gov.

SBA Company Registry

All applicants to the SBIR program are required to register at the SBA Company Registry (https://www.sbir.gov/registration) prior to application submission. Completed registrations will receive a unique SBC Control ID and .pdf file. Follow these steps listed below to register.

a. Navigate to the SBA Company Registry (https://www.sbir.gov/registration).
b. If you are a previous SBIR awardee from any agency, search for your small business by Company Name, EIN/Tax ID, DUNS, or Existing SBIR Contract/Grant Number in the search fields provided. Identify your company and click "Proceed to Registration".

c. If you are a first time applicant, click the New to the SBIR Program (https://www.sbir.gov/registration) link on lower right of registry screen.
d. Fill out the required information on the “Basic Information” and “Eligibility Statement” screens.
e. Press “Complete Registration” on the lower right of the “Eligibility Statement” screen and follow all instructions.
f. Download and save your SBA registry PDF locally. The name will be in the format of SBC_123456789.pdf, where SBC_123456789 (9 digit number) is your firm’s SBC Control ID.

If you have any questions about the programmatic or substantive requirements of this funding opportunity, please contact the competition manager:

U.S. Department of Health and Human Services
Administration for Community Living

Brian Bard
Brian.Bard@acl.hhs.gov

2. Content and Form of Application Submission

Letter of Intent

Due Date for Letter Of Intent 02/07/2025

02/07/2025
Applicants are requested, but not required, to submit a letter of intent to apply for this funding opportunity to assist ACL in planning for the application independent review process. The purpose of the letter of intent is to allow our staff to estimate the number of independent reviewers needed and to avoid potential conflicts of interest in the review. Letters of intent should be sent to:

Megan.Alvarado@acl.hhs.gov

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

- 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;
- A brief statement of the vision, goals, and objectives of the proposed project and a description of its proposed activities at a sufficient level of detail to allow NIDILRR to select potential peer reviewers;
- A list of proposed project staff including the Project Director or PI and key personnel;
- A list of individuals whose selection as a peer reviewer might constitute a conflict of interest due to their involvement in proposal development (e.g., an advisory board member or co-PIs on other projects);
- Contact information for the Project Director or PI.

For further information regarding the LOI submission process, contact Megan Alvarado.

Project Narrative

The project narrative portion of your application is where you describe your proposed project and address the general requirements of the SBIR program and the review criteria. This section should include a description of the project's goal(s) and major objectives. **Each applicant must limit the project narrative to the equivalent of no more than 40 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 narrative text in the project narrative. You are not required to double space titles, headings, footnotes, references, and captions, or text in charts, tables, figures, and graphs. Applicants who unnecessarily place narrative text in tables to avoid the double-spacing requirement run the risk of exceeding the page limit.
- Use a font that is not less than size 12.
- Use one of the following fonts: Times New Roman, Courier, Courier New or Arial.
- Include all critical information in the project narrative, minimizing the need for additional appendices.
- Ensure that you attach .PDF files only for any attachments to your application. While you are able to attach files to your application in formats other than PDF, non-PDF files are converted into PDF format before reviewers see and evaluate your application. The conversion to PDF format may not maintain your original formatting. Therefore to ensure the integrity of your application documents -- we strongly recommend that you attach only PDF files as you submit your application.

NOTE: The page limit does not apply to the Application for Federal Assistance (SF 424), the table of contents, the budget narrative, the forms, the one-page abstract, the resumes/vitae, the bibliography, similar proposals, or the letters of commitment/collaboration. However, the recommended page limit does apply to all of the project narrative section. For project narratives that exceed 40 double-spaced pages, NIDILRR will instruct reviewers to disregard all of the content on the pages beyond the 40th page.

Each applicant must limit their project narrative to the equivalent of no more than 40, double-spaced pages. Be sure to:

- Begin numbering the first page in Arabic numerals (“1”) and number the pages consecutively throughout the document.
- Include all critical information in the project narrative, minimizing the need for additional appendices. Include a complete bibliography listing all material that was referenced in the project narrative (this does not count toward the page limit).

Project Narrative Components:
In no more than 40 double-spaced pages clearly address all of the peer review criteria described in Section V. of this Funding Opportunity Announcement, and describe the following areas:

Phase I Results:

You should describe your Phase I results. This should constitute a discussion of the overall background, and the technical approach indicating how work accomplished in Phase I will lead to success in Phase II. Provide sufficient detail to demonstrate the level of accomplishment and the extent to which the Phase II effort is based on a feasible idea. Do not assume that reviewers have read your Phase I final report or your Phase I application.

Commercialization Plan:

A succinct commercialization plan must be included with each proposal for an SBIR Phase II award moving toward commercialization. Elements of a commercialization plan will include the following, as applicable:

i. Company information. Focused objectives/core competencies; specialization area(s); products with significant sales; and history of previous Federal and non-Federal funding, regulatory experience, and subsequent commercialization.
ii. Customer and Competition. Clear description of key technology objectives, current competition, and advantages compared to competing products or services; description of hurdles to acceptance of the innovation.
iii. Market. Milestones, target dates, analyses of market size, and estimated market share after first year sales and after 5 years; explanation of plan to obtain market share.
iv. Intellectual Property. Patent status, technology lead, trade secrets or other demonstration of a plan to achieve sufficient protection to realize the commercialization stage and attain at least a temporal competitive advantage.
v. Financing. Plans for securing necessary funding in Phase III.
vi. Assistance and mentoring. Plans for securing needed technical or business assistance through mentoring, partnering, or through arrangements with state assistance programs, SBDCs, Federally-funded research laboratories, Manufacturing Extension Partnership centers, or other assistance providers.
vii. Revenue Stream. Explain how you plan to generate a revenue stream for your company should this project be a success. Examples of revenue stream generation include, but are not limited to, manufacture and direct sales, sales through value added resellers or other distributors, joint venture, licensing, service. Describe how your staffing will change to meet your revenue expectations.

Key Individuals and Description of Directly Related Work

Identify key individuals involved in Phase II including their directly-related education, experience, and bibliographic information. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired. Also list all other commitments that senior personnel have during the proposed period of performance. It must be clear that the principal investigator will work more than half-time for the small business concern and that the firm will conduct a minimum of one-half of the research effort.

Relationship with Future R/R&D:

a. State the anticipated results of the proposed approach if the project is successful.
b. Discuss the significance of the Phase II effort in providing a foundation for Phase III.

Consultants:
Involvement of consultants in the project is permitted. If such involvement is intended, it should be described in detail.

Table of Contents

The table of contents should show where and how the important sections of your proposal are organized. While the application will be submitted electronically, the reviewers may use printed copies during the review process. The table of contents will assist reviewers in more efficiently and effectively evaluating your application. **NIDILRR recommends using the Criteria from Section V. of this notice, to help shape the structure of your application and your Table of Contents.**

Summary/ Abstract

The one-page abstract should be 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.
Applicants are required to include a one-page (single- or double-spaced) project summary of the proposed R/R&D including at least the following:

1. Name and address of SBC.
2. Name and title of principal investigator or project manager.
3. Agency name, CFDA number (93.433), and the words “SBIR Phase II”
4. Title of project.
5. Technical abstract limited to one page.
6. Summary of the anticipated results and implications of the approach (both Phases I and II) and the potential commercial applications of the research.

Note: Nothing in this section should be proprietary or confidential.

Work Plan

Applicants must provide a Work Plan (Plan of Operation) in their Project Narrative. The Work Plan should cover all years of the project period. The Work Plan should include a statement of the project's overall goal(s), anticipated outcome(s), and the major tasks that are proposed to achieve the goal and outcome(s). For each major task, the Work Plan should identify timeframes involved and the lead person responsible for the task. A "Project Work Plan - Sample Template" is provided in the Appendix section of this Funding Opportunity Announcement.

Vitae/Biosketches of Key Project Personnel

Vitae or biosketches of key project personnel should include information that is specifically pertinent to the applicant’s proposed project. Applicants are encouraged to use NIH’s biosketch format, which provides reviewers with a concise description of training, expertise, and productivity that is relevant to the proposed project.

References

Applicants should provide references for works cited in the Project Narrative. Applicants may provide references in any format (i.e., APA, AMA, MLA), though the formatting should be consistent.

Budget Narrative/Justification

This part requires an itemized budget breakdown for the two-year project period 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.

There are no additional cost share requirements for this program.

The Appendix section of this Funding Opportunity Announcement includes a sample format for your budget narrative/justification.

The application must include the submission of cost or budget data. Use the Standard Form 424A to present a complete budget summary for the proposed project dates. You must also provide a justification for this budget by including a detailed narrative description for each budget line item. This narrative will be uploaded separately from Standard Form 424A.

Indirect Costs:

NIDILRR follows the Uniform Guidance (UG) found at 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

The UG requires an approved Negotiated Indirect Cost Rate Agreement (NICRA) or de-minimus rate to obtain indirect cost rate reimbursement. **If your organization does not currently have a negotiated indirect cost rate and is applying for a grant, regulations allow you to apply the de-minimus indirect cost rate of 15% to your modified total direct costs (MTDC)**. MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $50,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $50,000. If you obtain a NICRA during the course of the grant for which you are applying, NIDILRR will work with you to determine how that new rate can be applied to that grant. If you have a NICRA, you must include a copy of the agreement in your application.

More information on what you should know about indirect cost rates can be found at: https://www.hhs.gov/about/agencies/asa/psc/indirect-cost-negotiations/index.html

Letters of Commitment from Key Participating Organizations and Agencies

Include letters of commitment from key participating organizations and agencies after the Budget Narrative/Justification.

Summary of Involved Individuals and Organizations

Submit an appendix that lists every collaborating organization, and every individual who is named to a professional role in the proposed project. These individuals should include staff, consultants, contractors, and advisory board members. We will use this information to screen for conflicts of interest with potential peer reviewers.

3. Unique Entity Identifier and System for Award Management (SAM)

The Grants.gov registration process can take several days. If your organization is not currently registered, please begin this process immediately. For assistance with https://www.grants.gov,

please contact them at support@grants.gov or 800-518-4726 between 7:00 a.m. and 9:00 p.m. Eastern Time.

- At the https://www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process because of the time involved to complete the registration process.
- All applicants must have a UEI number and be registered with the System for Award Management (SAM, www.sam.gov) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Effective June 11, 2018, when registering or renewing your registration, you must submit a notarized letter appointing the authorized Entity Administrator. Please be sure to read the FAQs located at www.sam.gov to learn more. Applicants should allot sufficient time prior to the application deadline to finalize a new, or renew an existing registration. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award. Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline. See the SAM Quick Guide for Grantees at: SAM.GOV Quick Start Guide for Financial Assistance Registrations.

Note: Once your SAM registration is active, allow 24 to 48 hours for the information to be available in Grants.gov before you can submit an application through Grants.gov. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award.

- Note: Failure to submit the correct EIN Suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) or receive subawards directly from the recipients of those grant funds to:

1. Register in SAM prior to submitting an application or plan;
2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
3. Provide its UEI number in each application or plan to submit to the OPDIV.

Additionally, all first-tier subaward recipients must have a UEI number at the time the subaward is made.

- The Federal Government will transition from the DUNS Number to the New Unique Entity Identifier. As of April of 2022, the federal government stopped using the DUNS number to uniquely identify entities. At that point, entities doing business with the federal government will use a Unique Entity Identifier (SAM) created in SAM.gov. They will no longer have to go to a third-party website to obtain their identifier. This transition allows the government to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the federal government. If your entity is registered in SAM.gov today, your Unique Entity ID (SAM) has already been assigned and is viewable in SAM.gov. This includes inactive registrations. The

Unique Entity ID is currently located below the DUNS Number on your entity registration record. Remember, you must be signed in to your SAM.gov account to view entity records. To learn how to view your Unique Entity ID (SAM) go to this help article.

- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications. In accordance with the Federal Government's efforts to reduce reporting burden for recipients of federal financial assistance, the general certification and representation requirements contained in the Standard Form 424B (SF-424B) – Assurances – Non-Construction Programs, and the Standard Form 424D (SF-424D) – Assurances – Construction Programs, have been standardized federal-wide. Effective January 1, 2020, the updated common certification and representation requirements will be stored and maintained within SAM. Organizations or individuals applying for federal financial assistance as of January 1, 2020, must validate the federally required common certifications and representations annually through SAM located at SAM.gov.
- After you electronically submit your application, you will receive an automatic acknowledgment from https://www.grants.gov that contains https://www.grants.gov tracking number. The Administration for Community Living will retrieve your application form from https://www.grants.gov.

4. Submission Dates and Times

Due Date for Applications 03/10/2025

03/10/2025

Date for Informational Conference Call:
02/03/2025

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or, with http://www.grants.gov. Grants.gov can take up to 48 hours to notify you of a successful submission.

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: http://www.grants.gov/web/grants/register.html.

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)

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 because of technical problems with the Grants.gov system, please contact the person listed under For Further Information Contact in section VII of this notice and provide a written explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk

Case Number. ACL will contact you after a determination is made on whether your application will be accepted.

Note: We will not consider your application for further review if you failed to fully register to submit your application to Grants.gov before the application deadline or if the technical problem you experienced is unrelated to the Grants.gov system.

If for any reason (including submitting to the wrong funding opportunity number or making corrections/updates) an application is submitted more than once prior to the application due date, ACL will only accept your last validated electronic submission, under the correct funding opportunity number, prior to the Grants.gov application due date as the final and only acceptable application

Unsuccessful submissions will require authenticated verification from http://www.grants.gov indicating system problems existed at the time of your submission. For example, you will be required to provide an http://www.grants.gov submission error notification and/or tracking number in order to substantiate missing the cut off date.

Grants.gov (http://www.grants.gov) will automatically send applicants a tracking number and date of receipt verification electronically once the application has been successfully received and validated in http://www.grants.gov.

Informational Conference Call

An informational conference call will be held between 1:00 p.m. and 3:00 p.m. (Eastern time) on the date listed above for the informational conference call. 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 Megan.Alvarado@acl.hhs.gov in order to participate in this meeting. NIDILRR staff also will be available to provide information and technical assistance via individual phone consultations from 3:00 p.m. to 4:00 p.m. on the date listed above. Requests for individual consultations during this one-hour window must be made in advance to Megan Alvarado.

5. Intergovernmental Review

This program is not subject to Executive Order (E.O.) 12372, Intergovernmental Review of Federal Programs.

6. Funding Restrictions

Note: A recent Government Accountability Office (GAO) report has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. Executive Orders on Promoting Efficient Spending (E.O. 13589) and Delivering Efficient, Effective and Accountable Government (E.O. 13576) have been issued and instruct Federal agencies to promote efficient spending. Therefore, if meals are to be charged in your proposal, applicants should understand such costs must meet the following criteria outlined in the Executive Orders and HHS Grants Policy Statement:

- Meals are generally unallowable except for the following:

- For subjects and patients under study (usually a research program);
- Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);
- When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement; and
- As part of a per diem or subsistence allowance provided in conjunction with allowable travel.

- Building construction is not an allowable cost for this program.
- The purchase of real estate is not an allowable cost for this program.

The following updated sections 2 CFR 200.216 "Prohibition on certain telecommunications and video surveillance services or equipment" became **effective on or after August 13, 2020**.

Recommended Actions for any recipient that has received a loan, grant, or cooperative agreement **on or after August 13, 2020**:

- Develop a compliance plan to implement 2 CFR 200.216 regulation.
- Develop and maintain internal controls to ensure that your organization does not expend federal funds (in whole or in part) on covered equipment, services or systems.
- Determine through reasonable inquiry whether your organization currently uses "covered telecommunication" equipment, services, or systems and take necessary actions to comply with the regulation as quickly as is feasibly possible.

7. Other Submission Requirements

Protection of Human Subjects

Research activities involving human subjects under these programs are subject to 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 on the 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. If you marked "Yes" for item 3a. and designated exemption number(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 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. If you marked "No" for item 3a., 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.

Human Subject Requirements for HHS grants. If your proposed project(s) involves research on human subjects, you must comply with the Department of Health and Human Services (DHHS) Regulations (Title 45 Code of Federal Regulations Part 46) regarding the protection of human

research subjects, unless that research is exempt as specified in the regulation. All awardees and their performance sites engaged in research involving human subjects must have or obtain: (1) an assurance of compliance with the Regulations, and (2) initial and continuing approval of the research by an appropriately constituted and registered institutional review board. In order to obtain a Federal wide Assurance (FWA) of Protection for Human Subjects, the applicant may complete an on-line application at the Office for Human Research Protections (OHRP) website or write to the OHRP for an application. To obtain a FWA, contact OHRP at: https://www.hhs.gov/ohrp.

Data and Safety Monitoring Requirement
For all proposed clinical trials, NIDILRR is requiring that applicants address the safety of human subjects participating in such trials or studies. This discussion must be identified in the application as a data and safety monitoring plan (Plan) and specifically address the safety of the participants and the validity and integrity of the data produced by the study. The Plan will be reviewed by NIDILRR staff prior to the award of the grant. Furthermore, a data and safety monitoring board (DSMB) is required for all multi-site clinical trials involving interventions that entail potential risk to participants. The data and safety monitoring plan must include a discussion of the DSMB if warranted by the proposed research activity. The Plan does not count against the page limitations described in this FOA and is not subject to the evaluation and scoring by the peer review panel.

Statements:
The applicant must respond to the following statements required by the Small Business Administration.

Duplicate Research Statement:
The applicant and/or principal investigator **(choose one: has or has not)** submitted proposals for essentially equivalent work under other Federal program solicitations.

The applicant and/or principal investigator **(choose one: has or has not)** received other Federal awards for essentially equivalent work. (For more information regarding how to identify proposals and/or awards, see Section(III)(E(10), Technical Content (Project Narrative), Similar Proposals or Awards).

Disclosure Permission Statement:
Will the applicant permit the Government to disclose the title and technical abstract page of the proposed project, plus the name, address, and telephone number of the corporate official of the applicant's firm, if the proposal does not result in an award, to concerns that may be interested in contacting you for further information? **(choose one: Yes or No)**

V. Application Review Information

1. Criteria

Applications will be scored by members of a NIDILRR- administered peer review panel, who will assign a maximum of 100 points across the criteria listed below.

Importance of the Problem

Maximum Points: 10
In determining the importance of the problem, the Director considers the following factors:
(1) The extent to which the applicant clearly describes the need and target population.
(2) The extent to which the proposed activities address a significant need of individuals with disabilities.
(3) The extent to which the proposed project will have beneficial impact on the target population.

Phase 1 Results
Maximum Points: 10
In evaluating Phase I Results, the Director considers the following factor:
(1) The extent to which the applicant demonstrates progress toward meeting the Phase I (or Phase I-like) objectives, demonstrating feasibility, and providing a solid foundation for the proposed Phase II activity.

Commercialization Plan
Maximum Points: 10
In evaluating the Commercialization Plan, the Director considers the following factor:
(1) The extent to which the proposed project has commercial potential to lead to a marketable product, process or service.

Quality of Project Design
Maximum Points: 40
In determining the quality of project design, the Director considers the following factors:
(1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
(2) The quality of the methodology to be employed in the proposed project.
(3) 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.
(4) 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.
(5) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.
(6) The extent to which input from individuals with disabilities and other key stakeholders is obtained to establish and guide proposed research or development activities.
(7) The extent to which the proposed project shows awareness of the state-of-the-art for current, related products.

Project Staff
Maximum Points: 15
In determining the quality of the applicant's project staff, the Director considers the following factors:
(1) The extent to which the applicant encourages applications for employment from people with disabilities, who may include but are not limited to people with disabilities who have the greatest support needs.
(2) The extent to which the applicant encourages applications for employment from people who are members of other groups that have traditionally been underrepresented in research professions based on race, ethnicity, national origin, sex (including sexual orientation and gender

identity), or age.
(3) The extent to which the key personnel and other key staff have appropriate training and experience in disciplines required to conduct all proposed activities.

Adequacy and Reasonableness of the Budget
Maximum Points: 5
In determining the adequacy and the reasonableness of the proposed budget, the Director considers the following factors:
(1) The extent to which the costs are reasonable in relation to the proposed project activities.
(2) The extent to which the budget for the project, including any subcontracts, is adequately justified to support the proposed project activities.

Adequacy and Accessibility of Resources
Maximum Points: 10
In determining the adequacy and accessibility of resources, the Director considers the following factors:
(1) The extent to which the applicant is committed to provide adequate facilities, equipment, other resources, including administrative support, and laboratories, if appropriate.
(2) The extent to which the facilities, equipment, and other resources are appropriately accessible to individuals with disabilities who may use the facilities, equipment, and other resources of the project.

2. Review and Selection Process

As required by 2 CFR Part 200 of the Uniform Guidance, effective January 1, 2016, ACL is required to review and consider any information about the applicant that is in the Federal Awardee Performance and Integrity Information System (FAPIIS), https://www.fapiis.gov before making any award in excess of the simplified acquisition threshold (currently $150,000) over the period of performance. An applicant may review and comment on any information about itself that a federal awarding agency has previously entered into FAPIIS. ACL will consider any comments by the applicant, in addition to other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR Section 200.206 Federal Awarding Agency Review of Risk Posed by Applicants. https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-C/section-200.206.

An independent review panel of at least three individuals will evaluate applications that pass the screening and meet the responsiveness criteria if applicable. These reviewers are experts in their field, and are drawn from academic institutions, non-profit organizations, state and local governments, and federal government agencies. Based on the Application Review Criteria as outlined under section V.1, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the identified criteria.

Final award decisions will be made by the Administrator, ACL. In making these decisions, the Administrator will take into consideration: recommendations of the review panel; reviews for programmatic and grants management compliance; the reasonableness of the estimated cost to the government considering the available funding and anticipated results; and the likelihood that

the proposed project will result in the benefits expected. Security risk as assessed by the HHS Due Diligence Program.

Disclosure Requirements Regarding Ties to Foreign Countries

SBIR and STTR applicants under consideration for award will be required to submit the U.S. Small Business Administration (SBA) Required Disclosures of Foreign Affiliations or Relationships to Foreign Countries form (referred to as the "Disclosure Form" hereafter), during the JIT process. Applicants are required to disclose all funded and unfunded relationships with foreign countries, using the Disclosure Form, for all owners and covered individuals. A "covered individual" is defined as all senior key personnel identified by the SBC in the application (i.e., individuals who contribute to the scientific development or execution of a project in a substantive, measurable way).

Please see https://seed.nih.gov/small-business-funding/small-business-program-basics/foreign-disclosure-and-risk-management for additional information on Foreign Disclosure and Risk Management.

Denial of Awards

Applicants are encouraged to consider whether their entity's relationships with foreign countries of concern will pose a security risk. Prior to issuing an award, ACL will determine whether the SBC submitting the application:

- Has an owner or covered individual that is party to a malign foreign talent recruitment program;
- Has a business entity, parent company, or subsidiary located in the People's Republic of China or another foreign country of concern; or
- Has an owner or covered individual that has a foreign affiliation with a research institution located in the People's Republic of China or another foreign country of concern.

A finding of foreign involvement with countries of concern will not necessarily disqualify an applicant. Final award determinations will be based on the above finding of foreign involvement and whether the applicant's involvement falls within any of the following risk criteria, per the Act:

- Interfere with the capacity for activities supported by ACL to be carried out;
- Create duplication with activities supported by ACL;
- Present concerns about conflicts of interest;
- Were not appropriately disclosed to ACL;
- Violate Federal law or terms and conditions of ACL; or
- Pose a risk to national security.

Generally, ACL will not provide SBC applicants the opportunity to address any identified security risks prior to award. ACL will not issue an award under the SBIR program if the covered relationship with a foreign country of concern identified in this guidance is determined to fall under any of the criteria provided.

3. Anticipated Announcement Award Date

Award notices to successful applicants will be sent out prior to the project start date.

The anticipated project period start date for this announcement is: 06/01/2025

VI. Award Administration Information

1. Award Notices

Successful applicants will receive an electronic Notice of Award. The Notice of Award is the authorizing document from the U.S. Administration for Community Living authorizing official, Office of Grants Management. Acceptance of this award is signified by the drawdown of funds from the Payment Management System. Unsuccessful applicants are generally notified within 30 days of the final funding decision and will receive a disapproval letter via e-mail. Unless indicated otherwise in this announcement, unsuccessful applications will not be retained by the agency and will be destroyed.

Report Fraud, Waste, and Abuse

If at any time you become aware of fraud, waste, abuse, or any kind of wrongdoing under any SBIR award, please contact the Department of Health and Human Services (HHS) Office of Inspector General (OIG).

The OIG Hotline accepts tips from all sources about potential fraud, waste, abuse, and mismanagement in HHS programs. The reporting individual should indicate that the fraud, waste, and/or abuse concerns an SBIR grant or contract, if relevant. For more information, visit the OIG website at http://oig.hhs.gov/fraud/report-fraud/index.asp.

Examples:
Please visit the following NIH page on reporting fraud for examples of fraud, waste and abuse. Prosecuted cases appear halfway down the page: https://www.sbir.gov/fraud-waste-abuse

Contact:
Please contact Brian Bard by email or phone (202-795-7298) if you have any questions regarding fraud, waste, or abuse in NIDILRR's SBIR program.

Innovations, Inventions and Patents

Innovations, SBIR/STTR Data Rights, Inventions and Patents:
Proprietary Information in Proposals:
Information contained in unsuccessful proposals will remain the property of the Applicant. The Federal Government may, however, retain copies of all proposals. Public release of information in any proposal submitted will be subject to existing statutory and regulatory requirements. If proprietary information is provided by an Applicant in a proposal, which constitutes a trade secret, commercial or financial information, it will be treated in confidence, to the extent permitted by law, provided that the proposal is clearly marked by the Applicant as follows: *This proposal contains information that shall not be disclosed outside the Federal Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this proposal, unless authorized by law The Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract if award is made as a result of the submission of this proposal. . . The information subject to these*

restrictions are contained on all pages of the proposal except for pages [insert page numbers or other identification of pages that contain no restricted information.]

Rights in Data Developed Under SBIR Funding Agreements:
SBIR/STTR Protection Period. The period of time during which the Federal Government is obligated to protect SBIR/STTR Data against unauthorized use and disclosure in accordance with SBIR/STTR Data Rights. The SBIR/STTR Protection Period begins at award of an SBIR/STTR Funding Agreement and ends not less than twenty years from that date (See § 8(b)(4) of the SBIR/STTR Policy Directive).

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

Patents:
Nothing regarding SBIR/STTR Data Rights in this clause shall imply a license to or imply a requirement to license to the Federal Government any patent to a Subject Invention (as defined under the Bayh-Dole Act implemented at 37 CFR 401) made under an SBIR/STTR award.

Invention Reporting:
SBIR awardees must report inventions to the awarding agency within 2 months of the inventor's report to the awardee. The reporting of inventions may be accomplished by submitting the information in iEdison as described below.

iEdison:
NIDILRR has recently joined iEdison, the system used to report inventions, patents and utilization data resulting from federally funded research grants. iEdison (or interagency Edison) is an online, relational database designed around the reporting requirements of the Bayh-Dole Act and its implementing regulations. It allows recipients of federal research funding to report subject inventions and patents to the federal funding agency that issued the funding award. Several federal agencies use iEdison, so this single online resource lets funding recipients report to many different funding agencies. The system is used by both the funding recipients to report information and documentation into iEdison as well as by the funding agencies to receive and review the information and documentation submitted.

In 1980, the Bayh-Dole Act was passed to allow small businesses and non-profit institutions, such as universities, to elect to take title to federally funded inventions under certain terms and conditions. There are certain regulatory requirements in which the small business or university must abide. These requirements are met by following the regulations and reporting resulting IP via iEdison. Reporting to iEdison for the university is managed by the university’s office of technology commercialization or technology transfer.

With iEdison, small businesses and universities report and respond to the regulatory requirements. As these are required by regulation – law – grantees have an ongoing obligation to report accordingly. Just like annual and final reports are required, reporting IP via iEdison is required, as well.

Link: https://www.nist.gov/iedison

Profit or Fee:
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). Questions pertaining to this area can be discussed with the NIDILRR personnel listed in Section VII of this funding opportunity announcement.

An applicant may request a profit or fee (hereafter, "fee"), in addition to direct and indirect costs, as part of its application. Funds requested for a profit/fee must be included in the funds specified 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.

Establishment of Fee Amount. Under the SBIR/STTR programs, an applicant may request a profit or fee (hereafter, "fee"), in addition to direct and indirect costs, as part of its application. Fee amounts shall not exceed 7 percent of total costs, exclusive of fee.

Joint Ventures or Limited Partnerships:
Joint ventures and limited partnerships are eligible provided the entity created qualifies as a small business concern as defined in this program announcement.

Research and Analytical Work – Subcontracting Limits;
For **Phase II a minimum of one-half of the research and/or analytical 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.

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. Before award of an SBIR funding agreement, the Government may request the applicant to submit certain organizational, management, personnel, and financial information to assure responsibility of the applicant.
3. The Government is not responsible for any monies expended by the applicant before award of any funding agreement.
4. This program solicitation is not an offer by the Government and does not obligate the Government to make any specific number of awards. Also, awards under the SBIR Program are contingent upon the availability of funds.
5. 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.

6. 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.
7. 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).

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 Information is available: Small Business Administration (SBA) https://www.sba.gov/SBIR.gov (formerly Tech-Net) about NIDILRR's currently-funded grants under this and other programs: National Rehabilitation Information Center https://naric.com/

2. Administrative and National Policy Requirements

The award is subject to HHS Administrative Requirements, which can be found in 45 CFR Part 75 and the Standard Terms and Conditions, included in the Notice of Award as well as implemented through the HHS Grants Policy Statement.

If you receive an award, you must follow all applicable nondiscrimination laws. You agree to this when you register in SAM.gov. You must also submit an Assurance of Compliance (HHS-690). To learn more, see the HHS Office for Civil Rights website.

A standard term and condition of award will be included in the final notice of award; all applicants will be subject to a term and condition that applies the terms of 48 CFR section 3.908 to the award and requires the grantees inform their employee in writing of employee whistleblower rights and protections under 41 U.S.C. 4712 in the predominant native language of the workforce.

Applicants may follow their own procurement policies and procedures when contracting with Project Funds, but You must comply with the requirements of 2 C.F.R. §§ 200.317-200.326. Additionally, when using Project Funds to procure supplies and/or equipment, applicants are encouraged to purchase American-manufactured goods to the maximum extent practicable. American-manufactured goods are those products for which the cost of their component parts that were mined, produced, or manufactured in the United States exceeds 50 percent of the total cost of all their components. For further guidance regarding what constitutes an American manufactured good (also known as a domestic end product), see 48 C.F.R. Part 25.

As of October 1, 2024, 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards updated to a new version. The eCFR is currently updating its site with the newly adopted content. Until that time, the links below to 2 CFR 200 will not include the changes. If you need to see specific changes while they complete that work, see 78 FR 78608.

Also as of October 1, 2024, HHS adopted several provisions in the new 2 CFR 200 that affect your application. These new provisions supersede those previously used in 45 CFR 75. The changes include:

Indirect costs

De minimis rate

If you use the de minimis rate to calculate indirect costs:

- When you calculate this rate, you will now use 15% of modified total direct costs (MTDC) rather than 10%. See 2 CFR 200.414(f).
- Additionally, when you calculate MTDC, you can now use up to $50,000 of subawards and subcontracts rather than $25,000. See 2 CFR 200.1.

Training awards

If your application is for a training award, your indirect cost rate remains capped at 8% of MTDC. However, when calculating MTDC , you can now use up to $50,000 of subawards and subcontracts rather than $25,000. See 2 CFR 200.1.

Budget

When planning your budget, HHS now uses the definitions for equipment and supplies in 2 CFR 200.1. The new definitions change the threshold for equipment to the lesser of the recipient's capitalization level or $10,000 and the threshold for supplies to below that amount.

All changes

HHS adopted all the following superseding provisions on October 1, 2024:

- 2 CFR 200.1, Definitions, Modified Total Direct Cost.
- 2 CFR 200.1, Definitions, Equipment.
- 2 CFR 200.1, Definitions, Supplies.
- 2 CFR 200.313(e), Equipment, Disposition.
- 2 CFR 200.314(a), Supplies.
- 2 CFR 200.320, Methods of procurement to be followed.
- 2 CFR 200.333, Fixed amount subawards.
- 2 CFR 200.344, Closeout.
- 2 CFR 200.414(f), Indirect (F&A) costs.
- 2 CFR 200.501, Audit requirements.

3. Reporting

Reporting:

If you are successful, you will have to submit financial and performance reports. To learn more about reporting, see Managing a Grant, funding requirements on our website.

Financial and performance reports:

The terms and conditions in the Notice of Award will have information on performance and financial reports including:

- How often you will report
- Any required form or formatting
- How to submit them

Updating SBIR.gov: Each Phase II awardee must update the appropriate information on the award in the Commercialization Database upon completion of the last deliverable under the funding agreement. In addition, the awardee is requested to voluntarily update the appropriate information on that award in the database annually thereafter for a minimum period of 5 years.

Complying with the Administration for Community Living (ACL) Public Access Plan:

If you receive a grant under this opportunity, you must comply with ACL's Public Access Plan requirements for making your data and your publications accessible to the public.

Life Cycle Certification:

Awardees shall submit life-cycle certification forms periodically stating whether it is in compliance with specific SBIR Program requirements prior to receiving more than 50% of the total award amount and again prior to final payment or disbursement. Life Cycle Certification forms are submitted to ACL/NIDILRR Project Officers at times stated in this paragraph.

Foreign Relationship Disclosure:

Awardees are responsible for monitoring their relationships with foreign countries of concern post-award, and for reporting to ACL any changes that may impact previous disclosures. Grantees are required to submit an updated SBIR STTR Foreign Disclosure Form to report the changes within 30 days--throughout the duration of the award

4. FFATA and FSRS Reporting

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System (http://www.FSRS.gov) for all sub-awards and sub-contracts issued for $30,000 or more as well as addressing executive compensation for both grantee and sub-award organizations.

For further guidance please follow this link to access ACL's Terms and Conditions: https://www.acl.gov/grants/managing-grant#

VII. Agency Contacts

Project Officer

First Name:
Brian

Last Name:
Bard

Phone:

(202) 795-7298

Office:

National Institute on Disability, Independent Living, and Rehabilitation Research

Grants Management Specialist

First Name:

Howard

Last Name:

Nicholas

Phone:

(202) 795-7275

Office:

Office of Grants Management

VIII. Other Information

Application Elements

- SF 424, required – Application for Federal Assistance (See "Instructions for Completing Required Forms" for assistance).
- SF 424A, required – Budget Information. (See Appendix for instructions).
- Separate Budget Narrative/Justification, required (See "Budget Narrative/Justification - Sample Format" for examples and "Budget Narrative/Justification – Sample Template.") NOTE: Applicants requesting funding for multi-year grant projects are REQUIRED to provide a Narrative/Justification for each year of potential grant funding, as well as a combined multi- year detailed Budget Narrative/Justification.
- SF 424B – Assurance, required. Note: Be sure to complete this form according to instructions and have it signed and dated by the authorized representative (see item 18d on the SF 424).
- Lobbying Certification, required.
- Proof of non-profit status, if applicable.
- Copy of the applicant's most recent indirect cost agreement or cost allocation plan, if requesting indirect costs **above 10 percent**. If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.
- Project Narrative with Work Plan, required (See "Project Work Plan – Sample Template" for formatting suggestions).
- Vitae/Biosketches for Key Project Personnel.
- Letters of Commitment from Key Participating Organizations and Agencies, if applicable.
- Summary of Involved Individuals and Organizations.
- Abstract.
- Supplemental Information Form for the SF-424.
- Data Management Plan.
- Data Safety and Monitoring Plan, if applicable.

- Initial Certification Form.
- Lifecycle Certification Form.
- Company Registry Section.

Note: NIDILRR does not require applicants to submit an organizational capability statement outside of their project narrative. NIDILRR assesses organizational capability via the peer review process, including application of criteria related to project staff, and the adequacy and accessibility of applicant resources.

Disclosure of Foreign Relationships Reporting Requirements

Recipients are responsible for monitoring their relationships with foreign countries of concern post-award, for any changes that may impact previous disclosures. SBCs receiving an award under the SBIR program are required to submit an updated Disclosure Form to report any of the following changes to ACL throughout the duration of the award:

- Any change to a previous disclosure on the Disclosure Form;
- Any material misstatement that poses a risk to national security; and
- Any change of ownership, change to entity structure, or other substantial change in circumstances of the SBC that ACL determines poses a risk to national security.

Updated Disclosure Forms are required within 30 days of any change in ownership, entity structure, covered individual, or other substantive changes in circumstance, as described above. Recipients are required to provide updates as indicated by ACL. In addition, regular updates are required at the time of all SBIR annual, interim, and final reports.

If the recipient reports a covered foreign relationship that meets any of the risk criteria prohibiting funding described in this NOFO, ACL may withhold funding until the covered relationship has been dissolved. The recipient will be required to submit documentation verifying the relationship has been terminated. If the risk cannot be resolved, ACL may deem it necessary to terminate the award for material failure to comply with the federal statutes, regulations, or terms and conditions of the federal award. Recipients are encouraged to monitor their covered foreign relationships post-award and avoid entering into relationships, both funded and unfunded, that may pose a security risk and jeopardize their ability to retain their award.

Just-in-Time Requirements

If, following the peer review process ACL / NIDILRR is considering your application for funding, they may reach out to you to ask for additional information or documentation.

Agency Recovery Authority and Repayment of Funds

An SBC will be required to repay all amounts received from ACL under the award if either of the following determinations are made upon assessment of a change to their disclosure:

- The SBC makes a material misstatement that ALC determines poses a risk to national security; or
- There is a change in ownership, change in entity structure, or other substantial change in circumstances of the SBC that ACL determines poses a risk to national security.

The Paperwork Reduction Act of 1995 (P.L. 104-13)

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The project description and Budget Narrative/Justification is approved under OMB control number 0985-0018. Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.

Appendix

Accessibility Provisions for All Grant Application Packages and Funding Opportunity Announcements

Should you successfully compete for an award, recipients of federal financial assistance (FFA) from HHS will be required to complete an HHS Assurance of Compliance form (HHS 690) in which you agree, as a condition of receiving the grant, to administer your programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, age, sex and disability, and agreeing to comply with federal conscience laws, where applicable. This includes ensuring that entities take meaningful steps to provide meaningful access to persons with limited English proficiency; and ensuring effective communication with persons with disabilities. Where applicable, Title XI and Section 1557 prohibit discrimination on the basis of sexual orientation, and gender identity, The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. See https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html and https://www.hhs.gov/civil-rights/for-individuals/nondiscrimination/index.html.

- Recipients of FFA must ensure that their programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. Please see https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html and https://www.lep.gov. For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care at https://minorityhealth.hhs.gov/.
- Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html.
- HHS funded health and education programs must be administered in an environment free of sexual harassment. Please see https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html; https://www2.ed.gov/about/offices/list/ocr/docs/shguide.html; and https://www.eeoc.gov/sexual-harassment.
- Recipients of FFA must also administer their programs in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws. Collectively, these laws prohibit exclusion, adverse treatment, coercion, or other discrimination against persons or entities on the basis of their consciences, religious beliefs, or moral convictions. Please see

https://www.hhs.gov/conscience/your-protections-against-discrimination-based-on-conscience-and-religion/index.html

- Please contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at https://www.hhs.gov/ocr/about-us/contact-us/index.html or call 1-800-368-1019 or TDD 1-800-537-7697.

If you receive an award, HHS may terminate it if any of the conditions in 2 CFR 200.340(a)(1)-(4) are met. No other termination conditions apply.

Instructions for Completing Required Forms

This section provides step-by-step instructions for completing the four (4) standard Federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. ACL does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms.

a. Standard Form 424

1. **Type of Submission:** (REQUIRED): Select one type of submission in accordance with agency instructions.
   - Preapplication
   - Application
   - Changed/Corrected Application – If ACL requests, check if this submission is to change or correct a previously submitted application.

2. **Type of Application**: (REQUIRED) Select one type of application in accordance with agency instructions.
   - New
   - Continuation
   - Revision

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier**: Leave this field blank

5a **Federal Entity Identifier**: Leave this field blank

5b. **Federal Award Identifier**: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award (grant) number.

6. **Date Received by State:** Leave this field blank.

7. **State Application Identifier:** Leave this field blank.

8. **Applicant Information**: Enter the following in accordance with agency instructions:

a. Legal Name: (REQUIRED): Enter the name that the organization has registered with the System for Award Management (SAM), formally the Central Contractor Registry. Information on registering with SAM may be obtained by visiting the Grants.gov website (https://www.grants.gov) or by going directly to the SAM website (www.sam.gov).

b. Employer/Taxpayer Number (EIN/TIN): (REQUIRED): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. In addition, we encourage the organization to include the correct suffix used to identify your organization in order to properly align access to the Payment Management System.

c. Organizational UEI (REQUIRED): If your entity is registered in SAM.gov today, your Unique Entity ID (SAM) has already been assigned and is viewable in SAM.gov. This includes inactive registrations. The Unique Entity ID is currently located below the DUNS Number on your entity registration record. Remember, you must be signed in to your SAM.gov account to view entity records.
d. Address: (REQUIRED) Enter the complete address including the county.
e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the project.
f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.
9. **Type of Applicant:** (REQUIRED) Select the applicant organization "type" from the following drop down list.
A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)
10. **Name of Federal Agency**: (REQUIRED) Enter U.S. Administration for Community Living
11. **Catalog of Federal Domestic Assistance Number/Title:** The CFDA number can be found on page one of the Program Announcement.
12. **Funding Opportunity Number/Title:** (REQUIRED) The Funding Opportunity Number and title of the opportunity can be found on page one of the Program Announcement.
13. **Competition Identification Number/Title:** Leave this field blank.
14. **Areas Affected by Project:** List the largest political entity affected (cities, counties, state etc.)
15. **Descriptive Title of Applicant's Project:** (REQUIRED) Enter a brief descriptive title of the project (This is not a narrative description).
16. **Congressional Districts Of**: (REQUIRED) 16a. Enter the applicant's Congressional District, and 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. See the below website to find your congressional district:
https://www.house.gov/

17. **Proposed Project Start and End Dates**: (REQUIRED) Enter the proposed start date and final end date of the project**. If you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date.** In general, all start dates on the SF424 should be the 1st of the month and the end date of the last day of the month of the final year, for example 7/01/2014 to 6/30/2017. The Grants Officer can alter the start and end date at their discretion.

18. **Estimated Funding:** (REQUIRED) If requesting multi-year funding, enter the full amount requested from the Federal Government in line item 18.a., as a multi-year total. For example and illustrative purposes only, if year one is $100,000, year two is $100,000, and year three is $100,000, then the full amount of federal funds requested would be reflected as $300,000. The amount of matching funds is denoted by lines b. through f. with a combined federal and non-federal total entered on line g. Lines b. through f. represents contributions to the project by the applicant and by your partners during the total project period, broken down by each type of contributor. The value of in-kind contributions should be included on appropriate lines, as applicable.

NOTE: Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 75 before completing Item 18 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 18 should cover the total project period. For sub-item 18a, enter the federal funds being requested. Sub-items 18b-18e is considered matching funds. For ACL programs that have a cost-matching requirement (list here), the dollar amounts entered in sub-items 18b-18f must total at least 1/3 of the amount of federal funds being requested (the amount in 18a). For a full explanation of ACL's match requirements, see the information in the box below. For sub-item 18f (program income), enter only the amount, if any, that is going to be used as part of the required match. Program Income submitted as match will become a part of the award match and recipients will be held accountable to meet their share of project expenses even if program income is not generated during the award period.

There are two types of match: 1) non-federal cash and 2) non-federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered **matching funds**. Examples of **non-federal cash match** includes budgetary funds provided from the applicant agency's budget for costs associated with the project. Generally, most contributions from sub-contractors or sub-grantees (third parties) will be non-federal in-kind matching funds. Volunteered time and use of third party facilities to hold meetings or conduct project activities may be considered in-kind (third party) donations.

NOTE: **Indirect charges** may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with HHS requirements. **If indirect costs are to be included in the application, a copy of the approved indirect cost agreement or cost allocation plan must be included with the application. Further, if any sub-contractors or sub-grantees are requesting indirect costs, a copy of the latest approved indirect cost agreements must also be included with the application, or reference to an approved cost allocation plan.**

19. **Is Application Subject to Review by State Under Executive Order 12372 Process?** Please refer to IV. Application and Submission Information, 4. Intergovernmental Review to determine if the ACL program is subject to E.O. 12372 and respond accordingly.

20. **Is the Applicant Delinquent on any Federal Debt?** (Required) This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.

21. **Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)

Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this ACL program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a multi-year budget.

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL Federal costs in column (e) and total non federal costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B - Budget Categories

Column 1: Enter the breakdown of how you plan to use the Federal funds being requested by object class category.

Column 2: Enter the breakdown of how you plan to use the non-Federal share by object class category.

Column 5: Enter the total funds required for the project (sum of Columns 1 and 2) by object class category.

Section C - Non-Federal Resources

Column A: Enter the federal grant program.

Column B: Enter in any non-federal resources that the applicant will contribute to the project.

Column C: Enter in any non-federal resources that the state will contribute to the project.

Column D: Enter in any non-federal resources that other sources will contribute to the project.

Column E: Enter the total non-federal resources for each program listed in column A.

Section D - Forecasted Cash Needs

Line 13: Enter Federal forecasted cash needs broken down by quarter for the first year only.

Line 14: Enter Non-Federal forecasted cash needs broken down by quarter for the first year.

Line 15: Enter total forecasted cash needs broken down by quarter for the first year.

Note: This area is not meant to be one whereby an applicant merely divides the requested funding by four and inserts that amount in each quarter but an area where thought is given as to how your estimated expenses will be incurred during each quarter. For example, if you have initial startup costs in the first quarter of your award reflect that in quarter one or you do not

expect to have contracts awarded and funded until quarter three, reflect those costs in that quarter.

Section E – Budget Estimates of Federal Funds Needed for Balance of the Project (i.e. subsequent years 2, 3, 4 or 5 as applicable).

Column A: Enter the federal grant program

Column B (first): Enter the requested year two funding.

Column C (second): Enter the requested year three funding.

Column D (third): Enter the requested year four funding, if applicable.

Column E (forth): Enter the requested year five funding, if applicable.

Section F – Other Budget Information

Line 21: Enter the total Indirect Charges

Line 22: Enter the total Direct charges (calculation of indirect rate and direct charges).

Line 23: Enter any pertinent remarks related to the budget.

Separate Budget Narrative/Justification Requirement

Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.

For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: Federal; non-Federal cash; and non-Federal in-kind. Cost breakdowns, or justifications, are required for any cost of $1,000 or for the thresholds as established in the examples. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-Federal cash as well as, sub-contractor or sub-grantee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

Line 6a: **Personnel**: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included under 6h Other.

In the Justification: Identify the project director, if known. Specify the key staff, their titles, and time commitments in the budget justification.

Line 6b: **Fringe Benefits**: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

In the Justification: If the total fringe benefit rate exceeds 35% of Personnel costs, provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35% or less does not require a breakdown but you must show the percentage charged for each full/part time employee.

Line 6c: **Travel**: Enter total costs of all travel (local and non-local) for staff on the project.

NEW: Local travel is considered under this cost item not under Other. Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.

In the Justification: Include the total number of trips, number of travelers, destinations, purpose (e.g., attend conference), length of stay, subsistence allowances (per diem), and transportation costs (including mileage rates).

Line 6d: **Equipment**: Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e.

In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its subrecipient.

Line 6e: **Supplies**: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

In the Justification: For any grant award that has supply costs in excess of 5% of total direct costs (Federal or Non-Federal), you must provide a detailed break down of the supply items (e.g., 6% of $100,000 = $6,000 – breakdown of supplies needed). If the 5% is applied against $1 million total direct costs (5% x $1,000,000 = $50,000) a detailed breakdown of supplies is not needed. Please note: any supply costs of $10,000 or less regardless of total direct costs does not require a detailed budget breakdown (e.g., 5% x $200,000 = $10,000 – no breakdown needed).

Line 6f: **Contractual**: Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any awards to organizations for the provision of technical assistance. Do not include payments to individuals on this line. Please be advised: A subrecipient is involved in financial assistance activities by receiving a sub-award and a subcontractor is involved in procurement activities by receiving a sub-contract. Through the recipient, a subrecipient performs work to accomplish the public purpose authorized by law. Generally speaking, a sub-contractor does not seek to accomplish a public benefit and does not perform substantive work on the project. It is merely a vendor providing goods or services to directly benefit the recipient, for example procuring landscaping or janitorial services. In either case, you are encouraged to clearly describe the type of work that will be accomplished and type of relationship with the lower tiered entity whether it be labeled as a subaward or subcontract.

In the Justification: Provide the following three items – 1) Attach a list of contractors indicating the name of the organization; 2) the purpose of the contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The Federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at $100K in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR Part 75 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

Line 6g: **Construction**: Leave blank since construction is not an allowable costs for this program.

Line 6h: **Other**: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits), non-contractual fees and travel paid directly to individual consultants, postage, space and equipment rentals/lease, printing and publication, computer use, training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs.

Note: A recent Government Accountability Office (GAO) report number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. If meals are to be charged towards the grant they must meet the following criteria outlined in the Grants Policy Statement:

Meals are generally unallowable except for the following:

For subjects and patients under study(usually a research program);

Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);

When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;

As part of a per diem or subsistence allowance provided in conjunction with allowable travel; and

Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances (Note: the sole purpose of the grant award is to hold a conference).

In the Justification: Provide a reasonable explanation for items in this category. For example, individual consultants explain the nature of services provided and the relation to activities in the work plan or indicate where it is described in the work plan. Describe the types of activities for staff development costs.

Line 6i: **Total Direct Charges**: Show the totals of Lines 6a through 6h.

Line 6j: **Indirect Charges**: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. **State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.** An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on the Federal share of your direct costs. Any unused portion of the grantee's eligible Indirect Cost amount that are not claimed on the Federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

Line 6k: **Total**: Enter the total amounts of Lines 6i and 6j.

Line 7: **Program Income**: As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If

program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

c. Standard Form 424B – Assurances (required)

This form contains assurances required of applicants under the discretionary funds programs administered by the Administration for Community Living. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

d. Certification Regarding Lobbying (required)

This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

Proof of Nonprofit Status (as applicable)

Non-profit applicants must submit proof of non-profit status. Any of the following constitutes acceptable proof of such status:

- A copy of a currently valid IRS tax exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

Indirect Cost Agreement

Applicants that have included indirect costs in their budgets must include a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency. This is optional for applicants that have not included indirect costs in their budgets.

Budget Narrative/Justification- Sample Format

NOTE: Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	$47,700	$23,554	$0	$71,254	**Federal** Project Director (name) = .5 FTE @ $95,401/yr = $47,700 **Non-Fed Cash** Officer Manager (name) = .5FTE @ $47,108/yr = $23,554 **Total** 71,254

Fringe Benefits	$17,482	$8,632	$0	$26,114	**Federal** Fringe on Project Director at 36.65% = $17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) **Non-Fed Cash** Fringe on Office Manager at 36.65% = $8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)
Travel	$4,707	$2,940	$0	$7,647	**Federal** Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles $2,457 Lodging: 15 days @ $110/day $1,650 Per Diem: 15 days @ $40/day $600 Total $4,707 **Non-Fed Cash** Travel to National Conference in (Destination) for 3 people Airfare 1 RT x 3 staff @ $500 $1,500 Lodging: 3 days x 3 staff @ $120/day $1,080 Per Diem: 3 days x 3 staff @ $40/day $360 Total $2,940
Equipment	$10,000	$0	$0	$10,000	No Equipment requested OR: Call Center Equipment Installation = $5,000 Phones = $5,000 Total $10,000
Supplies	$3,700	$5,670	$0	$9,460	**Federal**

					2 desks @ $1,500 $3,000 2 chairs @ $300 $600 2 cabinets @ $200 $400 **Non-Fed Cash** 2 Laptop computers $3,000 Printer cartridges @ $50/month $300 Consumable supplies (pens, paper, clips etc…) @ $180/month $2,160 Total $9,460
Contractual	$30,171	$0	$0	$30,171	(organization name, purpose of contract and estimated dollar amount) Contract with AAA to provide respite services: 11 care givers @ $1,682 = $18,502 Volunteer Coordinator = $11,669 Total $30,171 *If contract details are unknown due to contract yet to be made provide same information listed above and:* A detailed evaluation plan and budget will be submitted by (date), when contract is made.
Other	$5,600	$0	$5,880	$11,480	**Federal** 2 consultants @ $100/hr for 24.5 hours each = $4,900 Printing 10,000 Brochures @ $.05 = $500 Local conference registration fee (name conference) = $200 Total $5,600 **In-Kind** **Volunteers** 15 volunteers @ $8/hr for 49 hours = $5,880

Indirect Charges	$20,934	$0	$0	$20,934	21.5% of salaries and fringe = $20,934 IDC rate is attached.
TOTAL	$140,294	$40,866	$5,880	$187,060	

Budget Narrative/Justification - Sample Template

NOTE: Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	**Federal Funds**	**Non-Federal Cash**	**Non-Federal In-Kind**	**TOTAL**	**Justification**
Personnel					
Fringe Benefits					
Travel					
Equipment					
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

Project Work Plan - Sample Template

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a Project Work Plan for EACH potential year of grant funding requested.

Goal:

Measurable Outcome(s):

* Time Frame (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
1.														
2.														
3.														
4.														

5.														
6.														

NOTE: Please do note infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

Instructions for Completing the Project Summary/ Abstract

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, limit the length to 265 words or less, on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

Goal(s) - broad, overall purpose, usually in a mission statement, i.e. what you want to do, where you want to be.

Objective(s) - narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning process or sequence (the "how") to attain the goal(s).

Outcomes - measurable results of a project. Positive benefits or negative changes, or measurable characteristics among those served through this funding (e.g., clients, consumers, systems, organizations, communities) that occur as a result of an organization's or program's activities. These should tie directly back to the stated goals of the funding as outlined in the funding opportunity announcement. (Outcomes are the end-point)

Products - materials, deliverables.

- A model abstract/summary is provided below:

The Delaware Division of Services for Aging and Adults with Physical Disabilities (DSAAPD), in **partnership** with the Delaware Lifespan Respite Care Network (DLRCN) and key stakeholders will, in the course of this two-year project, expand and maintain a statewide coordinated lifespan respite system that builds on the infrastructure currently in place. The **goal** of this project is to improve the delivery and quality of respite services available to families across age and disability spectrums by expanding and coordinating existing respite systems in Delaware. The **objectives** are: 1) to improve lifespan respite infrastructure; 2) to improve the provision of information and awareness about respite service; 3) to streamline access to respite

services through the Delaware ADRC; 4) to increase availability of respite services. Anticipated **outcomes** include: 1) families and caregivers of all ages and disabilities will have greater options for choosing a respite provider; 2) providers will demonstrate increased ability to provide specialized respite care; 3) families will have streamlined access to information and satisfaction with respite services; 4) respite care will be provided using a variety of existing funding sources and 5) a sustainability plan will be developed to support the project in the future. The expected **products** are marketing and outreach materials, caregiver training, respite worker training, a Respite Online searchable database, two new Caregiver Resource Centers (CRC), an annual Respite Summit, a respite voucher program and 24/7 telephone information and referral services.

Instructions for Completing the "Supplemental Information for the SF-424" Form

1. Project Director.

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

2. Novice Applicant. Select "Not Applicable To This Program."

For NIDILRR applicants:

The one-page abstract should be 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. Applicants are required to include a one-page (single- or double-spaced) project summary of the proposed R/R&D including at least the following:

1. Name and address of SBC.
2. Name and title of principal investigator or project manager.
3. Agency name, CFDA number (93.433), and the words “SBIR Phase I”.
4. Title of project.
5. Technical abstract.
6. Summary of the anticipated results and implications of the approach (both Phases I and II) and the potential commercial applications of the research.

Note: Nothing in this section should be proprietary or confidential.

3a. Human Subjects Research. Check **No** if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable. Check **Yes** if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check **Yes** even if the research is exempt from the regulations for the protection of human subjects.

3b. Human Subjects Research. **Yes** if all the research activities proposed are designated to be exempt from the regulations. Check the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. Exemptions. In addition, follow the instructions in II. A. Exempt Research Narrative below.

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

3b. Human Subjects Assurance Number. If the applicant has an approved Federal Wide Assurance (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. (A list of current FWAs is available at: http://ohrp.cit.nih.gov/search/search.aspx?styp=bsc) If the applicant does not have an approved assurance on file with OHRP, enter None. In this case, the applicant, by signature on the SF-424, is declaring that it will proceed to obtain the human subjects assurance upon request by the designated NIDILRR official. If the application is recommended/selected for funding, the designated NIDILRR official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

Note about Institutional Review Board Approval. NIDILRR does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated NIDILRR official will request that the applicant obtain and send the certification to NIDILRR within 30 days after the formal request. **No covered human subjects research can be conducted until the study has NIDILRR clearance for protection of human subjects in research.**

I. Definitions and Exemptions

A. Definitions.

Research

a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

Human Subject

"a living individual about whom an investigator (whether professional or student) conducting research information. (1) If an activity involves obtaining information about a living person by manipulating that person or that persons environment, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be directly or indirectly linked to that individual), the definition of human subject is met.

B. Exemptions.

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

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.***

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving*** **educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. [***This exemption applies only to retrospective studies using data collected before the initiation of*** the research.]

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs. ***[The standards of this exemption are rarely met because it was*** designed to apply only to specific research conducted by the Social Security Administration and some Federal welfare benefits programs.]

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked Yes for Item 3.b. of the Supplemental Information for the SF 424, the applicant must attach a human subjects exempt research or nonexempt research narrative to the Supplemental Information for the SF-424 form. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked Yes for item 3.b. and designated exemption numbers(s), attach the exempt research narrative to the Supplemental Information for the SF-424. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by NIDILRR that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked No for item 3.b. you must attach the nonexempt research narrative to the Supplemental Information for the SF-424. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

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

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

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

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

(5) **Protection Against Risk**: Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the

event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained**: Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

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