

**U.S. Department of Education**

**SMALL BUSINESS INNOVATION RESEARCH PROGRAM**

**Fast-Track (Phase I and Phase II)**

**REQUEST FOR PROPOSALS**

**RFP Number: ED-07-R-0003  
Institute of Education Sciences**

**Priority 1: Education Technology Products For Students**

**Priority 2: Education Technology Products for Teachers**

**Priority 3: Education Technology Products for School or District Administrators**

**ISSUE DATE: November 6, 2006**

**CLOSING DATE: January 8, 2007**

**10:00AM Eastern Standard Time**

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**U.S. DEPARTMENT OF EDUCATION  
INSTITUTE OF EDUCATION SCIENCES  
SMALL BUSINESS INNOVATION RESEARCH PROGRAM**

**FAST-TRACK (PHASE I and PHASE II)**

**PROGRAM SOLICITATION FOR FY 2007**

**1. PROGRAM OVERVIEW**

**A. Introduction**

The Department of Education's (ED) Institute of Education Sciences (Institute) invites small business firms to submit "Fast-Track" (Phase I and Phase II) research proposals under this program solicitation entitled Small Business Innovation Research (SBIR). Firms with strong research or research and development (R/R&D) capabilities in education technology in the priority area listed within are encouraged to participate. Consultative or other arrangements between such firms and universities or other non-profit organizations are permitted, but the small business must serve as the contactor.<sup>1</sup>

The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting ED research and development needs, increase the commercial proposal of ED-supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation.

**B. SBIR Program Description and Award Levels for Fiscal Year 2007**

The SBIR program consists of three phases. The following describes these phases, and the current solicitation for Fast-Track (Phase I and II) proposals in 2007:

**Phase I.** – Phase I is to determine, insofar as possible, the scientific or technical merit of ideas submitted under the SBIR program. The proposal should concentrate on R/R&D that will significantly contribute to proving the feasibility of the technological approach, a prerequisite for further ED support in Phase II. Institute awards are for periods up to 6-months in amounts up to \$100,000.

**Phase II.** – Phase II is to expand on the results of and to further pursue the development of Phase I projects. Phase II is the principal R/R&D effort. It requires a more comprehensive proposal, outlining the effort in detail including the commercial potential. Awards are for periods up to 2-years in amounts up to \$750,000.

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

**Phase III.** – In Phase III, the small business uses non-SBIR capital to pursue commercial proposals of the R/R&D. Also, under Phase III, Federal agencies may award non-SBIR follow-on funding for products or processes that meet the needs of those agencies.

Both Phase I and Phase II awards may include a reasonable profit/fee.

**Fast-Track (Phase I and Phase II).** –

This Fast-Track (Phase I and Phase II) solicitation intends to fund meritorious proposals that have a high potential for the commercialization of technologically innovative products that contribute to improved student learning and academic achievement in the field of education. The Fast-Track mechanism has the potential to minimize any funding gap between the Phase I and Phase II periods.

Fast-Track utilizes a process in which components from Phase I and Phase II are incorporated within one solicitation, submitted as one proposal, and reviewed simultaneously. Phase I awards will be made in May or June of 2007 following the technical evaluation review process. The decision to fund the Phase II portion of the award will occur after the successful completion of the technical objectives that are set forth for the Phase I period, and after the submission and review of the Phase I final report. Awardees whose Phase I objectives are achieved will proceed to Phase II. Awardees whose objectives are not met will not be funded during Phase II.

Fast-Track proposals include key aspects of both the traditional Phase I and Phase II proposals. The Phase I portion of the Fast-Track proposal must specify clear, measurable goals (milestones) in development of a prototype of an education technology product. This work must be achieved prior to initiating Phase II work. The Phase II portion of the Fast-Track proposal must (1) specify clear, measurable goals (milestones) that detail the R/R&D process through which the prototype will become, or will be on a trajectory to become, a commercially viable education technology product, (2) provide an evaluation plan to determine the efficacy of the product to lead to the intended outcomes under conditions that would be typical if a school or other source were to implement the product, and (3) detail a commercialization plan for the sale and distribution of the product should all the technical objectives be achieved.

**NOTE:** This solicitation is for Fast-Track (Phase I and Phase II) proposals only.

**C. Authorization**

P.L. 106-554, the “Small Business Reauthorization Act of 2000 (the “Act”) was enacted on December 21, 2000. The Act requires certain agencies, including the Department of Education, to establish SBIR programs by reserving a statutory percentage of their extramural research and development budgets to be awarded to small business concerns for R/R&D through a uniform, highly competitive, three-phase process. The Act further requires the Small Business Administration (SBA) to issue policy directives for the general conduct of the SBIR programs within the Federal Government.

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

<http://www.sba.gov/sbir/sbirpolicydirective.html>

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

#### **D. Offeror Eligibility**

Each organization submitting a proposal must qualify as a small business concern as defined by the SBA at the time of the award. The definition of a small business concern is included in “Definitions” (see Section III).

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 R/R&D work must be performed in the United States. “United States” means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

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

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

#### **E. Proposal Limitations**

A proposal must be relevant and appropriate to priorities listed in this program solicitation (see Section 8 for the priority under this solicitation). There is no limitation on the number of different proposals that an offeror may submit under this competition. Duplicate proposals will be returned without review.

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

The Department of Education is required under P.L. 106-554 to participate in the Small Business Innovation Research (SBIR) program. The Government's obligation under this award is contingent upon the availability of appropriated funds from which payments are made. The Department is not bound by the estimates given below.

The Institute expects to make approximately 4 Fast-Track Awards in 2007, with Phase I up to \$100,000 and Phase II up to \$750,000. The Institute expects to announce awards by May, 2007. The Phase I project start date should be before June 30, 2007. Successful offerors have up to 6 months to carry out the proposed Phase I effort. The Phase II start date should be before December 31, 2007. Successful offerors have up to 2 years to carry out the proposed Phase II effort.

### **G. Important Notices**

#### **Award Limits**

The Institute has the following award limits for the SBIR program:

Phase I limit -- \$100,000

Phase II limit -- \$750,000

**NOTE: The Institute is under no obligation to fund any specific proposal or make any specific number of awards. The Institute may elect to fund several or none of the proposed projects within the priority areas. The Institute is not responsible for any monies expended by an offeror before an award.**

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## **2. AGENCY CONTACT**

All questions must be directed in writing to Adam Goldstein. Any responses would be posted as an amendment to the solicitation on FedBizOpps. The Government cannot guarantee that questions submitted after December 5, 2006, will receive a response.

**Adam Goldstein**  
Contract Specialist  
US Department of Education  
550 12th Street, SW Room 7122  
Washington, DC 20065-4230  
Phone: (202) 245-6123  
Fax: (202) 245-6297  
Email: [Adam.Goldstein@ed.gov](mailto:Adam.Goldstein@ed.gov)

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### **3. DEFINITIONS**

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

#### **Affiliate**

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

#### **Awardee**

The SBC receiving an SBIR funding agreement.

#### **Commercialization**

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

#### **Contract**

An award instrument establishing a binding legal procurement relationship between a funding agency and the recipient, obligating the latter to furnish an end product or service and binding the agency to provide payment therefore.

#### **Essentially Equivalent Work**

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

#### **Extramural Budget**

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

#### **Feasibility**

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

#### **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.

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

An SBC meeting the following criteria:

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

### **Innovation**

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

### **Intellectual Property**

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

### **Joint Venture**

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

### **Key Personnel**

In addition to the principal investigator, Key Personnel are defined as individuals who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries are requested. Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of Key Personnel. Consultants should also be included if they meet the definition of Key Personnel. Key Personnel must devote measurable effort to the project whether or not salaries are requested - "zero percent" effort or "as needed" are not acceptable levels for those designated as Key Personnel.

### **Manufacturing (Executive Order 13329)**

Executive Order 13329 ensures that Federal agencies assist the private sector in its manufacturing innovation efforts. Manufacturing-related R/R&D encompasses improvements in existing methods or processes, or wholly new processes, machines or systems. Broadly speaking, ED's SBIR program encourages R/R&D in manufacturing through systems level technology development. These projects encompass a range of topics, such as artificial intelligence, IT devices, software, delivery systems, rehabilitation technology, assistive technology and devices, and product design, among others. It is likely that some products funded under this solicitation will be manufactured (e.g. large-scale production) after the Phase II R/R&D is completed. For more information on Executive Order 13329, please visit the following website <http://www.sba.gov/sbir/execorder.html> or contact the Department of Education's SBIR Program Manager Edward Metz at [Edward.Metz@ed.gov](mailto:Edward.Metz@ed.gov).

### **Other significant contributors**

This category identifies individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort to the projects. These individuals are typically presented at "zero percent" effort or "as needed" (individuals with measurable effort cannot be listed as Other Significant Contributors). Consultants should be included if they meet this definition.

### **Offeror**

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

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

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

### **Prototype**

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

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

Any activity that is:

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

### **SBIR Technical Data**

Means all data generated in the performance of any SBIR funding agreement.

### **SBIR Technical Data Rights**

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

### **Small Business Concern**

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

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

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

A member of any of the following groups:

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

**Subcontract**

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

**United States**

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

**Woman-Owned Small Business Concern**

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

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## **4. CONTRACT PROPOSAL PREPARATION INSTRUCTIONS AND REQUIREMENTS**

### **A. Proposal Requirements**

A proposal to ED under the SBIR program should present a sound approach to the research and development of an education technology product for the purpose of improving student learning and achievement. A proposal should be self-contained and written with the care and thoroughness accorded to papers for publication. The offeror should review the program solicitation carefully to ensure that information and data essential for evaluation are included. The scientific and technical merit of the proposed research is the primary concern for all research supported by the Institute.

*[NOTE: The number of points weighted to this area is contained in the “Evaluation Criteria.”]*

The proposal's R/R&D must be responsive to the program objectives, but it should also serve as the base for technological innovation, new commercial products that may benefit the public. A firm must not propose market research, patent proposals, or litigation. The Phase I R/R&D should be carried out through construction and evaluation of a functioning prototype.

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

### **B. Protection of Information in Proposals**

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

### **C. Limitations on Length of Proposal**

This program solicitation is designed to reduce the investment of time and money to small firms in preparing a formal proposal. Those who wish to respond should submit an SBIR Fast-Track (Phase I and Phase II) proposal narrative of no more than 50 pages, *excluding* the contents in Appendix A (letters of support – maximum of 6 letters), Appendix B (documentation of prior multiple Phase II awards), Appendix C (biographical summary certification pages), Appendix D (human subjects), or Appendix E (ED required forms). No other appendix, other than the appendices specified above, may be submitted and, if submitted, will not be considered in the review of the proposal for scientific and technical merit.

***NOTE: In the interest of equity to all offerors, all information not specified in the appendices above must be in the 50 pages.***

Your proposal will be rejected if it does not conform to the following requirements:

A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides. Single space all text in the proposal narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

To ensure that the text is easy for reviewers to read and that all offerors have the same amount of available space in which to describe their projects, offerors must adhere to the type size and format specifications for the entire proposal narrative, including footnotes, or the proposal will be returned without review.

The proposal must conform to the following four requirements:

- The height of the letters must not be smaller than 12 point.
- Type density, including characters and spaces, must be no more than 15 characters per inch (cpi). For proportional spacing, the average for any representative section of text must not exceed 15 cpi.
- There must be no more than 6 lines of type within a vertical inch.
- Standard black type should be used to permit photocopying.

Offerors should check the type size using a standard device for measuring type size, rather than relying on the font selected for a particular word processing/printer combination. Figures, charts, tables, and figure legends may be smaller in size but must be readily legible. The type size used must conform to all four requirements. Small type size makes it difficult for reviewers to read the proposal; consequently, the use of small type will be grounds for the Institute to return the proposal without peer review. Adherence to type size and line spacing requirements is also necessary so that no offeror will have an unfair advantage, by using small type, or providing more text in their proposals. As a practical matter, offerors who use a 12-point Times New Roman without compressing, kerning, condensing or other alterations typically meet these requirements.

The proposal must contain only material that reproduces well when photocopied in black and white.

For the Project Narrative - Technical Content component, a proposal should indicate the number and text of each selection criterion followed by the narrative. An offeror should place a page number at the bottom right of each page beginning with 1; and number the pages consecutively throughout the document.

#### **D. Fast-Track (Phase I and Phase II) Proposal Guidance**

To avoid any misunderstanding, offerors should be aware that proposals not satisfying all the required instructions will be returned to the proposing organization without review.

Those proposals may not be resubmitted with or without revision under this program solicitation.

**1. Contractor Registration:** Before ED can award a contract to a successful offeror under this solicitation, the offeror must be registered in the Central Contractor Registration (CCR) database and the Online Representations and Certifications Application (ORCA). The CCR allows Federal Government contractors or firms interested in conducting business with the Federal Government to provide basic information on business capabilities and financial information. To register, visit [www.ccr.gov](http://www.ccr.gov) or call 1-888-227-2423. ORCA is a web-based system that centralizes, standardizes, and moves the collection and storing of contractor representation and certifications online. To register in ORCA visit <http://orca.bpn.gov/>. Please contact those sites directly for technical support—ED does not provide technical support for either CCR or ORCA. Offerors that do not have a current registration in both CCR and ORCA at the time of award will be excluded from the competition.

In addition to registering in CCR and ORCA, offerors must complete the certifications contained in Appendix E of this document. Offers without completed Appendix E certifications are not eligible for award. Offerors shall submit one copy of the completed certifications with the proposal. This should be a separate document from the proposal and will not be counted the page limit.

**2. PROJECT NARRATIVE – KEY INFORMATION, ABSTRACT, CERTIFICATIONS, STATEMENTS, AND LEGEND**

***NOTE: All of the “2. Project Narrative” components (a through e) must be included within pages 1, 2, and 3 of the proposal. No other cover pages should precede page 1.***

a) **KEY INFORMATION.**

- 1) Project title:
- 2) Name and website (if applicable) of the small business concern:
- 3) Name and contact information (address, phone/fax, and email) for the principle investigator:
- 4) Name and contact information for a representative of the concern authorized to represent the concern in negotiations:
- 5) Names and professional affiliations of all project team members:

b) **PRIORITIES.**

Select the one priority area that is most appropriate for this project: (Note: See Section 8 for information on the Priority Areas.)

- Priority 1: Education technology products for students
- Priority 2: Education technology products for teachers
- Priority 3: Education technology products for school or district administrators

c) **ABSTRACT.** The offeror should provide an abstract with the following two components. (*NOTE: Nothing in this section should be proprietary or confidential.*)

- 1) Technical Abstract of no more than 200 words.
- 2) Summary of Anticipated Results and Potential Commercial Proposals of the research for both Phases I and II of no more than 200 words.

d) **CERTIFICATIONS.** The offeror should respond to the following certifications required by the Small Business Administration.

**Small Business Certification –**

Does the offeror certify that it is a SBC and meets the definition as stated in the program solicitation or that it will meet that definition at the time of award?

Yes       No

*[NOTE: The next 4 items are for statistical purposes only.]*

**Socially and Economically Disadvantaged SBC Certification –**

Does the offeror qualify as a socially and economically disadvantaged SBC and meet the definition as stated in this program solicitation?

Yes       No

**Woman-owned SBC Certification –**

Does the offeror qualify as a woman-owned SBC and meet the definition as stated in this program solicitation?

Yes       No

**HUBZone-owned SBC Certification –**

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

Yes       No

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

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

**Service Disable Veteran Owned Small Business Certification –**

Does the offeror qualify as a Service Disable Veteran Owned Small Business and meet the definition as stated in this program solicitation?

Yes       No

*[NOTE: The next item would be used as a tie-breaker in cases where there is a tie between offerors]*

**Manufacturing-Related Project Certification –**

If the Phase I and Phase II R/R&D leads to a completed product, is it possible that this product will be manufactured (e.g. production) on a wide scale basis?

Yes       No

*NOTE: In cases where there is a tie in the award selection process, ED will give priority to projects that are manufacturing-related. (This “tie-breaker” specification allows the ED program to apply an additional preference without compromising the quality standards or established criteria of the program.)*

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

**Duplicate Research Statement –**

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

Yes       No

If yes, identify proposals and/or awards in “Project Narrative – RELATED PROPOSAL(S) OR AWARD(S).”

**Disclosure Permission Statement –**

Will the offeror 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 offeror’s firm, if the proposal does not result in an award, to concerns that may be interested in contacting you for further information?

Yes       No

- e) **LEGEND FOR PROPRIETARY INFORMATION.** Information contained in unsuccessful proposals will remain the property of the offeror. The 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 provided by an offeror in a proposal constitutes a trade secret, proprietary commercial or financial information, confidential personal information, or data affecting the national security, it will be treated in confidence, to the extent permitted by law. This information must be clearly marked by the offeror with the term “confidential proprietary information” and the following legend must appear in this section of the proposal:

“These data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this proposal. If a funding agreement is awarded to this

offeror as a result of or in connection with the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages \_\_\_\_\_ of this proposal.”

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

### **3. PROJECT NARRATIVE – TECHNICAL CONTENT**

***NOTE: Begin the main body of the proposal “3. Project Narrative – Technical Content” on Page 4.***

#### **1. Identification and Significance of the Problem or Opportunity.**

- The first paragraph of this section shall contain a clear and succinct statement specifying the intended product that will be developed as a result of Phase I and Phase II R/R&D. Note the intended user of the product (e.g., middle school science students, struggling adult readers), and the intended outcomes that will come from using the product (e.g., improve knowledge of biology; improve English vocabulary knowledge).
- Describe the rationale for the project. This includes the theoretical and empirical foundations for the project. For example, what theory and empirical evidence indicate that the proposed technology is likely to improve educational outcomes for students relative to education practices currently employed in schools? As another example, if school administrators are the intended users, describe the theory and empirical evidence that suggest that schools would be operated more effectively if administrators utilized the proposed technology.

#### **2. Phase I Technical Objectives:**

- State the specific objectives of the Phase I R/R&D effort, including the technical questions it will try to answer to determine the feasibility of the proposed approach. The purpose is to demonstrate that the objectives are appropriate for the 6-month period.

*NOTE: The main objective for the Phase I period is for the R/R&D of a prototype of an education technology product.*

#### **3. Phase I Work Plan**

- Provide a detailed plan describing the technological R/R&D that will occur in developing the prototype, including what will be done, where it will be done, and how it will be carried out. The Phase I R/R&D technological plan should address the

objectives and the questions proposed in Section 4.3.2 (Phase I Technical Objectives) immediately above. A work schedule should also be provided.

- Present a research plan that details the work to examine the feasibility and usability of the prototype that is developed during Phase I. Phase I plans should include testing the prototype to obtain feedback on the feasibility of its implementation and difficulties encountered by users, and to provide an opportunity for suggestions on improving the technology.
- Include plans to conduct a preliminary study and collect pilot data that will allow the offeror to examine the relationship between using the prototype and its intended outcomes. The proposed research design should be appropriate for addressing the research questions or hypotheses that are posed in Phase I. The primary question of interest is, "Given the R/R&D that has occurred in Phase I, is there a positive relationship between the use of the prototype and the intended outcomes?"
- Discuss the significance of the Phase I effort in providing a foundation for the Phase II R/R&D effort.

*NOTE: In Phase I research the use of quantitative or a combination of quantitative and qualitative methods would be appropriate.*

#### 4. Phase II Technical Objectives

- State the specific objectives of the Phase II R/R&D effort, including the technical questions it will try to answer to determine the feasibility of the proposed approach.

*NOTE: The Phase II portion of the Fast-Track proposal should describe the R/R&D process through which the prototype will become (or will be on a trajectory to become) a commercially viable education technology product.*

#### 5. Phase II Work and Research Plan.

- Include a detailed plan describing the technological R/R&D that will occur in Phase II, including what will be done, where it will be done, and how it will be carried out. The Phase II R/R&D technological plan should address the objectives and the questions cited in Section 4.3.4 (Phase II Technical Objectives) immediately above. A work schedule should also be provided.
- Describe a detailed research plan to test the feasibility and usability of the product that will be developed.
- Describe a research plan to test the efficacy of the product under conditions that would be typical if a school or other source were to implement the product.
  - For products used by students, the primary question of interest is, "Does this product produce a net positive increase in student learning and achievement relative to what otherwise would be available or utilized?"
  - For products used by teachers, the primary question of interest may be, "Does this product improve student learning?" or it may be "Does this product improve teachers' ability to carry out their job on some quantifiable measure (e.g., does it reduce the amount of time teachers spend recording and calculating students' grades)?"
  - For products used by administrators, the primary question of interest is, "Does this product produce a net positive increase in administrators' "

ability to carry out their job relative to what otherwise would be utilized on some quantifiable indicator (e.g., does use of the proposed technology reduce the amount of time administrators must spend doing a particular task)?"

- Research Requirements by Priority:
  - Offerors whose proposals are within Priority 1 (Products used by students) must include student outcome data to test whether using the product results in improved student outcomes.
  - Offerors whose proposals are within Priority 2 (Products used by teachers) should demonstrate that if teachers use the proposed technology, their students will have better outcomes.
  - Offerors whose proposals are within Priority 3 (Products used by administrators) should evaluate whether the product changes administrators' behavior and improves the manner by which administrators operate and manage schools.

Because the Institute intends to award funds for the R/R&D of education technology products that improve student learning and academic achievement or the efficiency of school administrators, studies using randomized assignment to treatment and comparison conditions are strongly preferred. When a randomized trial is used, the offeror should clearly state the unit of randomization (e.g., students, classroom or teacher, or school) and procedures for the assignment of groups. *Only in circumstances in which a randomized trial is not feasible* should alternatives be employed. Offerors proposing a design other than a randomized design must make a compelling case that randomization is not possible.

When describing the research design, offerors should:

- Describe the sample to be selected and the sampling procedures to be employed;
- Indicate whether/how many school(s) (education delivery settings) have agreed to participate in this research. In Appendix A, offerors should include the list of schools that have agreed to participate in the project. As well, in Appendix A, offerors should include a “letter of agreement for participation” in the research to test the efficacy of the product from one of these schools;  
*NOTE: Letters that have been secured from other school(s) (education delivery settings) that are noted in a proposal should be available to be provided to ED upon request.*
- Describe strategies employed to avoid contamination between treatment and comparison groups, and to account for what occurs in the comparison group relative to the impact of the treatment;
- Include a power analysis (for more information on power analysis, refer to the National Center for Education Research 2006 Request for Applications, p. 72, available at <http://ies.ed.gov/funding/doc/2007305.doc>).

- Include information on the reliability and validity of the proposed measures;
- The relation between hypotheses, measures, and independent and dependent variables should be clear;
- Include a clear and detailed description of the data analysis procedures.

Although the offeror must include relevant quantifiable data to address the efficacy of products (e.g., student achievement test data), this requirement does *not* preclude the collection of process data. Observational or qualitative methodologies are encouraged as a complement to quantitative measures to assist in the identification of factors that, for example, explain the efficacy of the product or to identify conditions that hinder implementation of the intervention. Documentation of the resources required to implement the product and a cost analysis are also encouraged as part of the study.

#### 6. Related R/R&D

- Describe any significant R/R&D that is directly related to the proposal including any conducted by the project manager/principal investigator or by the proposing small business concern. Describe how it relates to the proposed effort, and any planned coordination with outside sources. The offeror must persuade reviewers of his or her awareness of key, recent, R/R&D conducted by others in the specific topic area.

#### 7. Relationship with Future R/R&D

- State the anticipated results of the proposed approach if the project is successful (Phase I and Phase II).

#### 8. Commercialization Plan

- All Fast-Track proposals must include a succinct Commercialization Plan. Provide a description in each of the following areas:

a) Project Value, Expected Outcomes, and Impact. Describe, in layperson's terms, the proposed project and its key technology objectives. Clarify the need addressed, specifying weaknesses in the current approaches to meet this need. In addition, describe the commercial proposals of the research and the innovation inherent in this proposal. Be sure to also specify the potential societal, educational, and/or scientific benefits of this work. Explain the non-commercial impacts to the overall significance of the project. Briefly explain how the SBIR project integrates with the overall business plan of the company.

b) Company. Give a brief description of your company including corporate objectives, core competencies, present size (annual sales level and number and types of employees), history of previous Federal and non-Federal funding, regulatory experience, and subsequent commercialization, and any current products/services that have significant sales. Include a short description of the origins of the company. Indicate your vision for the future, how you will grow/maintain a sustainable business entity, and how you will

meet critical management functions as your company evolves from a small technology R/R&D business to a successful commercial entity.

c) Market, Customer, and Competition. Describe your marketing and sales strategy. Describe the market and/or market segments you are targeting and provide a brief profile of the potential customer. Tell what significant advantages your innovation will bring to the market, e.g., better performance, lower cost, faster, more efficient or effective, new capability. Explain the hurdles you will have to overcome in order to gain market/customer acceptance of your innovation. Describe any strategic alliances, partnerships, licensing agreements, or endorsements you have in place to help market and sell your product.

- Provide letters detailing such relationships/endorsements in Appendix A.

Give an overview of the current competitive landscape and any potential competitors over the next several years.

*NOTE: The offeror should demonstrate why/how the proposed product will be more effective than other products or services that are (or will be available) on the market.*

d) Intellectual Property (IP) Protection and Licensing. Describe how you are going to protect the IP that results from your innovation. Also note other actions you may consider taking that will constitute at least a temporal barrier to others aiming to provide a solution similar to yours. Describe the steps you will take to license your product.

e) Finance Plan. Describe the necessary financing you will require, and when it will be required, as well as your plans to raise the requisite financing to launch your innovation into Phase III and begin the revenue stream. Plans for this financing stage may be demonstrated in one or more of the following ways:

- Letter of commitment of funding (include in Appendix A);
- Letter of intent or evidence of negotiations to provide funding, should the Phase II project be successful and the market need still exist (include in Appendix A);
- Letter of support for the project and/or some in-kind commitment (include in Appendix A);
- Specific steps you are going to take to secure Phase III funding.

f) Production Plan. Describe how the production of your product will occur (e.g., in-house manufacturing, contract manufacturing).

g) 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.

Fast-Track offerors are encouraged to seek commitment(s) of funds and/or resources from an investor or partner organization for commercialization of the product(s) resulting from the SBIR award. Your Phase III funding may be from any of a number of different sources including, but not limited to: SBIR firm itself; private investors or "angels";

venture capital firms; investment companies; joint ventures; R/R&D limited partnerships; strategic alliances; research contracts; sales of prototypes (built as part of this project); public offering; state finance programs; non SBIR-funded R/R&D or production commitments from a Federal agency with the intention that the results will be used by the United States government; or other industrial firms. Documentation of such commitments should be included in Appendix A.

**NOTE: Offerors may provide up to 6 letters of interest/support/endorsement in Appendix A (one of which should be a letter of agreement for participation in research to test the efficacy of the product). Each letter must be less than 1-page in length. Letters in Appendix A are not counted toward the 50-page limit.**

#### 9. Bibliographical Summary of Key Personnel Detailing Directly Related Work

Identify key personnel in Phase I and Phase II. Describe their directly-related education, experience, and bibliographic information. Where vitae are extensive, biographical summaries that focus on the most relevant experience or publications may be necessary to meet proposal size limitation. List all other commitments that senior personnel have during the proposed period of performance.

Each biographical summary within the proposal must be accompanied by two certifications.

*NOTE: Biographical summaries must be included within the 50 pages. Certifications should not be included with the 50-page limit, but rather should be included in Appendix C.*

First, the member of key personnel must print the following certification and sign/date their name, "I hereby certify that this information is accurate to the best of knowledge and belief." Second, an employee of the offeror with the authority to bind the offeror must type the following certification, sign/date their name, and type their title, " I hereby certify that (company name) has verified the foregoing information and it is accurate to the best of our knowledge and belief."

**NOTE: Proposals will only be considered for funding in cases where a biographical summary (included within the 50-pages of text) is accompanied by a matching certification page in Appendix C.**

#### 10. Consultants

Involvement of consultants in the planning and research stages of the project is permitted. If such involvement is intended, it should be discussed in detail. [NOTE: See "Considerations" section for "Subcontracting Limits."]

#### 11. Facilities

The conduct of advanced research may require the use of sophisticated instrumentation or computer facilities. The offeror should provide a detailed description of the availability and location of the facilities and equipment necessary to carry out Phase I and Phase II.

## 12. Similar or Closely Related Proposals or Awards

If the small business concern has received ANY prior Phase I or Phase II award(s) from IES, ED, or any other Federal agency for similar or closely related research, submit the name of the awarding agency, date of award, funding agreement number, amount and topic or subtopic title. Describe the technical differences and reasons why the proposed new Phase I and Phase II research is different from the research conducted under prior SBIR awards. This required information shall be counted toward the proposal pages count limitation.

If an offeror 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 this proposal indicating: The name and address of agencies to which proposal(s) was/were submitted; The date(s) of proposal submission and date(s) of award; The title, number and date of SBIR program solicitation under which proposal(s) was/were submitted; The applicable research priority in the program solicitation for each SBIR proposal submitted or award received; The titles of research projects; The name and title of the principal investigator for each proposal submitted.

### **WARNING**

**While it is permissible, with proposal notification, to submit identical or essentially equivalent proposals for consideration under numerous Federal program solicitations, it is unlawful to enter into funding agreements requiring essentially equivalent effort. If there is any question concerning this it must be disclosed to the soliciting agency or agencies before award.**

## 13. Prior SBIR Phase II Awards

If the small business concern has received ANY prior Phase II award from any Federal agency in the prior 5 fiscal years, submit the name of awarding agency, the date of award, the funding agreement number, the amount, the topic or subtopic title, the follow-on agreement amount, source and the date of commitment and current commercialization status for each Phase II. This required proposal information shall not be counted toward proposal pages count limitation, and shall be included in Appendix B in the proposal.

## 14. Cost Breakdown/Proposed Budget

Please provide a separate Phase I budget and a Phase II budget. Please provide justification by including a detailed narrative description for each budget line item.

- 1) List all key personnel by name as well as by number of hours assigned to the project.
- 2) Equipment may be included in the Phase II budget. The inclusion of equipment will be carefully reviewed relative to need and appropriateness for the research proposed. Equipment is defined as an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit.  
*[NOTE: Title to equipment will be vested with ED unless it is determined that transfer of title to the applicant would be more cost effective than recovery of the equipment by ED.]*

- 3) Budgets for travel funds must be justified and related to the needs of the project.
- 4) Cost sharing is permitted for proposals under this solicitation. Phase I Budgets should not exceed \$100,000 for a six-month project, including subcontracts, indirect costs and fees, but excluding any proposed cost sharing. Phase II budgets should not exceed \$750,000 for a two-year project, including subcontracts, indirect costs and fees, but excluding any proposed cost sharing.
- 5) 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”).

As Appendix D to the proposal, offerors should include information on human subjects if it is applicable to their proposed research. Appendix D to the proposal will not count against the page limit. *If applicable*, include a brief narrative of human subject involvement. The human subjects research narrative does not count against. However, the narrative must be brief and to the point. For exempt research activities involving human subjects, the offeror must identify the exemption(s) that applies and provide sufficient information to allow ED to determine that the designated exemption(s) is appropriate. Normally, the exempt narrative can be provided in one paragraph. For covered (nonexempt) research, the offeror must cover the following seven points:

1. Human subjects involvement and characteristics. Provide characteristics of the subject population: anticipated number, age range, health status. Identify the criteria for inclusion or exclusion of any subpopulation.
2. Sources of materials. Identify sources of research material. 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.
4. Potential risks. Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness.
5. Protection against risk. Describe procedures for protecting against or minimizing potential risks.
6. Importance of knowledge to be gained. 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), name the sites and briefly describe their involvement or role in the research.

Normally, the seven-point nonexempt narrative can be provided in two pages or less.

Projects involving research on human subjects will require contractor compliance with the Department of Education's Protection of Human Subjects Regulations, 34 CFR Part 97. Copies of the Department of Education's regulations for the Protection of Human Subjects and related guidance are available at the ED website at:

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

For a quick overview, see in particular "Information About the Protection of Human Subjects in Research Supported by the Department -- Overview." For this and other information, you can also contact:

Protection of Human Subjects in Research Coordinator  
Grants Policy and Oversight Staff (GPOS)  
Office of the Chief Financial Officer  
Washington, DC 20202- 4250  
(202) 245-6153

If the work is subject to the human subjects research regulations, no research involving human subjects can be initiated until the contractor has met the regulations' requirements.

Unless all the proposed human subjects research meets one or more of the regulation's exemptions, the contractor will be requested to obtain the Federal Wide Assurance, unless it already has one, and to have the project's research protocol reviewed and approved by an Institutional Review Board (IRB). The costs related to obtaining required Institutional Review Board reviews can be included as a direct cost, provided the costs are necessary and reasonable.

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

Additionally, contractors must comply with the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. § 1232g, 34 CFR Part 99. FERPA is a law that protects the privacy of students' education records. Under FERPA an educational agency or institution may not have a policy or practice of disclosing education records, or personally identifiable information from education records, without the prior written consent of the parents of students who are or who have been in attendance, unless the disclosure meets one of the exceptions noted in the law. (Once a student reaches 18 years of age or attends a postsecondary institution, written consent must be obtained from the student.)

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

Family Policy Compliance Office -- U.S. Department of Education  
400 Maryland Avenue, SW -- Washington, D.C. 20202-5920

Information is also available on the ED website at:

<http://www.ed.gov/policy/gen/guid/fpc/index.html>

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## **5. METHOD OF SELECTION AND EVALUATION CRITERIA**

### **A. Introduction**

The goal of Institute-supported R/R&D is to contribute to the solution of education problems and to provide reliable information about the education practices that support learning and improve academic achievement. Reviewers will be expected to assess several aspects of a proposal in order to judge the likelihood that the proposed R/R&D will have a substantial impact on the pursuit of that goal. In the evaluation and handling of proposals, the Institute will make every effort to protect the confidentiality of the proposal and any evaluations. All Fast-Track (Phase I and Phase II) proposals will be judged on a competitive basis solely against the evaluation criteria (see below under D).

### **B. Pre-Review Screening**

All proposals will proceed through a pre-review screening to determine responsiveness to the specific requirements of the solicitation. If the answer to any of the following questions is "NO," the proposal will be returned to the offeror without review or further consideration.

- Does the proposal address all of the formatting requirements of the solicitation (e.g., page length, font)? Does the proposal contain all of the information required under "2-Project Narrative-Key Information, Abstract, Certifications, Statements, and Legend"?
- Is the proposal, excluding Appendix A (letters of support), Appendix B (documentation of prior Phase II awards), Appendix C (biographical summary certification page), Appendix D (human subjects), and Appendix E (ED required forms) less than 50 pages?
- Is the proposed R/R&D in the field of education, and applicable to the priority areas?
- In Appendix D, is there a certification page for each individual listed on the project personnel team, signed by the proposed employee and by someone with the authority to bind the company?

Any deviations from the proposal instructions may lead to a proposal being rejected.

### **C. Review Panels**

The evaluation process will proceed as follows:

- Each proposal that is approved through the pre-review screening process will be assigned to a technical evaluation review panel consisting of three reviewers from the agency, including research scientists and technology experts.
- The reviewers will review proposals and complete written evaluations by identifying strengths and weaknesses for each of the evaluation criteria (listed below under D).
- Reviewers will assign scores based on these evaluation criteria, with the maximum number of points for each criteria listed in parentheses.
- Panel members will meet to finalize their written evaluations and scores.

- Proposals for which any of the evaluation criteria are rated as deficient will be not eligible for award.
- Scores on each of the five criteria will be summed (for a maximum of 100 points).
- Proposals from all of the review panels will be ranked in order from highest average score out of 100 to lowest average score, with the top scores recommended for funding based on the availability of funds.
- Contracts staff will evaluate business-related aspects of proposals. The final award decision is made by the Contracting Officer, informed, but in no way obligated, by the recommendation of the technical evaluators.

#### **D. Evaluation Criteria**

Each proposal will be evaluated and scored according to the following criteria:

##### I. Significance (20 points)

- Does this project address an important problem in the field of education?
- Does the theoretical and empirical foundations for the project suggest that the product is likely to result in the intended outcomes (e.g., improved student learning)?
- Are the aims of the technological development new, original, and innovative?
- Does the proposed technology have a high degree of potential to lead to a widely disseminated and utilized product?

##### II. Phase I Workplan (20 points)

- Does the workplan specify clear, appropriate, well-integrated, and measurable goals (milestones) for the technological development of the prototype?
- Is the research design adequate to demonstrate the technological feasibility/usability of the prototype at the end of Phase I?
- Is the research design adequate to demonstrate the relationship between the prototype and the intended outcomes?
- Does the Phase I R/R&D provide a foundation for the Phase II efforts?

##### III. Phase II Workplan (20 points)

- Does the workplan specify clear, appropriate, well-integrated, and measurable goals (milestones) for the full-scale technological development of the prototype?
- Is the research design adequate to demonstrate technological feasibility/usability of the product?
- Is the research evaluation design adequate for demonstrating the efficacy of the product under conditions that would be typical if a school or other source were to implement the intervention?
- Has the offeror provided one letter of agreement from a school (or another education delivery setting) indicating the intention to participate in efficacy research of the product? Has the offeror indicated that letters of agreement from other schools (or another education delivery setting) are available to ED upon request?

#### IV. Commercialization Plan (20 points)

- Is the marketing plan to sell the product clear, appropriate, and well-integrated? Would the plan provide a competitive advantage in the current marketplace?
- Does the offeror adequately detail the necessary financing required to launch the innovation into Phase III and to begin the revenue stream?
- To what extent did the offeror obtain letters of intent to provide funding (should the project goals be achieved and the market need still exist) or letters of support for endorsing the product should it become commercially viable?

#### V. Project Team, Company/Resources, and Budget (20 points)

- Is the principal investigator appropriately trained and capable of managing the proposed project? Does the investigative team bring qualified expertise in the following areas: technological R/R&D, education theory, practice, and research, and business marketing?
- Is there adequacy of support, including facilities, equipment, supplies, and other resources, from the proposing firm and from sub-contractors? Has the proposing firm successfully commercialized SBIR-supported technology where prior awards have been made? (Or, has the firm been successful at commercializing non-SBIR related technology?)
- Are the Phase I and II budgets adequate to support the proposed project? Are the costs reasonable in relation to the objectives, design, and potential significance of the proposed project?

The Government intends to evaluate proposals and award a contract without discussions with offerors (except clarifications as described in FAR 15.306(a)). Therefore, the offeror's initial proposal should contain the offeror's best terms from a cost or price and technical standpoint. The Government reserves the right to conduct discussions if the Contracting Officer later determines them to be necessary. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals. All provisions of FAR 52.215-1 are incorporated by reference into this solicitation. The Contracting Officer has waived the requirement to evaluate past performance for this solicitation.

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## **6. CONSIDERATIONS**

### **A. Reports**

#### **Phase I of the Fast-Track Award:**

For Phase I, an interim progress report is required and will be due at the end of month 3. For Phase I, a final report is required and will be due at the end of month 6. The contractor shall email each report to the Contracting Officer's Representative and to the Contract Specialist.

The interim report shall include a brief description of the technological R/R&D carried out up to the end of month 3, the plans for feasibility testing and the pilot evaluation, an update on the commercial plan, an update on any obstacles encountered during the period, and a brief description of the potential commercial applications which will result from the Phase II R/R&D. This project summary is to be submitted without restriction on publication and may be published by ED.

The Phase I final report shall include a one-page project summary as the first page. The report shall identify the purpose of the R/R&D, include a brief description of the technological R/R&D carried out, the findings or results from the feasibility testing and the pilot evaluation, an update on the commercial plan, an update on any obstacles encountered during the period, and a description of the potential commercial applications which will result from the Phase II R/R&D. This project summary is to be submitted without restriction on publication and may be published by ED.

***NOTE: The Phase I final report will be reviewed and judged in order to determine whether the contractors should proceed to Phase II. Awardees whose Phase I objectives are achieved will proceed to Phase II. Awardees whose objectives are not met will not be funded during Phase II.***

All reports shall carry the following acknowledgment statement on the cover page:

“This material is based upon work supported by the U.S. Department of Education under purchase order number \_\_\_\_\_. Any opinions, findings, conclusions or recommendations expressed in this publication are those of the author(s) and do not necessarily reflect the views or policies of the Department of Education.”

#### **Phase II of the Fast-Track:**

For Phase II, a tri-yearly interim progress report is required and will be due at the end of months 10, 14, 18, 22, and 26. For Phase II, a final project report is required and will be due at the end of month 30. The contractor shall email each report to the Contracting Officer's Representative and to the Contract Specialist.

The interim reports shall include a brief description of the technological R/R&D carried out up to the end of the particular reporting period, an update on the feasibility testing and the research evaluation, an update on the commercial plan, an update on any obstacles encountered during the period, and a brief description of an update on the potential commercial applications which will result from the Phase II R/R&D. This project summary is to be submitted without restriction on publication and may be published by ED.

The Phase II final project report shall include a one-page project summary as the first page. The report shall identify the purpose of the R/R&D, include a detailed description of the technological R/R&D carried out, the findings or results from the feasibility testing and the research evaluation, an update on the commercial plan, a description of obstacles that were encountered, and a detailed description of the commercial applications resulting from the Phase II R/R&D. This project summary is to be submitted without restriction on publication and may be published by ED.

All reports shall carry the following acknowledgment statement on the cover page:

“This material is based upon work supported by the U.S. Department of Education under purchase order number \_\_\_\_\_. Any opinions, findings, conclusions or recommendations expressed in this publication are those of the author(s) and do not necessarily reflect the views or policies of the Department of Education.”

### **B. Payment Schedule**

Payments will be made in accordance with the payment schedule negotiated and agreed to by the Contracting Officer. The offeror shall include his or her cash flow requirements as part of the budget for Phase I. Once invoices are received, the due date for paying invoice is the 30th day after the designated billing office receives a proper invoice from the contractor (i.e., one that has been approved by the COR) or the 30th day after ED accepts goods or supplies performed by the contractor, whichever is later (FAR 52.232-25). Contractors shall be paid upon completion of the final project summary report, normally 6 months after project start. The invoice shall accompany the final summary report.

Contractors may propose to receive up to 2 payments during the Phase I portion of the contract. Contractor's may propose a payment of no more than 50% of the Phase I price to accompany the successful completion of the Interim Progress Report.

Contractors may propose to receive up to 6 payments during the Phase II portion of the contract, each to accompany an interim or final progress report. Contractors are free to propose any breakdown they wish, as long as at least 20% of the Phase II portion of the contract price is reserved for payment after acceptance of the final report.

### **C. Government Performance and Results Act**

The Government Performance and Results Act (GPRA) of 1993 places new management expectations and requirements on Federal departments and agencies by creating a framework for more effective planning, budgeting, program evaluation, and fiscal accountability for Federal programs. The intent of the Act is to improve public confidence by holding departments and agencies accountable for achieving program results.

Departments and agencies should clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement.

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

#### **D. Innovations, Inventions and Patents**

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

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

##### **LEGEND**

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

##### **2. Copyrights**

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

##### **3. Patents**

Small business firms normally may retain the principal worldwide patent rights to any invention developed with Government support. The Government receives a

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

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

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

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

#### **F. Contractor Requirements**

Upon award, the contractor will be required to make certain legal commitments through acceptance of numerous provisions in the Phase I procurement.

The outline that follows is illustrative of the types of provisions that will be included in the funding agreement. This is not a complete list, nor does it contain the specific wording of these clauses. ED will make awards as described in CFR Title 48-Federal Acquisition Regulations. The resultant agreement will contain legally binding clauses. Copies of complete general clauses will be made available prior to award. A complete set of these requirements is available now upon request.

1. **Standards of Work.** Work performed under the funding agreement must conform to high professional standards.
2. **Contract Type.** The funding agreement will be a Firm-Fixed-Price contract. This obligates the Contractor to complete all work successfully on time in order to get paid. The value of this contract will not vary with the cost experience of the contractor.
3. **Inspection.** Work performed under the funding agreement is subject to Government inspection and evaluation at all reasonable times.
4. **Examination of Records.** The Comptroller General (or a duly authorized representative) shall have the right to examine any directly pertinent records of the contractor involving transactions related to this contract.
5. **Default.** The Government may terminate the agreement if the contractor fails to perform the work contracted.

6. **Termination for Convenience.** The agreement may be terminated at any time by the Government if it deems termination to be in its best interest, in which case the contractor will be compensated for work performed and for reasonable termination costs.
7. **Disputes.** Any dispute concerning the funding agreement that cannot be resolved by agreement shall be decided by the Contracting Officer with right of appeal.
8. **Contract Work Hours.** The contractor may not require an employee to work more than eight (8) hours a day or forty (40) hours a week unless the employee is compensated accordingly (that is, receives overtime pay).
9. **Equal Opportunity.** The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin; or because he or she is a disabled veteran or a veteran of the Vietnam era; or because he or she is physically or mentally handicapped.
10. **Officials Not to Benefit.** No Government official shall benefit personally from the agreement.
11. **Covenant Against Contingent Fees.** No person or agency has been employed to solicit or secure the agreement upon an understanding for compensation except bonafide employees or commercial agencies maintained by the contractor for the purpose of securing business.
12. **Gratuities.** The agreement may be terminated by the Government if any gratuities have been offered to any representative of the Government to secure the agreement.
13. **Patent Infringement.** The contractor shall report each notice or claim of patent infringement based on the performance of the agreement.
14. **American Made Equipment and Products.** When purchasing equipment or a product under the SBIR funding agreement, purchase only American-made items whenever possible.
15. **Publicity.** Any publications resulting from this contract will need a disclaimer noting that the project was funded by the US Department of Education and that publication does not necessarily reflect the views or policies of the U.S. Department of Education.
16. **Background Investigation Requirement:** Any contractor/subcontractor staff or consultants who will work on the contract for 30 days or more (in total) and who will have access to sensitive data (for example, but not limited

to, data protected by the Privacy Act or FERPA) must undergo a government background investigation. This investigation will include, among other things, a credit check and criminal background check. The cost of performing the investigation is born by the Government, however, the Contractor will be responsible for the costs of fingerprinting any proposed staff that need an investigation. The cost of fingerprinting may be included in your proposed budget. Offerors should check with their local policy agency to determine the cost of fingerprinting (2 fingerprint sets are required per person).

17. **Research Activities Involving Human Subjects.** Research activities involving human subjects must be in compliance with the regulations issued by the Department of Education to safeguard the rights and welfare of human research subjects. The human subjects contracts clause can be found at:  
<http://www.ed.gov/policy/fund/reg/clipboard/humansub.html>

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

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

#### **H. Cost-Sharing**

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

#### **I. Profit/Fee**

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

#### **J. Standard Terms and Conditions**

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

#### **K. Additional Information**

1. This program solicitation is intended for informational purposes and reflects current planning. If there is an inconsistency between the information contained herein and the terms of any resulting SBIR funding agreement, then the terms of the funding agreement are controlling.
2. In the interests of those with special needs, the Offeror is encouraged to develop products that include alternate formats (e.g., closed- or open-captioning for films and/or videotapes, Braille, large print, audiotape).

3. The SBIR program is not a substitute for existing unsolicited proposal mechanisms. The Government shall not accept unsolicited proposals under the SBIR program in either Phase I or Phase II.
4. If an award is made pursuant to a proposal submitted under this program solicitation, the Contractor will be required to certify that they have not previously been, nor is currently being, paid for essentially equivalent work by any agency of the Federal Government.

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## **7. PROPOSAL SUBMITTAL INFORMATION**

1. Proposals must be submitted to:

Adam Goldstein  
US Department of Education  
550 12th Street, SW #7122  
Washington, DC 20202-4230

If hand delivering-proposals, check-in at the security desk and call Will Spitzgo at 245-6497 or Adam Goldstein (245-6123) to accept the proposal. The due date and time for the receipt of proposals is 10am EST on January 8, 2007. Fax and email proposals will not be reviewed.

2. Offerors must submit, in a single package, the following:
  - One (1) original and three (3) copies of the proposal
  - Two Compact Discs with an electronic version of the proposal in one or both of the following formats: Microsoft Word and/or Portable Document Format (PDF).
3. Any proposal, modification, or revision received at the Government office designated in the solicitation after the exact time specified for receipt of offers is “late” and will not be considered unless it is received before award is made, the Contracting Officer determines that accepting the late offer would not unduly delay the acquisition; and—
  - (1) If it was transmitted through an electronic commerce method authorized by the solicitation, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or
  - (2) There is acceptable evidence to establish that it was received at the Government installation designated for receipt of proposals and was under the Government’s control prior to the time set for receipt of proposals; or
  - (3) It was the only proposal received.
4. The Government reserves the right to make amendments to the solicitation at any time during the procurement process. Offerors are required to comply with any new provisions or other requirements in solicitation amendments. Any amendment would be posted at the FedBizOpps postings for this solicitation.
5. Proposals may be withdrawn at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer.

6. The Government intends to make the awards without holding discussions. However, the Government may hold discussions if it determines that they are necessary.
7. The Government will consider any offer submitted in response to this solicitation to be good for 180 days from the closing date of the solicitation, unless otherwise specified by the offeror.
8. Debriefs will be conducted in accordance with Federal Acquisition Regulation 15.5.
9. Email and facsimile proposals will not be accepted.
10. Due to continued delays in the U.S. mail, the Government strongly recommends that offerors submit their proposal via a commercial delivery service, courier service, or hand delivery.

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## **8. PRIORITY AREAS (3)**

For fiscal year 2007, the Institute has selected three priorities for the SBIR program. These priorities consist of the development of technological products that directly or indirectly lead to improved student learning and academic achievement.

Products may be in the form of software, digital format readers, DVDs, print material, videotapes, multi-media products, technological devices (e.g., personal computing devices, tablets, robotics, handheld devices), on-line instruction (e.g., "e-learning" products or interactive websites), and systems-level technologies (e.g., network infrastructure devices). Products may include, but are not limited to, curricula, instructional approaches, supplemental education materials, teacher professional development programs, student assessments, and data systems for school administrators. Products must fall within one of the three priority areas below:

### **(1) R/R&D of technological products used by students**

- Products intended for student use must be within one (or more) of the following content areas: reading, writing, math, science, or pro-social development/character development.

### **(2) R/R&D of technological products used by teachers**

- Products for teachers to use either must be within one (or more) of the following content areas: reading, writing, math, or science, or pro-social development/character development, OR must be a tool designed to improve the efficiency or accuracy with which teachers carry out their administrative responsibilities (e.g., recording and calculating grades).

### **(3) R/R&D of technological products used by administrators**

- Technological products intended for use by school, district, or state education administrators (e.g., principal, guidance counselors, superintendents, directors of special education) are for improving the manner in which schools are operated (e.g., financial systems to inform school operation, network infrastructures to inform school operation, the application of data systems to inform practice).

### **Population:**

The proposed product must address an important problem or need in the field of education, from pre-kindergarten through the post-secondary level. Products may also address the education of adult populations in need of basic skills in the areas of reading, writing, or math. Products may be for students in regular education classes or special education classes.

For more information on the rationale behind the content areas listed above and on the specific interests of the Institute of Education Sciences, offerors are strongly encouraged to consult the National Center for Education Research (NCER) Request for Applications

for research grant competitions <http://ies.ed.gov/ncer/funding/> and the National Center for Special Education Research (NCSE) Request for Applications for research grant competitions <http://ies.ed.gov/ncser/funding>. For additional information on the types of projects the Institute has funded through its research grant competitions, please see descriptions of projects funded through NCER at <http://ies.ed.gov/ncer/projects> and descriptions of projects funded through NCSE at <http://ies.ed.gov/ncser/projects>.

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## **9. SCIENTIFIC AND TECHNICAL INFORMATION SOURCES**

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

### **SBIR Program-Related**

ED SBIR Program: <http://www.ed.gov/programs/sbir/index.html>

SBIR State Support Entities: [http://www.ed.gov/programs/sbir/state\\_awards.html](http://www.ed.gov/programs/sbir/state_awards.html)

Small Business Administration (SBA)

Office of Technology (SBIR): [www.sba.gov/sbir/](http://www.sba.gov/sbir/)

Small Business Administration (SBA)

Technical Resources Network (TECH-Net): [tech-net.sba.gov/](http://tech-net.sba.gov/)

### **Institute of Education Sciences (IES)**

IES Home Page: <http://ies.ed.gov/>

IES Funding Opportunities: <http://ies.ed.gov/funding/>

National Center for Education Research: <http://ies.ed.gov/ncer/>

National Center for Education Research Funding Opportunities:  
<http://ies.ed.gov/ncer/funding/>

### **General**

U.S. Department of Education: <http://www.ed.gov/>

What Works Clearinghouse: <http://www.whatworks.ed.gov/>

*No Child Left Behind Act* of 2001:

<http://www.ed.gov/nclb/overview/intro/edpicks.jhtml?src=ln>

Educational Resources Information Center (ERIC):

<http://www.ed.gov/about/offices/list/ies/ncee/eric.html>

Federal Acquisition Regulation: <http://www.acqnet.gov>

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## **10. FAST-TRACK PROPOSAL PACKAGE CHECKLIST**

### **CHECK:**

- CLOSING DATE: JANUARY 5, 2007 at 10:00AM ET**
- Have you prepared the proposal according to the instructions set forth?
- Does the proposal contain **no more than 50 pages, *excluding*** the applicable Appendices?
- Are issues (and, if applicable, exemptions) relating to **Research Activities Involving Human Subjects** adequately addressed?
- Have you included all the required components of the “**Project Narrative - ABSTRACT**” section?
  - Key Information;
  - Abstracts;
  - Certifications;
  - Statements; and,
  - Legend
- Have you addressed each of the components of the “**Project Narrative – TECHNICAL CONTENT**” section? Including –
  - Significance;
  - Quality of Project Design for Phase I and Phase II;
  - Quality of Project Personnel; and,
  - Adequacy of Resources
- Did your Phase II Workplan describe a research plan to empirical evidence as to the efficacy of the proposed product?
- Have you provided notification of “**Related Proposal(s) or Award(s)**” in the proposal narrative, if applicable?
- Have you provided notification of “**Documentation of Multiple Phase II Awards**” in the appendix, if applicable?
- Have you registered with CCR and with ORCA?
- Have you submitted all applicable appendices (including, at a minimum, appendices C and E.

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**Appendix A: Letters in Support of the Proposal**

In Appendix A, offerors should list the names of the schools (or education delivery settings) that have agreed to participate in the Phase II research study.

*Schools (or education delivery settings) that have agreed to participate in the Phase II research include:*

In Appendix A, offerors may also provide up to 6 letters of support. Each letter must not exceed 1 page in length.

This proposal information **is not** counted toward the 50-page limit.

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**Appendix B: Documentation of Previous Phase II awards**

If the small business concern has received ANY prior Phase II award from any Federal agency in the prior 5 fiscal years, submit the following information for each award:

Name of awarding agency:

Date of award:

Funding agreement number:

Amount:

Title of project:

Follow-on agreement amount (if any):

Source and date of commitment:

Current commercialization status:

This proposal information **is not** counted toward the 50-page limit.

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**Appendix C: Biographical Summary Certification Pages**

For each individual whose biographical summary is included within this Fast-Track proposal, a separate page with the following certifications must appear within Appendix C.

***NOTE: Each individual's biographical summary must be included within Section 4.3.9 (not in Appendix C). Biographical summaries will be counted toward the 50-page limit.***

Each individual on the project team must certify the following statement by providing the information below:

*"I hereby certify that this information is accurate to the best of knowledge and belief."*

Individual's Name (TYPED):

Written signature: \_\_\_\_\_

Date:

Each employee of the offeror with the authority to bind the offeror must certify the following statement by providing the information below:

*"I hereby certify that (FILL IN THE COMPANY NAME) has verified the foregoing information and it is accurate to the best of our knowledge and belief."*

Individual's Name (TYPED):

Individual's Title (TYPED):

Written signature: \_\_\_\_\_

Date:

This proposal information **is not** counted toward the 50-page limit.

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## **Appendix D: Human Subjects**

In Appendix D offerors should include information on human subjects if it is applicable to their proposed research.

For exempt research activities involving human subjects, the offeror must identify the exemption(s) that applies and provide sufficient information to allow ED to determine that the designated exemption(s) is appropriate. Normally, the exempt narrative can be provided in one paragraph.

For covered (nonexempt) research, the offeror must cover the following seven points:

1. Human subjects involvement and characteristics. Provide characteristics of the subject population: anticipated number, age range, health status. Identify the criteria for inclusion or exclusion of any subpopulation.
2. Sources of materials. Identify sources of research material. 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.
4. Potential risks. Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness.
5. Protection against risk. Describe procedures for protecting against or minimizing potential risks.
6. Importance of knowledge to be gained. 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), name the sites and briefly describe their involvement or role in the research. Normally, the seven-point nonexempt narrative can be provided in two pages or less.

This proposal information **is not** counted toward the 50-page limit.

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**Appendix E: Department of Education Required Forms**

In addition to registering in CCR and ORCA, offerors must complete Appendix E certifications, contained in this appendix. Offers without completed Appendix E certifications are not eligible for award.

**E.1 310-1 REPRESENTATION AUTHORITY (JANUARY 2005)**

Based on a FAR change, specifically in reference to FAR clauses 52.204-8, Annual Representations and Certifications, and 52.212-3, Offeror Representations and Certifications - Commercial Items, vendors are required to use the Online Representations and Certifications Application (ORCA), a new, web-based, Federal Integrated Acquisition Environment (IAE) initiative that centralizes and standardizes the collection, storage and viewing of many of the representations and certifications required by the Federal Acquisition Regulations (FAR). Vendors should go to <http://orca.bpn.gov/> to complete the requirements of the solicitation. However, all FAR and ED clauses NOT in ORCA should still be completed. The offeror makes the following Representations and Certifications as part of its proposal (check or complete all appropriate boxes or blanks on the following pages).

_____	_____
(Name of Offeror)	(RFP No.)
_____	_____
(Signature of Authorized Individual)	(Date)

\_\_\_\_\_  
(TYPED NAME OF AUTHORIZED INDIVIDUAL) Note: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001. The Representations and Certifications must be executed by an individual authorized to bind the offeror.

**E.2 310-10 GENERAL FINANCIAL AND ORGANIZATIONAL INFORMATION (APRIL 1984)**

Offerors or quoters are requested to provide information regarding the following items in sufficient detail to allow a full and complete business evaluation. If the question indicated is not applicable or the answer is none, it should be annotated. If the offeror has previously submitted the information, it should certify the validity of that data currently on file at ED or update all outdated information on file.

(A) Contractor's Name: \_\_\_\_\_

(B) Address (If financial records are maintained at some other location, show the address of the place where the records are kept):

\_\_\_\_\_  
\_\_\_\_\_

(C) Telephone Number: \_\_\_\_\_

(D) Individual(s) to contact re this proposal: \_\_\_\_\_  
\_\_\_\_\_

(E) Cognizant Government:  
Audit Agency: \_\_\_\_\_  
Address: \_\_\_\_\_  
Auditor: \_\_\_\_\_

(F) (1) Work Distribution for the Last Completed Fiscal Accounting Period:  
Sales:  
Government cost-reimbursement type prime contracts and subcontracts: \$ \_\_\_\_\_  
Government fixed-price prime contracts and subcontracts: \$ \_\_\_\_\_  
Commercial Sales: \$ \_\_\_\_\_  
Total Sales: \$ \_\_\_\_\_

(2) Total Sales for first and second fiscal years immediately preceding last completed fiscal year.  
Total Sales for First Preceding Fiscal Year \$ \_\_\_\_\_  
Total Sales for Second Preceding Fiscal Year \$ \_\_\_\_\_

(G) Is company an ED rate entity or division?  
\_\_\_\_\_  
If a division or subsidiary corporation, name parent company:  
\_\_\_\_\_

(H) Date Company Organized: \_\_\_\_\_

(I) Manpower:  
Total Employees: \_\_\_\_\_  
Direct: \_\_\_\_\_  
Indirect: \_\_\_\_\_  
Standard Work Week (Hours): \_\_\_\_\_

(J) Commercial Products: \_\_\_\_\_  
\_\_\_\_\_

K) Attach a current organizational chart of the company.

(L) Description of Contractor's system of estimating and accumulating costs under Government contracts. (Check appropriate blocks.)

Estimated/ Standard

	Actual Cost	Cost
Estimating System		
Job Order	_____	_____
Process	_____	_____
Accumulating System		
Job Order	_____	_____
Process	_____	_____
Has your cost estimating system been approved by any Government agency? Yes _____ No _____		
If yes, give name and location of agency: _____		
<hr/>		
Has your cost accumulation system been approved by any Government agency? Yes _____ No _____		
If yes, give name and address of agency: _____		
<hr/>		

(M) What is your fiscal year period?  
(Give month-to-month dates):

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What were the indirect cost rates for your last completed fiscal year?

Fiscal Year	Indirect Cost Rate	Basis Allocation
Fringe Benefits	_____	_____
Overhead	_____	_____
G&A Expense	_____	_____
Other	_____	_____

(N) Have the proposed indirect cost rate(s) been evaluated and accepted by any Government agency? Yes \_\_\_\_\_ No \_\_\_\_\_  
If yes, name and location of the Government agency:

---

Date of last pre-award audit review by a Government agency:

(If the answer is no, data supporting the proposed rates must accompany the cost or price proposal. A breakdown of the items comprising overhead and G&A must be furnished.)

(O) Cost estimating is performed by:  
Accounting Department: \_\_\_\_\_  
Contracting Department: \_\_\_\_\_  
Other (describe) \_\_\_\_\_

(P) Has system of control of Government property been approved by a Government agency? Yes \_\_\_\_\_ No \_\_\_\_\_  
If yes, name and location of the Government agency:

---

(Q) Purchasing Procedures:

Are purchasing procedures written? Yes \_\_\_\_\_ No \_\_\_\_\_

Has your purchasing system been approved by a Government agency? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, name and location of the Government agency:

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(R) Does your firm have an established written incentive

compensation or bonus plan? Yes \_\_\_\_\_ No \_\_\_\_\_

**E.3 310-16 POST EMPLOYMENT CONFLICT OF INTEREST (MARCH 1985)**

The contractor certifies that in developing a proposal in response to the solicitation for this contract, it has not utilized the services of any former Education Department (ED) employee who, while working for the Government, participated personally and substantially in, or was officially responsible for, the development or drafting of the solicitation for this contract. The contractor further certifies that it did not utilize the services of such an ED employee in assisting or representing the offeror at negotiations for this contract.

**E.4 310-6 DUPLICATION OF COST (MARCH 1985)**

The offeror represents and certifies that any charges contemplated and included in its estimate of cost for performance are not duplicative of any charges against any other Government contract, subcontract, or other Government source.

**E.5 310-9 APPROVAL OF ACCOUNTING SYSTEM (MARCH 1985)**

The offer [] does, [] does not, have an approved accounting system for purposes of cost reimbursement under this requirement. If so, specify the approving government audit agency or office and the date of approval.

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(Date)

This proposal information **is not** counted toward the 50-page limit.