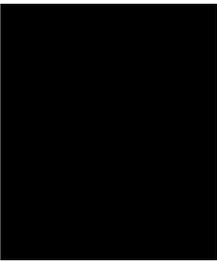


**Attachment A to Informational Memo No. 140**  
**Commonwealth of Virginia**  
Department of Education  
P.O. Box 2120  
Richmond, VA 23218-2120



**Office of  
Adult  
Education**

**ENGLISH LITERACY / CIVICS  
EDUCATION PROGRAM  
COMPETITIVE  
SUBGRANT APPLICATION**

EL/CIVICS FOR ENGLISH FOR SPEAKERS OF OTHER LANGUAGES PROGRAMS

**2001 - 2003**

Issued September 2001



# TABLE OF CONTENTS

Announcement of Funding Availability . . . . .	2
Description of the English Literacy/Civics Education Program . . . . .	3
Project Requirements and Funding Guidelines . . . . .	7
Proposal Development . . . . .	10

## APPENDICES

Application Cover Page . . . . .	15
Instructions for Completing Application Cover Page . . . . .	16
Budget Narrative . . . . .	17
Budget Worksheet . . . . .	17
Sample Budget Worksheet . . . . .	18
Summary Budget . . . . .	19
Instructions for Completing Budget Narrative, Budget Worksheet, and Summary Budget . . . . .	20
Expenditure Categories . . . . .	21
Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements . . . . .	22
Disclosure of Lobbying Activities . . . . .	25
Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities	26

## ANNOUNCEMENT OF FUNDING AVAILABILITY

The Virginia Department of Education will make funds available for subgrants to **support English Literacy/Civics Education** projects in Virginia. The total amount available is \$660,437.

ISSUED TO: Local education agencies, community colleges, community-based adult literacy organizations applying individually as a 501(c)(3), or in partnership with a local education agency, or other tax-exempt organization serving as fiscal agent for a community-based literacy organization.

TITLE: **English Literacy/Civics Education Program**

ISSUING AGENCY: Commonwealth of Virginia  
Department of Education  
Office of Adult Education and Literacy  
P.O. Box 2120  
Richmond, Virginia 23218-2120

FUNDING AUTHORITY: Workforce Investment Act of 1998, Adult Education State Grant Program – PL 105-220

SUBGRANT PERIOD: December 1, 2001 – June 30, 2003

SUBGRANT AMOUNT: Minimum \$10,000; Maximum \$75,000 (per applicant per year)

SUBMISSION DEADLINE: October 31, 2001

PROJECT START DATE: December 1, 2001

### RECEIPT OF APPLICATIONS

Applications must be received **on or before October 31, 2001, 4:30 P. M.** The application package (one original and one copy) may be mailed or delivered to the following addresses (no faxed or email copies\*):

#### Hand-Delivery

Ms. Gloria Murphy, Administrative Assistant  
Office of Adult Education and Literacy  
21<sup>st</sup> Floor, James Monroe Building  
101 North 14<sup>th</sup> Street  
Richmond, VA 23219

#### Postal Address

Dr. Yvonne Thayer, Director  
Office of Adult Education and Literacy  
Virginia Department of Education  
P.O. Box 2120  
Richmond, VA 23218-2120

---

\* As original signatures are required, no faxed or electronically mailed applications will be accepted. Late or incomplete proposals will not be reviewed. The application must include all components specified in the "Competitive Subgrant Application Packet." Copies of the English Literacy/Civics Education Subgrant Application are available from the Department of Education. Please call the Office of Adult Education and Literacy at 804-225-2075 between 8:00 a.m. and 4:30 p.m. For procedural or financial information about this subgrant opportunity, please contact Becky Marable, grants manager, 804-225-2850.

# **PART ONE**

---

## **DESCRIPTION OF THE ENGLISH LITERACY / CIVICS EDUCATION PROGRAM**

## ***Who administers the English Literacy / Civics (EL/Civics) Education project subgrants?***

The Office of Adult Education and Literacy, Virginia Department of Education administers the EL/Civics Education program in Virginia. Fiscal management assistance will be provided by a grants manager, and technical assistance will be provided by program specialists. Office hours are 8:00 a.m. to 4:30 p.m., Monday through Friday. The Office of Adult Education and Literacy is located at:

### Street or Hand-Delivery Address

101 N. Fourteenth Street, 21<sup>st</sup> Floor  
Richmond, VA 23219

### Postal Address

P.O. Box 2120  
Richmond, VA 23218-2120

## ***What is the purpose of the EL/Civics Education program?***

The purpose of the Virginia EL/Civics Education program is to support projects that demonstrate effective practices in providing and increasing access to English literacy programs linked to civics education. Participants should be able to increase their English proficiency in reading, writing, speaking, and listening in order to understand and navigate governmental, educational, and workplace systems and key American institutions, such as banking and health care. Since electronic access to these systems is increasing, applications shall include the integration of technology in their proposals.

## ***What are the funding priorities for this cycle?***

Program enhancement grants will be provided to improve and enhance program services to students for whom English is not their primary language. This may include incorporating civics education into existing English for Speakers of Other Languages (ESOL) classes, conducting outreach activities, or increasing the number of students receiving ESOL. All EL/Civics Education grantees will use technology as a major delivery system for this project. Each grant site will receive technology support from the Office of Adult Education and Literacy.

There are two priorities that shall be described in the program application:

- (1) Family Literacy – EL/Civics programs will include family literacy services. These may be new family literacy programs or enhancements to existing ESOL programs.

Family literacy services shall include:

- Basic skills instruction for adults (parents or caregivers);
- Readiness or instruction to support the Standards of Learning for children of adult learners;
- Time for parents to work with their children on preschool-/school-related activities or instruction and guidance to parents in delivering these activities at home; and
- Parenting skills support.

- (2) Health Literacy – There is a connection between limited English literacy and lack of access to health information and services. EL/Civics programs will address health literacy by including health partners in curriculum planning and/or classroom activities (e.g. hospital, allied health training program, pharmacy, or free clinic). Health literacy can be addressed as a context for teaching English or as one of the services explained in civics education.

### ***How much funding is available?***

A total of \$660,437 is available to eligible applicants. The range of awards will be between \$10,000 and \$75,000.

Recipients of EL/Civics funding in the first funding cycle earlier this year (March 15, 2001-June 30, 2002) may apply for additional funds only if they are adding a family literacy component to their original grant and plan to serve additional adult learners. An existing EL/Civics program may apply for a maximum of \$50,000 to augment existing services.

### ***Who is eligible to apply?***

Local school divisions, post-secondary institutions, and private not-for-profit 501(C)(3) community-based organizations that have historically served populations described as ESOL are eligible applicants. Recipients should show how they would work with other state and local agencies and local organizations in delivering services without duplication of existing services.

### ***How may funds be expended?***

Grant funds may be used to support activities and instructional costs related to English literacy and civics education, including the costs of staff and instructors, materials and equipment, staff training, and support services, such as child care and transportation for program participants. Technology purchases shall be used to support the delivery of the program and shall be consistent with the technology focus of the EL/Civics program in Virginia.

### ***How will subgrant recipients be selected?***

A project review panel has the responsibility of reviewing applications submitted on time and recommending projects to be funded. Each qualified applicant will be rated on the criteria identified in this application packet.

### ***How will applications be evaluated by the review panel?***

There are six categories that will be used by the review panel to rate each application.

Maximum Points	Grant Category
15	Statement of Need
20	Capacity and Commitment
25	Program Design
20	Program Goals, Objectives, and Anticipated Outcomes
10	Evaluation
10	Dissemination
<b>100</b>	<b>TOTAL</b>

### ***What are the guidelines for submitting an application?***

A subgrant application, prepared in accordance with the criteria, guidelines, and forms contained in this packet (one original and one copy), must be submitted to the Office of Adult Education and Literacy at the Department of Education, on or before October 31, 2001, 4:30 p.m., at the address above.

Applications may be mailed or hand-carried. Under no circumstances will an application that is faxed or electronically mailed be accepted.

Applications must be typewritten, single-spaced, on 8 ½ by 11 white paper, one side only. One-inch margins must surround the text on all sides, and all pages should be numbered. Original signatures must appear on the appropriate pages. Please do not submit the application in binders or special covers.

Failure to comply with the criteria, guidelines, and requirements listed in this packet will result in disqualification of the application. It is the responsibility of the applicant to follow the instructions within this packet and to call the Office of Adult Education and Literacy for clarification.

### ***What is the timetable for this subgrant?***

Applications due	October 31, 2001
Review panel meets to prepare recommendations	November 12-14, 2001
Applicants notified of status	November 30, 2001
Funded projects begin	December 1, 2001
Project completion date	June 30, 2003
Annual reports due	July 31, 2002 (interim) July 31, 2003 (final)
Final reimbursement request due to Department of Education	August 15, 2003

# **PART TWO**

---

## **PROJECT REQUIREMENTS AND FUNDING GUIDELINES**

Please share with your chief financial officer.

## Project Requirements

### Request For Reimbursement

The Department of Education funds subgrant recipients on a cost reimbursement basis only. Requests shall be submitted monthly or quarterly. **The final request for reimbursement is due on or before August 15, 2003.** Expenses included on the reimbursement request must have been incurred and paid during the time period stated on the front of the request form. **No expenses may be claimed prior to the starting date** or after the ending date listed on the subgrant award form. Non-profit organizations acting as the fiscal agent must provide copies of paid receipts to support their claims for all expenditures. Two copies of the “Adult Education Reimbursement Request,” summary materials, and an accounting voucher are to be submitted by **non-profits**. Local education agencies do not submit the accounting vouchers or receipts, but all other adult education forms apply. A packet of appropriate reimbursement forms will be supplied to subgrant recipients.

### Final Report

A final report of project activities and outcomes will be due to the Department of Education on July 31, 2003. The format of the report shall be negotiated with grant recipients. An interim report will be due on July 31, 2002.

### Budget Changes

A “Budget Amendment” form must be submitted if budget changes exceed five percent (5%) of the amount in any budget category. This form will be included in the packet of forms received by subgrant recipients.

### Record Keeping

The project director must maintain all records related to the subgrant for a period of three (3) years after the ending date of the project (June 30, 2003). These records must be accessible and available for monitoring and audit purposes. Original copies of all receipts must be maintained by the subgrantee to back up all requests for reimbursement and local expenditures.

### Certificates and Compliance

All subgrant participants must certify that they will comply with certain state laws and/or regulations and conduct their projects within the scope of the *Virginia State Plan for Adult Education and Family Literacy*. Signatures on the “Application Cover Page” and on the “Certifications and Compliance Forms” in the appendices indicate that the applicant agrees, if selected as a subgrant recipient, to fully comply. It is the responsibility of the applicant and subgrant recipient to be knowledgeable about applicable laws and regulations.

## **Funding Guidelines**

Applicable Federal administrative requirements, cost principles, and audit requirements are incorporated into each subgrant award by reference. For educational institutions, the following apply:

- 1) Uniform Administrative Requirements for Grants and Agreements to State and Local Governments, 45 FR, Part 2541(59 Fed. Reg. 155 published August 12, 1994).
- 2) OMB Circular A-87, Cost Principles for State and Local Governments.
- 3) OMB Circular A-133, Audits of State and Local Governments and Non-Profit Organizations.
- 4) It is the responsibility of the subgrantee to maintain adequate liability coverage for the subgrantee, the employees, and the participants for both on-site and off-site activities.

The subgrant recipient must comply with all other applicable statutes, executive orders, regulations, and policies governing the Workforce Investment Act of 1998, Adult Education State Grant Program – PL 105-220, including, but not limited to those cited in these subgrant provisions, the subgrant award assurances and certifications signed in 2000-2001, and those cited in 45 CFR Parts 2541, 2542, and 2543.

### Expenditures

- Funds may not be used to provide religious instruction, conduct worship services, or engage in any form of proselytization; to assist, promote, or deter union organizing; to finance, directly or indirectly, any activity designed to influence the outcome of an election to any public office; or to impair existing contracts for services or collective bargaining agreements.
- Stipends, allowances, post-service benefits, or other financial support may not be paid to any project participant, except as reimbursement for transportation, meals and other reasonable out-of-pocket expenses directly related to project participation.
- Indirect cost rates may be charged only if already approved by the Virginia Department of Education. Indirect costs charged must be in support of administrative functions only.

### Termination or Suspension

- In emergency situations, the Virginia Department of Education may suspend a subgrant for not more than 30 calendar days. Examples of such situations may include, but are not limited to: serious risk to persons or property; violations of Federal, State, or local criminal statutes; and material violations of the subgrant that are sufficiently serious that they outweigh the general policy in favor of advance notice and opportunity to show cause.
- Pursuant to 45 CFR 2540.400, the Virginia Department of Education may terminate reimbursement payments under the subgrant, or revoke subgrant funds for failure to comply with applicable provisions of this subgrant. The Department shall provide the subgrantee reasonable notice and opportunity for a full and fair hearing within 60 days of receipt of such notice.

# **PART THREE**

---

## **PROPOSAL DEVELOPMENT**

# Instructions for Developing a Proposal

## **COVER PAGE (One Page)**

The Application Cover Page shall be the first page of the application packet (see appendices).

## **ABSTRACT (One Page)**

Attach a one-page, single-spaced summary following the Application Cover Page. It should describe the following:

- Need for project
- Target audience
- Project goals and objectives
- Major activities
- Anticipated outcomes
- Project director, phone number, and e-mail address

## **NARRATIVE (Five-Page Maximum)**

This portion of the application, not to exceed five typed, single-spaced pages, should include a plan that describes how the applicant will meet the requirements of the grant. The narrative must describe the following project components:

- **Statement of Need**

Describe the current adult ESOL population in your service area. Include such elements as percentage of ESOL compared to the total population, diversity of ESOL students, number of languages other than English spoken, and patterns of increase/decrease in ESOL students over time. With the increase of the second language population in Virginia, it is important to demonstrate how your community has been impacted by population changes.

Describe the need for program services to expand.

- **Capacity and Commitment**

Describe the scope of your current adult education program, including partners and collaborative efforts. Discuss what your program currently offers, and demonstrate your capacity to complete the project you want funded (i.e., your ability to reach your program goals).

Describe the ESOL program services that you currently offer. Include information on how your program has grown to meet the needs of increasing ESOL students. Describe how your program has worked collaboratively with other agencies/programs to meet the needs of ESOL students.

Describe your program's experience in helping ESOL students access civics functions, (e.g., voter registration, employment centers, hospitals, banking and other governmental functions).

- **Program Design**

Describe the essential components of your proposed EL/Civics program. Include information about assessment, curriculum offerings and materials, instructional methodologies, linkages to other programs and services (partnerships), outreach activities, and support activities.

Describe how family literacy and health literacy are parts of the program. Describe the ways technology will be used in instruction. (Applicants should include a description of how they will use technology as a tool in accessing civics functions and services.)

- **Program Goals, Objectives, and Anticipated Outcomes**

State the goal(s) for the project and the related objectives and anticipated outcomes. The objectives should be measurable.

- **Evaluation Plan**

The evaluation plan should be designed to measure both processes and outcomes for formative and summative purposes. Describe the evaluation methodology. Include the kinds of data that will be collected, the method of data collection, the individuals who will collect the data, and the timeframes for data collection.

Describe how the evaluation plan will be used and include a discussion of the project's replicability.

- **Dissemination**

Describe plans for demonstrating the essential elements and efficacy of your project.

Describe plans for disseminating the findings and results of your project. (All grant recipients must agree to make a presentation about their projects at one of the summer VAILL conferences.)

Describe how other programs may be able to benefit from the outcomes of your project.

## **BUDGET FORM AND INSTRUCTIONS (Three Pages)**

Please review all calculations to ensure that categories add up properly, both by column and by row. Round all figures to the nearest whole dollar.

### Budget Narrative (p. 16)

Describe in paragraph form (no more than one page in length) how the funds will address the project objectives.

### Budget Worksheet (p. 17)

Develop a budget worksheet, relevant to the program objectives, that includes line items under each broad expenditure category and corresponding object codes.

### Summary Budget (p. 19)

Provide a total budget by broad expenditure categories.

## **CERTIFICATIONS AND ASSURANCES\***

Return the entire, signed set of certification and assurance forms. This set should be attached as the last item in your application.

---

\* School divisions that have an adult education program funded with Adult Basic Education (ABE) federal funds do not need to submit these forms. They were submitted with your ABE application. If you are not certain whether these forms were sent previously, please call Becky Marable, grants manager, at 804-225-2850.

# **PART FOUR**

---

## **APPENDICES**

**Application Cover Page**

**Instructions for Completing Application Cover Page**

**Budget Narrative**

**Budget Worksheet**

**Sample Budget Worksheet**

**Summary Budget**

**Instructions for Completing Budget Narrative, Budget  
Worksheet, and Summary Budget**

**Expenditure Categories**

**Certifications Regarding Lobbying; Debarment,  
Suspension, and Other Responsibility Matters; and Drug-  
Free Workplace Requirements**

**Disclosure of Lobbying Activities**

**Instructions for Completion of SF-LLL, Disclosure of  
Lobbying Activities**

**English Literacy / Civics Education Program**  
**Virginia Department of Education**  
**Office of Adult Education and Literacy**  
**APPLICATION COVER PAGE**

1. Project Title: \_\_\_\_\_

2. Applicant Fiscal Agent Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ Zip: \_\_\_\_\_ Phone: \_\_\_\_\_

Fax: \_\_\_\_\_ Fiscal Agent Contact Person: \_\_\_\_\_

3. Federal ID Number for the Fiscal Agent: \_\_\_\_\_

4. Total Funds Requested for 2001-2002: \$ \_\_\_\_\_

5. Project Director or Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_ Fax (required): \_\_\_\_\_

E-mail (required): \_\_\_\_\_

In signing below, the applicant agrees to comply with all appropriate federal and state laws and regulations.

**6. Financial Officer**

**Superintendent, Agency Head or Chief Officer**

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Signature

Date

\_\_\_\_\_  
Signature

Date

## **Instructions for Completing Application Cover Page**

The Application Cover Page should be the first page of the application.

1. If the project has a formal name, use it here. If not, type “Name of Organization or School Division.”
2. Type the name or the agency that has responsibility for the fiscal operations. If the literacy organization is using a library as its fiscal agent, for example, the applicant will be the library. Also, type the address, phone number, fax number and the fiscal agent contact person.
3. List the correct federal identification number of the organization that will serve as the project’s fiscal agent.
4. List the amount of funds that you are requesting not to exceed the funding levels stated in the packet.
5. List the information needed to contact the person directly responsible for the supervision of the project. During the project, this person will receive the various forms of written communication from the Virginia Department of Education.
6. The financial officer of the organization serving as the fiscal agent for the project and the agency head must sign and date at the bottom of this page. Blue ink is preferred.

## **Budget Narrative**

Describe briefly in narrative form how the federal funds will address the project objectives. Attach this description to your application as a separate page.

## **Budget Worksheet**

Develop a budget worksheet, relevant to program objectives, that includes line items under each broad expenditure account and corresponding object code. Design this worksheet so that it is inclusive of your anticipated expenditures and is specific. (See the sample on page 18.)

**SAMPLE BUDGET WORKSHEET**

---

**English Literacy/Civics Education Program**

**BUDGET WORKSHEET**

Fiscal Agent Jefferson County Schools

<b>Object Code</b>			<b>Total</b>
1000	<u>Personal Services</u>		
	Project director (@ 10 % of time)	5,000	
	Administrative support (@ 10% of time)	<u>2,100</u>	
			<b>7,100</b>
2000	<u>Employee Benefits</u>		
	FICA	465	
	Insurance	<u>150</u>	
			<b>615</b>
3000	<u>Purchased Service</u>		
	Consultants (2 @ \$200 X 2 days)	<u>800</u>	
			<b>800</b>
4000	<u>Internal Service</u>		
	Printing	<u>200</u>	
			<b>200</b>
5000	<u>Other Charges</u>		
	Staff travel (in-state)	500	
	Postage	25	
	Participants' travel	<u>500</u>	
			<b>1,025</b>
6000	<u>Materials and Supplies</u>		
	Resource materials	<u>2,000</u>	
			<b>2,000</b>
8000	<u>Equipment</u>		
	Computer	1,500	
	Printer	<u>90</u>	
			<b>2,400</b>
<b>Total</b>			<b>\$14,140</b>

**Sample**

# English Literacy/Civics Education Program

Commonwealth of Virginia  
Department of Education  
Office of Adult Education and Literacy

## SUMMARY BUDGET

Fiscal Agent \_\_\_\_\_

<b>Category Totals 2001-2003</b>	
<b>Expenditure Categories</b>	<b>State Funds Requested 2001-2003</b>
1. Personal Services 1000	
2. Employee Benefits 2000	
3. Purchased Services 3000	
4. Internal Services 4000	
5. Other Charges 5000	
6. Materials and Supplies 6000	
7. Equipment 8000	
<b>Total</b>	

## **Instructions for Completing Budget Narrative, Budget Worksheet, and Summary Budget**

The Department of Education requires specific expenditure categories for all adult education project budgets. These are explained on the next page. Please comply with the definitions in developing your summary budget, worksheet, and budget narrative. The narrative is the written explanation of how each budget item supports your project objectives. Remember to round to the nearest whole dollar.

### **Budget Narrative**

Describe in paragraph form how the funds will be used and address the project goals and objectives.

### **Budget Worksheet**

Develop a budget worksheet relevant to program objectives that includes line items under each broad expenditure category and corresponding object code. For explanations of each category, see page entitled “Expenditure Categories.” Special note: All applicants are encouraged to include in the budget sufficient funds to cover the costs of attending required project directors’ meetings.

**Please note and observe the restrictions contained in the information listed below.**

Mileage, lodging, and meals will be limited to no more than the current state rate.  
(Current mileage rate is .325 per mile.)

The following are examples of items that are not allowable in a project budget using federal funds:

- a. Alterations or renovations of buildings;
- b. Construction of buildings or purchase of land or buildings;
- c. Dues paid to organizations on behalf of individuals;
- d. Charges for meals, banquets, coffee breaks, etc., unless a structured part of the project plan with good justification;
- e. Establishment of contingency or petty cash funds; and
- f. Entertainment

### **Summary Budget**

1. Include the name of the Fiscal Agent for the proposed project.
2. In the column on the left, “State Funds Requested,” list the planned expenditure in each of the categories for this project only. For explanations of each category, see page entitled “Expenditure Categories.”
3. Total the column.

Note: The totals for the column must match the totals listed in the Budget Worksheet. The worksheet details the total planned state expenditures within each of the budget categories.

## **Expenditure Categories**

**1. Personal Services 1000**

Salaries and Wages--all compensation for the direct labor of persons in employment of the local agency (salaries and wages paid to employees for full- and part-time work, including overtime, shift differential and similar compensation). Also includes payment for time not worked, including sick leave, vacation, holidays, and other paid absences (jury duty, military pay, etc.) which are earned during the reporting period.

**2. Employee Benefits 2000**

Job-related benefits provided employees as part of their total compensation. Fringe benefits include the employer's portion of FICA, pensions, insurance (life, health, disability income, etc.) and employee allowances.

**3. Purchased Services 3000**

Services acquired from outside sources (i.e., private vendors, consultants, tuition, client/participant travel, day care, public authorities or other governmental entities, etc.).

**4. Internal Services 4000**

Charges from an internal service fund to other activities or elements of the local government or agency (i.e., data processing, motor pool, central purchasing, print shop, etc.).

**5. Other Charges 5000**

Utilities, communications, leases, rentals, staff/consultant travel, etc. (Mileage, lodging, and meals will be limited to no more than the current state-approved rate.)

**6. Materials and Supplies 6000**

Includes articles and commodities, which are consumed or materially altered when used, and includes minor equipment (less than \$1,000) which is not capitalized.

**7. Equipment 8000**

Includes computers, furniture and fixtures, and equipment in excess of \$1,000.

---

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

---

**1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

---

**2. DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

---

**3. DRUG-FREE WORKPLACE  
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

---



---



---

Check  if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

---



---



---

Check  if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE



## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1<sup>st</sup> tier. Subawards include but are not limited to subcontracts, subgrants, and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state, and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state, and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(1). Enter Last Name, First Name, Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.