

Commonwealth of Virginia
Department of Education
P.O. Box 2120
Richmond, VA 23218-2120



Office of
Adult Education
& Literacy

**Application Packet
For
Even Start
Family Literacy Project
2002 - 2003**

I. REQUEST FOR APPLICATIONS

REQUEST FOR APPLICATIONS

ISSUED TO: Local Education Agencies; Public and Private Virginia Colleges and Universities; Community-Based Organizations; Other Agencies or Parties Eligible to Provide Needed Services

GRANT NUMBER: VA02ES-PL107-110 – No Child Left Behind Act of 2001

TITLE OF PROJECT: William F. Goodling Even Start Family Literacy Program

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

TYPE OF FUNDING: Even Start Family Literacy Program, P.L. 107-110, Title 1, Part B, Subpart 3, as amended

PERIOD OF CONTRACT: July 1, 2002 through June 30, 2006

One original copy of the sealed Competitive Grant Applications (with original signatures) will be received until April 19, 2002, at 4:30 p.m.

Hand-Delivery

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

Postal Address

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

All program questions should be directed to Jennifer Stuart, 804-786-7644. All budget questions should be directed to Rebecca Marable, 804-225-2850.

INTENT

The purpose of this competitive grant application is to solicit applications for federal funds provided under the Even Start Family Literacy Programs, Title I, Part B, Subpart 3 of the No Child Left Behind Act of 2001 (P.L.107-110) as amended. This is the reauthorization of the Elementary and Secondary Education Act of 1965.

STATEMENT OF PURPOSE

It is the purpose of this grant to help break the cycle of poverty and illiteracy by improving the educational opportunities of the nation's low income families by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program.

The program will be implemented through cooperative projects that build on existing community resources of high quality to create a new range of services; promote the academic achievement of children and adults; assist children and adults from low-income families to achieve challenging state content standards and challenging state student performance standards; and use instructional programs based on scientifically-based reading research (as defined in section 2252) and the prevention of reading difficulties for children and adults.

RATIONALE FOR PROJECT/PROGRAM DESIGN

The project will provide an intensive family literacy program that: helps parents become full partners in the education of their children; provides and promotes literacy training for participating parents and children; trains parents to support the educational growth of their children and assists them in reaching their full potential as learners; and, prepares children for success in regular school programs.

STATEMENT OF NEED/OBJECTIVES

Objectives in this application will contribute to establishing program models to address goals of the Even Start program to meet the needs of early childhood education and adult education. Respondents to this competitive grant should address the following areas:

Need For The Project. The proposed project should demonstrate that the geographical area to be served has a high percentage or large number of children and parents in need of Even Start services. To be eligible for Even Start, a family must include an adult who is eligible for participation in an adult basic education program under the Adult Education and Family Literacy Act; or who is within the state's compulsory school attendance age range, so long as a local educational agency provides (or ensures the availability of) the basic education component required under this part; and the child or children, from birth through age seven, of any individual described above. The plans for children must provide services for at least a three-year age range, which may begin at birth.

(Specify the number of families, children, and adults to be served through this project).

Likelihood of Success in Meeting the Even Start Goals. The proposed project should provide intensive family literacy services that include activities to promote literacy of participating parents, trains parents to support the educational growth of their children, and prepares children for success in regular school programs.

Degree of Cooperation and Coordination. The proposed project should demonstrate the extent to which cooperation and coordination will take place in all phases of the proposed project among a variety of relevant service providers, including those funded under the following programs: adult education, Title I, Head Start, Individuals with Disabilities Education Act, Workforce Investment Act, volunteer literacy programs, and other relevant programs.

Evaluation and Promise As A Model. The proposed project should show promise that it will be a model that may be transferred to other local school divisions. Each project will participate in an evaluation model directed by the Department of Education.

Reasonableness of Budget. The proposed project should demonstrate the extent to which the budget submitted for the entire cost of the project appears reasonable, given the scope of the project. Equipment purchases should not be a major part of the budget. Equipment needs beyond \$10,000 should be obtained through members of the partnership or other sources.

FUNDING AVAILABLE

All funding is contingent upon receipt of the federal grant award. The funding period is July 1, 2002, to June 30, 2003. Even Start project funding is comprised of a federal portion of funds (federal share) and a portion contributed by the eligible entity and partner(s).

PLEASE NOTE:

While the Department of Education has not been notified of the exact amount of funding for this project for FY03, it is anticipated that four to eight projects will be funded. The maximum individual award for the first year will be 90 percent of the total program cost, or a **maximum of \$225,000**.

Explanation of funding formula. The Department of Education will provide 90 percent of the cost of the program up to a maximum of \$225,000. Therefore, the program budget may not exceed \$250,000, with \$225,000 coming from federal funds and 10 percent coming from local funds. If the total cost of the project is less than \$250,000, then the grantee will receive 90% of the lesser figure. For example, if the total cost is \$210,000, the grantee would receive \$189,000 ($\$210,000 \times 90\% = \$189,000$).

In each succeeding year, the amount that each project will receive will be based upon the federal guidelines of a 10 percent reduction based on the initial total cost of the project. (If the total cost drops, the percentage reduction will be based on the lower total cost instead of the initial total cost.)

In the second year of operation, using the same scenario as in the paragraph above, the project would receive 80 percent of the total cost or \$200,000 ($\$250,000 \times .80 = \$200,000$).

In the third year of operation, the project would receive \$175,000 or 70 percent of the total cost ($\$250,000 \times .70 = \$175,000$).

In the fourth year of operation, the project would receive \$150,000 or 60 percent of the total cost ($\$250,000 \times .60 = \$150,000$).

If a project successfully completes four years of operation and applies for re-funding for another four-year cycle, the maximum that the project may receive is 50 percent of the total cost of the project, or a maximum of \$125,000.

1. In the first year of the project's funding, at least 10 percent of the total cost of the project must be local.
2. In the second year of the project's funding, at least 20 percent of the total cost of the project must be local.
3. In the third year of the project's funding, at least 30 percent of the total cost of the project must be local.
4. In the fourth year of the project's funding, at least 40 percent of the total cost of the project must be local.

The local match may be accomplished by providing in-kind services; however, payments for indirect costs cannot be used as a local match.

PROJECT PERIOD

The project period is July 1, 2002, through June 30, 2006.

ELIGIBLE ENTITIES

According to section 1202 of the Even Start Statute, eligible entities for Even Start Family Literacy Program Grants is defined as a **partnership** composed of both a local educational agency and a nonprofit community-based organization, public agency other than a local educational agency, an institution of higher education, or a public or private nonprofit organization other than a local educational agency of demonstrated quality.

DEFINITION OF TERMS

Family Literacy Services means services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

- (a) Parent literacy training that leads to economic self-sufficiency.
- (b) An age-appropriate education to prepare children for success in school and life experience.
- (c) Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children.
- (d) Interactive literacy activities between parents and their children.

Community-Based Organization. A private nonprofit organization, which is representative of a community or significant segments of a community and which provides educational or related services to individuals in the community is called a community-based organization.

Local School Division. A public board of education or other public authority legally constituted within a state for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a state, or such combination of school districts or counties as are recognized in a state as an administrative agency for its public elementary or secondary schools. Such term includes any other public institution or agency having administrative control and direction of a public elementary or secondary school.

Eligible Organization. Any public or private nonprofit organization with a record of providing effective services to family literacy providers, such as the National Center for Family Literacy, Parents As Teachers, Inc., the Home Instruction Program for Preschool Youngsters, and the Home and School Institute, Inc. **A copy of proof of 501(c)(3) status must be included for all applicants/collaborating partners who are not public educational institutions.**

Urban/Rural policy. The state defines “*urban*” eligible entities as those within Metropolitan Statistical Areas (MSAs) as most recently designated by the United States Department of Census and “*rural*” as those outside the boundaries of MSA. A list of Virginia’s Metropolitan Statistical Areas is included in the Resource Packet.

Requirements

1. The Statement of Assurances must be included and signed by both the school division and the agency serving in partnership with the school division. The Document of Partnership form must be completed and signed by the co-applicant.
2. A total of \$10,000 must be budgeted for the purpose of participating in the required national, state, and local evaluation and technical assistance of Even Start. These funds are to be used to attend required training, purchase necessary materials, and report results to contractors. **The amount to be used for evaluation should be reflected in the total budget that is submitted.** All successful grantees will be required to participate in evaluations and staff training. Assurance that they will participate must be written into the applicant's proposal.
3. A list of equipment and materials anticipated for purchase must be included in **all** applications (new and continuing projects). Equipment purchases should not be a major part of the budget. Equipment needs beyond \$10,000 should be obtained through members of the partnerships or other sources. Justification of need must be included.
4. Attention is called to the fact that all of the General Terms and Conditions as well as Special Terms and Conditions for Education are applicable to all agencies involved in the project. Special attention is called to the Audit portion of Special Terms and Conditions for Education. Prior to receiving any funds under this grant, you must provide to the Department of Education evidence that you have made arrangements for such an audit.
5. Continuation Eligibility - In awarding subgrant funds to continue a program under this part for the second, third, or fourth year, the state educational agency shall review the progress of each eligible entity in meeting the objectives of the program referred to in section 1237 (c)(1)(A) and shall evaluate the program based on the indicators of program quality developed by the state.

The state educational agency may refuse to award subgrant funds if the Department of Education finds that the eligible entity has not sufficiently improved the performance of the program, as evaluated based on the indicators of program quality developed by the state, after providing technical assistance to the eligible entity and affording the eligible entity notice and an opportunity for a hearing.
6. A local school division must apply in partnership with a community-based organization, public agency, institution of higher education, or other nonprofit organization. Or, a community-based organization or other nonprofit organization of demonstrated quality must apply in partnership with a local school division, with the local school division being the fiscal agency.

II. COMPETITIVE GRANT APPLICATION AND SUBMISSION REQUIREMENTS

COMPETITIVE GRANT APPLICATION AND SUBMISSION REQUIREMENTS

GENERAL INSTRUCTIONS REGARDING THE COMPETITIVE GRANT APPLICATION

***PROPOSALS THAT DO NOT FOLLOW THE REQUIREMENTS AS PROVIDED IN THIS PUBLICATION
MAY BE DISCARDED WITHOUT BEING READ OR EVALUATED.***

GENERAL REQUIREMENTS

1. Competitive Grant Application Response

In order to be considered for selection, school divisions must submit a complete response to this Competitive Grant Application. One original copy of the proposal must be submitted to the Department of Education. The original copy of the proposal shall have original signatures signed in blue ink of officials authorized to negotiate grants or contracts.

2. Application Preparation

- a. Applications will be signed by an authorized representative. Failure to submit all information requested may result in the application being disqualified and not considered in the review process. Mandatory requirements are those required by law or regulation or are such that they cannot be waived and are not subject to negotiation.
- b. Proposals should be prepared simply and economically, providing a straightforward, concise description of capabilities to satisfy the requirements of the application. Emphasis should be placed on completeness and clarity of content.
- c. The proposal must be DOUBLE-SPACED on one side of standard-size (8.5" x 11") paper. Please use an 11- or 12-point font that is easy to read. Please include a copy of the proposal on diskette.

The narrative must not be more than 20 pages in length. This does not include the budget sheets or appendices. Pages must be numbered, and a Table of Contents should be included. Resumes and proposal abstracts are limited to two pages each.

- d. Ownership of all data, materials, and documentation originated and prepared for the state pursuant to the Competitive Grant Application shall belong exclusively to the state and be subject to public inspection in accordance with the Virginia Freedom of Information Act. Trade secrets or proprietary information submitted by an Offeror shall not be subject to public disclosure under the Virginia Freedom of Information Act; however,

the Offeror must invoke the protections of Section 11-52 of the Virginia Public Procurement Act prior to or upon submission of the data or other materials, and must identify the data or other materials to be protected and state the reasons why protection is necessary.

- e. The required state and federal assurances must be reviewed carefully. Authorized signatures on Form QF.036 constitute a legal agreement to adhere to the provisions of these assurances throughout the contract period.
- f. Budget proposals must not exceed the amount stated in the competitive grant application. Carryover funds are not allowed in Even Start projects.
- g. The Contractor is prohibited from copyrighting any papers, interim reports, forms, or other materials and/or from obtaining patents on any invention resulting from performance under a grant or contract. No proposal can be accepted which waives the right of copyright on the part of the state agency.
- h. The proposal budget must include staff travel for a minimum of two trips to Richmond for project staff meetings.
- i. Direct all program questions to:

Jennifer K. Stuart, Even Start Coordinator
Office of Adult Education and Literacy
Virginia Department of Education
P. O. Box 2120
Richmond, Virginia 23218-2120
Telephone: 804-786-7644 Fax: 804-225-3352

- j. Direct all budget questions to:

Rebecca Marable, Grants Manager
Office of Adult Education and Literacy
Virginia Department of Education
P. O. Box 2120
Richmond, VA 23218-2120
Telephone: 804-225-2850 Fax: 804-225-3352

- k. The street address for hand-carried documents, UPS, or overnight carrier is:

Dr. Yvonne V. Thayer, Director
Office of Adult Education and Literacy
Virginia Department of Education
James Monroe Building - 21st Floor
101 N. 14th Street
Richmond, VA 23219

SELECTION PROCESS

A review committee selected by the Department of Education reviews applications that are submitted. The review committee will select all eligible applications that are in the fundable range. From that group, the applications that satisfy the federal requirement of ***meeting the greatest need*** in terms of serving those persons having the highest poverty and lowest literacy levels will then be ranked. The Department of Education will select applications recommended by the review committee. The Department of Education is not required to furnish a statement of the reason that a particular program was not deemed to be the most meritorious. In its project approval decisions, the Department of Education will be using criteria provided in this application packet. Grant awards will be issued no later than July 1, 2002. Applicants not selected for funding will be notified in writing by the Department of Education.

Following review and evaluation, applications selected as potential grant recipients will be notified by the Department of Education. Notice of selection as a potential grant recipient will not constitute approval of the grant application as submitted. Prior to the actual grant award, representatives of the potential grant recipient and the Department of Education may enter into negotiations concerning such issues as program components or funding levels. If the negotiations do not result in an acceptable agreement, the Department of Education reserves the right to terminate the negotiations and decline to fund the application.

INSTRUCTIONS FOR THE COMPLETION OF APPLICATION COVER SHEET

1. Indicate name and address of institution or agency from which the application for the grant or contract is being made.
2. Indicate the name and address of the Co-Applicant of the project.
3. Write in the title of the project. If local program does not have a special name for the program, just write "Even Start" in the box.
4. Enter the total federal/state amount requested for the current fiscal year.
5. Indicate the total amount of the project for the current fiscal year.
6. Provide the typed name and signature of the Applicant's Agency Head.
7. Provide the typed name and signature of the Fiscal Agent of the Applicant.
8. Provide the typed name and signature of the Co-Applicant.
9. Provide the name, telephone number, FAX number, and e-mail address of the Project Director or Contact Person.

OUTLINE FOR EVEN START APPLICATIONS

When submitting an application, you must include all of the required grant components in the following order:

EVEN START APPLICATION COVER SHEET - APPLICATION AGREEMENT

ABSTRACT (1-2 PAGES) - This must include a description of the partnerships, description of the program design, number of families and children to be served, number of hours for each component, description of weekly schedule, location of the program and each component, description of transportation and child care.

NARRATIVE - A narrative description of the project must be developed that addresses the areas that follow:

NEED: GEOGRAPHIC AREAS, POPULATION, IDENTIFICATION, RECRUITMENT, AND SCREENING

- (A) Describe the geographic boundaries of the area to be served through this project. Information must also be included that describes the needs of the population residing in the area focusing on poverty and needs of low-income children and their families; critical issues and problems of the community; the availability of preschool programs and percentages of students served and unserved by such programs; percentages of unemployment, illiteracy, and the availability of adult literacy programs and the numbers of adults served and unserved; limited English proficiency, or other need-related indicators, including handicapping conditions; and a high percentage of children to be served by the program who reside in a school attendance area eligible for participation in programs under Part A of Title I. Be sure to cite the sources of any demographic, socioeconomic, or other data included in the description of needs. Comparisons should be made within Virginia only.
- (B) Describe the plan and procedures to be used for the identification and recruitment of eligible adults and children. **It is a requirement** that you submit documentation on how you will ensure that the program will serve families most in need of services. **It is also a requirement** that you estimate the number of adults and children to be served. Given the amount of money, **we recommend that beginning programs serve approximately 30 families.** Include the results of your local needs assessment. (A list of potential participants that have committed to attend must be provided prior to July 1, 2002.)
- (C) Describe procedures to be used in screening and preparing parents and children for participation in the Even Start Family Literacy Program. Be sure to include methods of assessment, referral to counseling, and other developmental and support services or related services.
- (D) Describe the unavailability of comprehensive family literacy services or programs for the target population. If similar programs serve the same population, applicants may provide evidence of waiting lists or other

indicators that local demands exceed the ability of those programs to meet the needs.

PROGRAM MODEL: RESEARCH BACKGROUND, GOALS, OBJECTIVES, AND PERSONNEL

- (A) Provide a description of the specific family literacy model that the applicant proposes to implement, including limited research data on the model's effectiveness. (Research information on models is available from The National Center for Family Literacy - www.familit.org.)
- (B) Describe in detail how the model selected will be implemented in this program. Describe the mandated components (Early Childhood Education, Adult Education and Literacy, Parent and Child Together Time, Parent Education, and Home Visits). Clearly state the number of hours for each component, the weekly and yearly schedule, and the location of each component. **The program must operate on a year-round schedule, including the provision of some services, instructional and enrichment, during the summer.** Indicate methods, materials, and other resources to be used and how each component will be monitored. Provide the transportation plan. Provide the child care plan. All components must be intensive and focused. Please refer to "Guide To Quality" in the Resource Packet for recommended number of hours per component.

***HINT:** Programs that received funding last year met the time requirements for each component. Here is the list for easy reference:*

<i>Early Childhood Education</i>	<i>20+ hours per week</i>
<i>Adult Basic Education</i>	<i>15-20 hours per week</i>
<i>Parent-Child Interactions and Parenting Education</i>	<i>4-5 hours per week</i>
<i>Home Visiting</i>	<i>At least once a month</i>

- (C) List local performance objectives, strategies to meet those objectives, and how the objectives align with **Virginia's Performance Objectives and Indicators of Program Quality**. It is expected that the local program objectives and indicators of program quality will be more specific than the state plan. All objectives need to be clear, attainable, and measurable. These data will gauge the success of your program in future funding years.
- (D) Describe the qualified personnel who will be responsible for developing, administering, and implementing the program. Describe how the applicant will ensure proper and efficient administration of the project. Include the percentage of time specific personnel will be assigned to the project. **(Programs that have a full-time coordinator will be given highest priority for funding.)** The applicant must sign an assurance that all staff hired part-time or full-time with Even Start funds will meet the qualification requirements in the law.

- (E) Describe the staff development plan. This shall include family literacy training in the core Even Start services and some cross-disciplinary training. All staff, including administrators, must receive training in the operation of a family literacy program. Training will be available through the Department of Education.

PROGRAM DESIGN: ACTIVITIES, SERVICES, AND TIMELINES

- (A) Describe activities that will be conducted to achieve identified goals and objectives. Include timelines and resources required. **For the first year of the project only**, include who will be responsible for each activity or service and the planned completion dates. Use a chart or table to display this calendar of events. For subsequent years of the grant, provide the following information:
- 1) Briefly describe the activities to take place in the second grant period, July 1, 2003, to June 30, 2004.
 - 2) Briefly describe the activities to take place in the third grant period, July 1, 2004, to June 30, 2005.
 - 3) Briefly describe the activities to take place in the fourth grant period, July 1, 2005, to June 30, 2006.
- (B) Describe what will be done to encourage participants to remain in the program for the full period of eligibility or for a time sufficient to meet program goals.

PROGRAM DESIGN: COORDINATION/PARTNERSHIP

- (A) Describe how the Even Start Family Literacy Program will be coordinated with any relevant programs assisted under the Adult Education and Family Literacy Act, the Individuals with Disabilities Act, the Workforce Investment Act, Head Start Programs, Title I, volunteer literacy programs, community-based organizations, institutions of higher education, private elementary schools, or other appropriate nonprofit organizations in carrying out the program for which assistance is sought. (Signed assurances indicating partnership efforts must be included in the Appendix.) The proposal should provide evidence of the following:
- 1) The applicant is knowledgeable about Virginia's Welfare Reform Initiative and has consulted with the Department of Social Services before deciding on service delivery model;
 - 2) Services offered by the applicant will build upon but not duplicate those being provided to project participants by the applicant or other service providers; and
 - 3) The applicant has, in planning the project, engaged various providers in discussions with other service providers, including state and locally funded providers, resulting in firm agreements for specific cooperative activities.

Documentation of Partnership must be completed, signed, and returned with the application packet as evidence of the collaboration between the applicant and the entity with which the applicant has and will collaborate in the planning and implementation of the Even Start Family Literacy Program. The statement must be signed by the chief school administrator of the local school division and the chief executive officer of the community-based or other nonprofit organization, as appropriate.

EVALUATION/PROMISE AS A MODEL

Present a plan for evaluating the effectiveness of the Even Start Family Literacy Program. Include methodology used to measure the progress and success of the project in achieving the stated objectives and strategies. The proposed project should show promise that it will be a model that may be transferred to other local school divisions.

- 1) The evaluation plan described in the application shall (a) measure the progress and success of the project in achieving the objectives and strategies that are aligned with the Virginia's Indicators of Program Quality; (b) utilize concrete and quantifiable means of measurement; (c) include, if possible, comparisons with control groups; and (d) assure that it will be used for continuous program improvement.
- 2) The general components of the project shall be readily understandable and useable by other entities and based on scientifically-based reading research;
- 3) The applicant shall demonstrate a willingness to serve as a model and to disseminate detailed information about the project to the Department and to other local school divisions; and
- 4) Inclusion of a provision for local evaluation must also be evidenced. The budget shall reflect \$10,000 for state and local evaluation activities. This is a legislative mandate.

BUDGET

In the first grant period for which this application is being submitted, the applicant and/or co-applicant/partner must provide at least ten percent of the total program cost. A budget summary sheet and a budget worksheet must be prepared for the current fiscal year only. It is recommended that some cash be included in the local match requirement.

- 1) Costs must be reasonable and associated with project needs;
- 2) The applicant will make use of currently available resources such as facilities and equipment; and
- 3) The budget provides sufficient information to support the requested amount of funds.

Include a list of materials and equipment expected to be purchased, along with a justification for purchase.

APPENDICES

1. Assurance statements must be signed by both the applicant and co-applicant. A completed Documentation of Partnership form must be signed by the applicant, co-applicant, and other partners. **Applications that do not have the Assurance Statements included will not be reviewed or evaluated.**
2. A statement of assurance that all early childhood programs will be licensed/ accredited must be included in this section.
3. A statement of assurance that all teachers hired with Even Start funds will have a degree and state certification must be included in this section. Those teachers hired to teach young children must hold certification in early childhood education. Previous experience is preferred. Include resumes/job descriptions of staff or personnel working with the project. Paraprofessionals who provide support for academic instruction must have a high school diploma or its recognized equivalent.
4. Proof of nonprofit status must be included for community-based organizations. An applicant or co-applicant may show that it is a nonprofit organization through visible proof that the Internal Revenue Service currently recognizes the applicant as an organization to which contributions are tax deductible under 501(c)(3) of the Internal Revenue Code.

The local school division is not required to submit proof of nonprofit status. This is a requirement for the co-applicant that submits a grant proposal with the local school division. Applications that do not have proof of nonprofit status for the designated co-applicant will not be reviewed or evaluated.

5. Include other support material that strengthens the application.

INSTRUCTIONS FOR THE PREPARATION OF BUDGET

1. The budget must be prepared using the appropriate categories with object codes on the budget summary sheet. Please comply with the definitions of each category in developing your project budget.
2. A budget summary sheet and a budget worksheet must be prepared for the first fiscal year.
3. All budget figures must be rounded to whole dollars.
4. Consulting fees and consultant travel expenses may not exceed prevailing state rates. Consultant fees exceeding \$250 per day must be approved by the grants manager in the Office of Adult Education and Literacy.
5. Examples of items not allowable in the project budget are the following:
 - a. Alterations or renovations of buildings;
 - b. Construction of buildings or purchase of land or buildings;
 - c. Dues to organizations, federations, or societies;
 - d. Purchase of furniture or equipment unless approved in advance;
 - e. Charges for meals, banquets, coffee breaks, etc., unless a structured part of the contract approved;
 - f. Establishment of contingency or petty cash funds;
 - g. Entertainment; and
 - h. Indirect cost.
6. Staff travel must be itemized and must not exceed prevailing state rates as indicated in the State Travel Regulations. No out-of-state travel is authorized unless requested in advance and approved by the Office of Adult Education and Literacy. All out-of-state conferences (such as the annual conference of the National Center on Family Literacy) should be included in this application.
7. All budget changes must be approved by the grants manager.
8. A justification of materials and equipment to be purchased shall be included in this section.

PART III. EVALUATION AND CRITERIA

COMPETITIVE GRANT APPLICATION EVALUATION CRITERIA Even Start Program

Criteria

Need for the project: The state reviews each application to determine the extent to which the applicant demonstrates that the area to be served has a high percentage or large number of children and parents in need of Even Start services. **(MAXIMUM POINTS 20)**

Likelihood of success in meeting the Even Start goals: The state reviews each application to determine the extent to which the proposed project will provide an intensive family literacy program that includes activities to promote literacy of participating parents, train parents to support the educational growth of their children, and prepare children for success in regular school programs. **(MAXIMUM POINTS 40)**

Degree of cooperation and coordination: The state reviews each application to determine the extent to which cooperation and coordination will take place in all phases of the proposed project among a variety of relevant service providers. **(MAXIMUM POINTS 20)**

Promise as a model: The state reviews each application to determine the extent to which the proposed project shows promise in providing a model that may be transferred to other local school divisions. **(MAXIMUM POINTS 10)**

Reasonableness of budget: The state reviews each application to determine the extent to which the budget submitted for the entire cost of the project appears reasonable, given the scope of the proposed project. **(MAXIMUM POINTS 10)**

**PART IV. REPORTING AND EXPENDITURE
REQUIREMENTS**

REPORTING AND EXPENDITURE REQUIREMENTS

The Contractor shall provide the following documentation to the grants manager for approval by the Department of Education:

- A. **REQUISITIONS FOR REIMBURSEMENT.** Funds are provided on a cost-reimbursement basis. It is required that requisitions be submitted on a monthly or quarterly basis. The FINAL REQUISITION is due no later than June 5 of each year.
- B. **INTERIM REPORT.** For projects approved to begin July 1, an interim report documenting progress toward meeting each objective and problems encountered to date is due by **February 15** of each year. Additional information regarding interim reports will be found in the Project Director's Handbook that will be given to all project directors whose projects are funded.
- C. **FINAL REPORT. A FINAL REPORT is due upon the completion of the project.** Additional information regarding final reports will be found in the Project Director's Handbook that will be given to all project directors whose projects are funded.
- D. **BUDGET CHANGE REQUEST FORMS.** A "Budget Change Request Form" must be submitted to the grants manager.

PART V. APPENDICES

COMMONWEALTH OF VIRGINIA
Department of Education
Office of Adult Education and Literacy

APPLICATION AGREEMENT FOR A DEPARTMENT OF EDUCATION GRANT OR CONTRACT AWARD	
EVEN START APPLICATION COVER SHEET	
1. Name and Address of APPLYING AGENCY	
Name: _____	
Address: _____	City/State/Zip Code: _____
2. Name and Address of Primary CO-APPLICANT of Grant	
Name: _____	
Address: _____	City/State/Zip Code: _____
This application is for funding for the period beginning July 1, 2002, through June 30, 2003.	
3. Title of Local Project: _____	
4. Total Federal/State Amount Requested for this Fiscal Year	\$ _____
5. TOTAL AMOUNT OF BUDGET FOR CURRENT YEAR	\$ _____
THE AGENCY AGREES TO PROVIDE AND THE CONTRACTOR AGREES TO ACCEPT, UPON THE CONDITIONS, ASSURANCES AND PROVISIONS OF THE ORIGINAL CONTRACT, THE ABOVE DESCRIBED FUNDS FOR CONTRACTOR'S PERFORMANCE OF SERVICES	
6. Typed Name and Signature of Applicant's Agency Head Name: _____ Signature: _____	8. Typed Name and Signature of Primary Co-Applicant Name: _____ Signature: _____
7. Typed Name and Signature of Fiscal Agent of Applicant: Name: _____ Signature: _____	9. Typed Name, Telephone, and FAX of Project Director or Contact Person Name: _____ Telephone: _____ FAX : _____ E-mail address (required): _____

GENERAL TERMS AND CONDITIONS

- A. **VENDOR'S MANUAL:** This solicitation is subject to the provisions of the Commonwealth of Virginia Vendor's Manual and any revisions thereto, which are hereby incorporated into this contract in their entirety. A copy of the manual is normally available for review at the purchasing office and in addition a copy can be obtained by calling the Division of Purchases and Supply (804) 786-3845.
- B. **APPLICABLE LAWS AND COURTS:** This solicitation and any resulting contract shall be governed in all respects by the laws of the Commonwealth of Virginia and any litigation with respect thereto shall be brought in the courts of the Commonwealth. The Contractor shall comply with applicable federal, state and local laws and regulations.
- C. **ANTI-DISCRIMINATION:** By submitting their bids or applications, Bidders or Offerors certify to the Commonwealth that they will conform to the provisions of the Federal Civil Rights Act of 1964, as amended, as well as the Virginia Fair Employment Act of 1975, as amended, where applicable, the Virginians With Disabilities Act, the Americans With Disabilities Act and Section 11-51 of the Virginia Public Procurement Act which provides:
- In every contract over \$10,000 the provisions in 1. and 2. below apply:
1. During the performance of this contract, the Contractor agrees as follows:
 - The Contractor will not discriminate against any employee or applicant for employment because of race, religion, color, sex or national origin, or disabilities, except where religion, sex or national origin is a bona fide occupational qualification reasonably necessary to the normal operation of the Contractor. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.
 - The Contractor, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, will state that such Contractor is an equal opportunity employer.
 - Notices, advertisements and solicitations placed in accordance with federal law, rule or regulation shall be deemed sufficient for the purpose of meeting the requirements of this Section.
 2. The Contractor will include the provisions of 1. above in every subcontract or purchase order over \$10,000, so that the provisions will be binding upon each subcontractor or vendor.
- D. **ETHICS IN PUBLIC CONTRACTING:** By submitting their bids or proposals, Bidders or Offerors certify that their bids or applications are made without collusion for fraud and that they have not offered or received any kickbacks or inducements from any other Bidder/Offeror, supplier, manufacturer or subcontractor in connection with their bid or proposal, and that they have not conferred on any public employee having official responsibility for this procurement transaction any payment, loan, subscription, advance, deposit of money, services or anything of more than nominal value, present or promised unless consideration of substantially equal or greater value was exchanged.
- E. **IMMIGRATION REFORM AND CONTROL ACT OF 1986:** By submitting their bids or applications, the Bidders or Offerors certify that they do not and will not during the performance of this contract employ illegal alien workers or otherwise violate the provisions of the federal Immigration Reform and Control Act of 1986.
- F. **DEBARMENT STATUS:** By submitting their bids or proposals, Bidders or Offerors certify that they are not currently debarred from submitting bids or proposals on contracts by any agency of the Commonwealth of Virginia, nor are they an agent of any person or entity that is currently debarred from submitting bids or proposals on contracts by any agency of the Commonwealth of Virginia.

- G. ANTITRUST: By entering into a contract, the Contractor conveys, sells, assigns, and transfers to the Commonwealth of Virginia all rights, title and interest in and to all causes of the action it may now have or hereafter acquire under the antitrust laws of the United States and the Commonwealth of Virginia, relating to the particular goods or services purchased or acquired by the Commonwealth of Virginia under said contract.
- H. MANDATORY USE OF STATE FORM AND TERMS AND CONDITIONS: FOR IFB'S AND RFP's (as applicable):
1. Invitation for Bids: Failure to submit a bid on the official state form provided for that purpose shall be a cause for rejection of the bid. Modification of or additions to any portion of the Invitation for Bids may be cause for rejection of the bid; however, the Commonwealth reserves the right to decide, on a case by case basis, in its sole discretion, whether to reject such a bid as non-responsive. As a precondition to its acceptance, the Commonwealth may, in its sole discretion, request that the Bidder withdraw or modify non-responsive portions of a bid which do not affect quality, quantity, price, or delivery. No modification of or addition to the provisions of the contract shall be effective unless reduced to writing and signed by the parties.
 2. Request For Proposals: Failure to submit a proposal on the official state form provided for that purpose may be a cause for rejection of the proposal. Modification of or additions to the General Terms and Conditions of the solicitation may be cause for rejection of the proposal; however, the Commonwealth reserves the right to decide, on a case by case basis, in its sole discretion, whether to reject such a proposal.
- I. CLARIFICATION OF TERMS: If any prospective Bidder or Offeror has questions about the specifications or other solicitation documents, the prospective Bidder or Offeror should contact the buyer whose name appears on the face of the solicitation no later than five working days before the due date. Any revisions to the solicitation will be made only by addendum issued by the buyer.
- J. PAYMENT:
1. To Prime Contractor:
 - a. Invoices for items ordered, delivered and accepted shall be submitted by the Contractor directly to the payment address shown on the purchase order/contract. All invoices shall show the state contract number and/or purchase order number; social security number (for individual contractors) or the federal employer identification number (for proprietorships, partnerships, and corporations).
 - b. Any payment terms requiring payment in less than 30 days will be regarded as requiring payment 30 days after invoice or delivery, whichever occurs last. This shall not affect offers of discounts for payment in less than 30 days, however.
 - c. All goods or services provided under this contract or purchase order, that are to be paid for with public funds, shall be billed by the Contractor at the contract price, regardless of which public agency is being billed.
 - d. The following shall be deemed to be the date of payment: the date of postmark in all cases where payment is made by mail, or the date of offset when offset proceedings have been instituted as authorized under the Virginia Debt Collection Act.
 2. TO SUBCONTRACTORS:
 - a. A contractor awarded a contract under this solicitation is hereby obligated:
 - (1) To pay the subcontractor(s) within seven (7) days of the contractor's receipt of payment from the Commonwealth for the proportionate share

of the payment received for work performed by the subcontractor(s) under the contract; or,

- (2) To notify the agency and the subcontractor(s), in writing, of the contractor's intention to withhold payment and the reason.

- b. The contractor is obligated to pay the subcontractor(s) interest at the rate of one percent per month (unless otherwise provided under the terms of the contract) on all amounts owed by the contractor that remain unpaid seven (7) days following receipt of payment from the Commonwealth, except for amounts withheld as stated in (2) above. The date of mailing of any payment by U. S. Mail is deemed to be payment to the addressee. These provisions apply to each sub-tier contractor performing under the primary contract. A contractor's obligation to pay an interest charge to a subcontractor may not be construed to be an obligation of the Commonwealth.

K. PRECEDENCE OF TERMS: Paragraphs A-J of these General Terms and Conditions shall apply in all instances. In the event there is a conflict between any of the other General Terms and Conditions and any Special Terms and Conditions in this solicitation, the Special Terms and Conditions shall apply.

L. QUALIFICATIONS OF BIDDERS OR OFFERORS: The Commonwealth may make such reasonable investigations as deemed proper and necessary to determine the ability of the Bidder or Offeror to perform the work/furnish the item(s) and the Bidder or Offeror shall furnish to the Commonwealth all such information and data for this purpose as may be requested. The Commonwealth reserves the right to inspect Bidder's or Offeror's physical facilities prior to award to satisfy questions regarding the Bidder's or Offeror's capabilities. The Commonwealth further reserves the right to reject any bid or proposal if the evidence submitted by, or investigations of, such Bidder or Offeror fails to satisfy the Commonwealth that such Bidder or Offeror is properly qualified to carry out the obligations of the contract and to complete the work/furnish the item(s) contemplated therein.

M. TESTING AND INSPECTION: The Commonwealth reserves the right to conduct any test/inspection it may deem advisable to assure supplies and services conform to the specification.

N. ASSIGNMENT OF CONTRACT: A contract shall not be assignable by the Contractor in whole or in part without the written consent of the Commonwealth.

O. CHANGES TO THE CONTRACT: Changes can be made to the Contract in any one of the following ways:

1. The Purchasing Agency may order changes within the general scope of the contract at any time by written notice to the Contractor. Changes within the scope of the contract include, but are not limited to, things such as services to be performed, the method of packing or shipment, and the place of delivery or installation. The Contractor shall comply with the notice upon receipt.

The Contractor shall be compensated for any additional costs incurred as the result of such order and shall give the Purchasing Agency a credit for any savings. Said compensation shall be determined by one of the following methods:

- a. By mutual agreement between the parties in writing; or
- b. By agreeing upon a unit price or using a unit price set forth in the contract, if the work to be done can be expressed in units, and the Contractor accounts for the number of units of work performed, subject to the Purchasing Agency's right to audit the Contractor's records and/or determine the correct number of units independently; or
- c. By ordering the Contractor to proceed with the work and to keep a record of all costs incurred and savings realized. A markup for overhead and profit may be allowed if provided by the contract. The same markup shall be used for determining a decrease in price as the result of savings realized. The Contractor

shall present the Purchasing Agency with all vouchers and records of expenses incurred and savings realized. The Purchasing Agency shall have the right to audit the records of the Contractor as it deems necessary to determine costs or savings. Any claim for an adjustment in price under this provision must be asserted by written notice to the Purchasing Agency within thirty (30) days from the date of receipt of the written order from the Purchasing Agency. If the parties fail to agree on an amount of adjustment, the question of an increase or decrease in the contract price or time for performance shall be resolved in accordance with the procedures for resolving disputes provided by the Disputes Clause of this contract or, if there is none, in accordance with the disputes provisions of the Commonwealth of Virginia's Vendor's Manual. Neither the existence of a claim or a dispute resolution process, litigation or any other provision of this contract shall excuse the Contractor from promptly complying with the changes ordered by the Purchasing Agency or with the performance of the contract generally.

2. The parties may agree in writing to modify the scope of the contract. An increase or decrease in the price of the contract resulting from such modification shall be agreed to by the parties as a part of their written agreement to modify the scope of the contract.

- P. DEFAULT: In case of failure to deliver goods or services in accordance with the contract terms and conditions, the Commonwealth, after due oral or written notice, may procure them from other sources and hold the Contractor responsible for any resulting additional purchase and administrative costs. This remedy shall be in addition to any other remedies that the Commonwealth may have.
- Q. TAXES: Sales to the Commonwealth of Virginia are normally exempt from sales tax. State sales and use tax certificates of exemption, Form ST-12, will be issued upon request. Deliveries against this contract shall be free of federal excise and transportation taxes. The Commonwealth's excise tax exemption registration number is 54-73-0076K.

SPECIAL TERMS AND CONDITIONS FOR EDUCATION

- (1) **AUDIT:** The contractor hereby agrees to retain all books, records, and other documents relative to this contract for five (5) years after final payment, or until audited by the Commonwealth of Virginia, whichever is sooner. The agency, its authorized agents, and/or state auditors shall have full access to and the right to examine any of said materials during said period.
- (2) **TITLE TO PROPERTY:** Any reports, studies, photographs, negatives, or other documents prepared by Contractor in the performance of its obligations under this contract shall be the exclusive property of the Agency, and all such materials shall be remitted to the Agency by Contractor upon completion, termination, or cancellation of this contract. Contractor shall not use, willingly allow, or cause to have such materials used for any purpose other than performance of contractor's obligations under this contract without the prior written consent of the Agency.
- (3) **CONFIDENTIAL INFORMATION:** During the term of this Agreement, and thereafter, each party shall, except as may be required by law, respect the confidentiality of all confidential data, information, and other such matters disclosed and entrusted to him/her by the other party. At the conclusion of the term of this Agreement, or upon termination thereof, each party shall return to the party, all such confidential matter in their possession belonging to the other party, and further, agrees not to use any such information.
- (4) **CONFORMITY TO TERMS OF EMPLOYMENT:** The Contractor warrants that this Agreement is being entered into with the knowledge of and approval of his/her institution or employer (this section is applicable only if the Contractor is employed by a state agency).
- (5) **INDEPENDENT CONTRACTOR:** Both parties hereto recognize that the Contractor, while engaged in carrying out and complying with any of the terms and conditions of this agreement, is an independent contractor and is not an officer, agent, or employee of the Department. As an independent contractor, the contractor retains the right to exercise full control and supervision over its employees, their compensation and discharge, and agrees to be solely responsible for all matters relating to payment of its employees, including compliance with social security, withholding and all other regulations governing such matters and will accrue no benefits from the Department of Education. The Contractor agrees to be responsible for its own acts and those of its subordinates, employees, and subcontractors during the life of this agreement.
- (6) **NONDISCRIMINATION STATEMENT:** The Virginia Department of Education does not unlawfully discriminate on the basis of sex, race, color, religion, handicapping conditions, or national origin in employment or in its educational programs and activities.
- (7) **COMPLIANCE WITH PROCEDURES:** Contractor shall comply with all procedural instructions that may be issued from time to time by the agency. However, the terms and conditions of the contract will not change.
- (8) **REIMBURSEMENT OF EXPENSES:** Any reimbursement for travel expenses authorized under "Compensation & Method of Payment" will be made in accordance with the Commonwealth of Virginia Travel Regulations. This includes, but is not limited to, reimbursement for: a) public transportation at rates not exceeding tourist or coach class over the most direct route; b) personal automobile mileage at the rate established in the current Appropriations Act; c) lodging expenses that are necessary and reasonable, including weekends when applicable. (A copy of these Regulations will be furnished upon request.)
- (9) **OBLIGATION OF OFFEROR:** By submitting a proposal, the offeror covenants and agrees that he has satisfied himself, from his own investigation of the conditions to be met, that he fully understands his obligation and that he will not make any claim for, or have right to cancellation or relief from the contract because of any misunderstanding or lack of information.
- (10) **PRIME CONTRACTOR RESPONSIBILITIES:** The Contractor shall be responsible for completely supervising and directing the work under this contract and all subcontractors that he may utilize, using his best skill and attention. Subcontractors who perform work under this contract shall be responsible to the prime Contractor. The Contractor agrees that he is as fully responsible for the acts and omissions of his subcontractors and of persons employed by them as he is for the acts and omissions of his own employees.

- (11) RENEWAL OF CONTRACT: This contract may be renewed by the Commonwealth upon written agreement of both parties for one year, under the terms of the current contract, and at a reasonable time (approximately 90 days) prior to the expiration date.
- (12) CANCELLATION OF CONTRACT: The purchasing agency reserves the right to cancel and terminate any resulting contract, in part or in whole, without penalty, upon 60 days written notice to the Contractor. In the event the initial contract period is for more than 12 months, the resulting contract may be terminated by either party, without penalty, after the initial 12 months of the contract period upon 60 days written notice to the other party. Any contract cancellation notice shall not relieve the Contractor of the obligation to deliver and/or perform on all outstanding orders issued prior to the effective date of cancellation.
- (13) AVAILABILITY OF FUNDS: It is understood and agreed between the parties herein that the agency shall be bound hereunder only to the extent of the funds available or which may hereafter become available for the purpose of this agreement.
- (14) DRUG FREE WORKPLACE: The Contractor acknowledges and certifies that it understands that the following acts by the Contractor, its employees, and/or agents performing services on state property are prohibited:
- a) The unlawful manufacture, distribution, dispensing, possession or use of alcohol or other drugs; and
 - b) Any impairment or incapacitation from the use of alcohol or other drugs (except the use of drugs for legitimate medical purposes).

The Contractor further acknowledges and certifies that it understands that a violation of these prohibitions constitutes a breach of contract and may result in default action being taken by the Commonwealth in addition to any criminal penalties that may result from such conduct.

OBJECT CODES

1000 **Personal Services**

(Salaries & 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 payments to time not worked, including sick leave, vacation, holidays, and other paid absences (jury duty, military pay, etc.) which are earned during the reporting period.

2000 **Employee Benefits**

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.

3000 **Purchased Services**

Services acquired from outside sources (i.e. private vendors, tuition, client/participant travel, day care, public authorities or other governmental entities). The Evaluation required by Even Start is covered under this section.

4000 **Internal Services**

Charges from an Internal Service Fund to other activities or elements of the local government (i.e., data processing, automotive/motor pool, central purchasing, or print shop).

5000 **Other Charges**

Utilities, communications, insurance, leases/rentals, staff/consultant travel, indirect cost (cannot be claimed against Capital Outlay), or miscellaneous. **Indirect costs cannot be considered for reimbursement or local match for Even Start projects.**

6000 **Materials and Supplies**

Includes articles and commodities which are consumed or materially altered when used and **minor equipment (less than \$300)** which is not capitalized.

8000 **Capital Outlay**

Outlays which result in the acquisition of or additions to fixed assets except outlays for major capital facilities which are constructed or acquired (i.e., machinery and equipment, furniture and fixtures, motor vehicles and equipment, and communications equipment).

VIRGINIA DEPARTMENT OF EDUCATION GRANTS ADMINISTRATION

SUMMARY OF PROJECT BUDGET

Grantee: _____

Award No. _____

Fiscal Year _____

BY EXPENDITURE ACCOUNTS	FEDERAL AMOUNT	LOCAL AMOUNT	TOTAL AMOUNT
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. Capital Outlay (8000)			
TOTAL	\$	\$	\$

SAMPLE BUDGET WORKSHEET
Fiscal Year 2002-2003

OBJECT CODES	EXPENDITURES	FEDERAL AMOUNT	LOCAL AMOUNT	OTHER CONTRIBUTIONS	TOTAL AMOUNT
1000	PERSONNEL SERVICES 1 Project Director 1 Adult Teacher 1 Preschool Teacher 4 Paraprofessionals 1 Coordinator (10% Time) Bi-County Literacy Council Reading Tutors	\$35,000.00 24,394.00 24,394.00 27,940.00	\$ 6,316.00	\$5,016.00	\$35,000.00 24,394.00 24,394.00 27,940.00 6,316.00 5,016.00
2000	EMPLOYEE BENEFITS FICA Retirement Insurance	\$ 8,547.00 12,693.00 6,677.00			\$ 8,547.00 12,693.00 6,677.00
3000	PURCHASED SERVICES Evaluation	\$10,000.00			\$10,000.00
4000	INTERNAL SERVICES Field Trips Transportation	\$ 1,500.00	\$10,550.00		\$ 1,500.00 10,550.00
5000	OTHER CHARGES 10 Month Rental of Corinth Baptist Church Staff Travel Field Trip Admissions	\$ 4,000.00 1,000.00 500.00			\$4,000.00 1,000.00 500.00
6000	MATERIALS & SUPPLIES Thematic Book Sets Parent Resource Center Materials Preschool/Nursery Supplies Instant Camera/Film/Video Tapes Cooking Supplies Car Seats Computer Software	\$ 6,000.00 4,000.00 7,000.00 1,500.00 1,000.00 500.00 500.00			\$ 6,000.00 4,000.00 7,000.00 1,500.00 1,000.00 500.00 500.00
8000	CAPITAL OUTLAY 3 Macintosh Computers 1 Printer Video Camera/VCR/Large Screen TV Camera Stand 4 carts for computers, TV, VCR	\$ 6,000.00 400.00 1,800.00 200.00 1,300.00			\$ 6,000.00 400.00 1,800.00 200.00 1,300.00
	GRAND TOTAL	\$186,845.00	\$16,866.00	\$5,016.00	\$208,727.00

SAMPLE ABSTRACT

COUNTY PUBLIC SCHOOLS

Contract person:
Address:
Phone Number:
Fax:
E-Mail Address:

The Even Start Program provides simultaneous educational services to, primarily, preschool children who live in the _____ Elementary School and _____ Elementary School attendance areas and to their parents who qualify for adult education under the Adult Education and Family Literacy Act. The program also now serves kindergarten students, as well, in families where the adult did not meet his or her educational goals during the 2002-2003 Even Start year. Program participants are screened upon recruitment, and those most in need are enrolled. The program will serve approximately 36 families and 72 children.

The program is located on the premises of _____ Elementary School in doublewide trailers. The schedule is full day and school year calendar. Parents and children attend school together, daily. Neither can attend without the other. A summer program is also provided for all families.

Parents set individual educational goals, along with goals to improve nurturing in the home and parenting. While the adults are working toward those goals, children enjoy active learning promoted by the High/Scope preschool curriculum. During the morning, parent and child come together for PACT time, a learning opportunity that stimulates interaction between parent and child and develops the important model of the parent as teacher. Kindergarten students are joined by their parent in the kindergarten classroom. Later in the morning, the child and parent again join for reading time together. Field trips and special guests enrich the learning experience for both children and adults.

Bi-weekly home visits augment family development in the classroom. Parenting and home environment goals provide the foundation for activities during these visits, as teachers use a Triadic Approach to facilitate parent-child interaction. Just as each family is unique, correlate home visits are individually planned to ensure appropriate enrichment and support.

In order to promote program participation by families, Even Start offers both breakfast and lunch for adults and children. Transportation to and from school is provided on the regular elementary school buses. Child care for children age two and younger is provided free of charge, along with transportation to and from the child care center.

The Even Start Program does not operate in a vacuum in _____ County. Participants and teachers at each site are fully integrated into the life of the school. A few parents now proudly serve as representatives to the School Advisory Council in their respective schools, where they take part in planning for school growth and in setting the school budget under school-based management. All division resources are fully available, and administrative support has been extremely strong. In addition, the Even Start Administrative Coordinator has joined with program administrators from Head Start, Title 1 Preschool, Special Education Preschool, and the Early Childhood office to form the Early Childhood Coordinating Council. Together, they have developed collaborative programs, uniform screening, cross-program referral services, transition programs, and they have shared professional growth opportunities for staff members.

In support of Even Start families, collaboration has been developed with many public and nonprofit private agencies. The Department of Social Services and Community Services Board provide recruitment referrals and support counseling. A joint venture between Even Start and the Section 8 Housing Family Support Program will enable participating families to work toward financial and social independence.

ASSURANCES

Assurances must be completed and have signatures of the applicant and co-applicant/partner.

**DOCUMENTATION OF PARTNERSHIP
Between**

**LEAD APPLICANT
and**

CO-APPLICANT/PARTNER

I, _____, certify that I and/or representatives of
(Name of Official)

_____ have participated in the development of
(Name of Organization/Agency)

this application and furthermore attest that as co-applicant/partner, we plan to participate in the following ways:

Activities/Contributions To Be Performed By Co-applicant/Partner	Financial Contributions By Partner	In-Kind Contributions By Partner

Signature of Applicant

Date

Printed Name of Applicant

Title

Signature of Co-Applicant/Partner

Date

Printed Name of Co-Applicant/Partner

Title

EVEN START ASSURANCES

The applicant hereby assures that:

1. The projects will comply with all requirements set forth by the Even Start legislation.
2. Local projects will use instructional programs based on scientifically based reading research (as defined in the Reading Excellence Act (REA) in section 2252 of the ESEA) for children and adults.
3. Local projects will provide both enrichment and instructional services during the summer months as stated in Section 1235(8).
4. For project staff whose salaries are paid partially or totally with federal Even Start funds, local projects must meet the following requirements as stated in Section 1235(5):
 - Instructional staff must have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary or secondary education, or adult education; and meet state qualifications for early childhood education, elementary education or secondary education, or adult education. All new staff hired must meet these qualifications when hired.
 - All early childhood teachers hired must be certified in early childhood education. Previous experience is preferred.
 - Instructional assistants who provide support for academic instruction must have a high school diploma or its recognized equivalent.
5. Funds will be expended according to the purpose and intent for which they were designated.
6. All projects will participate in the local, state, and national evaluation process. The local evaluation will be used for continuous program improvements.
7. An updated inventory of all equipment and non-consumable materials will be available for review by state or federal officials.
8. Financial and compliance audits in accordance with the Single Audit Act will be performed.

Signature of Superintendent or Designee	Date
Signature of Co-Applicant	Date

BE SURE TO ATTACH GENERAL ASSURANCES.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6106), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. '276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. '874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. '327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. '1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. '7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. '1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. '469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. '2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. '4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

**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:

**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.

(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

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled **A**Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions,[®] without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

0348-0046

(See reverse for public burden disclosure.)

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract b. grants c. cooperative agreement d. loan e. loan guarantee f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application b. initial award c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing b. material change</p>
a.	a.	<p>For material change only: year _____ quarter _____ date of last report _____</p>
<p>4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known</p>		<p>5. If Reporting Entity in No. 4. is Subawardee, Enter Name and Address of Prime:</p>
<p>Congressional District, <i>if known</i>:</p>		<p>Congressional District, <i>if known</i>:</p>
<p>6. Federal Department/Agency:</p>		<p>7. Federal Program Name/Description:</p>
<p>8. Federal Action Number, if known:</p>		<p>CFDA Number, <i>if applicable</i>: _____</p>
<p>9. Award Amount, if known:</p> <p style="text-align: center;">\$</p>		<p>10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i></p>
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		<p>b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i></p>
<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No.: _____ Date: _____</p>		<p>Authorized for Local Reproduction Standard Form – LLL (Rev. 7-97)</p>
<p>Federal Use Only</p>		

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 1st 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.

Elements of a Winning Application

A strong application should have the following components:

1. Strong instructional leadership--a full-time Even Start Family Literacy Coordinator to operate the program
2. Identified list of 25-30 eligible families who are willing to participate in the program
3. Intensive and integrated components that include:
 - Adult Education—15-20 hours per week
 - Early Childhood Education—15-20 hours per week
 - Parent and Child Together Time and Parenting Education—5-6 hours per week
 - Home Visits—at least once a month
4. Professional development and training through the National Center for Family Literacy on implementation of the model
5. Weekly planning time for Even Start staff members
6. Measurable objectives that align with Virginia's Indicators of Program Quality

Indicators of Program Quality for Even Start Programs in Virginia

Purposes: Indicators of program quality have been developed for Even Start programs in Virginia. This has been done in accordance with the December 1998 amendments to the Even Start statute (Reading Excellence Act, P.L. 105-277). Section 1240 of the Act requires States to develop such indicators and to use them for: 1) evaluating Even Start projects' program performance and improvement; and 2) making decisions about continued funding.

Legislative Requirements: States are required to develop indicators of program quality based upon the best available research and evaluation data. The Virginia Department of Education has taken into account the statutory requirements and the findings of national Even Start evaluations as well as the report by Collins Management Consulting, Inc., *Evaluation of Eight Even Start Sites in Virginia, 1999-2000*.

Section 1240 specifies that indicators developed by the State shall include the following:

- (1) *With respect to eligible participants who are adults—*
 - a) *achievement in the areas of reading, writing, English language acquisition, problem solving, and numeracy;*
 - b) *receipt of a high school diploma or a general equivalency diploma;*
 - c) *entry into a postsecondary school, job retraining program, or employment or career advancement, including the military; and*
 - d) *such other indicators as the State may develop.*

- (2) *With respect to eligible participants in a program who are children—*
 - a) *improvement in ability to read on grade level or reading readiness;*
 - b) *school attendance;*
 - c) *grade retention and promotion; and*
 - d) *such other indicators as the State may develop.*

Objectives and Indicators: The performance objectives for Even Start programs in Virginia and the indicators by which performance will be judged are set forth on the next page. For the most part, the indicators reflect objective, observable outcomes that can be measured. The principal instrument or measure used in assessing the outcome is noted. Findings in the local evaluation will be used in determining the extent to which Even Start sites are meeting the indicators and objectives. This information will be supplemented by a review of local site performance reports by the Virginia Department of Education and by the results of monitoring visits by the Department. The site's progress in achieving the results anticipated in the approved grant proposal will be assessed. Technical assistance will be provided to assist Even Start programs to achieve the results expected in the objectives and indicators.

<i>Even Start Programs in Virginia</i>	
<u>Performance Objectives</u>	<u>Indicators of Program Quality</u>
<p>1. Outcomes for adult participants will improve during the initial year of program participation and will continue to improve in subsequent years.</p>	<p>Measurable gains in reading achievement</p> <ul style="list-style-type: none"> • At least 75% of the adult participants will improve their reading scores in English on the TABE from the initial to the second administration of the test. • At least 50% of the adult participants will increase their reading scores in English on the TABE by one grade level from the initial to the second administration of the test. <p>Improvement in English language acquisition</p> <ul style="list-style-type: none"> • Participation in English as a Second Language (ESL) classes for adults who wish to acquire English-speaking skills. <p>Measurable gains in mathematics achievement</p> <ul style="list-style-type: none"> • At least 75% of the adult participants will improve their mathematics scores on the TABE from the initial to the second administration of the test. • At least 50% of the adult participants will increase their mathematics scores on the TABE by one grade level from the initial to the second administration of the test. <p>Improvement in the adults' educational status (e.g., high school graduation, GED)</p> <p>Entry in postsecondary school or other advanced education or training</p> <p>Improvement in the adults' self-sufficiency (e.g., employment, income, welfare participation)</p>

<i>Even Start Programs in Virginia</i>	
<u>Performance Objectives</u>	<u>Indicators of Program Quality</u>
<p>2. Outcomes for child participants will improve during the initial year of program participation and will continue to improve in subsequent years.</p>	<p>Measurable gains by preschool children on standardized measures of school readiness or language beyond the gains expected through normal development and maturation</p> <ul style="list-style-type: none"> • At least 50% of the child participants between the ages of 3 and 5 years will improve sufficiently their scores on the PPVT-III from initial to second administration of the test to warrant reclassification to a higher level. <p>Classrooms for infants and toddlers are implementing developmental strategies consistent with good practice and research findings</p> <ul style="list-style-type: none"> • Virginia Even Start programs offering early childhood education services to infants and toddlers will achieve an average rating of at least the combined statewide averages from the two previous years (4.1) on the Infant/Toddler Environment Rating Scale (ITERS). • Virginia Even Start programs offering early childhood education services to infants and toddlers will improve on the program’s overall average ITERS rating from the previous year. <p>Classrooms for preschool age children are implementing developmental strategies consistent with good practice and research findings</p> <ul style="list-style-type: none"> • Virginia Even Start programs offering early childhood education services to preschool age children will achieve an average rating of at least the combined statewide averages from the two previous years (4.1) on the revised version of the Early Childhood Environment Rating Scale (ECERS-R). • Virginia Even Start programs offering early childhood education services to preschool age children will improve on the program’s overall average ECERS-R rating from the previous year. <p>Measurable progress in children’s ability to read on grade level, school attendance, grade promotion/retention as reported by parents on the <i>Even Start Parents’ Assessment of Their Children’s Reading Readiness and School Performance Survey</i>, developed by the local evaluator, Collins Management Consulting, Inc.</p>

<i>Even Start Programs in Virginia</i>	
<u>Performance Objectives</u>	<u>Indicators of Program Quality</u>
3. Parenting skills and parent-child interaction will improve during the initial year of program participation and will continue to improve in subsequent years.	Measurable progress noted by staff on parent-child interaction using <i>CMC's Parent-Child Relationships Checklist</i>
4. Duration and intensity of program participation will promote favorable outcomes for parents and children.	<p>50% of the enrolled families will participate for a minimum of 9 months</p> <p>50% of the adult participants will participate in program activities for at least 160 hours</p> <p>50% of the child participants will participate in program activities for at least 250 hours</p>

GUIDE TO QUALITY

EVEN START FAMILY LITERACY PROGRAMS

1. INTEGRATION OF COMPONENTS (Adult Education and Literacy, Early Childhood Education, Parenting Education and Parent-Child Interaction Time)

Program staff understand the importance of integration at both the program level and the family level. The program's management structure is designed to facilitate integration of components. **Program leadership** takes an active role in fostering integration of components. Component integration is a staff development and supervision priority. The program ensures that team members meet together regularly/daily to plan together. **Planning time** is paid time within the workday. There is an opportunity for all staff to be part of planning home visits.

2. EARLY CHILDHOOD PROGRAM SETTINGS

Children participate in appropriate early childhood activities, including home visiting, Head Start, etc., ideally at least **sixty to eighty hours monthly** for children ages three through five. Early childhood **staff members** are well qualified, trained in child development, and have appropriate certification by state requirements. Early childhood centers have received appropriate **licensing** from the state. Early childhood program balances attention to **all areas of development**—social, emotional, physical, cultural, cognitive, aesthetic, and language.

3. PARENT-CHILD INTERACTIONS AND PARENTING EDUCATION

In programs that intend to produce substantial improvements in outcomes for children, parents participate about **20-24 hours per month** in parenting education, which includes parent-child interaction time and parent education group time.

4. ADULT EDUCATION AND ADULT LITERACY

Adults' progress in literacy depends on their literacy levels at program entry. Most adults make constant **progress on literacy indicators** until they exit the program. Among adults who do not obtain their high school diploma or equivalent, most continue in the program long enough to receive on average at least **70 hours** of adult education prior to leaving the program. For those for whom the GED is an appropriate goal, most who enter the program at high school literacy levels obtain their high school diploma or GED within a year. Most who obtain their high school diploma or equivalent in the program continue to pursue other goals, including employment or continued education. Programs that are **intensive and focused** achieve results. **Fifteen to twenty hours per week of adult education and adult literacy** is considered intensive and focused.

5. HOME VISITING

All families receive home visits with an **instructional focus** and educational objectives. The **number of visits** and the length of visits vary by program model and family need. Unless the home is the primary site for services, project ideally conducts at least **one home visit a month for each family**, acknowledging that it may take some time in group participation for some families to be comfortable with home visits.

6. STAFF DEVELOPMENT

The project provides staff with **ongoing** training in the full range of Even Start instructional services. The project has a staff development plan that guides the provision of high-quality staff development activities, including training in the four core Even Start services and some cross-disciplinary training. Staff training or development activities are offered **regularly** as a routine part of project activities and services.

Source: Guide to Quality--Even Start Family Literacy Programs, Prepared for U. S. Department of Education, Prepared by RMC Research Corporation.

**WILLIAM F. GOODLING EVEN START FAMILY LITERACY
PROGRAMS STATUTE,
AS OF January 8, 2002,
AS AMENDED BY THE LITERACY INVOLVES FAMILIES
TOGETHER (LIFT) ACT,
And
AS AMENDED AND REAUTHORIZED BY THE NO CHILD LEFT
BEHIND ACT 2001**



ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965

Title I — Improving the Academic Achievement of the Disadvantaged

§1002. Authorization of appropriations.

PART B — STUDENT READING SKILLS IMPROVEMENT GRANTS SUBPART 3 --WILLIAM F. GOODLING EVEN START FAMILY LITERACY PROGRAMS

§1231. Statement of purpose.

§1232. Program authorized.

§1233. State programs.

§1234. Uses of funds.

§1235. Program elements.

§1236. Eligible participants.

§1237. Applications.

§1238. Award of subgrants.

§1239. Evaluation.

§1240. Indicators of program quality.

§1241. Research.

§1242. Construction.

Title IX — General Provisions

Part A — Definitions

§9101. Definitions

Subpart 3--William F. Goodling Even Start Family Literacy Programs

SEC. 1231. STATEMENT OF PURPOSE.

It is the purpose of this subpart to help break the cycle of poverty and illiteracy by--

(1) improving the educational opportunities of the Nation's low-income families by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program, to be referred to as 'Even Start'; and

(2) establishing a program that shall--

(A) be implemented through cooperative projects that build on high-quality existing community resources to create a new range of services;

(B) promote the academic achievement of children and adults;

(C) assist children and adults from low-income families to achieve to challenging State content standards and challenging State student achievement standards; and

(D) use instructional programs based on scientifically based reading research and addressing the prevention of reading difficulties for children and adults, to the extent such research is available.

SEC. 1232. PROGRAM AUTHORIZED.

(a) RESERVATION FOR MIGRANT PROGRAMS, OUTLYING AREAS, AND INDIAN TRIBES--

(1) IN GENERAL- For each fiscal year, the Secretary shall reserve 5 percent of the amount appropriated under section 1002(b)(3) (or, if such appropriated amount exceeds \$200,000,000, 6 percent of such amount) for programs, under such terms and conditions as the Secretary shall establish, that are consistent with the purpose of this subpart, and according to their relative needs, for--

(A) children of migratory workers;

(B) the outlying areas; and

(C) Indian tribes and tribal organizations.

(2) SPECIAL RULE- After December 21, 2000, the Secretary shall award a grant, on a competitive basis, of sufficient size and for a period of sufficient duration to demonstrate the effectiveness of a family literacy program in a prison that houses women and their preschool age children and that has the capability of developing a program of high quality.

(3) COORDINATION OF PROGRAMS FOR AMERICAN INDIANS- The Secretary shall ensure that programs under paragraph (1)(C) are coordinated with family literacy programs operated by the Bureau of Indian Affairs in order to avoid duplication and to encourage the dissemination of information on high-quality family literacy programs serving American Indians.

(b) RESERVATION FOR FEDERAL ACTIVITIES--

(1) EVALUATION, TECHNICAL ASSISTANCE, PROGRAM IMPROVEMENT, AND REPLICATION ACTIVITIES- Subject to paragraph (2), from amounts appropriated under section 1002(b)(3), the Secretary may reserve not more than 3 percent of such amounts for purposes of--

(A) carrying out the evaluation required by section 1239; and

(B) providing, through grants or contracts with eligible organizations, technical assistance, program improvement, and replication activities.

(2) RESEARCH- In any fiscal year, if the amount appropriated under section 1002(b)(3) for such year--

(A) is equal to or less than the amount appropriated for the preceding fiscal year, the Secretary may reserve from such amount only the amount necessary to continue multi-year activities carried out pursuant to section 1241(b) that began during or prior to the fiscal year preceding the fiscal year for which the determination is made; or

(B) exceeds the amount appropriated for the preceding fiscal year, then the Secretary shall reserve from such excess amount \$2,000,000 or 50 percent, whichever is less, to carry out section 1241(b).

(c) RESERVATION FOR GRANTS-

(1) GRANTS AUTHORIZED-

(A) IN GENERAL- For any fiscal year for which at least one State educational agency applies and submits an application that meets the requirements and goals of this subsection and for which the amount appropriated under section 1002(b)(3) exceeds the amount appropriated under that section for the preceding fiscal year, the Secretary shall reserve, from the amount of the excess remaining after the application of subsection (b)(2), the amount of the remainder or \$1,000,000, whichever is less, to award grants, on a competitive basis, to State educational agencies to enable them to plan and implement statewide family literacy initiatives to coordinate and, where appropriate, integrate existing Federal, State, and local literacy resources consistent with the purposes of this subpart.

(B) COORDINATION AND INTEGRATION- The coordination and integration described in subparagraph (A) shall include coordination and integration of funds available under the Adult Education and Family Literacy Act, the Head Start Act, this subpart, part A of this title, and part A of title IV of the Social Security Act.

(C) RESTRICTION- No State educational agency may receive more than one grant under this subsection.

(2) CONSORTIA-

(A) ESTABLISHMENT- To receive a grant under this subsection, a State educational agency shall establish a consortium of State-level programs under the following provisions of laws:

(i) This title (other than part D).

(ii) The Head Start Act.

(iii) The Adult Education and Family Literacy Act.

(iv) All other State-funded preschool programs and programs providing literacy services to adults.

(B) PLAN- To receive a grant under this subsection, the consortium established by a State educational agency shall create a plan to use a portion of the State educational agency's resources, derived from the programs referred to in subparagraph (A), to strengthen and expand family

literacy services in the State.

(C) COORDINATION WITH SUBPART 1- The consortium shall coordinate its activities under this paragraph with the activities of the reading and literacy partnership for the State educational agency established under section 1203(d), if the State educational agency receives a grant under section 1202.

(3) READING INSTRUCTION- Statewide family literacy initiatives implemented under this subsection shall base reading instruction on scientifically based reading research.

(4) TECHNICAL ASSISTANCE- The Secretary shall provide, directly or through a grant or contract with an organization with experience in the development and operation of successful family literacy services, technical assistance to State educational agencies receiving a grant under this subsection.

(5) MATCHING REQUIREMENT- The Secretary shall not make a grant to a State educational agency under this subsection unless the State educational agency agrees that, with respect to the costs to be incurred by the eligible consortium in carrying out the activities for which the grant was awarded, the State educational agency will make available non-Federal contributions in an amount equal to not less than the Federal funds provided under the grant.

(d) STATE EDUCATIONAL AGENCY ALLOCATION-

(1) IN GENERAL- From amounts appropriated under section 1002(b)(3) and not reserved under subsection (a), (b), or (c), the Secretary shall make grants to State educational agencies from allocations under paragraph (2).

(2) ALLOCATIONS- Except as provided in paragraph (3), from the total amount available under paragraph (1) for allocation to State educational agencies in any fiscal year, each State educational agency shall be eligible to receive a grant under paragraph (1) in an amount that bears the same ratio to the total amount as the amount allocated under part A to that State educational agency bears to the total amount allocated under that part to all State educational agencies.

(3) MINIMUM- No State educational agency shall receive a grant under paragraph (1) in any fiscal year in an amount that is less than \$250,000, or one-half of 1 percent of the amount appropriated under section 1002(b)(3) and not reserved under subsections (a), (b), and (c) for such year, whichever is greater.

(e) DEFINITIONS- For the purpose of this subpart--

(1) the term `eligible entity' means a partnership composed of--

(A) a local educational agency; and

(B) a nonprofit community-based organization, a public agency other than a local educational agency, an institution of higher education, or a public or private nonprofit organization other than a local educational agency, of demonstrated quality;

(2) the term `eligible organization' means any public or private nonprofit organization with a record of providing effective services to family literacy providers, such as the National Center for Family Literacy, Parents as Teachers, Inc., the Home Instruction Program for Preschool Youngsters, and the Home and School Institute, Inc.;

(3) the terms `Indian tribe' and `tribal organization' have the meanings given those terms in section 4 of the Indian Self-Determination and Education Assistance Act;

(4) the term `scientifically based reading research' has the meaning given that term in section 1208; and

(5) the term `State' means each of the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico.

SEC. 1233. STATE EDUCATIONAL AGENCY PROGRAMS .

(a) STATE EDUCATIONAL AGENCY LEVEL ACTIVITIES- Each State educational agency that receives a grant under section 1232(d)(1) may use not more than a total of 6 percent of the grant funds for the costs of-

- (1) administration, which amount shall not exceed half of the total;
- (2) providing, through one or more subgrants or contracts, technical assistance for program improvement and replication, to eligible entities that receive subgrants under subsection (b); and
- (3) carrying out sections 1240 and 1234(c).

(b) SUBGRANTS FOR LOCAL PROGRAMS-

(1) IN GENERAL- Each State educational agency shall use the grant funds received under section 1232(d)(1) and not reserved under subsection (a) to award subgrants to eligible entities to carry out Even Start programs.

(2) MINIMUM SUBGRANT AMOUNTS-

(A) IN GENERAL- Except as provided in subparagraphs (B) and (C), no State educational agency shall award a subgrant under paragraph (1) in an amount less than \$75,000.

(B) SUBGRANTEES IN NINTH AND SUCCEEDING YEARS- No State educational agency shall award a subgrant under paragraph (1) in an amount less than \$52,500 to an eligible entity for a fiscal year to carry out an Even Start program that is receiving assistance under this subpart or its predecessor authority for the ninth (or any subsequent) fiscal year.

(C) EXCEPTION FOR SINGLE SUBGRANT- A State educational agency may award one subgrant in each fiscal year of sufficient size, scope, and quality to be effective in an amount less than \$75,000 if, after awarding subgrants under paragraph (1) for that fiscal year in accordance with subparagraphs (A) and (B), less than \$75,000 is available to the State educational agency to award those subgrants.

SEC. 1234. USES OF FUNDS .

(a) IN GENERAL- In carrying out an Even Start program under this subpart, a recipient of funds under this subpart shall use those funds to pay the Federal share of the cost of providing intensive family literacy services that involve parents and children, from birth through age 7, in a cooperative effort to help parents become full partners in the education of their children and to assist children in reaching their full potential as learners.

(b) FEDERAL SHARE LIMITATION-

(1) IN GENERAL-

(A) FEDERAL SHARE- Except as provided in paragraph (2), the Federal share under this subpart may not exceed--

- (i) 90 percent of the total cost of the program in the first year that the program

receives assistance under this subpart or its predecessor authority;

(ii) 80 percent in the second year;

(iii) 70 percent in the third year;

(iv) 60 percent in the fourth year;

(v) 50 percent in the fifth, sixth, seventh, and eighth such years; and

(vi) 35 percent in any subsequent year.

(B) REMAINING COST- The remaining cost of a program assisted under this subpart may be provided in cash or in kind, fairly evaluated, and may be obtained from any source, including other Federal funds under this Act.

(2) WAIVER- The State educational agency may waive, in whole or in part, the Federal share described in paragraph (1) for an eligible entity if the entity--

(A) demonstrates that it otherwise would not be able to participate in the program assisted under this subpart; and

(B) negotiates an agreement with the State educational agency with respect to the amount of the remaining cost to which the waiver will be applicable.

(3) PROHIBITION- Federal funds provided under this subpart may not be used for the indirect costs of a program assisted under this subpart, except that the Secretary may waive this paragraph if an eligible recipient of funds reserved under section 1232(a)(1)(C) demonstrates to the Secretary's satisfaction that the recipient otherwise would not be able to participate in the program assisted under this subpart.

(c) USE OF FUNDS FOR FAMILY LITERACY SERVICES-

(1) IN GENERAL- A State educational agency may use a portion of funds reserved under section 1233(a), to assist eligible entities receiving a subgrant under section 1233(b) in improving the quality of family literacy services provided under Even Start programs under this subpart, except that in no case may a State educational agency's use of funds for this purpose for a fiscal year result in a decrease from the level of activities and services provided to program participants in the preceding year.

(2) PRIORITY- In carrying out paragraph (1), a State educational agency shall give priority to programs that were of low quality, as evaluated based on the indicators of program quality developed by the State educational agency under section 1240.

(3) TECHNICAL ASSISTANCE TO HELP LOCAL PROGRAMS RAISE ADDITIONAL FUNDS- In carrying out paragraph (1), a State educational agency may use the funds referred to in that paragraph to provide technical assistance to help local programs of demonstrated effectiveness to access and leverage additional funds for the purpose of expanding services and reducing waiting lists, including requesting and applying for non-Federal resources.

(4) TECHNICAL ASSISTANCE AND TRAINING- Assistance under paragraph (1) shall be in the form of technical assistance and training, provided by a State educational agency through a grant, contract, or cooperative agreement with an entity that has experience in offering high-quality training and technical assistance to family literacy providers.

SEC. 1235. PROGRAM ELEMENTS.

Each program assisted under this subpart shall--

(1) include the identification and recruitment of families most in need of services provided under this subpart, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators;

(2) include screening and preparation of parents, including teenage parents, and children to enable those parents and children to participate fully in the activities and services provided under this subpart, including testing, referral to necessary counselling, other developmental and support services, and related services;

(3) be designed to accommodate the participants' work schedule and other responsibilities, including the provision of support services, when those services are unavailable from other sources, necessary for participation in the activities assisted under this subpart, such as--

(A) scheduling and locating of services to allow joint participation by parents and children;

(B) child care for the period that parents are involved in the program provided under this subpart; and

(C) transportation for the purpose of enabling parents and their children to participate in programs authorized by this subpart;

(4) include high-quality, intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children, developmentally appropriate early childhood educational services, and preparation of children for success in regular school programs;

(5) with respect to the qualifications of staff the cost of whose salaries are paid, in whole or in part, with Federal funds provided under this subpart, ensure that--

(A) not later than December 21, 2004--

(i) a majority of the individuals providing academic instruction--

(I) shall have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and

(II) if applicable, shall meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;

(ii) the individual responsible for administration of family literacy services under this subpart has received training in the operation of a family literacy program; and

(iii) paraprofessionals who provide support for academic instruction have a secondary school diploma or its recognized equivalent; and

(B) all new personnel hired to provide academic instruction--

(i) have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and

- (ii) if applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;
- (6) include special training of staff, including child-care staff, to develop the skills necessary to work with parents and young children in the full range of instructional services offered through this subpart;
- (7) provide and monitor integrated instructional services to participating parents and children through home-based programs;
- (8) operate on a year-round basis, including the provision of some program services, including instructional and enrichment services, during the summer months;
- (9) be coordinated with--
 - (A) other programs assisted under this Act;
 - (B) any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, and title I of the Workforce Investment Act of 1998; and
 - (C) the Head Start program, volunteer literacy programs, and other relevant programs;
- (10) use instructional programs based on scientifically based reading research for children and adults, to the extent that research is available;
- (11) encourage participating families to attend regularly and to remain in the program a sufficient time to meet their program goals;
- (12) include reading-readiness activities for preschool children based on scientifically based reading research, to the extent available, to ensure that children enter school ready to learn to read;
- (13) if applicable, promote the continuity of family literacy to ensure that individuals retain and improve their educational outcomes;
- (14) ensure that the programs will serve those families most in need of the activities and services provided by this subpart; and
- (15) provide for an independent evaluation of the program, to be used for program improvement.

SEC. 1236. ELIGIBLE PARTICIPANTS.

- (a) IN GENERAL- Except as provided in subsection (b), eligible participants in an Even Start program are--
 - (1) a parent or parents--
 - (A) who are eligible for participation in adult education and literacy activities under the Adult Education and Family Literacy Act; or
 - (B) who are within the State's compulsory school attendance age range, so long as a local educational agency provides (or ensures the availability of) the basic education component required under this subpart, or who are attending secondary school; and

(2) the child or children, from birth through age 7, of any individual described in paragraph (1).

(b) ELIGIBILITY FOR CERTAIN OTHER PARTICIPANTS-

(1) IN GENERAL- Family members of eligible participants described in subsection (a) may participate in activities and services provided under this subpart, when appropriate to serve the purpose of this subpart.

(2) SPECIAL RULE- Any family participating in a program assisted under this subpart that becomes ineligible to participate as a result of one or more members of the family becoming ineligible to participate may continue to participate in the program until all members of the family become ineligible to participate, which--

(A) in the case of a family in which ineligibility was due to the child or children of the family attaining the age of 8, shall be in 2 years or when the parent or parents become ineligible due to educational advancement, whichever occurs first; and

(B) in the case of a family in which ineligibility was due to the educational advancement of the parent or parents of the family, shall be when all children in the family attain the age of 8.

(3) CHILDREN 8 YEARS OF AGE OR OLDER- If an Even Start program assisted under this subpart collaborates with a program under part A, and funds received under the part A program contribute to paying the cost of providing programs under this subpart to children 8 years of age or older, the Even Start program may, notwithstanding subsection (a)(2), permit the participation of children 8 years of age or older if the focus of the program continues to remain on families with young children.

SEC. 1237. APPLICATIONS.

(a) SUBMISSION- To be eligible to receive a subgrant under this subpart, an eligible entity shall submit an application to the State educational agency in such form and containing or accompanied by such information as the State educational agency shall require.

(b) REQUIRED DOCUMENTATION- Each application shall include documentation, satisfactory to the State educational agency, that the eligible entity has the qualified personnel needed--

(1) to develop, administer, and implement an Even Start program under this subpart; and

(2) to provide access to the special training necessary to prepare staff for the program, which may be offered by an eligible organization.

(c) PLAN-

(1) IN GENERAL- The application shall also include a plan of operation and continuous improvement for the program, that includes--

(A) a description of the program objectives, strategies to meet those objectives, and how those strategies and objectives are consistent with the program indicators established by the State;

(B) a description of the activities and services that will be provided under the program, including a description of how the program will incorporate the program elements required by section 1235;

(C) a description of the population to be served and an estimate of the number of

participants to be served;

(D) as appropriate, a description of the applicant's collaborative efforts with institutions of higher education, community-based organizations, the State educational agency, private elementary schools, or other eligible organizations in carrying out the program for which assistance is sought;

(E) a statement of the methods that will be used--

(i) to ensure that the programs will serve families most in need of the activities and services provided by this subpart;

(ii) to provide services under this subpart to individuals with special needs, such as individuals with limited English proficiency and individuals with disabilities; and

(iii) to encourage participants to remain in the program for a time sufficient to meet the program's purpose;

(F) a description of how the plan is integrated with other programs under this Act or other Acts, as appropriate; and

(G) a description of how the plan provides for rigorous and objective evaluation of progress toward the program objectives described in subparagraph (A) and for continuing use of evaluation data for program improvement.

(2) DURATION OF THE PLAN- Each plan submitted under paragraph (1) shall--

(A) remain in effect for the duration of the eligible entity's participation under this subpart; and

(B) be periodically reviewed and revised by the eligible entity as necessary.

(d) CONSOLIDATED APPLICATION- The plan described in subsection (c)(1) may be submitted as part of a consolidated application under section 9305.

SEC. 1238. AWARD OF SUBGRANTS.

(a) SELECTION PROCESS-

(1) IN GENERAL- The State educational agency shall establish a review panel in accordance with paragraph (3) that will approve applications that--

(A) are most likely to be successful in--

(i) meeting the purpose of this subpart; and

(ii) effectively implementing the program elements required under section 1235;

(B) demonstrate that the area to be served by the program has a high percentage or a large number of children and families who are in need of those services as indicated by high levels of poverty, illiteracy, unemployment, limited English proficiency, or other need-related indicators, such as a high percentage of

children to be served by the program who reside in a school attendance area served by a local educational agency eligible for participation in programs under part A, a high number or percentage of parents who have been victims of domestic violence, or a high number or percentage of parents who are receiving assistance under a State program funded under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.);

(C) provide services for at least a 3-year age range, which may begin at birth;

(D) demonstrate the greatest possible cooperation and coordination between a variety of relevant service providers in all phases of the program;

(E) include cost-effective budgets, given the scope of the application;

(F) demonstrate the applicant's ability to provide the non-Federal share required by section 1234(b);

(G) are representative of urban and rural regions of the State; and

(H) show the greatest promise for providing models that may be adopted by other family literacy projects and other local educational agencies.

(2) PRIORITY FOR SUBGRANTS- The State educational agency shall give priority for subgrants under this subsection to applications that--

(A) target services primarily to families described in paragraph (1)(B); or

(B) are located in areas designated as empowerment zones or enterprise communities.

(3) REVIEW PANEL- A review panel shall consist of at least three members, including one early childhood professional, one adult education professional, and one individual with expertise in family literacy programs, and may include other individuals, such as one or more of the following:

(A) A representative of a parent-child education organization.

(B) A representative of a community-based literacy organization.

(C) A member of a local board of education.

(D) A representative of business and industry with a commitment to education.

(E) An individual who has been involved in the implementation of programs under this title in the State.

(b) DURATION-

(1) IN GENERAL- Subgrants under this subpart may be awarded for a period not to exceed 4 years.

(2) STARTUP PERIOD- The State educational agency may provide subgrant funds to an eligible recipient, at the recipient's request, for a 3- to 6-month start-up period during the first year of the 4-year grant period, which may include staff recruitment and training, and the coordination of services, before requiring full implementation of the program.

(3) CONTINUING ELIGIBILITY- In awarding subgrant funds to continue a program under this subpart after the first year, the State educational agency shall review the progress of each eligible

entity in meeting the objectives of the program referred to in section 1237(c)(1)(A) and shall evaluate the program based on the indicators of program quality developed by the State under section 1240.

(4) **INSUFFICIENT PROGRESS-** The State educational agency may refuse to award subgrant funds to an eligible entity if the agency finds that the eligible entity has not sufficiently improved the performance of the program, as evaluated based on the indicators of program quality developed by the State under section 1240, after--

(A) providing technical assistance to the eligible entity; and

(B) affording the eligible entity notice and an opportunity for a hearing.

(5) **GRANT RENEWAL-** (A) An eligible entity that has previously received a subgrant under this subpart may reapply under this subpart for additional subgrants.

(B) The Federal share of any subgrant renewed under subparagraph (A) shall be limited in accordance with section 1234(b).

SEC. 1239. EVALUATION.

From funds reserved under section 1232(b)(1), the Secretary shall provide for an independent evaluation of programs assisted under this subpart--

(1) to determine the performance and effectiveness of programs assisted under this subpart;

(2) to identify effective Even Start programs assisted under this subpart that can be duplicated and used in providing technical assistance to Federal, State, and local programs; and

(3) to provide State educational agencies and eligible entities receiving a subgrant under this subpart, directly or through a grant or contract with an organization with experience in the development and operation of successful family literacy services, technical assistance to ensure that local evaluations undertaken under section 1235(15) provide accurate information on the effectiveness of programs assisted under this subpart.

SEC. 1240. INDICATORS OF PROGRAM QUALITY.

Each State educational agency receiving funds under this subpart shall develop, based on the best available research and evaluation data, indicators of program quality for programs assisted under this subpart. The indicators shall be used to monitor, evaluate, and improve those programs within the State. The indicators shall include the following:

(1) With respect to eligible participants in a program who are adults--

(A) achievement in the areas of reading, writing, English-language acquisition, problem solving, and numeracy;

(B) receipt of a secondary school diploma or a general equivalency diploma (GED);

(C) entry into a postsecondary school, job retraining program, or employment or career advancement, including the military; and

(D) such other indicators as the State may develop.

- (2) With respect to eligible participants in a program who are children--
- (A) improvement in ability to read on grade level or reading readiness;
 - (B) school attendance;
 - (C) grade retention and promotion; and
 - (D) such other indicators as the State may develop.

SEC. 1241. RESEARCH.

(a) IN GENERAL- The Secretary shall carry out, through grant or contract, research into the components of successful family literacy services, in order to--

(1) improve the quality of existing programs assisted under this subpart or other family literacy programs carried out under this Act or the Adult Education and Family Literacy Act; and

(2) develop models for new programs to be carried out under this Act or the Adult Education and Family Literacy Act.

(b) SCIENTIFICALLY BASED RESEARCH ON FAMILY LITERACY-

(1) IN GENERAL- From amounts reserved under section 1232(b)(2), the National Institute for Literacy, in consultation with the Secretary, shall carry out research that--

(A) is scientifically based reading research; and

(B) determines--

(i) the most effective ways of improving the literacy skills of adults with reading difficulties; and

(ii) how family literacy services can best provide parents with the knowledge and skills the parents need to support their children's literacy development.

(2) USE OF EXPERT ENTITY- The National Institute for Literacy, in consultation with the Secretary, shall carry out the research under paragraph (1) through an entity, including a Federal agency, that has expertise in carrying out longitudinal studies of the development of literacy skills in children and has developed effective interventions to help children with reading difficulties.

(c) DISSEMINATION- The National Institute for Literacy shall disseminate, pursuant to section 1207, the results of the research described in subsections (a) and (b) to State educational agencies and recipients of subgrants under this subpart.

SEC. 1242. CONSTRUCTION.

Nothing in this subpart shall be construed to prohibit a recipient of funds under this subpart from serving students participating in Even Start simultaneously with students with similar educational needs, in the same educational settings where appropriate.

TITLE IX--GENERAL PROVISIONS

SEC. 901. GENERAL PROVISIONS

Title IX is amended to read as follows:

TITLE IX--GENERAL PROVISIONS

PART A--DEFINITIONS

SEC. 9101. DEFINITIONS.

Except as otherwise provided, in this Act:

(20) FAMILY LITERACY SERVICES- The term `family literacy services' means services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

- (A) Interactive literacy activities between parents and their children.
- (B) Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children.
- (C) Parent literacy training that leads to economic self-sufficiency.
- (D) An age-appropriate education to prepare children for success in school and life experiences.