

Attachment A to SUPTS. MEMO. No. 13
Commonwealth of Virginia
Department of Education
P.O. Box 2120
Richmond, VA 23218-2120



**Office of
Adult Education
& Literacy**

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

ENGLISH FOR SPEAKERS OF OTHER LANGUAGES PROGRAMS

2003 - 2005

Issued January 2003

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ANNOUNCEMENT OF FUNDING AVAILABILITY

The Virginia Department of Education will make funds available for subgrants to **support English Literacy/Civics Education** projects in Virginia. The total amount available is \$648,370.

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

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

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

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

SUBGRANT PERIOD: April 1, 2003 – June 30, 2005**

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

SUBMISSION DEADLINE: March 7, 2003

PROJECT START DATE: April 1, 2003

RECEIPT OF APPLICATIONS

The application package (one original and seven copies) may be mailed or hand-delivered to the appropriate address. Applications must be postmarked **by midnight or hand-delivered no later than 4:30 p.m., March 7, 2003**. Faxed or e-mailed copies will not be accepted. Applications not meeting postal or delivery deadlines will not be considered. Receipts for postal and delivery services are recommended.

Postal Address

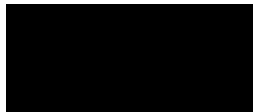
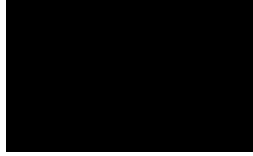
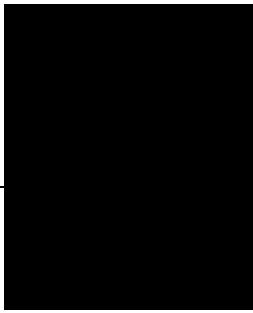
Dr. Yvonne Thayer, Director
Office of Adult Education and Literacy
Virginia Department of Education
P.O. Box 2120
Richmond, VA 23218-2120

Hand-Delivery

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

****Programmatic approval will be for the period of April 1, 2003 through June 30, 2005, with an initial grant award from April 1, 2003 through June 30, 2004. Applicants must include proposed activities and a detailed budget for the first grant award period (April 1, 2003 – June 30, 2004) as well as estimated funds needed in the subsequent period of program operation (July 1, 2004 – June 30, 2005).**

PART ONE



**Office of
Adult Education
& Literacy**

DESCRIPTION OF THE ENGLISH LITERACY / CIVICS EDUCATION PROGRAM

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

The Office of Adult Education and Literacy, Virginia Department of Education administers the EL/Civics Education program in Virginia. A grants manager will provide fiscal management assistance, and program specialists will provide technical assistance. Office hours are 8 a.m. to 5 p.m., Monday through Friday. The Office of Adult Education and Literacy is located at:

Postal Address

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

Street or Hand-Delivery Address

101 N. Fourteenth Street, 21st Floor
Richmond, VA 23219

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

The purpose of the Virginia EL/Civics Education program is to improve and enhance services to students for whom English is not their primary language. Program enhancement grants will be used to support projects that demonstrate effective practices in providing and increasing access to English literacy (EL) programs linked to civics education. This may include incorporating civics education into existing EL classes, conducting outreach activities, or increasing the number of students receiving EL services. Participants should be able to increase their English proficiency in reading, writing, speaking, and listening in order to understand and navigate governmental, educational, and workplace systems and key American institutions, such as banking and health care.

What are the funding priorities for this cycle?

There are five priority areas in which applications will be accepted:

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

Family literacy services shall include basic skills instruction for adults (parents or caregivers) and at least one of the following:

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

- (2) Professional Development—English-literacy-specific professional development opportunities for both new and veteran instructors. This priority area is intended to build the capacity of a program’s instructional staff. This may include paid time for instructional staff to receive EL training, plan EL program improvements, strengthen instructional approaches, coordinate efforts to assist individual learners or groups of learners, or develop or enhance curriculum.
- (3) Assessment – EL-appropriate instruments and approaches for assessment with adult learners. This priority is intended to develop and improve assessment of EL learners for instructional and reporting purposes. This may include staff training in the use of EL instruments, development or refinement of standardized assessment protocols or instruments, or evaluation of program data collection and reporting practices.

- (4) Technology – proposals to equip, up-grade, or extend the use of technology for instructional purposes. The proposal must address how technology is to be integrated.
- (5) Research – studies or projects to develop, extend or enhance English literacy practice in Virginia.

How much funding is available?

A total of \$648,370 is available to eligible applicants. The range of awards will be between \$10,000 and \$75,000.

Who is eligible to apply?

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

Recipients of EL/Civics funding (March 15, 2001 - June 30, 2002) are eligible to submit an application.

How may funds be expended?

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

How will subgrant recipients be selected?

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

How will the review panel evaluate applications?

Health literacy continues to be an important context for teaching English and must be addressed in the proposal. This may include incorporating health partners in curriculum planning and/or classroom activities (e.g., hospital, allied health training program, pharmacy, or free clinic).

Since electronic access to systems such as banking and health care is increasing, all proposals must address the integration of technology.

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

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

What are the guidelines for submitting an application?

A subgrant application, prepared in accordance with the criteria, guidelines, and forms contained in this packet (one original and seven copies), must be submitted to the Office of Adult Education and Literacy at the Department of Education at the address provided on page two. Applications must be postmarked **by midnight or hand-delivered no later than 4:30 p.m., March 7, 2003**. Under no circumstances will an application that is faxed or electronically mailed be accepted.

Applications must be typewritten, single-spaced, 12-point scale, on 8 ½ by 11 white paper, one side only. One-inch margins must surround the text on all sides, all pages should be numbered, and the document may not exceed the maximum page number for any section. Original signatures must appear on the appropriate pages. Order the document pages as directed in the guidelines. Please do not submit the application in binders or special covers.

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

What is the timetable for this subgrant?

Applications due	March 7, 2003
Review panel meets to prepare recommendations	March 24-25, 2003
Applicants notified of status	March 31, 2003
Funded projects begin	April 1, 2003
Project completion date	June 30, 2005
Annual reports due	October 31, 2003 (first interim) July 31, 2004 (second interim) July 31, 2005 (final report)
Final reimbursement for first grant period April 1, 2003 – June 30, 2004 request due to Department of Education	August 15, 2004
Final reimbursement for second grant period July 1, 2004 – June 30, 2005 request due to Department of Education	August 15, 2005



PART TWO



**Office of
Adult
Education**

PROJECT REQUIREMENTS AND FUNDING GUIDELINES

Please share this information with your chief financial officer.

Project Requirements

Request For Reimbursement

The Department of Education funds subgrant recipients on a cost reimbursement basis only. Requests shall be submitted monthly or quarterly. **The final request for reimbursement for the first grant period is due on or before August 15, 2004.** Expenses included on the reimbursement request must have been incurred and paid during the time period stated on the front of the request form. **No expenses may be claimed prior to the starting date** or after the ending date listed on the subgrant award form. Non-profit organizations acting as the fiscal agent must provide copies of paid receipts to support their claims for all expenditures. Two copies of the “Adult Education Reimbursement Request,” summary materials, and an accounting voucher are to be submitted by **non-profits**. Local education agencies do not submit the accounting vouchers or receipts, but all other adult education forms apply. A packet of appropriate reimbursement forms will be supplied to subgrant recipients.

Final and Interim Reports

A final report of project activities and outcomes will be due to the Department of Education on **July 31, 2005** and shall follow a format to be specified by the Department. Interim reports will be due on **October 31, 2003 and July 31, 2004.**

Budget Changes

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

Record Keeping

The project director must maintain all records related to the subgrant for a period of three (3) years after the ending date of the project (June 30, 2005). These records must be accessible and available for monitoring and audit purposes. Original copies of all receipts must be maintained by the subgrantee to back up all requests for reimbursement and local expenditures.

Certificates and Compliance

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

Funding Guidelines

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

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

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

Expenditures

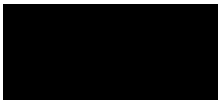
- Funds may not be used to provide religious instruction, conduct worship services, or engage in any form of proselytization; to assist, promote, or deter union organizing; to finance, directly or indirectly, any activity designed to influence the outcome of an election to any public office; or to impair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

Termination or Suspension

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



PART THREE



**Office of
Adult
Education**

PROPOSAL DEVELOPMENT

Instructions for Developing a Proposal

COVER PAGE (One Page)

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

ABSTRACT (One Page)

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

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

NARRATIVE (10-Page Maximum)

This portion of the application, not to exceed 10 typed, single-spaced pages, should include a plan that describes how the applicant will meet the requirements of the grant. The narrative must describe the following project components:

- **Statement of Need**

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

Describe the need for program services to expand.

- **Capacity and Commitment**

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

If you are currently offering English literacy, describe the EL program services that you offer. Include information on how your program has grown to meet the needs of increasing EL students. Describe how your program has worked collaboratively with other agencies/programs to meet the needs of EL students.

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

If you are requesting funds for research, give evidence of your capacity to conduct a research project.

- **Program/Research Design**

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

Describe how the priority area selected will be incorporated into your program. Describe the ways health and technology will be used in instruction. (Applicants should include a description of how they will use technology as a tool in accessing civics functions and services.)

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

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

- **Evaluation Plan**

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

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

Research projects may integrate the evaluation plan with the research design.

- **Dissemination**

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

Describe plans for disseminating the findings and results of your project. Describe how other programs may be able to benefit from the outcomes of your project.

BUDGET NARRATIVE AND FORMS (Three Pages)

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

Budget Narrative

Describe in paragraph form (no more than one page in length) how the funds will address the project objectives. The narrative should cover the entire grant cycle.

Budget Worksheet

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

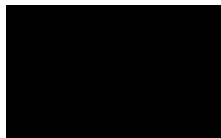
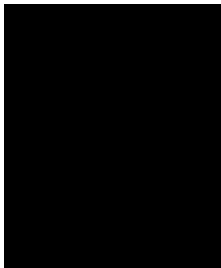
Summary Budget

Provide a total budget by broad expenditure categories for the period of April 1, 2003 – June 30, 2004.
Include the estimated total funding request for the period of July 1, 2004 - June 30, 2005.

CERTIFICATIONS AND ASSURANCES

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

PART FOUR



**Office of
Adult
Education**

FORMS AND INSTRUCTIONS

Instructions for Completing Application Cover Page

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

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

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

1. Project Title: _____

2. Applicant Fiscal Agent Name: _____

Address: _____

City: _____ Zip: _____ Phone: _____

Fax: _____ Fiscal Agent Contact Person: _____

3. Federal ID Number for the Fiscal Agent: _____

4. Total Funds Requested for April 1, 2003- June 30, 2004: \$ _____

5. Project Director or Contact Name: _____

Address: _____

Telephone: _____ Fax (required): _____

E-mail (required): _____

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

6. **Financial Officer**

Superintendent, Agency Head or Chief Officer

Printed Name

Printed Name

Signature

Date

Signature

Date

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

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

Budget Narrative

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

Budget Worksheet

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

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

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

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

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

Summary Budget

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

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

SAMPLE BUDGET WORKSHEET

English Literacy/Civics Education Program

BUDGET WORKSHEET

Fiscal Agent Jefferson County Schools

Object Code		Total
1000	<u>Personal Services</u>	
	Project director (@ 10 % of time)	5,000
	Administrative support (@ 10% of time)	<u>2,100</u>
		7,100
2000	<u>Employee Benefits</u>	
	FICA	465
	Insurance	<u>150</u>
		615
3000	<u>Purchased Service</u>	
	Consultants (2 @ \$200 X 2 days)	<u>800</u>
		800
4000	<u>Internal Service</u>	
	Printing	<u>200</u>
		200
5000	<u>Other Charges</u>	
	Staff travel (in-state)	500
	Postage	25
	Participants' travel	<u>500</u>
		1,025
6000	<u>Materials and Supplies</u>	
	Resource materials	<u>2,000</u>
		2,000
8000	<u>Equipment</u>	
	Computer	1,500
	Printer	<u>90</u>
		1,590
Total		\$13,330

Sample

English Literacy/Civics Education Program

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

SUMMARY BUDGET

Fiscal Agent _____

Category Totals 2003-2004*	
Expenditure Categories	State Funds Requested *April 1, 2003 - June 30, 2004
1. Personal Services 1000	
2. Employee Benefits 2000	
3. Purchased Services 3000	
4. Internal Services 4000	
5. Other Charges 5000	
6. Materials and Supplies 6000	
7. Equipment 8000	
Total	

Estimate State Funds Request for: _____
July 2004- June 2005

Expenditure Categories

1. Personal Services 1000

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

2. Employee Benefits 2000

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

3. Purchased Services 3000

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

4. Internal Services 4000

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

5. Other Charges 5000

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

6. Materials and Supplies 6000

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

7. Equipment 8000

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

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

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

1. LOBBYING

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

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

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

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

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

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

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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(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.

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

INSTRUCTIONS FOR COMPLETION OF SFLLL, 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.

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.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grants c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application <input type="checkbox"/> b. initial award c. post-award	3. Report Type: a. initial filing b. material change For material change only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: Prime Subawardee Tier _____, <i>if known</i> Congressional District, <i>if known</i> :		5. If Reporting Entity in No. 4. is Subawardee, Enter Name and Address of Prime: Congressional District, <i>if known</i> :
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, <i>if applicable</i> : _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
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.		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only		Authorized for Local Reproduction Standard Form – LLL (Rev. 7-97)