

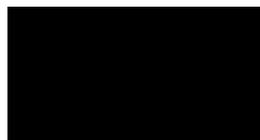
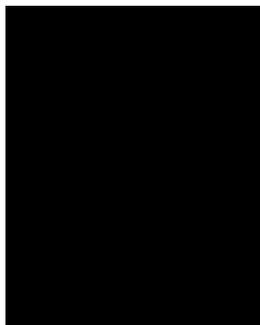
**Attachment to Informational Memo No. 139**

**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**

**2004 - 2006**

Issued June 2004

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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.

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: October 1, 2004 – June 30, 2006

SUBGRANT AMOUNTS: Tier I Projects--Minimum \$10,000; Maximum \$50,000  
Tier II Projects—Minimum \$50,000; Maximum \$100, 000

SUBMISSION DEADLINE: August 20, 2004

PROJECT START DATE: October 1, 2004

### RECEIPT OF APPLICATIONS

The application package (**one** original and **eight** 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., August 20, 2004**. 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  
21<sup>st</sup> Floor, James Monroe Building  
101 North 14<sup>th</sup> Street  
Richmond, VA 23219

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**Programmatic approval will be for the period of October 1, 2004 through June 30, 2006, with an initial grant award from October 1, 2004 through June 30, 2005. Applicants must include proposed activities and a detailed budget for the first grant award period (October 1, 2004 – June 30, 2005) as well as estimated funds needed in the subsequent period of program operation (July 1, 2005 – June 30, 2006).**

**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 8:00 a.m. to 5:00 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, 21<sup>st</sup> Floor  
Richmond, VA 23219

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

English literacy programs are designed to help individuals of limited English proficiency achieve competence in the English language. Individuals of limited English proficiency are those who have a limited ability in speaking, reading, writing, or understanding the English language; whose native language is other than English; or who live in a family or community where a language other than English is the dominant language.

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. 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, increasing the number of students receiving EL/Civics services, or conducting outreach activities. 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?***

The Virginia EL/Civics grants will be two-tiered: 1) Tier I--Program Enhancement and 2) Tier II--Program Development. Tier I--Program Enhancement grants will be provided to improve and augment program services to ESOL learners. This may include incorporating civics education into existing ESOL classes, increasing the number of EL/Civics learners served, or conducting outreach activities. Tier II--Program Development grants will contribute to existing English for speakers of other languages (ESOL) programs through activities such as the development or improvement of curriculum and assessment materials; development, alignment and implementation of content standards; and identification and promotion of best practices in assessment and instruction. All EL/Civics Education grant applicants shall incorporate technology as a major delivery system. Grantees will receive technology support from the Office of Adult Education and Literacy, as appropriate, directly or through contracted services.

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

The range of awards will be between \$10,000 and \$50,000 for Tier I, program enhancement projects, and between \$50,000 and \$100,000 for Tier II, program development projects. Funds will be available October 1, 2004 through June 30, 2006.

### ***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 for either grant category. Recipients should show how they would work with other state and local agencies and local organizations in delivering services without duplication of existing services.

Current and previous recipients of EL/Civics funds are eligible to submit an application for new programs or program components.

### ***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?***

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

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

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

The application package (**one** original and **eight** 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., August 20, 2004**. 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.

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 must be numbered, and the document may not exceed the maximum number of pages 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	August 20, 2004
Review panel meets to prepare recommendations	September 6-7, 2004
Applicants notified of status	October 1, 2004
Funded projects begin	October 1, 2004
Project completion date	June 30, 2006
Annual reports due	July 31, 2005 (interim) July 31, 2006 (final report)
Final reimbursement for grant due	September 30, 2006

# **PROJECT REQUIREMENTS AND FUNDING GUIDELINES**

*Please share these 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 grant period is due on or before September 30, 2006.** 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. Nonprofit organizations acting as the fiscal agent must provide copies of paid receipts to support their claims for all expenditures. An original and two copies of the “Adult Education Reimbursement Request,” summary materials, and an accounting voucher are to be submitted by **nonprofits**. 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, 2006**, and shall follow a format to be specified by the Department. An interim report will be due **July 31, 2005**.

### Budget Changes

A “Budget Amendment Between Categories” form must be submitted if budget changes exceed ten percent (10%) 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, 2006). 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.

# **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 (Ten Page Maximum)**

This portion of the application, not to exceed ten 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 proposed.

- **Capacity and Commitment**

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

Describe the EL program services that you currently 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).

- **Program Design**

Describe the essential components of your proposed EL/Civics program. Include the target population to be served and provide target numbers. Describe any assessment, curriculum offerings and materials, instructional methodologies, linkages to other programs and services (partnerships), outreach activities, and support activities.

Describe the ways technology will be used in instruction. Include a description of how technology will be used 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.

- **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 October 1, 2004 - June 30, 2005. Indicate the total estimated state funds to be requested for July 1, 2005 - June 30, 2006.

## **FEDERAL FORMS FOR SIGNATURE**

Please return the following federal forms that are attached:

1. Certifications Regarding Lobbying; Debarment, Suspension and other Responsibility Matters; and Drug-Free Workplace Requirements (Page 22).
2. Disclosure of Lobbying Activities (Page 25).

If these forms are not applicable, indicate N/A and sign.

# **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 of 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 October 1, 2004 - June 30, 2005: \$ \_\_\_\_\_

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 cost 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 “State Funds Requested” column, 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

<b>Object Code</b>		<b>Total</b>
1000	<u>Personal Services</u>	
	Project director (@ 10 % of time)	5,000
	Administrative support (@ 10% of time)	<u>2,100</u>
		<b>7,100</b>
2000	<u>Employee Benefits</u>	
	FICA	465
	Insurance	<u>150</u>
		<b>615</b>
3000	<u>Purchased Service</u>	
	Consultants (2 @ \$200 X 2 days)	<u>800</u>
		<b>800</b>
4000	<u>Internal Service</u>	
	Printing	<u>200</u>
		<b>200</b>
5000	<u>Other Charges</u>	
	Staff travel (in-state)	500
	Postage	25
	Participants' travel	<u>500</u>
		<b>1,025</b>
6000	<u>Materials and Supplies</u>	
	Resource materials	<u>2,000</u>
		<b>2,000</b>
8000	<u>Equipment</u>	
	Computer	1,500
	Printer	<u>900</u>
		<b>2,400</b>
<b>Total</b>		<b>\$14,140</b>

**Sample**

# English Literacy/Civics Education Program

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

## SUMMARY BUDGET

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

<b>Category Totals</b> <b>October 1, 2004 – June 30, 2005</b>	
<b>Expenditure Categories</b>	<b>State Funds Requested October 1, 2004 - June 30, 2005</b>
1. Personal Services 1000	
2. Employee Benefits 2000	
3. Purchased Services 3000	
4. Internal Services 4000	
5. Other Charges 5000	
6. Materials and Supplies 6000	
7. Equipment 8000	
<b>Total</b>	

Estimate of State Funds Requested for: \_\_\_\_\_  
**July 2005 - June 2006**

## EXPENDITURE CATEGORIES

### **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 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.

### **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, death, 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).

### **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 or miscellaneous. (Mileage, lodging, and meals will be limited to no more than the current state-approved rate.)

### **6000 Materials and Supplies**

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

### **8000 Equipment**

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

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**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.

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**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.

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**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)

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

**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.

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

## INSTRUCTIONS FOR COMPLETION OF SELL, 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 any agency, a Member of Congress, an officer or employee of Congress, or an 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 followup 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(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 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 (0348-0046), Washington, DC 20503

**Note: If you have no activities, put N/A with school division name and return in the packet.**

**Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

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