NATIONAL INSTITUTE FOR LITERACY

[CFDA NO. 84–257F]

Application for Technology Grant Awards to Governor's State Literacy Resource Centers To Build a National Electronic Information and Communication Network for Literacy by Establishing Regional Hubs on the Internet in Each of the Four Regions Designated by the Department of Education's Office of Vocational and Adult Education

Note to Applicants: This notice is a complete application package. Together with the statute authorizing the program and applicable regulations governing the program, including the Education Department General Administrative Regulations (EDGAR), this notice contains all the information, application forms, regulations, and instructions needed to apply for a grant under this competition.

AGENCY: The National Institute for Literacy.

ACTION: Notice.

FOR FURTHER INFORMATION CONTACT: Jaleh Behroozi, NIFL, 800 Connecticut Avenue, NW., Suite 200, Washington, DC 20006. Telephone: 202–632–1506. FAX: 202–632–1515. e-mail: jaleh literacy.nifl.gov.

Information about the Institute's funding opportunities, including the application notices can be viewed on the LINCS WWW server (under Current Events, under grants). LINCS URL: http://novel.nifl.gov.

SUPPLEMENTARY INFORMATION:

Definitions: For purposes of this announcement the following definitions apply:

''Literacy'' An individual's ability to read, write, and speak in English, and compute and solve problems at levels of proficiency necessary to function on the job and in society, to achieve one's goals and develop one's knowledge and potential (as stated in the National Literacy Act of 1991).

''State Literacy Resources Centers (SLRCs)'' State or regional organizations supported through any combination of federal, state, or private funds that has the purpose of coordinating the delivery and improvement of literacy services acress agencies and organizations in the state or region, enhancing the capability of state and local organizations to provide literacy services, building a database of literacy related information, and working closely with the National Institute for Literacy and other national literacy organizations to enhance the national literacy infrastruture.

''Literacy Community'' individuals and groups at all levels nationwide that are actively involved with adult literacy and basic skills instruction, including individuals such as researchers, practitioners, policymakers, adult learners, and administrators, and groups such as state and local departments of education, human services, and labor; libraries; community-based organizations; businesses and labor unions; and volunteer and civic groups.

''OVAE regions'' the four regions of the United States designated by the U.S. Department of Education's Office of Vocational and Adult Education (OVAE):

Area I: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virgin Islands

Area II: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia, West Virginia

Area III: Ilinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota, Wisconsin

Area IV: Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming, Federal States of Micronesia, Guam, Marshall Island, No. Mariana Islands

''Regional Hub'' an Internet-based electronic information retrieval and communication site, operating through an SLRC, that acts as the focal point for LINCS activity, including training and technical assistance, for a particular OVAE region.

Background: The National Institute for Literacy (NIFL), as authorized by the National Literacy Act of 1991, has the legislative mandate to develop a national literacy data base. The intent of this mandate was to consolidate scattered and inaccessible information resources for literacy.

As a first step toward carrying out this charge, and in keeping with the Administration's ''information superhighway'' initiative, NIFL conducted a study in 1992 of the literacy community's information needs by type of users, quality and format of existing literacy sources and data bases. Following up on the results of this survey in 1993, NIFL formed eight work groups of representatives from the literacy community to develop a vision and work plan for establishing its information and communications system, which is now called LINCS (the Literacy Information aNd Communication System). The work groups used a consensus-building process to produce a framework, standards, and guidelines for LINCS, which are presented in NIFL's ''Starting Point'' manual.

In order to implement the work groups' vision and plans, NIFL developed the LINCS on-line prototype to examine and demonstrate the potential and capabilities of an Internet-based national literacy information and communication network.

The LINCS prototype has been developed as a World Wide Web system on the Internet, accessible by Mosaic and Lynx. It is designed to access literacy data available in multiple locations, and features searchable literacy holdings (including SLRC holdings) and other literacy resources. It also provides access to the databases of ERIC , OTAN (Outreach and Technical Assistance Network), TTRC (Training Technology Resource Center) NCAL (National Center on Adult Literacy), the National Adult Literacy and Learning Disability Center, and the Library of Congress. In addition, the prototype includes E-mail, an event calendar, funding announcements, and information on legislation.

NIFL's plan for the next two years is to establish the LINCS prototype as the foundation for a national electronic literacy network by upgrading the technological capabilities of the field. Major components of the plan are:

(1) To broaden the literacy community's access to literacy resources,

(2) To develop politics and procedures for information sharing throughout the literacy community.

(3) To enhance awareness throughout the literacy community about the potential of a state-of-the-art information and communications technology for the field of adult education,

(4) To ensure that LINCS keeps pace with the state-of-the-art technology and becomes increasingly more capable of enriching literacy services through the provision of comprehensive information resources to the literacy community.

Overview of the technology project: In order to build an infrastructure that can support electronic communications and information exchange for literacy, NIFL proposes to support SLRCs in establishing regional information and communication hubs for literacy. These hubs will create a base for expansion of LINCS into a national network. Using state-of-the art technology, the regional hubs will facilitate access to information and resource sharing within and among the regional literacy communities and will encourage the collection of information that will increase the literacy knowledge base.

The NIFL will award up to four grants to SLRCs for the creation of these regional hubs. The grants will be used as seed money to attract ongoing support from other sources. Only one grant will be made within each of the four OVAE regions.

Purpose: The purpose of the technology grant program is to create regional electronic information and communication hubs for literacy that will—

1. build the technological capacity for electronic information exchange among SLRCs within each OVAE region through consortia of states that cooperate in sharing resources and expertise.
2. enable individual SLRCs to share data with the literacy community and with major national adult literacy holdings by linking them with each other and the LINCS prototype.
3. demonstrate the use of the LINCS prototype by other state agencies and local adult literacy service providers in efforts to improve program and professional development.
4. increase the literacy field's knowledge base by using the ''Starting Point'' manual standards to develop a systematic procedure for collecting new literacy information, resources, especially unpublished materials.

NIFL intends the value of this technology project to extend beyond the SLRCs to the literacy community as a whole. The larger goals of LINCS are to bring the community together—literacy researchers, practitioners, administrators, students, and policymakers—and to close the gap between information ''haves'' and ''have nots.'' These goals can only be met by expanding the network to increasingly greater numbers of individuals and groups in the literacy field.

Eligible Applicants: All State Literacy Resource Centers (SLRC's) are eligible to apply for an award under this program.

Deadline for Transmittal of Applications: June 26, 1995.

Available Funds: In Fiscal Year 1995, $600,000 is available for two year technology cooperative agreement awards. Year 2 funding is subject to program authorization and availability of appropriations, and contingent upon satisfactory completion of the first year plan of action.

Estimated Number of Awards: Up to 4, with no more than 1 award made within each of the four OVAE regions.

Estimated Amount of Each Award: $150,000.

Project Period: Up to 24 months.

Selection criteria: (a)(1) In evaluating applications for a grant under this competition, the Director uses the following selection criteria.

(2) The maximum score for all of the criteria in this section is 100 points.

(3) The maximum score for each criterion is indicated in parentheses with the criterion.

(b) The Criteria—(1) Mission and Strategy. (10 points) The Director reviews each application to determine how well the applicant has related the mission and strategy of the project to NIFL's overall goals and priorities, including:

(i) The degree to which the plan for creating a regional hub reflects an understanding of the major tasks necessary to achieve NIFL's goals for building regional capacity;

(ii) The quality of the plans for developing an appropriate, coherent, and effective program to achieve the project's goals;

(iii) The effectiveness of proposed strategies for providing regional leadership to consortium members and other partners; and

(iv) The quality of plans to establish effective working relationships with other organizations in the region as required for effective development of the project.

(2) Institutional Capability (15 points) The Director reviews each application to determine the capabilities of the organization to sustain a long-term, high-quality, and coherent program, including:

(i) The applicant's experience in establishing and carrying out collaborative working relationships with other states, other state agencies, and other public and private groups;

(ii) The applicant's experience in developing materials and methods for training and technical assistance to adult literacy providers.

(iii) The ability of the applicant to carry on the project when NIFL funding has ended.

(3) Plan of Operation. (30 points) The Director reviews each application to determine the quality of the plan of operation for the project, including:

(i) The quality of the design of the project;

(ii) The extent to which the plan of management is effective and ensures proper and efficient administration of the project;

(iii) How well the objectives of the project relate to the purpose of the LINCS;

(iv) The extent to which the applicant provides for effective collaboration between SLRCs and other agencies;

(v) The quality of the applicant's plan to use its resources and personnel to achieve each objective; and

(vi) The extent to which the applicant's plan for year 1 provides for achieving the minimum project outcomes listed under *Program Narrative.*

(4) Technical Soundness. (20 points) The Director reviews each application to determine the technical soundness of the proposed project, including:

(i) The extent to which the applicant demonstrates a thorough knowledge of literacy data collections, dissemination and applying the required Institute's guidelines and standards.

(ii) The extent to which the applicant demonstrates knowledge of current databases, telecommunications practices, equipment configurations and maintenance.

(iii) Evidence of the commitment of the applicant to provide technical support and equipment to the members of consortium;

(iv) Evidence that the applicant will consider the perspectives of a variety of service providers in carrying out the work of the consortium;

(v) The extent to which the training content is comprehensive and at an appropriate level; and

(vi) The extent to which training methods are likely to be effective.

(5) Budget and cost effectiveness. (10 points) The Director reviews each application to determine the extent to which:

(i) The budget is adequate to support consortium activities;

(ii) Costs are reasonable in relation to the objectives of the consortium;

(iii) The budgets for any subcontracts are detailed and appropriate; and

(iv) The budget details resources, cash and in-kind, that the applicant and others, particularly other consortium members, will provide to the project in addition to grant funds.

(6) Evaluation Plan. (10 points) The Director reviews each application to determine the quality of the evaluation plan for the consortium, including the adequacy of:

(i) The methods and mechanism which will be used to document the consortium's progress in relation to its mission and goals; and

(ii) The methods which will be used to document the impact of the consortium's program on its target audiences.

Applications should describe and justify the methods used to ensure that the consortium's work is of high quality as evaluated by the above procedures.

(7) Quality of Key Personnel. (5 points) The Director reviews each

application to determine the quality of key personnel for the project, including:

(i) The qualifications of the project director for each project activity;

(ii) The qualifications of key personnel in each consortium member state for each project activity;

(iii) The extent to which key personnel have experience and training in fields related to the objectives of the project; and

(iv) The applicant's policy, as part of its nondiscriminatory employment practices, to ensure that its personnel are selected for employment without regard to race, color, national origin, religion, gender, age, or disability.

Application Requirements

Project Narrative

The project narrative is critical and must thoroughly reflect the capabilities of the applicant, as well as the degree and level of cooperation with other SLRCs in the region, related to implementing this technology project.

The narrative should not exceed twenty (20) single-spaced pages, or forty (40) double-spaced pages. The narrative may be amplified by material in attachments and appendices, but the body should stand alone to give a complete picture of the project. Proposals which exceed 20 single-spaced pages or 40 double-spaced pages will not be reviewed.

The narrative must encompass the full two years of project activities and must cover the following areas:

1. Mission and Strategy

a. State the goals and objectives of the two-year project. Explain how they relate to overall NIFL goals and contribute to the development of LINCS.

b. Describe how the project will build regional technological capacity.

c. Describe the services that will be provided to other SLRCs in the region.

d. Explain how the project will serve the broader literacy community.

e. State the overall expected project achievements for the end of the two-year grant period.

2. Institutional Capabilities

a. State the applicant's qualifications to act as lead site of a regional consortium of all other SLRCs in the region. Describe the applicant's ability to carry out the proposed project and to deliver the proposed services.

b. Describe the applicant's staff and organizational capacity to play a leadership role in mobilizing a consortium of the region's SLRCs to carry out the work of this grant, including the applicant's willingness and ability to—

(1) Serve as the lead resource for sharing literacy data collections among states and for developing its own and other states' collections on a local, statewide and regional basis. The applicant should have its own sizeable literacy collection (or a clear plan for acquiring such a collection), especially unpublished material, and the capacity to make it electronically available to other SLRCs and state agencies.

(2) Organize its information holdings and those of other SLRCs by applying NIFL standards and guidelines as presented in the ''Starting Point'' manual, as well as the literacy thesaurus being developed by the NIFL work group.

(3) Provide the necessary technical support and expertise, especially in telecommunications, to less technologically advanced SLRCs. This includes: ensuring continuing on-line access among members, coordinating the installation of equipment and software, and providing technical assistance and training as appropriate.

(4) Provide the necessary support and expertise, as described in b(3) above, to other state agencies and selected local literacy service providers.

(5) Develop a plan for continuing the project after the end of the two-year project period, including prospective sources of support.

(6) Collaborate with NIFL throughout the process of creating the regional hub in order to assure the uniform presentation of information across the LINCS.

(7) Share project experience with other regions' SLRCs and the NIFL through quarterly performance reports.

c. Describe the applicant's ability to secure support from other agencies and groups in sustaining the project at the end of the two-year grant.

3. Plan of Operation

The applicant must develop a two-year plan that is both ambitious and realistic. While aiming high, the applicant must demonstrate an awareness of the constraints inherent in each particular situation. The plan must address both the immediate needs and the future vision and direction of the regional technology project.

The Director is particularly interested in applicants whose plans include provisions for—

- Forming a consortium with all other SLRCs in the region and securing the explicit commitment of each to participate in the project through the development of formal agreements delineating the roles and responsibilities of all members and a regional plan of action with timelines of tasks achieved, including input from interested public and private organizations;
- Increasing adult literacy holdings and access of the literacy community to these holdings as LINCS expands;
- Developing partnerships with other state agencies and public and private entities, including business and industry, that can further project objectives and provide ongoing support to the project after the grant has ended;
- Collaborating with other related electronic information exchange efforts, such as those run through libraries and universities, to widen usage of LINCS in the field; and
- Expanding LINCS more broadly at the state agency and local service provider level.

Accordingly, the applicant's plan must address the following:

a. Regional Hub: Describe how the applicant will establish a regional hub on the Internet that will provide a seamless interface between SLRCs in the region and LINCS, including:

(1) How the applicant will establish and maintain a regional hub that mirrors the LINCS's information structure and the system architecture, as described in Technical Soundness, sections a and b.

(2) What hardware, software, and networking system will be used to develop the hub and why they were chosen.

(3) How the equipment meets NIFL requirements.

(4) How the applicant will develop a collection of unpublished literacy materials.

(5) How the applicant will collect and organize program data.

(6) How the applicant will ensure adoption of ''Starting Point'' standards and work with other SLRCs in the areas of collection of data, organization and information dissemination.

(7) How and to what extent the applicant will involve other agencies and organizations, especially state departments of education, human services, and labor, in the design and implementation of the regional hub.

(8) How the applicant will achieve, at a minimum, the following outcomes in year 1:

(a) The establishment of a regional hub for LINCS on the Internet
(b) An on-line database of unpublished materials using ''Starting Point'' standards
(c) An on-line directory of the regional consortium's literacy programs using ''Starting Point'' standards
(d) A bulletin board function
(e) Link-up with at least to major educational/workforce or legislative databases in the region

b. Connectivity: Describe the level at which consortium members will be connected to the regional hub and to each other, including how the applicant will achieve, at a minimum, the following outcome in year 1: All consortium members will be linked up with the regional hub and able to:

(1) Retrieve information provided by the hub,

(2) Transfer files,

(3) Engage in on-line discussion groups, and

(4) Access the LINCS prototype.

c. Organization and Management: Describe the ways in which the applicant will ensure appropriate organization and management of project activities, including:

(1) How the applicant will involve an advisory group including representatives from all regional consortium member states in overseeing project implementation and evaluating progress.

(2) How the applicant will provide for developing a formal agreement with all consortium member SLRCs that clearly identifies the rights, roles, and responsibilities of each state with regard to spending plan, technical assistance, training, timeline, evaluation and design of the hub.

(3) How the applicant will provide for the management of any other partnership, consultant or subcontract arrangement with the rights and responsibilities of each party set forth clearly.

(4) The identification of key staff members, their specific roles, and the number of hours required to carry out their tasks.

(5) A description of any cost-sharing, cooperative funding, or other special financial arrangements.

d. Access: Describe how the applicant will extend access to LINCS to other state agencies and local literacy service providers, including;

(1) How the applicant will promote widespread access to and use of the regional hub.

(2) How the applicant will work with regional consortium members to select local sites to participate in the project.

(3) How the applicant will support LINCS use by other agencies and at the local level, including—

(a) The kind of hardware and software to be used

(b) The training and technical assistance to be provided

(c) The focus to be taken by an agency or local site in using LINCS (i.e., a site could focus on using the system in information retrieval, or exploring on-line communication between practitioners and adult learners, or exchanging teaching tools and curricula)

(4) How the applicant will solicit and use feedback from other agencies and local providers in assessing the network's potential and refining the work of the regional hub.

(5) How the applicant will achieve, at a minimum, the following outcome in year 1: At least two local literacy service providers in one or more of the member states will have the capability to use the services of the regional hub.

e. Collaboration: Describe how the applicant will assure collaboration with other related agencies, organizations, and projects in the region, including how the applicant will work with other regional consortium member states to—

(1) Secure the active cooperation and partnership of appropriate state agencies, including education, labor, and human services.

(2) Identify and connect with other projects in the region that use technology in the areas of telecommunications, on-line services, networking and multi-media.

4. Technical Soundness

a. Describe how the applicant will install an electronic system for the regional hub that mirrors the LINCS structure, which consists of the following: a UNIX-based work station, connected to the Internet via the NIFL LAN, with information maintained in both HTML documents and WAIS databases. This work station is the World Wide Web (WWW) server, and also provides access to the Lynx WWW client for those users unable to use graphical clients, such as Mosaic. The software developed for the NIFL home page by the Logistics Management Institute is freely available for re-use.

b. Describe how the applicant will create a home page design that is similar to the LINCS home page, so that the same ''look and feel'' can be achieved throughout the network. (For example, a proposal for a World Wide Web server providing Mosaic- and Lynx-based access to a region's literacy resources and linkage to the NIFL home page would receive greater consideration than a proposal for information maintained on one or multiple WAIS database servers.)

Describe how the applicant will, at a minimum—

(1) Acquire a 56kbps or faster direct Internet connection.

(2) Develop a WAIS database server or servers on the Internet.

(3) Populate the WAIS database(s) with literacy collections and program data, using ''Starting Point'' record structures and standards.

(4) Provide technical assistance, funding and resources to assure that all consortium members are connected to the Internet and are contributing and sharing adult literacy data.

c. Describe the applicant's provisions for equipment, including—

(1) What equipment will be used to establish the regional literacy hub or hubs.

(2) How the applicant will assess the equipment needs of each consortium member.

(3) What equipment will be used to link each consortium member to the regional hub and to LINCS.

(4) The reason for purchasing or upgrading equipment, as well as software and networking systems, for each member.

(5) How the equipment funded by this grant will be maintained.

(6) How issues of changing technology and obsolescence will be addressed.

(7) How the applicant will achieve, at a *minimum*, the following outcome for year 1: The lead site and consortium members will all have the equipment necessary to perform functions described in the plan of operation.

d. Describe the applicant's provisions for training and technical assistance, including—

(1) How the applicant will assess the relevant skills and knowledge of each consortium member SLRC and pool this expertise for the benefit of all consortium members.

(2) How the applicant will assist all consortium member SLRCs in selection and installation of hardware and software within the proposed timeline.

(3) A commitment to regional training and staff development for consortium members.

(4) How provisions will be made for well-organized and ongoing training that addresses a full range of needs.

(5) How administrators in each consortium member SLRC and local site will learn about the potential of LINCS and the regional hub, the pros and cons of various applications, how to connect to the system and benefit from it, and how to help their own clients tap into the national bank of resources available through LINCS.

(6) How the applicant will teach specific skills as well as an understanding of the power of the new technology and a desire for acquiring it and making it accessible to local literacy practitioners throughout the region, and ways of exploring the impact that it will have on teaching and learning methods.

(7) How the applicant will determine the type and the level of the training, and designate adequate funding.

(8) How the applicant will select training models (such as training trainers or workshops supplemented by peer coaching or modeling) that meet the needs of geographically dispersed staff at various levels of knowledge and skills, especially given rapid changes in technology.

(9) How the applicant will achieve, at a minimum, the following outcomes in year 1:

(a) Consortium member SLRCs' hardware and software are installed and functional.

(b) A measurable training plan, which includes training staff of consortium member states, local sites, and other involved agencies in the use of the Regional hub, will be developed and implemented.

5. Efficiency and Economy

a. Cost Effectiveness: The applicant must demonstrate how it will ensure—

(1) The most efficient and cost-effective use of the funding,

(2) Continuation of the project at end of the grant through securing additional funds to continue and expand the project.

b. Time Line: The applicant's plan must contain a table or diagram with major tasks or milestones, including estimates of funds, time, training schedules, personnel, facilities and equipment allocated to each program area. The timing of progress and other reports, meetings, and similar events should be included.

6. Monitoring and Evaluation

The applicant must provide a monitoring and evaluation plan that will demonstrate the effectiveness of the project in achieving the objectives of the grant, including—.

a. A process for ongoing evaluation and acquiring on-line and off-line input from users.

b. How the applicant will measure and evaluate the impact of the project on—

(1) The members of the consortium (their connectivity, access, data collection and organization),

(2) The broader literacy community, especially other state agencies and local literacy service providers;

c. How results of the evaluation will be confirmed and reported.

Other Application Requirements

The application shall include the following:

Project Summary: The proposal must contain a 200-word summary of the proposed project suitable for publication. It should not be an abstract of the proposal, but rather a self-contained description of the activities that would explain the proposal. The summary should be free of jargon and technical terminology, and should be understandable by an intelligent but non-specialist reader.

Budget Proposal: ED Form 524 must be completed and submitted with each application. The form consists of Sections A, B, and C. On the back of the form are general instructions for completion of the budget. All applicants must complete Sections A and C. If Section B is completed, include the nature and source of non-federal funds. Attach as Section C a detailed explanation and amplification of each budget category. Included in the explanation should be a complete justification of costs in each category. Additional instructions include:

- Prepare a separate itemization and narrative for each of the SLRCs in the region in addition to submitting an itemized budget narrative for the project as a whole.
- Personnel items should include names (titles or position) of key staff, number of hours proposed and applicable hourly rates.
- Include the cost, purpose, and justification for travel, equipment, supplies, contractual and other. Training stipends are not authorized under this program.
- Clearly identify in all instances contributed costs and support from other sources, if any.
- Show budget detail for financial aspects of any cost-sharing, joint or cooperative funding.

Disclosure of Prior Institute Support: If any consortium member state has received Institute funding in the past 2 years, the following information on the prior awards is required:

- Institute award number, amount and period of support;
- A summary of the results of the completed work; and
- A brief description of available materials and other related research products not described elsewhere.

If the applicant has received a prior award, the reviewers will be asked to comment on the quality of the prior work described in this section of the proposal.

Current and Pending Support: All current project support from whatever source (such as Federal, State, or local government agencies, private foundations, commercial organizations) must be listed. The list must include the proposed project and all other projects requiring a portion of time of the Project Director and other project personnel, even if they receive no salary support from the project(s). The number of person-months or percentage of effort to be devoted to the projects must be stated, regardless of source of support. Similar information must be provided for all proposals that are being considered by or will be submitted soon to other sponsors.

If the project now being submitted has been funded previously by another source, the information requested in the paragraph above should be furnished for the immediately preceding funding period. If the proposal is being submitted to other possible sponsors, all of them must be listed. Concurrent submission of a proposal to other organizations will not prejudice its review by the Institute.

Any fee proposed to be paid to a collaborating or ''partner'' for-profit entity should be indicated. (Fees will be negotiated by the Grants Officer.) Any copy-right, patent or royalty agreements (proposed or in effect) must be described in detail, so that the rights and responsibilities of each party are made clear. If any part of the project is to be subcontracted, a budget and work plan prepared and duly signed by the subcontractor must be submitted as part of the overall proposal and addressed in the narrative.

Instructions for Transmittal of Applications

(a) To apply for a cooperative agreement—

(1) Mail the original and ten (10) copies of the application on or before the deadline date of [60 days from publication], to: National Institute for Literacy, 800 Connecticut Avenue, NW., Suite 200, Washington, DC 20006, Attention: (CFDA #84.257F).

(2) Hand deliver the application by 4:30 p.m. (Washington, DC time) on the deadline date to the address above.

(b) An applicant must show one of the following as proof of mailing:

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(c) If an application is mailed through the U.S. Postal Service, the Director does not accept either of the following as proof of mailing:

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

Notes: (1) The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with the local post office.

(2) The NIFL will mail a Grant Applicant Receipt Acknowledgment to each applicant.

If an applicant fails to receive the notification of application receipt within 15 days from the date of mailing the application, the applicant should call the NIFL at (202) 632–1500.

(3) The applicant must indicate on the envelope and in Item 10 of the application for Federal Assistance (Standard Form 424) the CFDA number of the competition under which the application is being submitted.

Application Forms: The appendix to this announcement is divided into three parts plus a statement regarding estimated public reporting burden and various assurances and certifications. These parts and additional materials are organized in the same manner that the submitted application should be organized. The parts and additional materials are as follows:

Part I: Application for Federal Assistance (Standard Form 424 (Rev. 4–88)) and instructions.
Part II: Budget Information—Non-Construction Programs (ED Form 524) and instructions.
Part III: Application Narrative.
Additional Materials:
Estiamted Public Reporting Burden.
Assurances—Non-Construction Programs (Standard Form 424B).

Certification Regarding Lobbying; Debarment, Suspension, and other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80–0013).

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion: Lower Tier Covered Transactions (ED 80–0014, 9/90) and instructions.

Note: ED 80–0014 is intended for the use of recipients and should not be transmitted to the NIFL.

Disclosure of Lobbying Activities (Standard Form LLL) (if applicable) and instructions; and Disclosure of Lobbying Activities Continuation Sheet (Standard Form LLL–A).

An applicant may submit information on a photostatic copy of the application and budget forms, the assurances and the certifications. However, the application form, the assurances, and certifications must each have an original signature. No award can be made unless a complete application has been received.

Applicable Regulations: The National Institute for Literacy is subject to the rulemaking requirements of the Administrative Procedures Act (APA). Under the APA, as now codified in Title 5 of the United States Code, section 553, matters relating to public property, loans, grants, benefits, or contracts are not subject to the rulemaking requirement of that section. The National Institute for Literacy is now in the initial stages of establishing a new program recently authorized by Congress and must obligate funds under this authority by September 30, 1995. The NIFL considered waiving this exemption to rulemaking requirements but determined that there was too little time to propose rules and offer applicants a reasonable amount of time to prepare applications for the award announced in this notice. Therefore, the National Institute for Literacy has adopted the following rules for the conduct of this competition and the resulting award.

The following regulations of the Department of Education apply:

34 CFR part 74, Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations. The following provisions of 34 CFR part 75: §§ 75.50, 75.51, 75.102–75.104, 75.109, 75.117, 75.109–75.192, 75.200, 75.201, 75.215.
34 CFR part 77, Definitions.
34 CFR part 80, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
34 CFR part 82, New Restrictions on Lobbying.
34 CFR 85, Government wide Debarment and Suspension (Non-procurement) and Government wide Requirements for Drug-Free Workplace (Grants).

The selection criteria used for this competition are set out in this Notice. While the criteria are patterned on those used generally by the Department of Education, they have been adapted by the NIFL to meet the needs of this program.

While the National Institute for Literacy is associated with the Departments of Education, Labor, and Health and Human Services, the policies and procedures regarding rulemaking and administration of grants are not adopted by the NIFL except as expressly stated in this Notice.

Selection of Applications: The Director uses 34 CFR 75.217 in selecting an application for award.

Grant Administration: The administration of the grant to the consortium is governed by the conditions of the award letter. The Education Department General Administration Regulations, (EDGAR) 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85 and 86 (July 1, 1993), set forth administrative and other requirements. This document is available through your public library and the NIFL. It is recommended that appropriate administrative officials become familiar with the policies and procedures in the EDGAR which are applicable to this award. If a proposal is recommended for an award, the Grants official will request certain organizational, management, and financial information.

The following information on grant administration dealing with questions such as General Requirement, Prior Approval Requirements, Transfer of Project Director, and Suspension or Termination of Award, are available in EDGAR.

Reporting: In addition to working closely with the Institute, the applicant will be required to submit an annual report of activities. This annual report will be presented to the Institute staff, the National Institute Advisory Board and Interagency Group. Detailed specifications for the annual report will be provided to the consortium within 3 months after the award. For planning purposes, the applicant may assume that the following information will be provided:

- Project(s) Title
- Project Abstract

A concise narrative describing in layman's language the subject purposes, methods, expected outcomes (including products), and significance of the project.

- Significant Products

A list of significant holdings available for access associated with the consortium.

- Significant Accomplishments

A past-tense abstract that describes the consortium's accomplishments, known uses of the holdings and evidence of positive impact.

The grantee must also submit the following reports:

- Quarterly Performance

A brief 2–3 page report of progress—Due: Within 20 days of the end of each quarter.

- For the fourth quarter, no quarterly report is necessary.

An annual report will suffice.

- Final Report

Due: 90 days after the expiration of or termination of support.

Acknowledgment of Support and Disclaimer: An acknowledgment of Institute support and a disclaimer must appear in publications of any material, whether copyrighted or not, based on or developed under Institute-supported projects:

This material is based upon work supported by the National Institute for Literacy under Grant No. (grantee should enter Institute grant number).

Except for articles or papers published in professional journals, the following disclaimer should be included:

Any opinion, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the NIFL.

Instructions for Estimated Public Reporting Burden: Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing the Act, the National Institute for Literacy invites comment on the public reporting burden in this collection of information. Public reporting burden for this collection of information is estimated to average 30 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and disseminating the data needed, and completing and reviewing the collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the National Institute for Literacy, and the Office of Management and Budget, Paperwork Reduction Project, Washington, DC 20503.

(Information collection approved under OMB control number 3200 0029, Expiration date: October 1995).

Program Authority: 20 U.S.C. 1213C.

Andrew J. Hartman,

Director, NIFL.

BILLING CODE 6055–01–M

Application Forms and Instructions

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: *Application* ☐ Construction ☐ Non-Construction; *Preapplication* ☐ Construction ☐ Non-Construction	2. DATE SUBMITTED	Applicant Identifier
	3. DATE RECEIVED BY STATE	State Application Identifier
	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address *(give city, county, state, and zip code)*:	Name and telephone number of the person to be contacted on matters involving this application *(give area code)*

6. EMPLOYER IDENTIFICATION NUMBER (EIN): ☐☐ – ☐☐☐☐☐☐☐

7. TYPE OF APPLICANT: (*enter appropriate letter in box*) ☐

A. State	H. Independent School Dist.
B. County	I. State Controlled Institution of Higher Learning
C. Municipal	J. Private University
D. Township	K. Indian Tribe
E. Interstate	L. Individual
F. Intermunicipal	M. Profit Organization
G. Special District	N. Other (Specify): ______

8. TYPE OF APPLICATION:

☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es): ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other *(specify)*:

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐-☐☐☐

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT *(cities, counties, states, etc.)*:

13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project

15. ESTIMATED FUNDING:

a. Federal	$	.00
b. Applicant	$	.00
c. State	$	.00
d. Local	$	.00
e. Other	$	.00
f. Program Income	$	.00
g. TOTAL	$	.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:

DATE ______

b NO. ☐ PROGRAM IS NOT COVERED BY E.O. 12372

☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ Yes If "Yes," attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

Previous Editions Not Usable

Standard Form 424 (REV 4-88)
Prescribed by OMB Circular A-102

Authorized for Local Reproduction

BILLING CODE 6055–01–C

Instructions for the SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item and Entry

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.
8. Check appropriate letter in the space provided.

—''New'' means a new assistance award.
—''Continuation'' means an extension for an additional funding/budget period for a project with a projected completion date.
—''Revision'' means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.
10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11. Enter a brief descriptive title of the project, if more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. Federal preapplications, use a separate sheet to provide a summary description of this project.
12. List only the largest political entities affected (e.g., State, counties, cities).
13. Self-explanatory.
14. List the applicant's Congressional District and any District(s) affected by the program or project.
15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. I both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.

BILLING CODE 6055–01–M

U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control No. 1875-0102

Expiration Date: 9/30/95

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	**Total (f)**
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

ED FORM NO. 524

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

ED FORM NO. 524

BILLING CODE 6055–01–C

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours, including the 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 this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202–4651; and the Office of Management and Budget, Paperwork Reduction Project 1875–0102, Washington, D.C. 20503.

Instructions for ED Form No. 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-funding request. Pay attention to applicable program specific instructions, if attached.

Section A—Budget Summary—U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1–11.

Lines 1–11, columns (a)–(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1–11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)–(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this spare blank.

Section B—Budget Summary—Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1–11 of Section B.

Lines 1–11, columns (a)–(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1–11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)–(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C—Other Budget Information—Pay Attention to Applicable Program Specific Instructions, If Attached

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

Assurances—Non-Construction Programs

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 costs) 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 nineteen 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. §§ 6101–6107), 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. 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 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.
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. §§ 1271 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 of 1984.

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 judgment 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 government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (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 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 or convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202–4571. 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.

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 and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202–4571. 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

BILLING CODE 6055–01–M

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

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

1. Type of Federal Action:
☐ a. contract
b. grant
c. cooperative agreement
d. loan
e. loan guarantee
f. loan insurance

2. Status of Federal Action:
☐ a. bid/offer/application
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 ____, *if known*:

Congressional District, *if known*:

5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:

Congressional District, *if known*:

6. Federal Department/Agency:

7. Federal Program Name/Description:

CFDA Number, *if applicable*: ____________

8. Federal Action Number, *if known*:

9. Award Amount, *if known*:
$

10. a. Name and Address of Lobbying Entity
(if individual, last name, first name, MI):

b. Individuals Performing Services *(including address if different from No. 10a)*
(last name, first name, MI):

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

11. Amount of Payment *(check all that apply)*:
$ ________________ ☐ actual ☐ planned

12. Form of Payment *(check all that apply)*:
☐ a. cash
☐ b. in-kind; specify: nature ________________
value ________________

13. Type of Payment *(check all that apply)*:
☐ a. retainer
☐ b. one-time fee
☐ c. commission
☐ d. contingent fee
☐ e. deferred
☐ f. other; specify: ________________

14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:

(attach Continuation Sheet(s) SF-LLL-A, if necessary)

15. Continuation Sheet(s) SF-LLL-A attached: ☐ Yes ☐ No

16. 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

BILLING CODE 6055–01–C

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 ''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

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