

## DEPARTMENT OF EDUCATION

[CFDA No.: 84.312A]

**Urban and Rural Local Reform Initiative; Notice Inviting Applications for New Awards for Fiscal Year (FY) 1995**

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

*Purpose of Program:* To assist urban and rural local educational agencies (LEAs) with large numbers or concentrations of students who are economically disadvantaged or who have limited English proficiency in the development and implementation of comprehensive local improvement plans directed at enabling all children to reach challenging academic standards.

*Eligible Applicants:* Urban and rural LEAs with large numbers or concentrations of students who are economically disadvantaged or who have limited English proficiency.

*Deadline for Transmittal of Applications:* July 7, 1995.

*Deadline for Intergovernmental Review:* September 7, 1995.

*Available Funds:* Approximately \$10.1 million.

*Estimated Range of Awards:* For large urban LEAs (i.e., urban LEAs administering schools with a total enrollment of 100,000 or more elementary and secondary students), the estimated range is from \$200,000 to \$1 million. For mid-sized urban LEAs (i.e., urban LEAs administering schools with a total enrollment of at least 50,000 but less than 100,000 elementary and secondary school students), the estimated range is from \$150,000 to \$750,000. For small urban LEAs (i.e., urban LEAs administering schools with a total enrollment of less than 50,000 elementary and secondary school students), the estimated range is from \$100,000 to \$500,000. For rural LEAs, the estimated range is from \$25,000 to \$250,000.

*Estimated Number of Awards:* 40.

**Note:** These estimates are projections for the guidance of potential applicants. The Department is not bound by any estimates in this notice.

*Project Period:* Up to 48 months.

**Applicable Regulations**

The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR Part 75 (Direct Grant Programs).

(2) 34 CFR Part 77 (Definitions that Apply to Department Regulations).

(3) 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities).

(4) 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments).

(5) 34 CFR Part 81 (General Education Provisions Act—Enforcement).

(6) 34 CFR Part 82 (New Restrictions on Lobbying).

(7) 34 CFR Part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).

(8) 34 CFR Part 86 (Drug-Free Schools and Campuses).

**Supplementary Information****(a) Background**

The Goals 2000: Educate America Act (Pub. L. 103-227) (20 U.S.C. 5801 *et seq.*) (the Act) asks States and communities to reform their education systems through the development and implementation of comprehensive improvement plans based on challenging academic standards and high expectations for all students. One of the fundamental premises underlying Goals 2000 is that comprehensive, systemic reform should be promoted from the bottom up in communities, LEAs, and schools. Section 314(b) of the Goals 2000 legislation helps facilitate bottom-up reform by authorizing the Secretary to provide funding and technical assistance to urban and rural LEAs with large numbers or concentrations of students who are economically disadvantaged or who have limited English proficiency in order for the LEAs to develop and implement comprehensive local improvement plans designed to help all children reach challenging academic standards.

**(b) Serving Large Numbers or Concentrations of Students Who Are Economically Disadvantaged or Who Have Limited English Proficiency**

In its application, an LEA should demonstrate the standard used to determine the number or concentration of students who are economically disadvantaged or who have limited English proficiency. For example, an "economically disadvantaged student" could be defined as one eligible for free or reduced price lunch under the National School Lunch Act. If this measure were used by the applicant, its

application would indicate the number or percentage of students receiving free or reduced price lunch.

The Secretary is particularly interested in receiving applications from urban or rural LEAs that satisfy the requirement for serving large numbers or concentrations of economically disadvantaged or limited English-proficient students by demonstrating that at least one of the following conditions is present:

(1) The number of economically disadvantaged elementary and secondary school students (as measured, for example, by students eligible for free or reduced price lunch under the National School Lunch Act) in the schools administered by the LEA totals at least 35,000.

(2) The number of economically disadvantaged elementary and secondary school students (as measured, for example, by students eligible for free or reduced price lunch under the National School Lunch Act) in the schools administered by the LEA is at least 70 percent of the total number of elementary and secondary students in those schools.

(3) The number of elementary and secondary school students who have limited English proficiency in the schools administered by the LEA totals at least 10,000.

(4) The number of elementary and secondary school students who have limited English proficiency in the schools administered by the LEA is at least 25 percent of the total number of elementary and secondary students in those schools.

LEAs that meet one or more of these four conditions will not receive competitive or absolute preference over other LEAs that serve a large number or concentration of economically disadvantaged or limited English-proficient students. The specific numbers and percentages in these examples merely illustrate some of the possible ways that an LEA might demonstrate that it serves "large numbers or concentrations of students who are economically disadvantaged or who have limited English proficiency." Eligible LEAs may have fewer numbers or lower percentages of economically disadvantaged or limited English-proficient students than the specific numbers or percentages outlined above.

**(c) Eligible LEAs That Serve Schools in Empowerment Zones or Enterprise Communities**

The Secretary strongly encourages applications from eligible LEAs that serve schools in communities designated as Empowerment Zones or

Enterprise Communities by the Department of Housing and Urban Development and the Department of Agriculture. The emphasis in section 314(b) of the Act on coordinated planning to meet the pressing needs of urban and rural LEAs with large numbers or concentrations of limited English-proficient and economically disadvantaged students makes it ideally suited to play a key role in the Empowerment Zone and Enterprise Community program.

**(d) Applications From LEAs in States Not Participating in Goals 2000**

LEAs with large numbers or concentrations of students who are economically disadvantaged or who have limited English proficiency are eligible to apply for a local reform grant whether or not the State in which they are located is participating under Title III of Goals 2000.

**(e) Developing and Implementing a Local Improvement Plan**

In explaining how its proposed process for developing and implementing a local improvement plan would help all students, especially economically disadvantaged and limited English-proficient students, reach challenging academic standards, an applicant might demonstrate—

(1) How the local plan development and implementation would be aligned with any reform initiatives that are being undertaken by the State or LEA under the Goals 2000: Educate America Act, the Improving America's Schools Act of 1994, the School-to-Work Opportunities Act, and other reform programs;

(2) The process by which the applicant would develop and implement specific strategies to ensure that economically disadvantaged students and limited English-proficient students, as well as other students, will reach challenging content and student performance standards;

(3) The process by which other programs administered by the applicant would be effectively integrated into the local reform plan; and

(4) The process by which the applicant would ensure that individual schools will have the flexibility to develop school-based plans that address their particular needs and that are consistent with the local improvement plan or plans.

In addition, in presenting its plan of operation, an applicant might explain how the local improvement plan would be developed and implemented through broad-based outreach and collaborative processes. The Secretary encourages

applicants to address issues such as the following in describing these processes:

(1) The extent to which the local plan would be developed by a broad-based panel that is representative of the diversity of the students in the community, and that includes teachers, parents, advocacy groups, school administrators, business representatives, and others, as appropriate;

(2) How the panel would conduct a grassroots outreach process to involve all segments of the community—including teachers, parents, advocacy groups, school administrators, business and community leaders, and others as appropriate—in a continuing dialogue concerning the issues that will be addressed during the development and implementation of the plan or plans; and

(3) How the plan development and implementation process would give special consideration to the input received from parents of, and other individuals and organizations working with, economically disadvantaged and limited English-proficient students.

The Secretary recognizes that LEAs share similar problems. LEAs are encouraged to work in concert with each other and with educational reform partners (e.g., business organizations, parent organizations, community-based organizations, institutions of higher education, or service providers) in developing and implementing their local reform plans.

**(f) Evaluation Strategies**

In devising evaluation strategies for the proposed project, the Secretary encourages applicants to consider issues such as the following:

(1) The process by which rigorous timelines and challenging performance indicators would be established for the development and implementation of comprehensive local improvement plans; and for plans already in the implementation stages, a description of indicators, timelines, and methods being used for evaluation;

(2) How effectively the overall evaluation strategies would assess the LEA's progress in developing and implementing its local improvement plan, and assess outcomes attained during the project period, especially progress toward improved student achievement in the LEA;

(3) How the LEA would document key activities in the development and implementation of the plan;

(4) How the evaluation findings would be used to provide feedback to the grantee so that appropriate modifications could be made; and

(5) How the evaluation findings would be shared with the community as well as other LEAs.

The Department of Education intends to conduct a national multi-year evaluation of projects funded under this competition. The evaluation may assess all components of the project. Grantees will be required to cooperate in the evaluation, including sharing locally collected evaluation data with the entity conducting the evaluation. The evaluation may examine items such as the following: the process by which the plan has been developed; the comprehensiveness of the plan; support for the plan; and selected outcome data (e.g., student achievement and performance documentation, attendance records). The evaluation contractor may also conduct site visits and request additional data from the grantee, as appropriate.

**Application Requirements**

The authorizing statute—section 314(b) of the Act—provides that the grants under this competition should be made “in accordance with the provisions of section 309(a) that the Secretary deems appropriate.” The Secretary has determined that a local improvement plan developed under section 314(b) must meet the requirements in sections 309(a)(3) (A) through (F), and section 309(a)(3)(H) of the Act. That is, each local improvement plan developed with funds awarded under this competition shall—

(A) Be developed by a broad-based panel that—

(i) Is appointed by the LEA and is representative of the diversity of students and community with regard to race, language, ethnicity, gender, disability, and socioeconomic characteristics and includes teachers, parents, advocacy groups, school administrators, business representatives, and others, as appropriate; and

(ii) Shall, following the selection of its members, establish the procedures regarding the operation of the panel, including the designation of the chairperson;

(B) Address districtwide education improvement, directed at enabling all students to meet the State content standards and State student performance standards, including specific goals and benchmarks, reflect the priority of the State improvement plan (for LEAs in Goals 2000 States or in States undergoing other comprehensive reform efforts) and include a strategy for—

(i) Ensuring that all students have a fair opportunity to learn;

(ii) Improving teaching and learning;

(iii) Improving governance and management;

(iv) Generating, maintaining, and strengthening parental and community involvement; and

(v) Expanding improvements throughout the LEA;

(C) Promote the flexibility of local schools in developing plans that address the particular needs of their school and community and are consistent with the local improvement plan;

(D) Describe a process of broad-based community participation in the development, implementation, and evaluation of the local improvement plan;

(E) Describe how the LEA will encourage and assist schools to develop and implement comprehensive school improvement plans that—

(i) Focus on helping all students reach State content standards and State student performance standards; and

(ii) Address relevant elements of the local improvement plan of the LEA identified in paragraph (B);

(F) Describe how the LEA will implement specific programs aimed at ensuring improvements in school readiness and the ability of students to learn effectively at all grade levels by identifying the most pressing needs facing students and their families with regard to social services, health care, nutrition, and child care, and entering into partnerships with public and private nonprofit agencies to increase the access of students and families to coordinated nonsectarian services in a school setting or at a nearby site; and

(G) Note: The requirements of section 309(a)(3)(G) do not apply to the section 314(b) grants;

(H) Identify, with an explanation, any State or Federal requirements that the LEA believes impede educational improvement and that such agency requests to be waived in accordance with section 311 (for those LEAs in Goals 2000 States), which requests shall promptly be submitted to the Secretary by the LEA.

All LEAs applying for a grant are also required to demonstrate that they have large numbers or concentrations of students who are economically disadvantaged or who have limited English proficiency.

#### Selection Criteria

(a)(1) The Secretary uses the following selection criteria in 34 CFR 75.210 to evaluate applications under this competition.

(2) The maximum score for all of these criteria is 100 points.

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

The Secretary assigns the 15 points that are reserved in 34 CFR 75.210(c) as follows: 10 points to selection criterion (34 CFR 75.210(b)(2) (Extent of need for the project) for a possible total of 30 points; and 5 points to selection criterion (34 CFR 75.210(b)(3) (Plan of operation) for a possible total of 20 points.

(b) *The criteria*—(1) *Meeting the purposes of the authorizing statute.* (30 points) The Secretary reviews each application to determine how well the project will meet the purposes of the authorizing statute (i.e., sections 2 and 314(b) of the Goals 2000: Educate America Act), including consideration of—

(i) The objectives of the project; and

(ii) How the objectives of the project further the purposes of the authorizing statute.

(2) *Extent of need for the project.* (30 points) The Secretary reviews each application to determine the extent to which the project meets specific needs recognized in the statute that authorizes the program, including consideration of—

(i) The needs addressed by the project;

(ii) How the applicant identified those needs;

(iii) How those needs will be met by the project; and

(iv) The benefits to be gained by meeting those needs.

(3) *Plan of operation.* (20 points) The Secretary 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 program;

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

(v) How the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, gender, age, or disability.

(4) *Quality of key personnel.* (7 points)

(i) The Secretary reviews each application to determine the quality of key personnel the applicant plans to use on the project, including—

(A) The qualifications of the project director (if one is to be used);

(B) The qualifications of each of the other key personnel to be used in the project;

(C) The time that each person referred to in paragraphs (4)(i)(A) and (B) will commit to the project; and

(D) How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected for employment without regard to race, color, national origin, gender, age, or disability.

(ii) To determine personnel qualifications under paragraphs (4)(i)(A) and (B), the Secretary considers:

(A) Experience and training in fields related to the objectives of the project; and

(B) Any other qualifications that pertain to the quality of the project.

(5) *Budget and effectiveness.* (5 points) The Secretary reviews each application to determine the extent to which—

(i) The budget is adequate to support the project; and

(ii) Costs are reasonable in relation to the objectives of the project.

(6) *Evaluation plan.* (5 points) The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation—

(i) Are appropriate to the project; and

(ii) To the extent possible, are objective and produce data that are quantifiable.

(7) *Adequacy of resources.* (3 points) The Secretary reviews each application to determine the adequacy of the resources that the applicant plans to devote to the project, including facilities, equipment, and supplies.

#### Intergovernmental Review of Federal Programs

This program is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive order. If you want to know the name and address of any State Single Point of Contact, see the list

published in the **Federal Register** on March 3, 1995 (60 FR 16713).

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in this notice to the following address: The Secretary, E.O. 12372—CFDA# 84.312A, U.S. Department of Education, Room 6300, 600 Independence Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in this notice.

**PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS. INSTRUCTIONS FOR TRANSMITTAL OF APPLICATIONS:**

(a) If an applicant wants to apply for a grant, the applicant shall—

(1) Mail the original and two copies of the application on or before the deadline date to: U. S. Department of Education, Application Control Center, Attention: (CFDA 84.312A), Washington, DC 20202-4725 or

(2) Hand deliver the original and two copies of the application by 4:30 p.m. (Washington, DC time) on the deadline date to: U.S. Department of Education, Application Control Center, Attention: (CFDA 84.312A), Room #3633, Regional Office Building #3, 7th and D Streets, SW., Washington, DC.

(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.

(4) Any other proof of mailing acceptable to the Secretary.

(c) If an application is mailed through the U.S. Postal Service, the Secretary 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 its local post office.

(2) The Application Control Center will mail a Grant Application 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 U.S. Department of Education Application Control Center at (202) 708-9494.

(3) The applicant *must* indicate on the envelope and—if not provided by the Department—in Item 10 of the Application for Federal Assistance (Standard Form 424) the CFDA number—and suffix letter, if any—of the competition under which the application is being submitted.

#### **Application Instructions and Forms**

The appendix to this application 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 (Standard Form 524A) and instructions.

Part III: Application Narrative.

#### **Additional Materials**

Estimated Public Reporting Burden. Assurances—Non-Construction Programs (Standard Form 424B).

Certifications 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, 9190) and instructions.

**(Note: ED 80-0014 is intended for the use of grantees and should not be transmitted to the Department.)**

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 the certifications must each have an original signature. No grant may be

awarded unless a completed application form has been received.

#### **Application Workshops**

The Department will conduct workshops to provide assistance to potential applicants concerning requirements of the authorizing statute and the application process. However, applicants are encouraged to begin preparation of their applications immediately upon receipt of this application package.

The workshops will be held on the following dates and at the following locations. Pre-registration is suggested.

Monday, June 12, 1995, 10:00 am to 3:00 p.m., Federal Building, Room 16350, 3535 Market Street, Philadelphia, PA 19104, (215) 596-0175

Wednesday, June 14, 1995, 10:00 am to 3:00 p.m., El Centro Community College, Main & Lamar (Lamar entrance), A Building, 5th floor, Room A525, Dallas, TX 75201, (214) 767-3626

Friday, June 16, 1995, 10:00 am to 3:00 p.m., Federal Building, Room 205, 50 United Nations Plaza, San Francisco, CA 94102, (415) 556-4920

#### **FOR FURTHER INFORMATION CONTACT:**

Jackie C. Jackson, U.S. Department of Education, 600 Independence Avenue, SW., Portals Building, Room 4000, Washington, DC 20202-2110, Telephone: (202) 401-0039, FAX: (202) 205-0303. Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339 between 8 a.m. and 8 p.m., Eastern time.

Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's electronic bulletin board (ED Board), telephone (202) 260-9950; or on the Internet Gopher Server at GOPHER.ED.GOV (under Announcements, Bulletins, and Press Releases). However, the official application notice for a discretionary grant competition is the notice published in the **Federal Register**.

**Program Authority:** Section 314(b) of the Goals 2000: Educate America Act, 20 U.S.C. 5894(b).

Dated: May 19, 1995.

**Thomas W. Payzant,**  
Assistant Secretary, Elementary and Secondary Education.

BILLING CODE 4000-01-P

# APPLICATION FOR FEDERAL ASSISTANCE

|   |  |   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
|---|--|---|------------------------------|----------|-----------------------------|-----------|--|--------------|-----------------------|-------------|-----------------|---------------|---------------|-------------------|------------------------|---------------------|---------------------------|
| <b>1. TYPE OF SUBMISSION:</b><br><i>Application</i><br><input type="checkbox"/> Construction<br><input checked="" type="checkbox"/> Non-Construction<br><br><i>Preapplication</i><br><input type="checkbox"/> Construction<br><input type="checkbox"/> Non-Construction   |  | <b>2. DATE SUBMITTED</b>  | Applicant Identifier         |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
|   |  | <b>3. DATE RECEIVED BY STATE</b>  | State Application Identifier |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
|   |  | <b>4. DATE RECEIVED BY FEDERAL AGENCY</b>   | Federal Identifier           |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| <b>5. APPLICANT INFORMATION</b>   |  |   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| 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)  |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| <b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b><br>[ ] [ ] - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]  |  | <b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> <table style="width:100%; font-size: small;"> <tr> <td>A. State</td> <td>H. Independent School Dist.</td> </tr> <tr> <td>B. County</td> <td>I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify): _____</td> </tr> </table> |                              | 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): _____ |
| 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): _____                          |   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| <b>8. TYPE OF APPLICATION:</b><br><input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision<br>If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/><br>A. Increase Award    B. Decrease Award    C. Increase Duration<br>D. Decrease Duration    Other (specify): _____ |  | <b>9. NAME OF FEDERAL AGENCY:</b><br>Department of Education  |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| <b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b><br>[ 8 ] [ 4 ] [ 3 ] [ 1 ] [ 2A ]<br>TITLE: Urban and Rural Local Reform Initiative   |  | <b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>  |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| <b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>  |  |   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| <b>13. PROPOSED PROJECT:</b>  |  | <b>14. CONGRESSIONAL DISTRICTS OF:</b>  |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| Start Date  | Ending Date  | a. Applicant  | b. Project                   |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| <b>15. ESTIMATED FUNDING:</b>   |  | <b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| a. Federal  | \$ .00   | a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:<br>DATE _____  |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| b. Applicant  | \$ .00   | b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372<br><input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| c. State  | \$ .00   |   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| d. Local  | \$ .00   |   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| e. Other  | \$ .00   |   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| f. Program Income   | \$ .00   | <b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| g. TOTAL  | \$ .00   | <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No  |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| <b>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</b>   |  |   |                              |          |                             |           |  |              |                       |             |                 |               |               |                   |                        |                     |                           |
| 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

## 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: | Entry:   | Item: | Entry:   |
|-------|--|-------|--|
| 1.    | Self-explanatory.  | 12.   | List only the largest political entities affected (e.g., State, counties, cities).   |
| 2.    | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).  | 13.   | Self-explanatory.  |
| 3.    | State use only (if applicable).  | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  | 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 <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If 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. |
| 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.   | 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.  |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 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.  |
| 7.    | Enter the appropriate letter in the space provided.  | 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.)  |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>— "New" means a new assistance award.<br>— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>— "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. For preapplications, use a separate sheet to provide a summary description of this project.  |       |  |



**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 applicable columns. Please read all instructions before completing form.

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

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

ED FORM NO. 524

| Name of Institution/Organization     |  | SECTION B - BUDGET SUMMARY<br>NON-FEDERAL FUNDS |                |                |                |                |       |
|--------------------------------------|--|---|----------------|----------------|----------------|----------------|-------|
|                                      |  | Project Year 1                                  | Project Year 2 | Project Year 3 | Project Year 4 | Project Year 5 | Total |
|                                      |  | (a)   | (b)            | (c)            | (d)            | (e)            | (f)   |
| Budget Categories                    |  |   |                |                |                |                |       |
| 1. Personnel                         |  |   |                |                |                |                |       |
| 2. Fringe Benefits                   |  |   |                |                |                |                |       |
| 3. Travel                            |  |   |                |                |                |                |       |
| 4. Equipment                         |  |   |                |                |                |                |       |
| 5. Supplies                          |  |   |                |                |                |                |       |
| 6. Contractual                       |  |   |                |                |                |                |       |
| 7. Construction                      |  |   |                |                |                |                |       |
| 8. Other                             |  |   |                |                |                |                |       |
| 9. Total Direct Costs<br>(lines 1-8) |  |   |                |                |                |                |       |
| 10. Indirect Costs                   |  |   |                |                |                |                |       |
| 11. Training Stipends                |  |   |                |                |                |                |       |
| 12. Total Costs<br>(lines 9-11)      |  |   |                |                |                |                |       |

SECTION C - OTHER BUDGET INFORMATION (see instructions)

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.

## 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-year 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 space blank.

**Instructions for ED Form 524 (cont.)****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.

*Instructions for Part III Application Narrative*

Before preparing the Application Narrative an applicant should read the information in this notice, including the selection criteria the Secretary uses to evaluate applications.

The narrative should encompass each function or activity for which funds are being requested and should—

1. Begin with an Abstract; that is, a summary of the proposed project;
2. Describe the proposed project in light of each of the selection criteria in the order in which the criteria are listed in this application; and
3. Include any other pertinent information that might assist the Secretary in reviewing the application.

The Secretary strongly requests the applicant to limit the Application Narrative to no more than 20 double-spaced, typed (on one side only), although the Secretary will consider applications of greater length. The Department has found that successful applications for similar programs generally meet this page limit.

*Instructions for Estimated Public Reporting Burden*

Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. Public reporting burden for this collection of information is estimated to average 20 hours per response,

including the time for reviewing instructions, searching existing data sources, gathering and maintaining 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 U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project, 1810-0574, Washington, D.C. 20503.

(Information collection approved under OMB control number 1810-0574. Expiration date: 4/30/98.)

BILLING CODE 4000-01-P

OMB Approval No. 0348-0040

**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. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply 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.

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

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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 sub-awards 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 governmental 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 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 and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3),

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                                |

## 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                                |



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

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of 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. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. 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; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include 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 entity 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. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 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, D.C. 20503.

**DISCLOSURE OF LOBBYING ACTIVITIES  
CONTINUATION SHEET**

Approved by OMB  
0348-0046

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

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