DEPARTMENT OF LABOR

Employment and Training Administration

DEPARTMENT OF EDUCATION

Office of Vocational and Adult Education; School-to-Work Opportunities; Local Partnership Grants; Application Procedures

AGENCIES: Employment and Training Administration, Department of Labor; Office of Vocational and Adult Education, Department of Education.

ACTION: Notice of availability of funds, solicitation for grant application (SGA), an administrative cost cap, a definition of administrative costs, and final selection criteria for School-to-Work Opportunities Local Partnership Grants.

SUMMARY: This notice announces the fiscal year (FY) competition for Local Partnership Grants authorized under Title III of the School-to-Work Opportunities Act of 1994 (the Act). This notice contains all of the necessary information and forms needed to apply for grant funding in FY 1995. The Departments also establish final selection criteria to be used in evaluating applications submitted under the Local Partnership Grants competition in FY 1995 and in succeeding years. The Departments also establish a definition for the term ''administrative costs,'' as well as a 10 percent cap on administrative costs incurred by local partnerships receiving grants under Title III of the Act.

DATES: Applications for grant awards will be accepted commencing September 8, 1995. The closing date for receipt of applications is November 7, 1995, at 2 p.m. (Eastern time) at the following address. Telefacsimile (FAX) applications will NOT be accepted.

ADDRESSES: Applications must be mailed to: U.S. Department of Education, Application Control Center, Attention: CFDA #278C, Washington, D.C. 20202–4725.

FOR FURTHER INFORMATION CONTACT: Maria Kniesler, National School-to-Work Office. Telephone: (202) 401–6222. (This is not a toll-free number). 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, Monday through Friday.

SUPPLEMENTARY INFORMATION:

Section A. Background

The Departments of Labor and Education are reserving funds appropriated for FY 1995 under Pub. L. 103–329 (the Act) for a competition for Local Partnership Grants authorized under Title III of the Act. In accordance with the authority provided in section 5 of the Act, the Departments have determined that the administrative provisions contained in the Education Department General Administrative Regulations (EDGAR) at 34 CFR Parts 74, 75, 77, 79, 80, 82, 85 and 86, will apply to grants awarded to local partnerships under this competition.

This notice contains a definition of the term ''administrative costs,'' a 10 percent cap on administrative costs incurred by local partnerships receiving grants under Title III, and the selection criteria that will be used in evaluating applications submitted in response to this year's competition, and all of the other necessary information and forms needed to apply for grant funding.

Section B. Purpose

Under this competition, the Departments will award grants to local partnerships that have built a sound planning and development base for their school-to-work programs, to begin implementation of School-to-Work Opportunities initiatives that will become part of statewide School-to-Work Opportunities systems. These local initiatives will offer young Americans access to programs designed to prepare them for first jobs in high-skill, high-wage careers, and to increase their opportunities for further education and training.

Section C. Application Process

1. Eligible Applicants

A local entity that meets the definition of ''local partnership'' in section 4(11) of the Act, is eligible to apply for a Local Partnership Grant. However, local partnerships that are located in the eight States that were awarded School-to-Work Opportunities State Implementation Grants in 1994 are not eligible to apply for a Local Partnership Grant under this competition. These eight States are: Maine, Massachusetts, New York, New Jersey, Kentucky, Wisconsin, Michigan, and Oregon. In addition, it should be noted that local partnerships located in States that are slated to receive School-to-Work Opportunities State Implementation Grants in 1995 are eligible to apply for grants under this competition.

As defined in the Act, an eligible partnership must include employers, representatives of local educational agencies and local postsecondary educational institutions (including representatives of area vocational education schools, where applicable), local educators, representatives of labor organizations or nonmanagerial employee representatives, and students. Other entities appropriate to effective implementation of a local School-to-Work Opportunities initiative should also be included in the partnership.

Under section 302(a) of the Act a local partnership is eligible to receive only one (1) Local Partnership Grant.

2. State Comments

The local partnership must submit its application to the State for review and comment before submitting the application to the Departments, in accordance with section 303(a) of the Act. The application should be submitted to the State's School-to-Work Contact. A list of State School-to-Work Contacts is included in Appendix D of this notice. The Departments expect that the State School-to-Work Contact will provide all members of the State School-to-Work Partnership listed in section 213(b)(4)(A)-(K) of the Act, an opportunity to review and comment on the local partnership's application.

Of particular importance to the Departments are each State's comments on the consistency of the local partnership's planned activities with the State's plan for a comprehensive statewide School-to-Work Opportunities system and the relationship of any proposed activities with other local plans, especially if the grant applicant is not specifically identified as a local partnership within the State system.

In accordance with section 305 of the Act, if a State has an approved State School-to-Work Opportunities plan, the State must confirm that the plan submitted by the local partnership is in accordance with the State plan. The application from the local partnership must contain this confirmation.

Section 303(b)(1) of the Act requires each State to review and comment on a local partnership's application within 30 days from the date on which the State receives the application from the local partnership. Therefore, even though applicants have 60 days to apply for a Local Partnership Grant under this notice, they must provide their application to their State in time for the State to have at least 30 days before the due date to review and comment on their application.

Furthermore, under section 303(c)(2) of the Act, the State's comments must be included in the local partnership's application. However, if the State does not provide review and comment within the 30-day time period described above, the local partnership may submit the

application without State comment. In such a case, the local partnership should provide proof that the State received a copy of the local partnership's application at least 30 days prior to the application due date.

3. Period of Performance

The period of performance for Local Partnership Grants is twelve months from the date of award by the Departments.

4. Option to Extend

Local Partnership Grants may be extended up to four additional years, but not beyond the second year of a School-to-Work Opportunities State Implementation Grant for the State in which the partnership is located. Extensions will be based upon availability of funds and the progress of the local partnership towards its objectives as approved in its application and will be subject to the annual approval of the Secretaries of Labor and Education (the Secretaries). It is likely that the amount of Federal funds, if any, that are awarded to local partnerships under this notice in subsequent years will decrease.

5. Available Funds

Approximately $15 million is available for this competition.

6. Estimated Range of Awards

The amount of an award under this competition will depend upon the scope, quality, and comprehensiveness of the proposed initiative and the relative size of the community to be served by the local partnership.

The Departments expect that first-year grant amounts will be about $200,000 for areas with populations under 250,000; $200,000 to $300,000 for areas with populations of 250,000 to 499,999; $300,000 to $500,000 for areas with populations of 500,000 to 749,999; $500,000 to $700,000 for areas with populations of 750,000 to 999,999; $700,000 to $1,000,000 for areas with populations of 1,000,000 to 1,499,999; and upwards of $1,500,000 for areas with populations of 1,500,000 or more. These ranges are provided to assist applicants in developing plans. The exact amounts awarded may exceed or be less than the amounts reflected in these ranges.

7. Estimated Number of Awards

The Departments expect to award 25–35 grants under this competition.

Note: The Departments are not bound by any estimates in this notice.

8. Reporting Requirements/Deliverables

(a) Reporting Requirements

The local partnership will be required, at a minimum, to submit—

- Quarterly Financial Reports (SF 269–A);
- Quarterly Narrative Progress Reports;
- An Annual Continuation Application package, if appropriate, including—
- A revised SF–524 and renewed Assurances and Certifications;
- A narrative report describing progress toward stated goals, and identifying goals and objectives for the coming year;
- Annual financial reports (ED Form 524B, and SF 269);
- Budget Information for Upcoming Years;
- An Annual Performance Report providing data on performance measures; and
- A close-out report at the end of the grant.

(b) Deliverables

The local partnership will be required to—

- Provide information on best practices and innovative school- and work-based curricula suitable for dissemination to States and other stakeholders;
- Participate in two grantee meetings per year sponsored by the National School-to-Work Office;
- Act as a host to outside visitors who are interested in developing and implementing School-to-Work Opportunities initiatives and to other visitors interested in the replication, adaptation or impact of successful program elements; and
- Participate as needed in evaluation and special data collection activities.

9. Application Transmittal Instructions

An application for an award must be mailed or hand-delivered by the closing date.

(A) Applications Delivered by Mail

An application sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention CFDA # 278C, 600 Independence Avenue, S.W., Washington, D.C 20202–4725.

An application must show proof of mailing consisting of one of the following:

- A legibly dated U.S. Postal Service Postmark.
- A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- A dated shipping label, invoice, or receipt from a commercial carrier.
- Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- A private metered postmark.
- A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that 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. An applicant is encouraged to use registered or at least first class mail. Each late applicant will be notified that its application will not be considered.

(B) Applications Delivered by Hand

An application that is hand-delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, Regional Office Building 3, 7th and D Streets SW., Washington, DC.

The Application Control Center will accept hand-delivered applications between 8:00 a.m. and 4:30 p.m. (Washington, DC time) daily, except Saturdays, Sundays and Federal Holidays.

Individuals delivering applications must use the D Street entrance. Proper identification is necessary in order to enter the building.

In order for an application sent through a courier service to be considered timely, the courier service must be in receipt of the application on or before the closing date.

Section D. Organization and Content of Applications

Applicants are encouraged to submit an original and four copies of their application. The Departments suggest that the application be divided into five distinct parts: budget and certifications, abstract, State comments, program narrative and appendices. To ensure a comprehensive and expedient review, the Departments strongly suggest that applicants submit an application formatted as seen below:

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I. Budget and Certifications

Part I should contain the Standard Form SF 424, ''Application for Federal Assistance,'' and SF 524, ''Budget.'' All copies of the SF 424 must have original signatures of the designated fiscal agent. In addition, the budget should include—on a separate page or pages—a detailed cost breakout of each line item on SF 524. All assurances and certifications included in this notice

should also be included in Part I of the application.

II. Abstract

Part II should consist of a one-page abstract summarizing the essential components and key features of the local partnership's plan.

III. State Comments

Part III should contain the State's comments on the application. Details on this section can be found under State Comments heading of this notice.

IV. Program Narrative

Part IV should contain the application narrative that demonstrates the applicant's plan and capabilities in accordance with the selection criteria contained in section F of this notice. In order to assist applicants in the preparation of their applications and to facilitate expeditious evaluation by the panel, applicants should describe their proposed plan in light of each of the selection criteria. No cost data or reference to price should be included in this part of the application. The Departments strongly request that applicants limit the program narrative section to no more than 40 one-sided, double-spaced pages.

V. Appendices

All applicable appendices, including letters of support, resumes and organizational charts, should be included in this section. The Departments recommend that all appendix entries cross-reference the applicable sections in the program narrative.

Note: Applicants are advised that the peer review panels evaluate each application solely on the basis of the selection criteria contained in this notice, and the School-to-Work Opportunities Act. Appendices may be used to provide supporting information. However, in scoring applications, reviewers are required to take into account only information that is presented in the application narrative, which must address the selection criteria, and requirements of the Act. Letters of support are welcome, but applicants should be aware that support letters contained in the application will strengthen the application only if they contain commitments that pertain to the selection criteria.

Section E. Safeguards

The Departments will apply certain safeguards, as required under section 601 of the Act, to School-to-Work Opportunities programs funded under this notice. The application must include a brief assurance that the following safeguards will be implemented and maintained throughout all program activities:

(a) No student shall displace any currently employed worker (including a partial displacement, such as a reduction in the hours of non-overtime work, wages, or employment benefits).

(b) No School-to-Work Opportunities program shall impair existing contracts for services or collective bargaining agreements, and no program funded under this notice shall be undertaken without the written concurrence of the labor organization and employer concerned.

(c) No student shall be employed or fill a job—

(1) When any other individual is on temporary layoff, with the clear possibility of recall, from the same or any substantially equivalent job with the participating employer; or

(2) When the employer has terminated the employment of any regular employee or otherwise reduced its workforce with the intention of filling the vacancy so created with the student.

(d) Students shall be provided with adequate and safe equipment and safe and healthful workplaces in conformity with all health and safety requirements of Federal, State, and local law.

(e) Nothing in the Act shall be construed so as to modify or affect any Federal or State law prohibiting discrimination on the basis of race, religion, color, ethnicity, national origin, gender, age, or disability.

(f) Funds awarded under the Act shall not be expended for wages of students or workplace mentors.

(g) The grantee shall implement and maintain such other safeguards as the Secretaries may deem appropriate in order to ensure that School-to-Work Opportunities participants are afforded adequate supervision by skilled adult workers, or to otherwise further the purposes of the Act.

Section F. Waivers

Under Title V of the Act the Secretaries may waive certain Federal requirements that impede the ability of a State or local partnership to carry out the purposes of the Act. Only local partnerships in States with approved School-to-Work Opportunities plans may apply for waivers. A local partnership that seeks a waiver should contact its State School-to-Work Contact to determine what documentation is required and to whom it should be sent.

In May, 1995, the National School-to-Work Opportunities Office issued a document entitled ''School-to-Work Opportunities Waiver and Plan Approval Process Questions and Answers.'' This document was sent to every Governor and State School-to-Work Contact. The document contains answers to many of the questions that localities may have when preparing their waiver requests. Local Partnerships interested in applying for waivers should contact the National School-to-Work Opportunities Office or their State School-to-Work Contact for a copy of the waivers document.

Section G. Bidders' Conferences

Bidders' Conferences for interested School-to-Work Opportunities Local Partnership representatives are scheduled from 1:00 p.m. to 4:00 p.m., on the dates and locations listed below:

- September 15, 1995, Bartle Hall, 13th and Broadway, Room 2210, Kansas City, Missouri 64106.
- September 18, 1995, Jackson Federal Building, 915 2nd Avenue, North and South Auditorium, 4th Floor, Seattle, Washington 98174.

Participants at the conferences will receive a detailed description of the School-to-Work Opportunities Act, and the selection criteria and how they will be applied, and will have the opportunity to ask questions of Federal School-to-Work officials.

All partnerships must preregister by faxing the names and addresses of up to three members of the local partnership planning to attend, the name of the local partnership, and a phone number to: Kevin Shelton, Training and Technical Assistance Corporation, 2409 18th, NW., Washington, DC; FAX #: (202) 408–8282.

Questions regarding the solicitation may be submitted in advance. If you are unable to attend the Bidders' Conference, but would like the conference materials and a conference transcript, submit your request via fax to the fax number listed above. All information must be submitted no later than September 13, 1995. Conferees will be sent a confirmation along with hotel accommodation information once their registration has been received.

Local Partnership Grant Competition

Analysis of Comments and Changes

On May 25, 1995, the Departments of Labor and Education published a notice containing proposed selection criteria, a 10 percent cap on administrative costs, and a definition of the term ''administrative costs'' for this competition and competitions in succeeding years in the **Federal Register** (60 FR 27812–27814). In response to the invitation to comment, 34 parties submitted comments. An analysis of the comments received in response to the publication of that notice and of the changes made to the selection criteria, administrative cost cap, and definition

since publication of the notice of proposed selection criteria and proposed definition, is published as an appendix to this notice.

School-to-Work Local Partnership Grants— Administrative Cost Cap

The Departments are applying the 10 percent cap on administrative costs contained in section 215(b)(6) of the Act to local partnerships receiving grants directly under this competition. Section 215(b)(6) of the Act applies the 10 percent administrative cap to subgrants received by local partnerships from a State. The Departments have concluded that applying the 10 percent cap to local partnerships under Title III of the Act is consistent with the Act's intent and its broader limitations on administrative costs. Further, this limitation is consistent with section 305 of Title III, which requires conformity between School-to-Work Opportunities plans of local partnerships and State School-to-Work Opportunities plans.

Definition

All definitions in the Act apply to local School-to-Work Opportunities systems funded under this and future Local Partnership Grant competitions. Since the Act does not contain a definition of the term ''administrative costs'' as used in section 217 of the Act, the Departments will apply the following definition to this and future competitions for Local Partnership Grants.

The term ''administrative costs'' means the activities of a local partnership that are necessary for the proper and efficient performance of its duties under the Local Partnership Grant pursuant to the School-to-Work Opportunities Act and that are not directly related to the provision of services to participants or otherwise allocable to the program's allowable activities listed in section 215(b)(4) and section 215(c) of the Act. Administrative costs may be either personnel or non-personnel costs, and may be either direct and indirect. Costs of administration include those costs that are related to this grant in such categories as—

A. Costs of salaries, wages, and related costs of the grantee's staff engaged in—

- Overall system management, system coordination, and general administrative functions;
- Preparing program plans, budgets, and schedules, as well as applicable amendments;
- Monitoring of local initiatives, pilot projects, subrecipients, and related systems and processes;
- Procurement activities, including the award of specific subgrants, contracts, and purchase orders;
- Developing systems and procedures, including management information systems, for ensuring compliance with the requirements under the Act;
- Preparing reports and other documents related to the Act; and
- Coordinating the resolution of audit findings;

B. Costs for goods and services required for administration of the School-to-Work Opportunities system;

C. Costs of system-wide management functions; and

D. Travel costs incurred for official business in carrying out grants management or administrative activities.

Selection Criteria

Under the School-to-Work Opportunities Local Partnership Grant competition, the Departments will use the following selection criteria in evaluating applications and will utilize a peer review process in which review teams, including peers, will evaluate applications using the selection criteria and the associated point values. The Departments will base final funding decisions on the ranking of applications as a result of the peer review, and such other factors as replicability, sustainability, innovation, geographic balance, and diversity of system approaches.

Selection Criterion 1: Comprehensive Local School-to-Work Opportunities System (40 Points)

Considerations: In applying this criterion, reviewers will consider—

A. *20 Points*. The extent to which the partnership has designed a comprehensive local School-to-Work Opportunities plan that—

- Includes effective strategies for integrating school-based and work-based learning, integrating academic and vocational education, and establishing linkages between secondary and postsecondary education;
- Is likely to produce systemic change that will have substantial impact on the preparation of all students for a first job in a high-skill, high-wage career and in increasing their opportunities for further learning;
- Ensures all students will have a full range of options, including options for higher education, additional training and employment in high-skill, high-wage jobs;
- Ensures coordination and integration with existing school-to-work programs, and with related programs financed from State and private sources, with funds available from Federal education and training programs (such as the Job Training Partnership Act and the Carl D. Perkins Vocational and Applied Technology Education Act); and where applicable, communities designated as Empowerment Zones or Enhanced Enterprise Communities (EZ/EEC);
- Serves a geographical area that reflects the needs of the local labor market, and is able to adjust to regional structures that the State School-to-Work Opportunities plan may identify; and
- Targets occupational clusters that represent growing industries in the partnership's geographic area; and, where applicable, demonstrates that the clusters are included among the occupational clusters being targeted by the State School-to-Work Opportunities system.

B. *20 Points*. The extent to which the partnership's plan demonstrates its capability to achieve the statutory requirements and to effectively put in place the system components in Title I of the School-to-Work Opportunities Act, including—

- A work-based learning component that includes the statutory ''mandatory activities'' and that contributes to the transformation of workplaces into active learning components of the education system through an array of learning experiences such as mentoring, job-shadowing, unpaid work experiences, school-sponsored enterprises, and paid work experiences;
- A school-based learning component that provides students with high-level academic and technical skills consistent with academic standards that the State establishes for all students, including, where applicable, standards established under the Goals 2000: Educate America Act;
- A connecting activities component to provide a functional link between students' school and work activities, and between workplace partners, educators, community organizations and other appropriate entities;
- Effective processes for assessing skills and knowledge required in career majors, and issuing portable skill certificates that are benchmarked to high-quality standards such as those States will establish under the Goals 2000: Educate America Act, and for periodically assessing and collecting information on student outcomes, as well as a realistic strategy and timetable for implementing the process in concert with the State.
- A flexible School-to-Work Opportunities system that allows students participating in the local

system to develop new career goals over time, and to change career majors; and

• Effective strategies for: providing staff development for teachers, worksite mentors and other key personnel; developing model curricula and innovative instructional methodologies; expanding career and academic counseling in elementary and secondary schools; and utilizing innovative technology-based instructional techniques.

Selection Criterion 2: Quality and Effectiveness of the Local Partnership (20 Points)

Considerations: In applying this criterion, reviewers will refer to section 4(11) of the Act and consider—

• Whether the partnership's plan demonstrates an effective and convincing strategy for continuing the commitment of required partners and other interested parties in the local School-to-Work Opportunities system. As defined by the Act, partners must include employers, representatives of local educational agencies and local postsecondary educational institutions (including representatives of area vocational education schools, where applicable), local educators (such as teachers, counselors, or administrators), representatives of labor organizations or nonmanagerial employee representatives, and students, and may include other relevant stakeholders such as those listed in section 4(11)(B) of the Act, including employer organizations, community-based organizations, national trade associations working at the local levels, industrial extension centers, rehabilitation agencies and organizations, registered apprenticeship agencies, local vocational education entities, proprietary institutions of higher education, local government agencies, parent organizations, teacher organizations, vocational student organizations, private industry councils under JTPA, federally recognized Indian tribes, Indian organizations, and Alaska Native villages, and Native Hawaiian entities.

• Whether the partnership's plan demonstrates an effective and convincing strategy for continuing the commitment of workplace partners and other interested parties in the local School-to-Work Opportunities system;

• The effectiveness of the partnership's plan to include private sector representatives as joint partners with educators in both the design and the implementation of the local School-to-Work Opportunities system;

• The extent to which the local partnership has developed strategies to provide a range of opportunities for workplace partners to participate in the design and implementation of the local School-to-Work Opportunities system, including membership on councils and partnerships; assistance in setting standards, designing curricula, and determining outcomes; providing worksite experiences for teachers; helping to recruit other employers; and providing worksite learning activities for students such as mentoring, job shadowing, unpaid work experiences, and paid work experiences;

• The extent to which the roles and responsibilities of the key parties and any other relevant stakeholders, are clearly defined and are likely to produce the desired changes in the way students are prepared for the future.

• The extent to which the partnership demonstrates the capacity to build a quality local School-to-Work Opportunities system;

• Whether the partnership has included methods for sustaining and expanding the partnership, as the program expands in scope and size.

Selection Criterion 3: Participation of All Students (15 Points)

Considerations: In applying this criterion, reviewers will refer to the definition of the term ''all students'' in section 4(2) of the Act, and consider—

• The extent to which the partnership will implement effective strategies and systems: to provide all students with equal access to the full range of program components specified in sections 102 through 104 of the Act and related activities such as recruitment, enrollment and placement activities; and to ensure that all students have meaningful opportunities to participate in School-to-Work Opportunities programs;

• Whether the partnership has identified potential barriers to the participation of any students, and the degree to which it proposes effective ways of overcoming these barriers;

• The degree to which the partnership has developed realistic goals and methods for assisting young women to participate in School-to-Work Opportunities programs leading to employment in high-performance, high-paying jobs, including non-traditional jobs;

• The partnership's methods for ensuring safe and healthy work environments for students, including strategies for encouraging school to provide students with general awareness training in occupational safety and health as part of the school-based learning component, and for encouraging workplace partners to provide risk-specific training as part of the work-based learning component, as well the extent to which the partnership has developed realistic goals to ensure environments free from racial and sexual harassment;

• The extent to which the partnership's plan provides for the participation of a significant number or percentage of students in School-to-Work Opportunities activities listed under Title I of the Act.

Selection Criterion 4: Collaboration With State (15 Points)

Considerations: In applying this criterion, reviewers will consider—

• The extent to which the local partnership has effectively consulted with its State School-to-Work Opportunities Partnership, and has established realistic methods for ensuring consistency of its local strategies with the statewide School-to-Work Opportunities system being developed by that State Partnership;

• Whether the local partnership has developed a sound strategy for integrating its plan, as necessary, with the State plan for a statewide School-to-Work Opportunities system;

• The extent to which the local partnership has developed effective processes through which it is able to assist and collaborate with the State in establishing the statewide School-to-Work system, and is able to provide feedback to the State on their system-building process.

• Whether the plan includes a feasible workplan that describes the steps that will be taken in order to make the local system part of the State School-to-Work Opportunities System, including a timeline that includes major planned objectives during the grant period.

Selection Criterion 5: Management Plan (10 Points)

Considerations: In applying this criterion, reviewers will consider—

• The feasibility and effectiveness of the partnership's strategy for using other resources, including private sector resources, to maintain the system when Federal resources under the School-to-Work Opportunities Act are no longer available.

• The extent to which the partnership's management plan anticipates barriers to implementation and proposes effective methods for addressing barriers as they arise.

• Whether the plan includes feasible measurable goals for the School-to-Work Opportunities system, based on performance outcomes established under section 402 of the Act, and an effective method for collecting

information relevant to the local partnership's progress in meeting its goals.

- Whether the plan includes a regularly scheduled process for improving or redesigning the School-to-Work Opportunities system based on performance outcomes established under section 402 of the Act.
- The extent to which the resources requested will be used to develop information, products and ideas that will assist other States and local partnerships as they design and implement local systems.
- The extent to which the partnership will limit equipment and other purchases in order to maximize the amounts spent on delivery of services to students.

Dated: September 1, 1995.

Tim Barnicle,

Assistant Secretary for Employment and Training, Department of Labor.

Patricia McNeil,

Acting Assistant Secretary for Vocational and Adult Education, Department of Education.

Appendix—Analysis of Comments and Changes—Administrative Costs

10 Percent Cap on Administrative Costs

Comment: Eleven commenters suggested that the proposed 10 percent cap on administrative costs was too low. Several of the commenters felt that the cap should be set at a higher level, such as 15 percent or 20 percent. Other commenters felt that the cap should be set on a flexible scale that would fluctuate according to the size of the grant award. Many commenters felt that the 10 percent cap on administrative costs would ultimately undermine local efforts to build and sustain a strong school-to-work implementation effort, and that it would sacrifice the quality and effectiveness of the local partnerships. Finally, one commenter felt that School-to-Work Opportunities systems in rural areas would have an especially difficult time being able to stay within the 10 percent cap on administrative costs.

Discussion: The Departments have concluded that applying the 10 percent cap to Title III grants awarded to local partnerships is consistent with the Act's broader limitations on administrative costs, with the 10 percent cap imposed on local partnerships receiving School-to-Work Opportunities subgrants from States, and with section 305 of Title III, which requires conformity between School-to-Work Opportunities plans of local partnerships and State School-to-Work Opportunities plans.

Changes: None.

Definition of Administrative Costs

Comment: Twelve commenters suggested that changes be made to the definition of the term ''administrative costs.'' Some of these commenters felt that evaluation and monitoring are functions so central to the local partnerships' ability to implement systemic change that they should be excluded from the definition of administrative costs. One of these commenters also felt that language should be added that would specifically outline allowable activities. Another commenter felt that the definition of the term ''administrative costs'' under EDGAR should be used.

Discussion: The Departments chose to create a new definition of administrative costs rather than use a generic definition such as the one contained in EDGAR in order to address the unique nature of the Act. This definition was established as part of the 1995 School-to-Work Opportunities State Implementation grant process. It should be noted that activities that are directly related to the provision of services to participants or otherwise allocable to the program's allowable activities under the grant are not defined as administrative costs. The Departments believe that since the definition specifically states that activities under section 215(b)(4) and 215© of the Act are not administrative costs, there is no need to mention specific activities such as the provision of technical assistance or developing model curriculum. The Departments believe that the independent evaluation function is especially critical because of the need for an ongoing process of measuring system effectiveness and therefore have not included it in the definition of the term ''administrative costs.'' The Departments believe, however, that monitoring and establishing compliance systems are activities appropriately charged to the administrative cost category.

Changes: None.

Equipment Cost as an Administrative Cost

Comment: Three commenters asked for clarification as to whether equipment cost is an administrative cost, especially in relation to the last bullet point under selection criterion 5, which asks reviewers to consider the extent to which a local partnership will limit equipment purchases in order to maximize the amounts spent on direct delivery of students.

Discussion: The Departments believe that equipment purchased for the purpose of administering the School-to-Work Opportunities system is an administrative cost, and therefore is subject to the 10 percent cap. However, equipment purchased for classroom instructional use would not be subject to the 10 percent cap.

Changes: None.

Suggested Changes to the Structure of the Notice

Need to Include Sections of the Act in the Notice

Comment: One commenter believed that the selection criteria should more exactly reiterate key components contained in the Act in Title I, sections 101–104 (''General Program Requirements'' and basic program components).

Discussion: While the Departments concur with the commenter on the importance of these provisions, they do not believe it is necessary to restate in the notice most of the legislative language emphasized by the commenter. The notice advises local partnerships that applications must meet all the requirements of the Act, reiterates that all definitions in the Act apply to systems funded under the Local Partnership Grant competitions, and emphasizes, under Criterion 1, the need for local partnership plans to demonstrate consistency with all statutory requirements and with all system components in Title I of the Act. Therefore, the Departments strongly encourage applicants to refer to the Act as well as the criteria in developing School-to-Work Opportunities plans that reflect the full intent of the law. The Departments wish to assure the commenter that panelists reviewing the applications are selected for their understanding of the School-to-Work Opportunities Act, are required to participate in a carefully designed orientation, and will be directed to score applications based on the criteria, in conjunction with the requirements of the Act.

Changes: None.

Distribution of Points

Comment: One commenter questioned the distribution of points in this section, and believed that Criterion 1 B, under Comprehensive Local School-to-Work Opportunities System, should receive more weight than 20 out of 100 points. This commenter also indicated that Criterion 3, ''Participation of All Students,'' should receive more than 15 points. Another commenter recommended making Criterion 3 a ''threshold criterion''. This commenter felt that unless this component was adequately addressed, no local partnership should be considered for funding.

Discussion: In response to this comment, the Departments gave careful consideration to the distribution of points among the selection criteria, and have concluded that the distribution provided for in the notice results in the most appropriate balance among the criteria. The Departments are committed to assisting partnerships develop and implement school-to-work systems that provide opportunities to all students, but they do not agree that Criterion 3 should be replaced with a threshold criterion or an eligibility requirement, or that either of these would be consistent with the Act. Criterion 3 requires that a partnership describe its strategies for effectively ensuring opportunities for all students to participate in the school-to-work system, and to identify ways of overcoming barriers to the participation of any students. This criterion now states that the partnership's strategies must address equal access to the full range of components for all students. The Departments again wish to emphasize that to receive the maximum points for Criterion 3, applicants must not neglect the needs of any students, and must convincingly describe how the School-to-Work Opportunities system will provide the same options and produce the same results for all participating students, while recognizing that groups of students have different needs and, therefore, that specific strategies may be required for the various groups listed in the definition of ''all students.'' Applications that fail to address the critical needs of any category of

student and fail to develop effective strategies in response to identified student barriers will not be as competitive as those that have comprehensive and effective strategies for all students. To be competitive, partnerships that have not fully implemented all components of the strategies devised for all students should at least have established a timetable for putting these components in place within a reasonable period of time.

Changes: None.

Restructuring Criteria

Comments: Several commenters recommended adding or restating key concerns under several criteria, changing the order of the bullets under a given criterion, or moving bullets from under one criterion heading to another. One commenter suggested moving the first bullet under Selection Criterion 3 concerning strategies for ensuring that all students have effective and meaningful opportunities to participate in the local School-to-Work Opportunities system to Selection Criterion 1(B). Another commenter suggested reordering the bullets under Selection Criterion 2 in order to enhance the continuity of the section. This commenter also felt that Selection Criterion 1(A) should be made a part of Selection Criterion (2) since geographic coverage is more closely related to the quality and effectiveness of the local partnership.

Discussion: The Departments recognize that there are certain key elements that have a direct bearing on several aspects of local School-to-Work Opportunities systems. The notice has been carefully developed to weave these issues throughout the notice while still capturing the major points most germane to each specific criterion. However, the Departments do not believe it is always necessary to restate these issues as bullet points under multiple criteria. As discussed in response to another comment, applicants are encouraged to refer to the Act as well as the notice in order to develop School-to-Work Opportunities plans that fully implement the law. In response to suggested changes in sequence and placement, the order of importance, or that a greater percentage of the maximum points for that criterion is to be assigned to any particular bullet, all bullets under each selection criterion will be duly considered by the reviewers. The Departments again wish to emphasize that all applications are subject to a thorough review. Panelists are selected for their expertise in school-to-work, receive a thorough orientation, and are grouped in carefully balanced teams representing a range specializations and interests, to ensure that decisions reflect the full intent of the Act.

Changes: None.

Selection Criterion 1: Comprehensive Local School-to-Work Opportunities System (A)

Coordination and Integration With Existing School-to-Work Programs

Comment: Four commenters felt that language should be added that would ensure coordination with Federal systems change grants authorized under the Individuals with Disabilities Education Act (IDEA). One commenter felt that specific reference should not be made to the Job Training Partnership Act (JTPA) and the Carl D. Perkins Vocational and Applied Technology Education Act.

Discussion: Achieving comprehensive reform will require local partnerships to coordinate and integrate a great number and variety of initiatives having training and education related goals. The Departments agree that the lessons learned from initiatives and programs that are related to School-to-Work should be incorporated in the local partnership's plan. The fourth bullet under Selection Criterion 1(A) is intended to encourage local partnerships to review the many Federal, State and local programs and initiatives and to develop plans for creating mutually supportive strategies.

Changes: None.

Difficulty of Rural Areas in Targeting High-wage, High-skill Jobs

Comment: One commenter was concerned that the emphasis placed throughout the notice on high-wage, high-skill jobs would favor urban partnerships over rural partnerships, which may be unable to offer paid work experiences or match metropolitan pay schedules. This commenter pointed out that rural communities have limited access to such paid jobs due to geographic isolation, slow economic growth, and comparatively lower wages for most employees. The commenter suggested that points be awarded for plans developed by rural School-to-Work consortia to allow employees to live in their home community while commuting to high-wage, high-skill jobs in neighboring communities.

Discussion: The Departments are committed to a fair and equitable review of all applications, and recognize that, in order to be successful, a local School-to-Work system must respond to the needs and conditions of the community for which it has been developed. While the Departments recognize the unique challenges faced by rural areas, they do not feel that developing School-to-Work systems tailored to rural locations is incompatible with the emphasis on preparing students for high-skill, high wage jobs as given in the Act. They encourage local partnerships in these areas to design School-to-Work systems that enable young people to explore as broad a range of career options as possible, and develop the skills to compete in a global economy, wherever they ultimately reside and work. The Departments are also interested in applications that link innovative education strategies with local workforce development and economic development strategies. The Departments wish to clarify that this emphasis on high-wage, high-skill jobs should not place rural partnerships at a disadvantage, since reviewers rank each application against the criteria, not against other applications. While the notice will not reserve specific points for rural strategies such as the one suggested by the commenter, reviewers will consider the quality of the partnership's plan in light of what is feasible for that community, as described in the application. Therefore, the extent to which an application describes what is possible and appropriate for the partnership, as well as the partnership's strategies to provide students with opportunities to explore a range of occupational clusters and acquire skills relevant to high-wage, high-skill jobs, will determine the number of points awarded. Rural partnerships that present this information thoroughly and convincingly will score as highly against the criteria as partnerships with a greater range of opportunity due to higher concentrations of business and industry.

Changes: None.

Selection Criterion 1: Comprehensive Local School-to-Work Opportunities System (B)

Need to More Broadly Define Entities to be Linked in the Connecting Activities Component

Comments: Two commenters felt that this criterion described the connecting activities component too narrowly. The commenters pointed out that, while building links with employers (as highlighted in the third bullet) is necessary to successful school-to-work transitions, this group is not the only one that must be linked in a successful system. The commenters urged that this bullet be broadened to emphasize the need for links with all workplace partners, as well as community organizations.

Discussion: The Departments agree with the commenters that a successful connecting activities component maintains a continuous feedback loop between the school and work communities, and that work communities include labor organizations and non-managerial employees as well as employers. The Departments also agree that the connecting activities component should assist students with access to a range of support services, provided through entities like community-based organizations and one-stop career centers.

Changes: The third bullet of Selection Criterion 1(B) has been changed to read: ''A connecting activities component to provide a functional link between students' school and work activities, and between workplace partners, educators, community organizations and other appropriate entities.''

Providing All Students with a Full Range of Options:

Comment: Four commenters suggested that Selection Criteria 1 A and 3 be changed to reflect the language in section 101(5) of the Act regarding the partnership's plan for providing all students with equal access to the full range of program components (including the school-based and work-based learning components) and related activities, such as recruitment, enrollment, and placement activities.

Discussion: The Departments agree with the commenter on the importance of emphasizing the need for strategies to provide all students equal access to the full range of program components, rather than offering any student an abbreviated menu of options.

Changes: The third bullet under Selection Criterion 1(A) has been changed to recognize the importance of all students having equal access to a full range of options. An additional reference has been added to bullet 6 under Selection Criterion 3.

Consistency with Other Initiatives

Comment: One commenter noted references in the notice to the Goals 2000 and Empowerment Zones/Enhanced Enterprise Communities (EZ/EEC) initiatives, and expressed concern that applications from local partnerships in States not currently participating in the Goals 2000 initiative might be less competitive than applications from partnerships in States that are.

Discussion: References in the notice to these and other initiatives are intended to stress the need for coordination of related efforts in the areas of education reform, workforce development, and economic development. A major purpose of the School-to-Work initiative is to unify categorical programs into coherent and comprehensive systems, and to avoid duplication of effort across various agencies and funding streams. The EZ/EEC initiative, for which the Department of Housing and Urban Development and the Department of Agriculture are the lead agencies, is an economic development initiative targeting urban and rural areas, with a major focus on rebuilding inner cities. Partnerships are funded against an approved strategic plan, and all proposals include an education component. Similarly, the Goals 2000: Educate America Act provides a broad vehicle for education reform supportive of the objectives of School-to-Work. Where these initiatives coincide at the local level, it is important that they be coordinated. However, participation in activities under both Goals 2000 and School-to-Work is strictly voluntary, and a State's participation in Goals 2000 is in no way a condition for award of a School-to-Work Local Partnership Grant. By including references to Goals 2000, the Departments intend to emphasize the need for local systems to incorporate high-quality academic and skill standards consistent with any standards developed by the State as part of education reform or restructuring, and for local partnership activities to coincide with the State or region's overall vision for improving education and employment opportunities.

Changes: None.

Selection Criterion 2: Quality and Effectiveness of the Local Partnership

Key Stakeholders

Comment: Several commenters felt this section focused too narrowly on the role of employers, and did not adequately convey the range of required partners and other interested parties that are given in the Act. Commenters were particularly concerned about the comparative lack of emphasis on union representatives and frontline workers, teachers, and community-based organizations as members of local partnerships. The commenters felt that these groups should be explicitly identified in this criterion, since their involvement is as vital to system development and implementation as that of employers. Various suggestions were made as to how the bullets under this criterion could be amended to be more inclusive of key stakeholders. One commenter noted that students, also listed as required members of local partnerships in the Act, are unlikely to be involved as partners in decision-making, and recommended specific language emphasizing their participation.

Discussion: This criterion immediately refers reviewers to the definitions of local partners given in the Act. However, the Departments agree that it would be useful to list in Selection Criterion 2 all the parties referred to in sections 4(11)(A) and (B). In this way, the criterion will not appear to omit any of the entities that have important contributions to make to a comprehensive local School-to-Work system. It is vitally important to the success of local School-to-Work systems that key local groups, including those highlighted by the commenters, be involved at every stage of system development and implementation. The Departments wish to emphasize that only those applications that involve all key parties substantively and continuously, effectively incorporating their perspectives and strengths in the system plan, will be competitive.

Changes: The first bullet of Criterion 2 now lists the required members of local partnerships as given in section 4(11)(A) of the Act, including representatives of organized labor or nonmanagerial employees, teachers, and students. This first bullet also lists the examples of interested parties noted in section 4(11)(B), including community-based organizations. Subsequent bullets refer to the lists given in the first bullet, and where appropriate, the term ''workplace partners'' has been substituted for ''employers''. Similar clarifications were included in the final notice for the State Implementation Grants competition.

Role of Private Industry Councils

Comment: Three commenters suggested that it should not be necessary to form a new local partnership when the Private Industry Councils are able to perform the function. They commented that not including the Private Industry Councils would be detrimental to the School-to-Work Opportunities system.

Discussion: The Departments agree that the Private Industry Councils, as established under section 102 of the Job Training Partnership Act, are key partners in the School-to-Work Opportunities initiative. The Departments believe that Private Industry Councils can play many important roles in local School-to-Work systems, and encourage their participation in local partnerships. However, in order to be eligible for a grant under this notice, a local partnership must include all of the entities included in section 4(11)(A) of the Act, and may include other parties such as those listed in section 4(11)(B). The Departments believe that it is up to each local community to determine which parties are the most appropriate for their local partnership, and that the Act is structured in a way that allows them such flexibility. The Departments believe that the criteria as written adequately allow for the inclusion of the Private Industry Councils in local School-to-Work Opportunities system-building activities.

Changes: None.

Selection Criterion 3: Participation of All Students

Define ''All Students''

Comment: Several commenters suggested that a definition of the term ''all students'' be added to the notice or that the specific student categories be defined.

Discussion: Although all definitions and requirements of the Act apply, the Departments agree that it would be helpful to remind applicants that the Act's definition of the term ''all students'' applies to this competition.

Changes: A reference to the definition of ''all students'' in Section 4(2) of the Act has been included in Criterion 3. Inclusion of Safety Skills in the Work-based and School-based Components.

Comment: One commenter recommended that specific language be added to the first and second bullets in this section, requiring the acquisition of skills relating to safety as elements of the school-based and work-based learning components.

Discussion: The Departments strongly agree that issues of health and safety are important to any School-to-Work system. In the fourth bullet under Criterion 3, ''Participation of All Students,'' reviewers will consider the partnership's methods for ensuring safe and healthy work environments for students. Many activities may be a part of strategies for ensuring that students are provided with such environments. The Departments believe that work-based and school-based modules that inform students of safety issues, as well as their rights and responsibilities at the workplace, are among the methods that would appropriately address this criterion. For example, the work-based component could include risk-specific training for students participating in learning experiences at the work site. Outcomes of this training could include a student's being able to demonstrate an understanding of: specific tasks or operations associated with the learning experience that pose risks; proper use of tools, devices, and equipment provided to control identified risks; procedures for responding to any potential hazards the youth identifies; and procedures for reporting illness and injury. The school-based learning component can provide students with general awareness training in occupational safety and health. Outcomes of this training might include a student's being able to describe the general nature and types of work-related health problems, describe the risk factors associated with the most common jobs held by young workers, describe the concept of hazard control strategies and give examples, list the jobs prohibited to young workers by applicable local, State, and Federal laws, and describe the procedures and policies regarding the reporting of work-related diseases and injuries.

Changes: While the Departments do not believe it is appropriate for them to define the strategies that all partnerships must use to ensure safe and healthy work environments, the fourth bullet has been modified to clarify that these strategies should include both the school-based and work-based components, making the Local Partnership notice consistent with the State Implementation Grant notice published in the **Federal Register** of May 18.

Environments Free From Harassment

Comment: One commenter suggested that partnerships be required to describe how they will ensure that student environments are free from racial and sexual harassment.

Discussion: The Departments agree with the commenter on the importance of provisions to ensure that School-to-Work activities take place in atmospheres conducive to learning, and free from racial and sexual harassment. In response to public comment, similar changes were made to the State Implementation Grants notice published in the **Federal Register** on May 18, 1995. Requiring reviewers to consider whether applications present strategies for harassment-free environments will emphasize the importance of this issue and ensure consistency between the ''Participation of All Students'' sections of the Local Partnership and State notices.

Changes: Under the fourth bullet of Criterion 3, reviewers will consider the extent to which a partnership has developed realistic goals to ensure environments free from racial and sexual harassment, as well as to guarantee safe and healthy work environments.

Selection Criterion 4: Collaboration With State

State Ability to Sustain Local Partnership

Comment: One commenter suggested that a section be added to this criterion related to the ability of the State School-to-Work Opportunities system to sustain a local partnership once Federal funding to that local partnership has ended. The commenter suggested that a long term sustainability plan that would include the integration of a variety of Federal, State, and local funding streams should be included in this criterion.

Discussion: The Departments expect a State School-to-Work Opportunities System to sustain local partnerships funded under section 302(a) of the Act once Federal funding to that local partnership has ended. However, the Departments are not in a position to prescribe at what level the partnership shall be sustained.

Changes: None.

Selection Criterion 5 Management Plan:

Evaluation

Comments: Three commenters suggested that the bullets under Selection Criterion 1 and 4, regarding performance outcomes, should be more specific. One commenter suggested that language be added stating that performance outcomes should include measures of the extent to which special populations are included. Two commenters felt that it was important to require that both individual and aggregate data be collected.

Discussion: The Departments believe that States and local partnerships should have the flexibility to design evaluations appropriate to their own needs and goals and encourage local partnerships to work closely with their State when developing performance outcomes and evaluation plans. Section 402 of the Act describes the overall framework and emphasis of the performance measurement and evaluation systems for the School-to-Work Opportunities initiative.

Changes: None.

Limit on Equipment Purchases

Comment: One commenter felt that the bullet point under Criterion 4 regarding the limitation of equipment purchases would keep rural partnerships from purchasing distance learning equipment which can often play a critical role in the implementation School-to-Work Opportunities systems in rural areas.

Discussion: The Departments agree that distance learning technology can play a key role in the implementation of local School-to-Work systems in rural areas. Bullet six under Criterion 1(B) states that the Departments are looking for effective strategies for utilizing innovative technology-based instructional techniques such as distance learning. However, applicants are reminded that their overall goal should be to maximize direct services to students. Applicants proposing equipment purchases such as distance learning systems should be sure that such purchases clearly link back to the overall purpose and design of the proposed local School-to-Work Opportunities system. Applicants should also be aware that such purchases would be seen by the Departments as one-time expenditures and would not be refunded in any future years of funding.

Changes: None.

BILLING CODE 4000–01–P

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

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:

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 box and enter appropriate letter(s) in the space(s) 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. For preapplications, use a separate sheet to provide a summary description of this project.

Item: Entry:

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. 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.
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.)

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

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.

BILLING CODE 4000–01–C

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 90 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 1830–0530, Washington, D.C. 20503.

(Information collection approved under OMB control number 1830–0530, Expiration date: 6/30/98.)

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 andto 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

SF 424B (4-88) Back

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 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), 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

ED 80-0013

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

ED 80-0014, 9/90 (Replaces GCS-009 (REV. 12/88), which is obsolete)

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:** _____

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Standard Form - LLL

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 mintues 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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Standard Form - LLL-A

BILLING CODE 4000–01–C

School-to-Work State Contacts

Alabama

Stephen B. Franks, Department of Education, 50 N. Ripley St., Montgomery, AL 36130–3901, Telephone: 205–242–9111, Fax: 205–242–0234

Alaska

Susan Doherty or Roxanne Sinz, Alaska School-to-Work Project, c-o Unocal Corporation, P.O. Box 196247, Anchorage, AK 99519–6247, Telephone: 907–263–7638 or 7623, Fax: 907–263–7698

Arizona

Susan Leeper, School-to-Work Coordinator, Governor's Office of Community and Family Programs, 1700 West Washington, Room 320, Phoenix, AZ 85007, Telephone: 602–542–3461, Fax: 602–542–3520

Arkansas

Mary Swoope, School-to-Work Coordinator, Arkansas Department of Education, Vocational and Technical, Education Division, Three Capitol Mall, Little Rock, AR 72201–1083, Telephone: 501–682–1666, Fax: 501–682–1509

California

Robert J. Hotchkiss, Employment Development Dept., Program and Policy Development Branch, 800 Capitol Mall, MIC88, P.O. Box 826880, Sacramento, CA 94280–0001, Telephone: 916–654–8656, Fax: 916–654–5981

Colorado

Alaine Ginocchio, Governor's Office, 136 State Capitol, Denver, CO 80203, Telephone: 303–866–2155, Fax: 303–866–2003

Connecticut

Susan Vinkowski, Department of Education, Bureau of Applied Curriculum, Technology and Career Information, Middletown, CT 06457, Telephone: 203–638–4054, Fax: 203–638–4062

Delaware

Dr. Nikki Castle, Executive Director, Delaware School-to-Work, Delaware Chamber of Commerce, 1201 N. Orange, Wilmington, DE 19801, Telephone: 302/577–3762, Fax: 302–577–3281

District of Columbia

Dr. Deborah Evans, Executive Office of the Mayor, 441 North 4th Street, NW, Suite 510S, Washington, D.C. 20001, Telephone: 202–727–2578, Fax: 202–727–3486

Florida

Michael Brawer, School-to-Work Program Coordinator, Department of Education, Florida Education Ctr., Room 1232, Tallahassee, FL 32399, Telephone: 904–488–7394, Fax: 904–487–0426

Georgia

Gail Trapnell, GA School-to-Work Transition Project Administrator, 148 International Blvd., NE, Suite 638, Atlanta, GA 30303, Telephone: 404–657–6740, Fax: 404–656–2683

Idaho

Karen M. Fraley, Idaho School-to-Work, IBM Complex, 500 East Baybrook Court, Boise, ID 83706, Telephone: 208–338–8633

Illinois

Fran Beaumann, Dept. of Adult, Vocational and Technical Education, 100 N. First St., E–426, Springfield, IL 62777–0001, Telephone: 217–782–4620, Fax: 217–782–9224

Indiana

Peggy O'Malley, Deputy Commissioner, Dept. of Workforce Development, Indiana Government Center South, SE302, 10 North Senate Avenue, Indianapolis, IN 46204, Telephone: 317–232–1832, Fax: 317–233–4793

Iowa

Harriet Howell Custer, Administrator, Division of Community Colleges, Department of Education, Grimes State Office Building, Des Moines, IA 50319–0146, Telephone: 515–281–8260, Fax: 515–281–6544

Hawaii

Kenneth Yamamoto, Assistant Superintendent, Department of Education, P.O. Box 2360, Honolulu, HI 96804, Telephone: 808–586–3446, Fax: 808–586–3429

Kansas

Lee Droegemuller, Commissioner of Education, Kansas State Board of Education, 120 SE 10th Avenue, Topeka, KS 66612–1182, Telephone: 913–296–3202, Fax: 913–296–7933

Kentucky

Ruth Bunch or Beth Brinly, Office of School-to-Work, Berry Hill Annex, 700 Louisville Road, Frankfort, KY 40601, Telephone: 502–564–5901, Fax: 502–564–5904

Louisiana

Chris W. Weaver, State Director, Secondary Vocational Education, P.O. Box 94064, Baton Rouge, LA 70804–9064, Telephone: 504–342–5173, Fax: 504–342–2059

Maine

Christopher D. Lyons, Maine Department of Education, State House Station 23, Augusta, ME 04333, Telephone: 207–287–5854

Massachusetts

John Niles, Executive Director, Massachusetts Office for, School-to-Work Transition, 101 Summer Street, Boston, MA 02110, Telephone: 617–451–5130, Fax: 617–451–1291

Michigan

Tom Benton, Michigan Jobs Commission, Victor Office Center, 3rd Floor, 201 N. Washington Square, Lansing, MI 48913, Telephone: 517–373–6432, Fax: 517–373–8179

Minnesota

John W. Mercer or Thomas Berg, Department of Education, 550 Cedar Street, St. Paul, MN 55101, Telephone: 612–297–3115 or 282–6277, Fax: 612–297–7201

Mississippi

Worth E. Haynes, Vocational and Technical Ed., Department of Education, P.O. Box 771, Jackson, MS 39205–0771, Fax: 207–287–5894

Maryland

Lynne Gilli, Branch Chief of Career and Technology Services, Maryland State Dept. of Education, 200 W. Baltimore Street, Baltimore, MD 21201, Telephone: 410–767–0170, Fax: 410–333–2099

Montana

Jane A. Karas, Office of the Commissioner of Education, 2500 Broadway, Helena, MT 59620–3101, Telephone: 406–444–0316, Fax: 406–444–1469

Nebraska

Darl Naumann, NE Dept. of Economic Development School-to-Work, P.O. Box 94666, Lincoln, NE 68509–4666, Telephone: 402–471–3741, Fax: 402–471–3778

Nevada

Barbara Weinberg, Dept. of Employment, Training and Rehabilitation, 400 W. King, Suite 108, Carson City, NV 89710, Telephone: 702–687–4310, Fax: 702–687–8917, Telephone: 601–359–3089, Fax: 601–359–2326

Missouri

Don Eisinger, Missouri Dept. of Elementary and Secondary Education, P.O. Box 480, Jefferson City, MO 65102, Telephone: 314–751–7563, Fax: 314–526–3897

New Mexico

James Jimenez, Department of Finance and Administration, 180 Battaan Memorial Building, Santa Fe, NM 87503, Telephone: 505–827–4985, Fax: 505–827–4984

New York

Johanna Duncan-Poitier, Assistant Commissioner, New York State Education Dept., 89 Washington Avenue, Education Bldg., Rm 319EB, Albany, NY 12234, Telephone: 518–474–8892, Fax: 518–474–0319

North Carolina

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