

APPLICATION FORMS
Appendix A
ADULT EDUCATION & FAMILY LITERACY ACT

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FORMS IN ORDER OF APPEARANCE:

- Self-Evaluation Assessment Form (for continuation projects only)
- Workforce Development Board Coordination Assurance
- ESE Lobbying and Debarment Form
(not required for school districts, state community colleges, and state universities for signature of duly authorized representative of the applicant is on file. Form is required for all other eligible applicants)
- DOE 100A, Project Application Summary (Original Signature) and DOE 101, Budget Description Form
 - Adult Education and Family Literacy Act Supplemental Adult Education and Family Literacy Projects, *Geographical Allocation Section 231* (1B001)
 - Adult Education and Family Literacy Act Supplemental Adult Education and Family Literacy Projects, *Corrections Education and Other Institutionalized Individuals Section 225* (1B002)
 - Adult Education and Family Literacy Act Supplemental Adult Education and Family Literacy Projects, *Florida's Families as Educators Program Section 231* (1B003)
 - Adult Education and Family Literacy Act Supplemental Adult Education and Family Literacy Projects, *Special Populations, Native Americans Section 231* (1B004)
 - Adult Education and Family Literacy Act Supplemental Adult Education and Family Literacy Projects, *Special Populations, Senior Adult Learners Section 231* (1B005)
 - Adult Education and Family Literacy Act Supplemental Adult Education and Family Literacy Projects, *State Leadership Activities Section 223* (Not Included)
 - Adult Education and Family Literacy Act Supplemental Adult Education and Family Literacy Projects, *Regional Adult Literacy Centers Section 223* (Not Included)

Self-Evaluation Assessment for Continuation Projects

Applications are reviewed and recommended for continuation by a Division of Workforce Development Regional Program Specialist and the Regional Director. Please help facilitate this process by completing this instrument using the most up-to-date information available from your FY 1999-2000 project.

Agency Name: _____ **Project #:** _____

1. To date, are the scope and quality of services provided to target population(s) consistent with those identified in your FY 1999-2000 project application? Briefly describe.
2. Are your financial cooperative agreements, as stated in your project application, in place?
3. Are your non-financial cooperative agreements, as stated in your project application, in place?
4. To date, what percentages of students have met the Core Indicator(s) for which the project was written?

a. indicator #1	25%__	50%__	75%__	100%__	Other ____
b. indicator #2	25%__	50%__	75%__	100%__	Other ____
c. indicator #3	25%__	50%__	75%__	100%__	Other ____
5. To date, what percentage of your budget funds have you expended?

a. 25%__	b.50%__	c.75%__	d. 100%__
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6. Based on your formative evaluation statements, is your project on task (i.e. your stated goals and objectives)?
7. Does your current management information system (MIS) have the capacity to report participant outcomes and measure program performances? If not, explain.
8. Are all members of your consortium in compliance with your stated objectives?
9. Based on your Performance Based Schedule, are you on schedule with your

invoices?	Yes__	No__	_____
deliverables?	Yes__	No__	_____
timelines?	Yes__	No__	_____

If No please explain
10. Have required reports and forms been submitted? (FA 399, 1998-99 DWD 333)

Is additional technical assistance desired? Please explain.

Any additional comments or statements?

Prepared by: _____
Name & Title

Signature _____
Agency Head

DOE Only
Recommendation of Program Specialist

Approved _____
Not Approved _____

Justification: _____

Signature _____
Program Specialist

Date _____

WORKFORCE DEVELOPMENT BOARD COORDINATION ASSURANCE FORM

Complete Section A or B as appropriate and include in application package.

----- Section A

The Superintendent or Agency Head certifies that this application has been submitted to the Regional Workforce Development Board and that the activities outlined in the application are consistent with current Regional Workforce Development Board plans.

Signature of Superintendent/Agency Head

Date Submitted to
Workforce Development Board

Workforce Development Boards are invited to submit comments regarding the application to the Division of Workforce Development by June 30, 2000.

Note: Section 121, Title I, Workforce Investment Act (WIA) sets expectations for recipients of Perkins postsecondary funds or funds under Title II, WIA, Adult Education and Family Literacy to enter into a Memorandum of Understanding with the Regional Workforce Development Board for participation in the One-Stop system.

----- Section B

The Superintendent or Agency Head certifies that this **application covers more than one Workforce Development Region.** The activities outlined in this application are related to Workforce Development and are consistent with the current Regional Workforce Development plans for all regions included in this application. *Application submission to the Workforce Development Boards is not required.*

Signature of Superintendent/Agency Head

Date

Note: Section 121, Title I, Workforce Investment Act (WIA) sets expectations for recipients of Perkins postsecondary funds or funds under Title II, WIA, Adult Education and Family Literacy to enter into a Memorandum of Understanding with the Regional Workforce Development Board for participation in the One-Stop system.

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 the 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 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 the 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 Individual)

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 grantees policy of maintaining a drug free workplace;

<p>3) Any available drug counseling, rehabilitation, and employee assistance programs; and</p> <p>(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;</p> <p>(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);</p> <p>(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--</p> <p>(1) Abide by the terms of the statement; and</p> <p>(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;</p> <p>(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, D.C. 20202-4571. Notice shall include the identification number(s) of each affected grant;</p> <p>(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 --</p> <p>(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</p>	<p>(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;</p> <p>(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).</p> <p>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)</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>Mark <input type="checkbox"/> if there are workplaces on file that are not identified here.</p> <p>Drug-Free Workplace (Grantees who are Individuals)</p> <p>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 --</p> <p>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</p> <p>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, D.C. 20202-4571. Notice shall include the identification number(s) of each affected grant.</p>
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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 SIGNED

