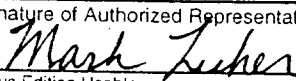


Application for Federal Assistance

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED 8/13/01	Application Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name EDUCAUSE		Organizational Unit	
Address (give city, county, state, and zip code) Boulder, Boulder, CO 80301-2538		Name and telephone number of the person to be contacted on matters involving this application (give area code) Mark Luker (202)872-4200	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 84 — 1455437		7. TYPE OF APPLICANT: (Enter appropriate letter in box) <input checked="" type="checkbox"/> M	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify):		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Education J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (specify) <u>Nonprofit Assoc.</u>	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 11.552 TITLE: Telecommunications and Information Infrastructure Assistance Program		9. NAME OF FEDERAL AGENCY: National Telecommunications and Information Administration	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.) United States & Territories		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Policy authority and administration of the .edu gTLD.	
13. PROPOSED PROJECT: Start Date Ending Date		14. CONGRESSIONAL DISTRICTS OF: a. Applicant b. Project Colorado, 2nd All Congressional Districts	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$.00	a. YES THIS APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$ 300,000 .00	b. NO <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c. State	\$.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
e. Other	\$.00	<input type="checkbox"/> Yes If "Yes," attach an explanation No <input checked="" type="checkbox"/>	
f. Program Income	\$.00		
g. TOTAL	\$ 300,000 .00		
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 Mark Luker		b. Title Vice President	c. Telephone Number (202)872-4200
d. Signature of Authorized Representative 		e. Date Signed 8/13/01	

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Standard Form 424 (REV. 4-92)
 Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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

- | Item: | Entry: | Item: | Entry: |
|-------|--|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans, and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:

— "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. | | |

BUDGET INFORMATION — Non-Construction Programs

SECTION A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1		\$	\$	\$	\$ 300,000.00	\$ 300,000.00
2						
3						
4						
5 Totals		\$	\$	\$	\$ 300,000.00	\$ 300,000.00
SECTION B - BUDGET CATEGORIES						
Object Class Categories	GRANT PROGRAM, FUNCTION, ACTIVITY					
	(1) FEDERAL	(2) NON-FEDERAL	(3)	(4)	Total (5)	
a. Personnel	\$	\$	\$	\$ 95,000.00	\$ 95,000.00	
b. Fringe Benefits				36,148.00	36,148.00	
c. Travel				6,000.00	6,000.00	
d. Equipment				20,000.00	20,000.00	
e. Supplies				3,852.00	3,852.00	
f. Contractual				139,000.00	139,000.00	
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)				300,000.00	300,000.00	
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$ 300,000.00	\$ 300,000.00	
7 Program Income		\$	\$	\$	\$	

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SECTION C - NON-FEDERAL SOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 - 11)	\$	\$	\$	\$	

SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total First Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
		\$	\$	\$	\$
14. Non-Federal	\$300,000.00	\$75,000.00	\$75,000.00	\$75,000.00	\$75,000.00
15. TOTAL (sum of lines 13 and 14)	\$ 300,000.00	\$ 75,000.00	\$ 75,000.00	\$ 75,000.00	\$ 75,000.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				(e) Fourth
	(b) First	(c) Second	(d) Third	(e) Third	
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. TOTALS (sum of lines 16 - 19)	\$	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	
22. Indirect Charges:	

23. Remarks EDUCAUSE reserves the right to charge the appropriate fees to register domain names to recover costs as required.

PERSONNEL 6a:

Project Coordinator. The Project Coordinator will oversee all aspects of the grant. Responsibilities will include coordinating with all operational departments to ensure that all are adhering to the goals of the grant. The Project Coordinator will also oversee coordination with outside contractors and legal advisors and will be staff liaison to the Policy Board. The Project Coordinator will work 25% of the time for 12 months.

Federal Funds: \$0 EDUCAUSE: \$32,500 Total: \$32,500

Member Service Representatives: The project will require the hiring of one additional member service representative to answer phones and emails related to .edu applications, renewals, questions and complaints. The staff member will also coordinate with outside contractors on issues that need to be resolved and update and maintain the database with current information. This staff member will work 100% of the time for 12 months. Three existing Member Services Representatives will work 10% each for 12 months providing the above services.

Federal Funds: \$0 EDUCAUSE: \$45,000 Total: \$45,000

Technical and Web Coordinator: This staff member will coordinate with the member service representatives and outside consultant related to any technical questions that arise. The staff member will also design and maintain the .edu web forms for EDUCAUSE. This staff member will work 25% of the time for 12 months.

Federal Funds: \$0 EDUCAUSE: \$17,500 Total: \$17,500

FRINGE BENEFITS 6b:

Fringe benefits are calculated as 38.05% of the base salary. Benefits include health insurance, social security, workers compensation, short and long term disability, and retirement benefits. The fringe benefit rate also includes paid time off such as holidays, vacation, sick, and personal.

Fringe benefits: total personnel costs of \$95,000 x 38.05% = \$36,148

Federal Funds: \$0 EDUCAUSE: \$36,148 Total: \$36,148

TRAVEL 6c:

Estimated travel is based on three trips from Boulder to Washington D.C. for EDUCAUSE's President to meet with the other members of the .edu Policy Board and Department of Commerce.

Federal Funds: \$0	EDUCAUSE: \$6,000	Total: \$6,000
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EQUIPMENT 6d:

To provide computer and office equipment to the member service representative that will be hired. The equipment includes laptop and docking station. This figures also includes the purchase of a new server to house the .edu database.

Federal Funds: \$0	EDUCAUSE: \$20,000	Total: \$20,000
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SUPPLIES 6e:

To provide supplies for the member service representative that will be hired. This includes office chair, computer monitor, keyboard, mouse and calculator. The figure also includes paper and postage for correspondence.

Federal Funds: \$0	EDUCAUSE: \$3,852	Total: \$3,852
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CONTRACTUAL 6f:

This includes a contract with Verisign, Inc. They will supply, configure, maintain and operate the authoritative database for the .edu Zone data. The total cost of this contract will be \$119,000 annually. This breaks down as follows:

- EDUCAUSE Platinum membership - \$100,000
- Net@EDU Corporate membership - \$5,500
- Six extra registrations for EDUCAUSE meetings - \$2,500
- One EDUCAUSE Review upgraded advertisement from black and white to color and five additional advertisements - \$11,000

EDUCAUSE also included \$20,000 for legal advice for the first 12 months of the project to respond to any legal issues that may arise based on the transition.

Federal Funds: \$0 EDUCAUSE: \$139,000 Total: \$139,000

TOTAL BUDGET 6k:

Personnel	\$ 95,000
Fringe Benefits	36,148
Travel	6,000
Equipment	20,000
Supplies	3,852
Contractual	<u>139,000</u>
Total	\$300,000

ASSURANCES — NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have any questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify 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 cost) 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 Merit Systems of Personnel Administration (5 CFR 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; §§ 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 provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234), which required recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in flood plains 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 (Clean Air) Implementation Plans under Section 176(c) of the Clean 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 <i>Mark Luber</i>	TITLE Vice President
APPLICANT ORGANIZATION EDUCAUSE	Date Submitted August 13, 2001

**CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION, AND
OTHER RESPONSIBILITY MATTERS; DRUG-FREE WORKPLACE REQUIREMENTS
AND LOBBYING**

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 on this form provides for compliance with certification requirements under 15 CFR Part 26, "Governmentwide Debarment and Suspension (Nonprocurement)," and "Governmentwide Requirements for Drug-Free Workplace" and 15 CFR Part 28, "New Restrictions on Lobbying." The certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant, or cooperative agreement.

1. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 15 CFR Part 26, for prospective participants in primary covered transactions, as defined at 15 CFR Part 26, Sections 26.105 and 26.110 -

(1) The prospective primary participant certifies to the best of its knowledge and belief, 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 proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**2. DRUG-FREE WORKPLACE REQUIREMENTS
Alternate I. Grantee Other Than Individuals**

As required by the Drug-Free Workplace Act of 1988, and implemented at 15 CFR Part 26, Subpart F, for grantees, as defined at 15 CFR Part 26, Sections 26.605 and 26.610 -

A. The grantee 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 ongoing 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 ten 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 the Director, Office of Federal Assistance, Office of Federal Assistance and Management Support, HCHB Room 6054, U.S. Department of Commerce, Washington, DC 20230. 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 shall 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):

4772 Walnut Street Suite 206

Boulder, Boulder County, CO 80301-2538

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

Alternate II. Grantees Who Are Individuals

As required by the Drug-Free Workplace Act of 1988, and implemented at 15 CFR 26, Subpart F, for grantees, as defined at 15 CFR Part 26, Sections 26.605 and 26.610 -

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, to the Director, Office of Federal Assistance, Office of Federal Assistance and Management Support, HCHB Room 6054, U.S. Department of Commerce, Washington, DC 20230. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

3. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for persons entering into a grant, cooperative agreement, or contract over \$100,000, or loan or loan guarantee over \$150,000, as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief:

(1) 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 an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.


Statement for Loan Guarantees and Loan Insurance

The undersigned states that, to the best of his or her knowledge and belief:

If any 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 any employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification(s).

NAME OF APPLICANT	AWARD NUMBER AND/OR PROJECT NAME
EDUCAUSE	
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Mark Luker, Vice President	
SIGNATURE	DATE
	August 13, 2001

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August 10, 2001

EDUCAUSE Proposal to the U.S. Department of Commerce to Administer Policy and Operations of the .edu Top-Level Domain

Abstract

This document is a proposal from the leading association for information technology in higher education to act as the registry and registrar for the .edu domain as governed by a cooperative agreement with the Department of Commerce. The plan proposes initial criteria for membership in the domain, a process to use the criteria to judge new applications for membership, and an orderly process for discussing and selecting proposed changes in membership policy. It calls for no direct government funding and states that members of the domain would be charged, if at all, on a cost recovery basis. The proposal is, in effect, a consensus-based plan for the stewardship and operation of the .edu top-level domain on behalf of the members of the domain.

Recent operations of the .edu top-level domain

The .edu top-level domain has been administered in recent years by Network Solutions, Inc. (now VeriSign) in a cooperative agreement with first the National Science Foundation and now the Department of Commerce of the U.S. Government. It has been the desire of the government in recent years to shift much of the policy and operations for top-level domains to private organizations. This has been most prominent in the last two years with the establishment of ICANN and the change of authority for .com, .org, and .net. The .gov and .mil domains have been handled within the U.S. government as special cases. The .US domain is under active discussion. This proposal represents the best solution for the remaining legacy domain, .edu.

Qualifications of EDUCAUSE

EDUCAUSE is widely recognized as the organization that represents the policy, strategy, and operations interests of networking and information technology in U.S. Higher Education. (See <http://www.educause.edu>.) It is a non-profit organization with over 1,800 college and university members that includes most of the top leadership of IT for the universities, colleges, and community colleges in the U.S. EDUCAUSE is recognized as the national leader in this regard by a wide range of other organizations including the American Council on Education, the Higher Education Alliance for Information Technology, and major national associations representing the U.S. institutions of higher education.

EDUCAUSE is a steadily growing, fiscally healthy organization in operation since 1964 (as Educom and CAUSE) with an annual budget approaching \$10 million. It operates an extensive web-based information system for external and internal communications with members and the public. Its web-based registration systems for meetings has been recognized by top national awards of the American Society of Association Executives. EDUCAUSE operates a production-mode member services team for telephone and paper communications with members and the public. It has a full-time, expert IT staff that can draw on the extensive IT expertise of its member universities and network organizations. EDUCAUSE hosts a major national meeting, six regional meetings, and a variety of institutes and workshops each year. It publishes two major magazines and several electronic newsletters and hosts a number of email discussion lists.

EDUCAUSE is fully qualified to administer the financial and reporting requirements of a cooperative agreement with the Department of Commerce. It presently holds a number of awards from the National Science Foundation to advance the state of networking in higher education including a major cooperative agreement called Advanced Networking with Minority Serving Institutions.

EDUCAUSE members have played a central role in the Internet since its early days in research. They designed and built our campus networks, operated many of the original regional networks, helped to operate the NSFnet backbone, and assisted in the privatization of NSFnet and the subsequent studies of advanced networking. They created the Internet2 project and spun it off as the University Corporation for Advanced Internet Development. Today they are working with industry, the government, and other partners on network security, e-commerce, and related developments. (See www.educause.edu/netatedu.)

EDUCAUSE provides the largest forum where IT leaders of higher education meet to adopt and develop applications of the Internet that promise to transform the way we educate students in the future. This proposal can truly be viewed as the request for the members of a top-level domain to represent themselves in the operations of their domain.

Proposed activities

EDUCAUSE proposes to work with the Department of Commerce under a cooperative agreement to operate the registry and registrar services for the .edu domain (through a contract to a third party) and to provide a forum and mechanism by which proposed changes in the membership criteria for the domain can be discussed openly and resolved through a public procedure.

Policy development process

EDUCAUSE will augment its existing, high-quality web, telephone, and mail infrastructure to provide a public and open process for the development of policy for .edu. This process will include:

- A clearly stated, public posting of the membership criteria currently in effect
- An up-to-date page of "Frequently Asked Questions"
- A process for submission and response for questions regarding the criteria
- A process for the submission of proposals for modifications of the policy
- A process for public comment on the proposals
- A standing Policy Board for .edu that will meet periodically to review the suggestions and comments received and to recommend changes, if any, in the membership criteria for adoption by amendment of the cooperative agreement with the Department of Commerce.
- A public posting of the results of any changes

The Policy Board shall consist of the President of the American Council on Education (representing the executive leadership of the full community of U.S. higher education), the President of EDUCAUSE (representing the IT leadership of higher education), and the President of the National Association of College and University Attorneys. The Vice President of EDUCAUSE in Washington, DC, will staff the Policy Board.

Initial definition of the membership criteria for .edu

It is proposed to begin this process using the present definition of membership in .edu:

"U.S., four-year degree-granting institution accredited by a regional accrediting agency recognized by the U.S. Department of Education." (See 2001 Higher Education Directory; Higher Education Publications, Inc.; Falls Church, Virginia)

augmented to include the corresponding set of regionally accredited, U.S. community colleges, i.e.,

"Institutions that award the associate degree or higher and are accredited by a regional accrediting association recognized by the Council for Higher Education Accreditation."

This modification to include regionally accredited U.S. community colleges has been widely and publicly discussed over the last two years and has explicit, strong support throughout the community of higher education. The inclusion of community colleges has been discussed in numerous meeting of the American Association of Community Colleges and separate meetings of their Commission on Learning and Communications Technologies and has their enthusiastic support. More importantly for present members of the domain, this issue has been discussed with leaders and at meetings of the major

associations representing the leadership of accredited U.S. four-year institutions including the American Association of Universities, the National Association of State Universities and Land Grant Colleges, the American Association of State Colleges and Universities, and the Council of Independent Colleges, as well as the American Council on Education, an organization that represents virtually all of American higher education. In each case there has been strong endorsement of the EDUCAUSE proposal to become the registry and registrar of .edu on behalf of the community of American higher education, as well as explicit recognition of the need to admit accredited community colleges to .edu without further delay. Both the general proposal for operating .edu and the specific plan to admit community colleges have been published in articles of the Chronicle of Higher Education and several other newsletters to an even broader segment of the public. (See attachments for letters of support.) It is clearly most appropriate to make this expansion of the domain for community colleges from the beginning.

In addition, it is proposed to leave in the domain any other present members of .edu who were admitted under varying circumstances in the history of the domain. As stated above, EDUCAUSE is open to discussion of suggested changes in the membership criteria for .edu in the future and will support a policy development process to that end.

Registrar and registry operations for .edu

EDUCAUSE proposes to act as the registrar and the registry for the .edu domain. It will provide these services at no cost to the U.S. government, and will charge members of the domain a fee (if any) that at most recovers costs of operations. EDUCAUSE will augment its already well-developed web registration procedures to process applications to the domain. This web interface will be supported by the already existing EDUCAUSE member services team, which provides high-quality telephone, email, and paper mail services for thousands of registrations for meetings and membership annually. As the registrar and registry for .edu, EDUCAUSE will assume and maintain ownership of the information that has been and will be collected from institutions for the purposes of registration in the .edu top-level domain.

Certain back-office functions of the registrar and the registry will be subcontracted to a well-qualified third party as governed by the terms and procedures of the cooperative agreement. It is important to note, however, that each request for membership to the .edu domain will be processed by EDUCAUSE staff in accordance with the current membership criteria. The registry for .edu would accept no new entries without the explicit recommendation of the EDUCAUSE registrar. It is proposed that membership in .edu be awarded to successful applicants for a period of five years at a time in order to reduce overhead for the institutions involved. Membership in .edu may be renewed at the end of each registration period in accordance with the membership criteria.

It is absolutely essential that the registry services for the .edu domain be operated in a reliable and effective manner in coordination with the other organizations and machinery of the domain name system. It is critical that there be no instability or loss of service

during the period of transition. It is important for the community of higher education that the registry be operated in accordance with these principles in an efficient and effective manner. For these reasons EDUCAUSE proposes to support its initial services for operational aspects of the registry and certain back-office portions of the registrar with a subcontract to VeriSign for an initial period of two years, during which time EDUCAUSE will conduct an open, competitive procurement process for the provision of these services for the remaining period of the cooperative agreement in a manner that meets the approval of the Department of Commerce. The initial contract with VeriSign will include formal review and the possibility of cancellation based on performance on an annual basis. There is no doubt that VeriSign (the long-time registrar and registry for .edu) can perform these operational services effectively and reliably. It can offer a very effective cost structure due to economies of scale. This approach presents no dangers of instability or delay due to transition issues. Operational policies will be determined in a manner consistent with the domain name system and ICANN. Different service providers may be considered for this role in the future under the terms and procedures of the cooperative agreement.

Proposed Initial Business Plan

EDUCAUSE proposes to operate the .edu domain at no cost to the federal government. It will initially impose no charge to members of the domain, but reserves the right to charge a sum sufficient to recover costs of operations should the need arise. The present size of the domain is reported by VeriSign, the present registrar for .edu, to be less than 7,000 institutions. Fewer than 2000 more may join as regionally accredited U.S. community colleges. EDUCAUSE plans to outsource the registry operations and a portion of the registrar operations for .edu to VeriSign. Importantly, EDUCAUSE will support first-line customer communications and the membership qualification process. EDUCAUSE has robust web machinery, database, technical, and billing staff for other purposes, and already supports a highly trained telephone staff for member services.

The total cost to support the registry and registrar operations as well as the policy development activity is estimated to be approximately \$300,000 per year. By this model, fees to domain member institutions could range up to about \$40 per year or \$200 per 5-year registration period. As stated above, EDUCAUSE will initially impose no charge to members of the domain, but reserves the right to charge a sum sufficient to recover costs of operations should the need arise.

Operation of the Cooperative Agreement

It is proposed that EDUCAUSE and the Department of Commerce establish staff teams to manage these activities under a single cooperative agreement between the Department of Commerce and EDUCAUSE. The agreement shall be written for periods of five years to be renewed indefinitely upon satisfactory performance. Each agreement will be reviewed formally on an annual basis by a process designed by the combined teams.

EDUCAUSE will provide Department of Commerce with written (or email if requested) monthly status reports of operations, new membership transactions, and the policy management process. Face-to-face meetings will be held more frequently (as needed) during the early months of operations and during periods of discussion for proposed policy changes.

Contacts

The principle contact for this proposal in EDUCAUSE shall be

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The secondary contact will be

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at the same address. Contact for the public will be supported through the EDUCAUSE web site.

Appendix: VITA of the principle contact

Appendix: Letters of support to be included

American Council on Education
American Association of Universities
National Association of State Universities and Land Grant Colleges
American Association of State Colleges and Universities
Council of Independent Colleges
American Association of Community Colleges