



**REQUEST FOR APPLICATIONS**  
**TEXAS HIGHER EDUCATION COORDINATING**  
**BOARD**

**PERKINS BASIC GRANT PROGRAM**  
**2016 – 2017**

781-7-16976

**INQUIRY DEADLINE: 5:00 PM, C.D.T., JULY 1, 2016**

**APPLICATION DEADLINE: 5:00 PM, C.D.T., JULY 19, 2016**

**APPLICATION COVER PAGE AND FEDERAL CERTIFICATIONS DEADLINE: JULY 25, 2016**

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**Texas Higher Education Coordinating Board**  
**2016-2017**

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## **1 OVERVIEW OF FUNDING OPPORTUNITY**

### **1.1 PROGRAM TITLE: Career and Technical Education—Basic Grants to States**

### **1.2 SYNOPSIS OF PROGRAM**

The Texas Higher Education Coordinating Board ("Coordinating Board") requests Applications from Eligible Applicants (as the term is defined herein) for consideration for receiving federal funding under Career and Technical Education - Basic Grants to States ("Perkins Basic Grant Program") for state fiscal year 2017 (September 1, 2016 through August 31, 2017).

To receive federal funding under the Perkins Basic Grant Program, the Eligible Applicant must:

- meet the requirements of this Request for Applications (RFA);
- address the goals and objectives of the Texas State Plan 2008-2013 under the *Carl D. Perkins Career and Technical Education Improvement Act of 2006* ("the Perkins Act");
- meet the requirements of the Perkins Act; and
- address the goals of [60x30TX: Texas Higher Education Strategic Plan](#) at [www.thecb.state.tx.us](http://www.thecb.state.tx.us).

**1.3 CFDA CODE:** Catalog of Federal Domestic Assistance Code, 84.048A, Basic Grants

### **1.4 FUNDING SOURCE**

Federal funds are provided through the Perkins Act for the advancement of career and technical education in Texas. Funds for Title I of the Perkins Act are allocated to the state and divided between secondary and postsecondary education through a formula developed by the Texas Education Agency (TEA), which splits the funds 70/30 between TEA and the Coordinating Board. Funds are awarded annually from TEA to the Coordinating Board through a subgrant. TEA additionally provides grant guidance (Appendix I).

### **1.5 POINT OF CONTACT**

**Donna Carlin, Assistant Director for Workforce**

Academic Quality and Workforce Division  
Texas Higher Education Coordinating Board  
Phone: (512) 427-6241  
Email: [Perkins@thecb.state.tx.us](mailto:Perkins@thecb.state.tx.us)

## **2 AWARD SUMMARY**

### **2.1 FUNDING METHODOLOGY AND ALLOCATION**

Annual Perkins Basic Grant awards (individually referred to as a "Grant" or "Grant Award") are based on a formula allocation of available federal funds to Eligible Applicants (Appendix A) that reflects each Eligible Applicant's number of full-time student equivalents (FTSEs) that participate in CTE programs and receive Pell Grants. To qualify for a Grant Award, the Eligible Applicant must have a sufficient number of FTSEs to collectively generate a minimum of \$50,000 in the formula. All awards are contingent on the availability of federal funding.

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Any unspent funds from the previous grant year may be reallocated to Awarded Applicants, including Perkins Leadership funds, unbudgeted administrative funds, and unspent Perkins Basic grant monies.

If unspent funds are reallocated, they will be awarded using the following method:

1. The pool of eligible recipients will be Awarded Applicants whose performance on core indicators 2P1, 3P1, and 4P1, established by the U.S. Department of Education for the Perkins Basic Grant Program, meets or exceeds the federally negotiated state targets (Appendix F).
2. The FTSE formula allocation will be applied proportionally to eligible recipients to determine reallocation awards.

## **2.2 GRANT PERIOD**

The Grant Period is from the date of grant execution (approximately September 1, 2016) through October 15, 2017. All Grant funds must be expended during the Federal Funding Period (September 1, 2016 through August 31, 2017).

## **2.3 CALENDAR OF EVENTS**

The application process for this RFA is anticipated to proceed according to the calendar below. The Coordinating Board reserves the right to revise this calendar or any portion of this RFA by published addendum.

Date	Events
June 3, 2016	RFA Posting Date
June 30, 2016	Revised Allocation Emails to Perkins Contacts, if applicable
July 1, 2016	Inquiry Deadline
July 19, 2016	Application Deadline
July 25, 2016	Application Cover Page and Federal Certifications Deadline
September 1, 2016	Grant Period Begins

## **3 ELIGIBLE APPLICANT**

An "Eligible Applicant," or "Applicant," and an "Awarded Applicant" (a successful Applicant upon issuance of the Grant) is a Texas public postsecondary institution that offers CTE courses leading to technical skill proficiency, an industry-recognized credential, a certificate, or a degree.

## **4 APPLICATION PROCESS**

1. Following the posting of the RFA, Coordinating Board staff will email the Perkins Institutional Contact for each Eligible Applicant with a unique application number and secure password. That information will allow the Applicant access to the 2016-2017 Application forms via the online Perkins Portal at <http://www.thecb.state.tx.us/Perkins/Portal>;
2. The Applicant shall complete and submit the Application in the Perkins Portal by 5:00 pm, C.D.T., on July 19, 2016; and
3. The Applicant shall email scanned copies of the Application Cover Page (Appendix B), Certification Regarding Lobbying (Appendix C), and FFATA Certification (Appendix L) to the Coordinating Board at [Perkins@thecb.state.tx.us](mailto:Perkins@thecb.state.tx.us) by July 25, 2016. Documents shall be signed by the Applicant representative who is authorized to bind the Applicant.

## **5 INQUIRIES**

The Applicant shall direct all inquiries via email to the Point of Contact by 5:00 pm, C.D.T., on July 1, 2016. The Applicant shall not discuss an Application with any other Coordinating Board employee, unless authorized by the Point of Contact.

All responses from the Point of Contact will be in writing and will be binding. Any information deemed by the Point of Contact to be of general interest, or that modifies requirements of the RFA, will be sent in the form of an addendum to the RFA to all Eligible Applicants.

The Applicant shall acknowledge receipt of any and all addenda by mailing a signed copy of each addendum with the submitted Application Cover Page.

## **6 PROGRAM PURPOSE**

The Perkins Basic Grant Program supports Awarded Applicants in educating students who enroll in CTE courses and programs in preparation for high-skill, high-wage, or high-demand occupations. *The success of an Awarded Applicant in educating these students will be measured by its ability to meet state targets for each of six core indicators negotiated with the U.S. Department of Education/Office of Career, Technical, and Adult Education (OCTAE) for the Perkins Basic Grant Program (Appendix F).*

## **7 APPLICATION CONTENT**

The Application for the Perkins Basic Grant Program comprises five parts:

1. Application Cover Page (Appendix B);
2. Local Plan (Appendix D);
3. Performance Improvement/Evaluation Plans for each of the six federally designated core indicators (Appendix E);
4. Budget (Schedules A-G); and
5. Certification Regarding Lobbying (Appendix C).

### **7.1 APPLICATION COVER PAGE (APPENDIX B)**

The Applicant shall complete all information on the Cover Page in the Perkins Portal and email scanned copies by July 25, 2016. The signatures of the President, Chief Financial Officer, and Perkins Institutional Contact shall bind the Applicant and signify the Applicant's agreement to comply with all provisions of this RFA.

### **7.2 LOCAL PLAN (APPENDIX D)**

The Applicant shall submit a Local Plan, comprising 13 sections, that addresses the standard requirements of the Perkins Act and the goals of *60x30TX: Texas Higher Education Strategic Plan*.

#### **7.2.1 Special Populations**

In referencing "special populations" in the Local Plan and **in any other applicable sections of the Application**, the Applicant shall use the term to mean:

1. individuals with disabilities;
2. individuals from economically disadvantaged families, including foster children;
3. individuals preparing for nontraditional fields;

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4. single parents, including single pregnant women;
5. displaced homemakers; and
6. individuals with limited English proficiency.

The Awarded Applicant shall ensure that Grant activities and programs serve these special populations enrolled in CTE programs. Members of these special populations shall:

- be provided with easy access to the full range of CTE programs available, including occupation-specific courses of study, cooperative education, apprenticeship programs, and, to the extent practicable, comprehensive career guidance and counseling services;
- not be discriminated against on the basis of their status as members of special populations;
- have access to supportive services such as counseling, English-language instruction, child care, transportation, curriculum modification, equipment modification, classroom modification, supportive personnel, and special aids and devices.

The Awarded Applicant shall assist in fulfilling the transitional service requirements of Sections 1412, 1414, and 1415 of the Individuals with Disabilities Education Act.

### **7.3 PERFORMANCE IMPROVEMENT/EVALUATION PLANS (APPENDIX E)**

The Applicant shall develop a Performance Improvement/Evaluation Plan (PIEP) for **each of the six core indicators (Appendix F)**. The PIEP must demonstrate how Perkins-funded programs, activities, and other budget items identified for each core indicator will improve the Applicant's performance on the indicator. Awarded Applicants shall use Grant funds toward improvement in each of the six core indicators *as a primary purpose in the use of these funds*.

#### **7.3.1 Performance Improvement Plan**

The Applicant shall develop a Performance Improvement Plan that identifies the Perkins-funded CTE programs, activities, and specific budget items that will play a significant role in improving its performance on each core indicator.

##### **7.3.1.1 Summary of Plan**

The Applicant shall summarize how it will reach the 2016-2017 target for each core indicator or, in the case that the Applicant already meets or exceeds the target, how it will maintain a level of effort necessary to improve its performance. The summary must be sufficiently detailed to demonstrate (a) the specific challenges for the Applicant in improving its performance on the target and (b) how the identified CTE programs, activities, and requested budget items make specific contributions toward meeting the 2016-2017 target.

Entry Format: *Level of Effort to Meet the Target » Components of the Plan.*

Sample Entry:

*To increase the College's performance on the core indicator by 10 percent, the College has developed a plan comprising four major efforts: (1) targeting high-enrollment CTE certificate and degree programs that show the greatest potential for recruiting, retaining and graduating under-represented gender groups in nontraditional fields; (2) providing group counseling and advising to under-represented students in those targeted programs; (3) providing specific support services that have been shown to be effective in ensuring the students' attendance and progression; and (4) enhancing the knowledge and skills of instructors and professional staff who work directly with students in these nontraditional fields.*



### 7.3.1.2 Key CTE Programs and Activities

The Applicant shall identify key CTE individuals, programs, and activities that will play a significant role in meeting or exceeding the 2016-2017 target for each core indicator. ***If citing the same program or activity for more than one core indicator, the Applicant shall make clear its relevance to each core indicator.***

An Applicant that has failed to meet the target for a core indicator in each of the last three years shall identify a minimum of three programs or activities.

Entry Format: *Campus Location (if applicable), Program – Individual, or Activity » Justification for Activity*

Sample Entries:

*Bluebonnet Campus - Automotive Technology Program – This AAS program had the largest CTE enrollment of women during the previous academic year, and in the College's analysis of dual-credit offerings and other student support and outreach activities, the program showed the greatest potential to attract and retain women and special populations students.*

*Student Counseling Services – The College's research has shown that individual and group counseling has been effective in retaining women in nontraditional degree programs. The College plans to expand these services by highlighting their availability and organizing orientation meetings with the campus counselor in targeted programs.*

### 7.3.1.3 Specific Budget Items

The Applicant shall identify specific budget items that will play a significant role in meeting or exceeding the 2016-2017 target for each core indicator. An Applicant that has failed to meet the target for a core indicator in each of the last three years shall identify a minimum of three budget items. Budget items shall comply with the Required and Permissible Uses of Funds (Appendix H) and the Carl D. Perkins Grant Cost Guidelines (Appendix I). ***If citing the same budget item for more than one core indicator, the Applicant shall make clear its relevance to each core indicator.***

Entry Format: *Budget Schedule » Campus Location (if available) - Program, Individual, or Activity » Funding Amount » Justification for Activity*

Sample Entries:

*Schedule A: Bluebonnet Campus - The Special Populations Counselor will develop and lead a monthly support group for women enrolled in the Automotive Technology Program (10% time @ \$5,000) – Research shows that women's support groups have been successful in retaining women in certain CTE fields.*

*Schedule B: Bluebonnet Campus - The Special Populations Counselor will attend the Women in the Automotive Workforce Conference in Detroit, Michigan, October 20-22, 2016 (\$1,800) – the conference agenda includes presentations and breakout sessions on retention issues.*

*Schedule F: Child Care Vouchers (\$30,500, representing an estimated 122 vouchers @ \$250) – The College has compiled data that show these vouchers are effective in helping special populations students persist in CTE programs.*

### 7.3.2 Evaluation Plan

The Applicant shall develop an Evaluation Plan that measures the effectiveness of Perkins-funded programs, activities, and budget items in the Performance Improvement Plan. The Evaluation Plan shall include (a) activities and strategies; (b) a timeline plan; and (c) target measures.

#### 7.3.2.1 Activities and Strategies

The Applicant shall identify and describe specific activities and strategies that will be used to meet or exceed the target for each core indicator. The identified activities and strategies shall align with the key CTE programs, activities, and budget items identified in the Performance Improvement Plan for each core indicator. Each activity and strategy shall be quantifiable in terms of its output or (preferably) outcome and have an evident connection to improvement in the core indicator it supports. ***If applying the same activity or strategy to more than one core indicator, the applicant shall indicate how it contributes to improved performance in each core indicator.***

**PLEASE NOTE: Activities and strategies that extend the full length of the Grant Period shall be divided into sub-activities and sub-strategies that will show the Awarded Applicant's incremental progress in completing the larger activities and strategies.**

Entry Format: *Campus Location (if applicable) - Program, Individual, or Activity » Description of Activity*

Sample Entries:

*Bluebonnet Campus - The Special Populations Counselor will hold monthly support group meetings for women enrolled in targeted programs.*

*Bluebonnet Campus - In collaboration with the Special Populations Counselor, the Automotive Technology instructors will implement an action plan to retain women in the Automotive Technology Program, evaluate the success of the strategies in that plan, and identify successful strategies that are transferrable to other CTE programs.*

Sub-strategy: *Special Populations Counselor and AT instructors will develop an action plan.*

Sub-strategy: *AT instructors will implement strategies of action plan in the spring semester.*

Sub-strategy: *Special Population Counselor and AT instructors will use retention data and student feedback to determine effectiveness of strategies.*

*The Student Services Center will track students who have received child care vouchers during the fall semester.*

#### 7.3.2.2 Timeline Planned

The Applicant shall identify a timeline for each activity and strategy. The timeline should be in a monthly/quarterly format unless an activity or strategy extends the length of the Grant Period. **In that case, the timeline for the activity or strategy shall be subdivided appropriately to show the Awarded Applicant's incremental progress on the larger activity or strategy.**

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Sample Entries:

*September 2016 – December 2016; January 2017 – May 2017.  
(For an activity aligned with a college semester or term)*

*November 2016 – March 2017*

*(For a small activity that represents an incremental step within a larger activity or project.)*

### 7.3.2.3 Target Measures

The Applicant shall identify one or more target measures for each activity and strategy. Each target measure must (a) clearly relate to its activity/strategy and (b) state a planned output or outcome toward improved performance for the core indicator under which the activity/strategy falls. **Target measures shall be based upon data that can be collected prior to submission of the Final Report.**

Sample Entries:

- 200 CTE students will utilize the Academic Skills Center.
- 85% of CTE students in targeted programs will persist in or complete the programs.
- At least seven “best practice” strategies will be identified in the action plan.
- 100% of strategies from the action plan will be implemented by May 2017.
- 50% of surveyed students will report that one or more strategies are “effective” or “very effective” in helping them stay in the program.
- Ten CTE faculty members will receive professional development on retention strategies.
- 90% of students receiving more than three child care vouchers during the semester will persist to the next semester of the program.

The following sample shows how the evaluation plan incorporates the instructions provided in Subsections 7.3.2.1 – 7.3.2.3. A complete Performance Improvement/Evaluation Plan is available in Appendix E.

<b>Sample Evaluation Plan for 2P1: Credential, Certificate, or Diploma with example of Biannual and Final Report results</b>			
<b>7.3.2.1 - Activities/Strategies</b>	<b>7.3.2.2 - Timeline Planned</b>	<b>7.3.2.3 – Target Measures</b>	<b>Example Biannual and Final Report Results/Comments</b>
2.1. CTE instructors will lead tours of the Academic Skills Center and encourage students in their classes to get tutoring when they have trouble with assignments	9/1/2016 - 12/15/2016  1/15/2017 - 5/15/2017	200 CTE students will utilize the Academic Skills Center.  200 CTE students will utilize the Academic Skills Center.	<i>Biannual: In fall 2016, 278 of 1031 registered CTE students received tutoring in the Academic Skills Center.  Final: 184 of 938 CTE students utilized the Academic Skills Center.</i>
2.2. Special Populations Counselor and instructors in targeted programs will implement an action plan to retain CTE students and	9/1/2016 - 8/31/2017  <u>See parts a. and b. below for a breakout</u>	85% of CTE students in targeted programs will persist in or complete the programs.	<i>Biannual: 43 of 48 students in the fall OTA and Automotive Technology programs registered for spring classes, for a retention rate of 90%.</i>

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evaluate the success of the strategies in that plan. (See 2.2a and 2.2b below.)	<u>of this year-long activity.</u>		<i>Final: OTA and Automotive Technology combined graduated 40 of 45 completing students, or 89%.</i>
2.2a. Special Populations Counselor and instructors in targeted programs will develop an action plan of researched "best practices" for retaining CTE students.	9/1/2016 - 10/31/2016	At least seven "best practice" strategies will be identified in the action plan.	<i>Biannual: the committee identified 12 strategies and submitted them to the Dean of Workforce Education as part of a proposed action plan.</i>
2.2b. Special Populations Counselor and instructors will implement and evaluate strategies in the action plan.	1/1/2017 - 7/31/2017	100% of strategies will be implemented from the action plan by May 2017.  50% of surveyed students will report that one or more strategies are "effective" or "very effective" in their success.	<i>Biannual: 9 of 12 strategies have been implemented for spring 2017. 3 are still under review.  Final: CTE students were surveyed during the last week of regular semester. 68% of students indicated "effective" or "very effective" on the survey.</i>

### 7.3.3 Reporting Requirements

The Awarded Applicant shall report its progress on the Performance Improvement/Evaluation Plan for each core indicator in the Biannual and Final Reports (Appendix G). The reporting template requires the Awarded Applicant to provide the status, output, or outcome of each target measure for each activity and strategy. The Awarded Applicant should provide data for each target measure that demonstrates its progress toward meeting the target measure. Coordinating Board staff will evaluate the quality and completeness of these Reports and may ask for clarification, additional information, or other Report changes consistent with the requirements of this RFA.

## 7.4 BUDGET

The Applicant shall prepare a 2016-2017 budget that:

- includes, but is not limited to, the cost items identified in the Performance Improvement/Evaluation Plans;
- is consistent with the goals and objectives of the Perkins Act;
- meets applicable rules and laws, including the allowable cost principles in the applicable Uniform Grant Guidance (e.g., 2 CFR Chapter I, Chapter II, Part 200, et al.);
- complies with the Required and Permissible Uses of Funds (Appendix H), Perkins Grant Cost Guidelines (Appendix I), and Supplementing Versus Supplanting (Appendix J);
- allocates **a minimum of 15 percent of the total direct costs to 60x30TX – Completion**; and
- can be spent within the Federal Funding Period (September 1, 2016 to August 31, 2017).

### **7.4.1 Grant Activity Titles**

The Applicant shall identify one of eight grant activity titles with each cost item included in Schedules A-F:

1. **Curriculum** - Activities related to the development/upgrade of CTE curriculum.
2. **Professional Development** – Activities related to initial teacher preparation and recruitment of CTE teachers, faculty, administrators, and career guidance and academic counselors, including those who:
  - promote the integration of coherent and rigorous academic content standards and CTE curricula, including opportunities for the appropriate academic and CTE teachers to jointly develop and implement curricula and pedagogical strategies, as appropriate;
  - increase the percentage of teachers who meet teacher certification or licensing requirements;
  - offer a high quality, sustained, and intensive focus on instruction, and increase the academic knowledge and understanding of industry standards, as appropriate, of CTE teachers;
  - encourage applied learning that contributes to the academic and career and technical knowledge of the student;
  - provide the knowledge and skills needed to work with and improve instruction for special populations;
  - assist in accessing and utilizing data, including data provided under Section 118 of Public Law 109-270, student achievement data, and data from assessments; and
  - promote integration with professional development activities that the State carries out under Title II of the Elementary and Secondary Education Act of 1965 and Title II of the Higher Education Act of 1965.
3. **Guidance and Counseling** – Activities that provide access for students (and parents, as appropriate) to information about career awareness and planning, career options, financial aid, and postsecondary options, including baccalaureate degree programs.
4. **Instructional Equipment** – Purchases to improve the instruction of selected CTE programs and activities to modify or upgrade existing equipment to meet current industry specifications, including new or improved teaching aids. New equipment must be state-of-the-art and purchased to meet industry standards.
5. **Special Populations** – Activities that raise the academic performance of special populations students to the level of performance of other CTE students and that prepare special populations for high skill, high wage, or high demand occupations that will allow them to become self-sufficient.
6. **60x30TX – Completion** – Activities that improve completion of a certificate or associate degree, including but not limited to tutoring, CTE counseling, and retention programs. Applicants are required to budget a minimum of 15 percent of the total direct costs on 60x30TX – Completion.
7. **Related Activities** – Activities related to program improvement, evaluation, business/industry enrichment, instructional materials, and any related activity that is not identified in Grant Activity Titles 1-6.
8. **One-Stop Centers** – Activities related to the operation of One-Stop Centers.

### **7.4.2 Schedule A: Salaries and Fringe Benefits**

Schedule A shall identify staff salaries that will be supported by Grant funds.

#### **7.4.2.1 Requesting Cost Items under Schedule A**

The Applicant shall calculate salaries at a pay rate that is comparable to those paid for similar positions by the Applicant. If there are no comparable positions, salaries shall be considered reasonable to the extent that the salaries are comparable to those paid for similar work in the labor market. The Chief Executive Officer of the Applicant may be required to provide certification of comparable salaries.

The Applicant may not request salaries and fringe benefits for executive officers (including the president, vice presidents, and deans) or administrative support staff who may directly or indirectly work on Perkins Basic Grant activities and programs.

Entry Format - *Grant Activity (1-8), the campus (if applicable), name of the person or title of the position, a brief description of the work, the percentage of time the person/position will spend on Perkins Basic Grant activities, and the total compensation for the Grant Period.*

I. Activity	II. Title/Position/Description	III. % of Time on Project	IV. Amount
<i>Special Populations</i>	<i>South Campus - Special Population Specialists (2 @ .75 FTE) – provides career counseling and guidance to CTE special population students</i>	<i>75 %</i>	<i>\$ 29,000</i>
<i>CTG - Success</i>	<i>Tutors (hourly) for Health Sciences students</i>	<i>100 %</i>	<i>\$ 15,000</i>

#### **7.4.2.2 Administering Cost Items under Schedule A**

The Awarded Applicant shall:

- maintain a job description for each position supported full-time or part-time by the Grant;
- require persons paid by the Grant (with the exception of tutors and lab assistants) to keep Time and Effort Records or Certificate Statements. See additional information in Section 9.29 of this RFA; and
- keep Time and Effort Records and Certificate Statements for a minimum of seven years.

### **7.4.3 Schedule B: Travel**

Schedule B shall identify in-state and out-of-state travel that is directly related to Perkins Basic Grant activities.

#### **7.4.3.1 Requesting Cost Items under Schedule B**

The Applicant may not request travel for executive officers (including the president, vice presidents, and deans) or administrative support staff who may directly or indirectly work on

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Entry Format - *Grant Activity (1-8), the campus (if applicable), name or position(s) of the traveler(s) and CTE program or function, the purpose of and justification for the travel, dates and location of the destination (if known when the Application is submitted), and the total cost.*

I. Activity	II. Title/Position	III. Purpose	IV. Amount
<i>Professional Development</i>	<i>South Campus - (2) Nursing Instructors - Licensed Vocational Nursing</i>	<i>Attend a workshop on new licensure requirements, date and place TBD</i>	<i>\$ 2,000</i>
<i>Professional Development</i>	<i>Central Campus – Bob Smith, Instructor - Automotive Technology</i>	<i>Attend annual mandatory manufacturer update, Ford Corp. Conference, 7/9-11/2017, Vista View, MN</i>	<i>\$2,000</i>

#### **7.4.3.2 Administering Cost Items under Schedule B**

The Awarded Applicant shall:

- have written policies and procedures for employees who travel on Perkins business and seek travel reimbursement from the Grant Award;
- reimburse employees traveling on Perkins business at the federal lodging and per diem rates or the Awarded Applicant's rates, whichever are more stringent;
- reimburse employees traveling on Perkins business at the per diem rates or for actual costs not to exceed the per diem rates;
- reimburse travel costs that exceed the per diem rates with other funds (not Perkins funds) that are available to the Awarded Applicant; and
- reimburse actual car mileage at the current rate established by the Texas Comptroller of Public Accounts or the Awarded Applicant's rate, whichever is more stringent.

Additional information about travel rates and allowable and unallowable travel costs is provided in Appendix I.

#### **7.4.4 Schedule C: Capital Outlay/Equipment**

Schedule C shall identify capital items, which shall be defined according to federal cost policy (tangible property having an initial acquisition price of more than \$5,000 per unit and a useful life of more than one year) or by the applicant's local policy, whichever is more stringent. Items should be requested only when they are *necessary* to accomplish specific objectives of the Perkins Act. Office computers or groups of computers that do not meet the \$5,000 per unit threshold should be categorized under Schedule F.

##### **7.4.4.1 Requesting Cost Items under Schedule C**

Entry Format: *Grant Activity (1-8), the campus (if applicable), program or activity for which the item is being purchased, the number of units to be purchased and the unit cost of the item (if more than one unit is to be purchased), a description of and justification for the item, and the total cost.*



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<b>I. Activity</b>	<b>II. Description</b>	<b>III. Amount</b>
<i>Instructional Equipment</i>	<i>South Campus – RN Nursing – (1) Sim Baby with compressors, peripheral kits, and extended warranty - allows for instruction and competency-based testing in a realistic practice setting for students in the Maternal / Child course.</i>	<i>\$ 8,000</i>
<i>Instructional Equipment</i>	<i>West Campus – Electronics - (2 @ \$11,345) Ellipsometer – recommended by industry partners to provide students experience with small scale nanoelectronic measurement.</i>	<i>\$22,690</i>

#### **7.4.4.2 Administering Cost Items under Schedule C**

The Awarded Applicant shall maintain policies, procedures, and practices consistent with 2 CFR §200.313, including but not limited to the following:

- a control system to ensure adequate safeguards against loss, damage, or theft of equipment;
- purchasing, inventorying, and labeling of capital equipment (Schedule C) and noncapital equipment (Schedule F);
- permanent labeling or etching of all equipment with a unique number recorded in the institution's inventory system, which shall record all information required by the CFR;
- holding title to capital items (furniture and/or equipment) for the Grant Period; and
- ensuring that CTE programs and students have preemptive priority in the use of capital outlay/equipment and other inventoried items purchased with Perkins Grant funds. Any other use of these items shall be incidental to the primary use and may not add to the cost, wear and tear, or operation of the equipment or inventoried item purchased with Perkins Grant funds;

**The Awarded Applicant shall purchase and install capital equipment as early as possible during the Grant Period so that CTE programs and students receive the full benefit of those goods and services during the Grant Period. It is strongly recommended that Awarded Applicants initiate, approve, and have capital equipment (Schedule C) purchases ready for submission to the supplier no later than April 30, 2017.**

#### **7.4.5 Schedule D: Consultants and Service Contracts**

Schedule D shall identify professional services to be performed by independent consultants or contractors who are not employees of the Applicant. This may include speakers or presenters as well as those advising the Applicant.

##### **7.4.5.1 Requesting Cost Items under Schedule D**

The Applicant shall not request consultant or contract fees for any services that can be provided by employees of the Applicant. An employee of the Applicant shall not be paid as a consultant or contractor even if the work is done while the employee is on leave or after regular work hours (2 CFR §200.459).

Schedule D shall not include vendor contracts, which belong under Schedule F: Operating Expenses, Services, Books, and Supplies.



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Entry Format: *Grant Activity (1-8), the name of the consultant/contractor (if available), the program or activity for which the consultant/contractor is being used, the campus (if applicable), a description of and justification for the services provided, and total cost of services.*

I. Activity	II. Individual or Firm	III. Purpose	IV. Amount
<i>Special Populations</i>	<i>TBD – campus-wide etiquette workshop</i>	<i>Bluebonnet Campus - prepares CTE instructors to teach job search skills - increases campus's overall placement rate.</i>	<i>\$ 1,000</i>
<i>Other</i>	<i>Betty Smith – LVN Nursing Evaluator</i>	<i>Prepares NCLEX-PN® diagnostic report on identified areas of low test performance – increases pass rates.</i>	<i>\$ 2,000</i>

#### **7.4.5.2 Administering Cost Items under Schedule D**

The Awarded Applicant shall:

- conduct all procurement transactions in a manner that provides, to the maximum extent practical, open and free competition (2 CFR §200.319);
- base consultant/contractor selection on demonstrated competence, qualifications and experience, and the reasonableness of the proposed fee;
- base fees on the Awarded Applicant's purchasing policy and may include reimbursement for materials, travel, and other actual costs associated with the consultant/contractor services;
- follow a formal procurement process, including a bidding process, when using a subcontract, including (a) compliance with suspension and debarment by performing a verification check including a Sam.gov verification, (b) collecting a certification from the entity, and (c) adding a clause with specific terminology to address suspension and debarment requirements (see Section 11 of this RFA for more information on suspension, debarment, and certification and 2 CFR §200.212);
- maintain procurement records for purchases in excess of the small purchase threshold that include the following information at a minimum: (a) basis for contractor selection, (b) justification for lack of competition when competitive bids or offers are not obtained, and (c) basis for award cost or price (2 CFR §200.320);
- require the consultant or subcontractor to meet the same requirements for purchasing, equipment, and other inventoried items as the Awarded Applicant;
- pay the consultant or contractor on a reimbursement basis;
- retain all executed contracts for consultant/contractor services for a minimum of seven years;
- ensure that consultants and contractors paid with Grant funds do not derive any portion of their regular salary from other Perkins Act sources; and
- ensure Historically Underutilized Businesses (HUBs) are solicited whenever they are potential sources (2 CFR §200.321).

#### **7.4.6 Schedule E: Sub-Grants**

Schedule E: Sub-Grants shall not be used as part of the Basic Perkins Program.

#### **7.4.7 Schedule F: Operating Expenses, Services, and Books**

Schedule F shall identify all other allowable direct costs (other than those identified in Schedules A-D).

Entry Format: *Grant Activity (1-8), the campus (if applicable), the program or activity for which the item is being purchased, the number of units to be purchased and the unit cost of the item (if more than one unit is to be purchased), a description of the item, and the total cost*

I. Activity	II. Description	III. Amount
<i>Professional Development</i>	<i>South Campus – CTE Department– (5 @ varies) Registration fees for conferences on Schedule B.</i>	<i>\$ 3,000</i>
<i>Upgrade Curriculum</i>	<i>North Campus – Automotive Technology – (5 @ \$1,400) Engine stands</i>	<i>\$ 7,000</i>
<i>Special populations</i>	<i>Child care vouchers – (Approx. 35 students @ \$1,000 for the fall and spring semesters)</i>	<i>\$35,000</i>

**All marketing/outreach materials bought with grant funds MUST incorporate TEXASgenuine. For more information on the TEXASgenuine campaign, please visit <http://materials.texasgenuine.org>.**

#### **7.4.8 Schedule G: Administration/Indirect Cost**

The Administration/Indirect Cost to the Grant is limited to **no more than** five percent of the total direct expenditures. There are two allowable methods for arriving at the Administration/Indirect Cost, of which the Applicant shall choose one:

Indirect Method. The Applicant has a federally approved Indirect Cost Plan on file and makes it available upon request.

Allocation Method. The Applicant has a calculation projection on file, available upon request, showing that administrative cost is at least five percent.

I. Description	II. Amount
Allocation Method: Institution must have a calculation projection on file.	\$ 6,152

#### **7.5 CERTIFICATION REGARDING LOBBYING (APPENDIX C)**

The Certification Regarding Lobbying Form shall be completed and returned with an original signature from the Applicant's representative who is authorized to bind the Applicant. The Form must be scanned and emailed to [Perkins@theccb.state.tx.us](mailto:Perkins@theccb.state.tx.us) by July 25, 2016. Additional information is available in Section 12 of this RFA.

## **8 APPLICATION EVALUATION**

The Coordinating Board staff will review the Application for completeness and adherence to the requirements of this RFA, and may seek clarification from the Applicant about the Application at any time from the date of submission to the date of grant execution. An Application may be returned if Coordinating Board staff determine that it is incomplete or fails to adhere to the requirements of this RFA or the if Applicant fails to respond to questions or concerns from the Coordinating Board staff or to make corrections to the Application within a reasonable period of time. The Coordinating Board has final authority to approve an Application and to determine the appropriateness of budget items.

## **9 PROVISIONS AND ASSURANCES**

### **9.1 COST OF APPLICATION PREPARATION**

All costs associated with the preparation and submissions of an Application for this RFA are the responsibility of the Applicant(s). These costs shall not be chargeable to Coordinating Board by any Applicant(s).

### **9.2 APPLICATION DELIVERY AND LATE APPLICATIONS**

**9.2.1** Applications must be submitted by an authorized agent of the Applicant(s).

**9.2.2** Applications shall be considered to be "on time" if they are received on or before the established deadline date and time. Applicant(s) shall be solely responsible for ensuring that Application is received by the Coordinating Board prior to the deadline outlined in this RFA. The Coordinating Board shall not be responsible for failure of electrical or mechanical equipment, operator error, or inability of a delivery agent, if applicable, to deliver an Application prior to the deadline. Failure to respond in a timely manner to this request may result in Applicant losing the opportunity to receive a Grant. A late Application, regardless of circumstances, may not be evaluated or considered for award.

### **9.3 CONFLICT OF INTEREST**

Applicant(s) must disclose any existing or potential conflicts of interest relative to the performance of the requirements of this RFA. Failure to disclose a conflict of interest may be cause for disqualification of an Application or termination of a Grant resulting from this RFA. If, following a review of this information, it is determined by the Coordinating Board that a conflict of interest exists, Applicant(s) may be disqualified from further consideration. Awarded Applicant is responsible for providing information for any current and/or future conflicts of interest that may arise. The Applicant is required to report all such information as soon as it becomes aware of the conflict of interest. As allowed by applicable law, failure to do so can be a valid reason to terminate the Grant.

### **9.4 GRANT AWARD**

**9.4.1** A Grant Award will be negotiated with those institutions that are selected through the evaluation process to have successful Applications. Submission of an Application confers no rights of Applicant to an award or to a subsequent Grant Award, if there is one. The issuance of this RFA does not guarantee that a Grant will ever be awarded. The Coordinating Board reserves the right to amend the terms and provisions of the RFA, negotiate with Applicant, add, delete, or modify the Grant and/or the terms of Application submitted, extend the deadline for submission of Application, or withdraw the RFA entirely for any reason solely at the Coordinating Board's

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discretion. An individual Application may be rejected if it fails to meet any requirement of this RFA. The Coordinating Board may seek clarification from Applicant at any time, and failure to respond within three business days is cause for rejection of an Application. Any and all additional terms and conditions resulting from subsequent reauthorization of the Perkins Act will be incorporated into the Grant Award.

**9.4.2** Upon issuance of a Grant Award resulting from this RFA, the term "Eligible Applicant" or "Applicant" shall have the same meaning as "Awarded Applicant." Likewise, the terms "Request for Applications" and "Application" shall have the same meaning as the terms "Grant Award," "Grant," or "Contract."

## **9.5 PAYMENT TERMS**

**9.5.1** Funds shall be provided on a cost reimbursement basis. The final reimbursement payment shall be based upon actual expenditures for the Program, up to the amount provided for in the Grant Award.

**9.5.2** Awarded Applicant shall submit expenditure reports for reimbursement in the time and manner requested by the Coordinating Board as specified in Appendix G, Reporting Requirements. Expenditure reports may be submitted electronically on form CB 100 any time during the project period but shall be submitted at least quarterly.

**9.5.3** All encumbrances/obligations shall occur on or between the beginning and ending dates of the federal funding period. All goods must be received and all services rendered between the beginning and ending dates of the Federal Funding Period. The Awarded Applicant must liquidate (record as an expenditure) all obligations (encumbrances) incurred under the Grant Award no later than 30 days after the ending date of the Federal Funding Period, to coincide with the submission of the final expenditure report, due 30 days after the ending date of the Federal Funding Period. In no manner shall encumbrances be considered or reflected as accounts payable or as expenditures, and an encumbrance cannot be considered an expenditure or accounts payable until the goods have been received and the services have been rendered. Obligations that are liquidated and recognized as expenditures must meet the allowable cost principles in the Uniform Grant Guidance 2 CFR Chapter I, Chapter II, Part 200, et al., and program rules, regulations, and guidelines contained elsewhere.

**9.5.4** As consistent with applicable law (e.g., 2 CFR §200.207), payments described in this RFA are contingent upon Awarded Applicant's compliance with applicable federal and state requirements and performance goals being achieved, as determined by the Coordinating Board's Point of Contact.

## **9.6 CONFIDENTIAL AND/OR PROPRIETARY INFORMATION**

During the performance of the project implemented under a Grant Award resulting from this RFA, Awarded Applicant may have access to data, information, files, and/or materials (collectively referred to as "data"), which are the property of the Coordinating Board or a public school district. These data shall be handled in a method that concurs with all Family Educational Rights and Privacy Act (FERPA) regulations and guidelines.

Applicant agrees to comply with FERPA, 20 U.S.C. Section 1232g, and the implementing federal regulations, 34 CFR Part 99. Applicant agrees (1) to protect any confidential student information it receives or accesses that could make a student's identity traceable, and (2) any confidential data

analysis or report shall not be disclosed to any third party without the Coordinating Board's prior written consent.

Awarded Applicant shall have a system in effect to protect all data received or maintained in connection with the activities of this RFA. Awarded Applicant agrees to use its best efforts to preserve the safety, security, and integrity of the data, and to ensure the privacy and confidentiality of all data. Any disclosure or transfer of proprietary information by Awarded Applicant shall be in accordance with applicable federal or Texas law.

## **9.7 RELEASE OF INFORMATION BY AWARDED APPLICANT**

**9.7.1** Awarded Applicant shall NOT release any data that is not FERPA compliant. Failure to follow the guidelines established may result in immediate termination of the Grant Award, as allowed by applicable law.

**9.7.2** Except for when Awarded Applicant has received prior written approval from the Coordinating Board, Awarded Applicant agrees to notify the Coordinating Board Point of Contact prior to releasing any information to the news media regarding the activities being conducted under the Grant Award resulting from this RFA.

## **9.8 RELEASE OF APPLICATION INFORMATION BY THE COORDINATING BOARD**

**9.8.1** *Public Information Act.* Awarded Applicant understands and acknowledges that as a Texas state agency, the Coordinating Board is subject to the provisions of the Texas Public Information Act, Government Code, Chapter 552 as interpreted by judicial opinions and the opinion of the Attorney General of the state of Texas. Awarded Applicant will cooperate with the Coordinating Board in the production of documents responsive to any such requests under the Public Information Act. The Coordinating Board will make a determination whether to submit a Public Information Act request to the Attorney General.

**9.8.2** Upon issuance of the Grant Award, all information submitted with Applicant's Application becomes part of the Grant Award and becomes public record. Therefore, such information is subject to disclosure under the Texas Public Information Act, unless an exception under the Texas Public Information Act is applicable.

**9.8.3** Any proprietary information included in Applicant's Application shall be subject to disclosure unless such proprietary information was clearly identified by Applicant **(such marking shall be in boldface type of at least 14 point font)**, and such identification was submitted concurrently with the original submission of the proprietary information. Additionally, Applicant shall state the specific reason(s) an exception from the Texas Public Information Act is being claimed concurrently with the original submission of the proprietary information.

**9.8.4** If Awarded Applicant(s) fails to clearly identify proprietary information with the original submission of the proprietary information, then those Sections will be deemed non-proprietary and made available upon public request after the Grant is awarded. The production of any material under the Grant shall not have the effect of violating or causing the Coordinating Board to violate any law, including the Texas Public Information Act.

## **9.9 NONCOMPLIANCE**

As consistent with applicable law (e.g., 2 CFR §200.338-342), if Awarded Applicant, in the Coordinating Board's sole determination, fails or refuses for any reason to comply with or perform any of its obligations under the Grant Award, the Coordinating Board may impose such remedies as it may deem appropriate. This includes but is not limited to the withholding of payments to Awarded Applicant until Awarded Applicant complies; the cancellation, termination, or suspension of this Grant Award in whole or in part; and the seeking of other remedies that may be legally available. Any cancellation, termination, or suspension of this Grant, if imposed, shall become effective at the close of business on the day of Awarded Applicant's receipt of written notice thereof from the Coordinating Board.

## **9.10 AMENDMENT AND TERMINATION**

**9.10.1 *Amendment.*** Any amendment or change to the Grant Award which becomes necessary shall be accomplished by a formal Grant Award amendment signed and approved by duly authorized representatives of Awarded Applicant and the Coordinating Board. None of the parties to the Grant Award will be bound by any oral statements, agreements, or representations contrary to the written Grant Award requirements and terms and conditions.

**9.10.2 *The Coordinating Board's Right to Termination.*** As consistent with applicable law (e.g., 2 CFR §200.338-342), the Coordinating Board may terminate the Grant Award, in whole or in part for non-compliance.

**9.10.3 *Effect of Termination.*** As consistent with applicable law (e.g., 2 CFR §200.338-342), upon receipt of written notice to terminate, Awarded Applicant shall promptly discontinue its work on the project (unless the notice directs otherwise), and shall deliver or otherwise make available to the Coordinating Board, a summary of work products (e.g., the required Project components) developed by Awarded Applicant under the Grant Award, whether completed or in process. Upon any termination, all indemnities, including without limitation those set forth in the Grant Award, as well as Grant Award provisions regarding confidentiality, records retention, and right to audit shall survive the termination of the Grant Award for any reason whatsoever and shall remain in full force and effect. The Coordinating Board shall be liable to Awarded Applicant for that portion of the project authorized by the Coordinating Board and which has been completed prior to the effective date of termination, provided that the Coordinating Board shall not be liable for any work performed that is not acceptable to the Coordinating Board and/or does not meet Grant Award requirements.

**9.10.4** In the event of termination, the Coordinating Board reserves the right to negotiate another award based on another Applicant's submission if it is in the state's best interest.

## **9.11 NOTICE**

Any notice or written communication between the parties shall be considered delivered when postmarked, except that such notice or written communications sent by certified mail, return receipt requested, or delivered in person to the authorized representative of the party designated in accordance with the Grant Award shall be considered to be delivered when received.

## **9.12 ASSIGNMENT OR SUBCONTRACTING**

No rights, interest, or obligations in a Grant Award resulting from this RFA shall be assigned, subcontracted, or delegated by Awarded Applicant without prior written permission of the Coordinating Board Point of Contact. Any attempted assignment or delegation by Awarded Applicant shall be wholly void and totally ineffective for all purposes unless made in conformity with this paragraph. No assignment or subcontract shall relieve Awarded Applicant of any responsibility under this RFA.

Awarded Applicant represents and warrants that it will incorporate all applicable federal laws, regulations, and terms and conditions into any assignment or subcontracting entered into in conformity with this Paragraph.

## **9.13 LIABILITY AND INDEMNIFICATION**

### **9.13.1 LIABILITY**

**9.13.1.1** Neither Coordinating Board review, approval, or acceptance of, nor reimbursement for any of the project hereunder shall be construed to operate as a waiver of any rights under the Grant Award, or of any cause of action arising out of the performance of the work required by the Grant Award.

**9.13.1.2** The Coordinating Board shall have no liability except as specifically provided by law.

**9.13.1.3 *Sovereign Immunity.*** The Coordinating Board and Awarded Applicant stipulate and agree that no provision of, or any part of the Grant Award between the Coordinating Board and Awarded Applicant, or any subsequent change order, amendment, or other Grant Award modification shall be construed: (1) as a waiver of the doctrine of sovereign immunity or immunity from suit as provided for in the Texas Constitution and the Laws of the State of Texas; (2) to extend liability to the Coordinating Board beyond such liability provided for in the Texas Constitution and the Laws of the State of Texas; or (3) as a waiver of any immunity provided by the 11th Amendment or any other provision of the United States Constitution or any immunity recognized by the Courts and the laws of the United States.

**9.13.2 INDEMNIFICATION** To the extent allowed by law, Awarded Applicant agrees to indemnify, defend and hold harmless the State of Texas, the Coordinating Board, as well as officers, agents, and employees of the Coordinating Board from any liability, for any and all claims, demands, fees, suits or actions of any nature whatsoever, including but not limited to personal injury or illness, bodily injury (including death) and property damage occurring in connection with or in any way incident to or arising out of the use, service, operation or performance of the Project under the terms of the Grant Award, except claims, demands, fees, suits or actions arising from any negligence by the Coordinating Board, its officers, agents, employees, contractor, subcontractors or any negligence of a third party, its (their) officers, agents, employees, contractors, subcontractors. The Coordinating Board shall give Awarded Applicant written notice of each such claim or suit and full right and opportunity to conduct Awarded Applicant's own defense thereof, together with full information and all reasonable cooperation. Awarded Applicant shall coordinate its defense with the Texas Attorney General as requested by the Coordinating Board.

**9.13.3** Additionally, if Awarded Applicant requires or desires to use any design, trademark, device, material or process covered by letters of patent or copyright, Awarded Applicant shall

indemnify, defend and hold harmless, to the extent allowed by law, the State of Texas, the Coordinating Board, as well as officers, agents, and employees of the Coordinating Board, from any liability, for any and all claims, demands, fees, suits or actions of any nature whatsoever, from any and all claims for infringement by reason of the use of any such patented design, device, trademark, copyright, material or process in connection with the Project and shall indemnify (to the extent allowed by law) the State of Texas, the Coordinating Board, as well as officers, agents, and employees of the Coordinating Board, from any cost, expense, royalty or damage which the State of Texas, the Coordinating Board, as well as officers, agents, and employees of the Coordinating Board may be obligated to pay by reason of any infringement at any time during the performance of or after completion of the Project. Awarded Applicant represents and warrants that it has determined what licenses, patents, and permits are required under the Grant Award and has lawfully acquired all such licenses, patents, and permits.

**9.13.4** Notwithstanding any indemnification clause, the Coordinating Board shall have full authority to conduct its own defense, negotiations, and settlements, but Awarded Applicant's indemnification nevertheless remains in full force and effect. Any settlement shall only be reimbursable by Awarded Applicant if Awarded Applicant approves such settlement in advance, and any liability upon unsuccessful defense shall only be reimbursable by Awarded Applicant if Awarded Applicant has full opportunity to participate equally in the defense of the action.

#### **9.14 INTELLECTUAL PROPERTY OWNERSHIP**

Awarded Applicant agrees that all Works (the term "Works" is defined as "all tangible or intangible material, products, ideas, documents or works of authorship prepared or created by Awarded Applicant for this Grant Award") are, upon creation, works made for hire and the sole property of the Texas Education Agency ("TEA.") If the Works are, under applicable law, not considered works made for hire, Awarded Applicant hereby assigns to TEA all worldwide ownership of all rights, including the Intellectual Property Rights, in the Works, without the necessity of any further consideration, and TEA can obtain and hold in its own name all such rights to the Works. Awarded Applicant agrees to maintain written agreements with all officers, directors, employees, agents, representatives and subcontractors engaged by Awarded Applicant for the Contract Project, granting Awarded Applicant rights sufficient to support the performance and grant of rights to TEA by Awarded Applicant. Copies of such agreements shall be provided to TEA promptly upon request.

Awarded Applicant warrants that (i) it has the authority to grant the rights herein granted, (ii) it has not assigned or transferred any right, title, or interest to the Works or Intellectual Property Rights that would conflict with its obligations under the Contract, and Awarded Applicant will not enter into any such agreements, and (iii) the Works will be original and will not infringe any intellectual property rights of any other person or entity. These warranties will survive the termination of the Contract. If any preexisting rights are embodied in the Works, Awarded Applicant grants to Coordinating Board and TEA the irrevocable, perpetual, non-exclusive, worldwide, royalty-free right and license to (i) use, execute, reproduce, display, perform, distribute copies of, and prepare derivative works based upon such preexisting rights and any derivative works thereof and (ii) authorize others to do any or all of the foregoing. Awarded Applicant agrees to notify Coordinating Board on delivery of the Works if they include any such preexisting rights. On request, Awarded Applicant will provide Coordinating Board with documentation indicating a third party's written approval for Awarded Applicant to use any preexisting rights that may be embodied or reflected in the Works.

For Colleges and Universities: The foregoing Intellectual Property Ownership provisions apply to any colleges and universities and their employees, agents, representatives, consultants, and



subcontractors; provided, that for all Works and derivative works created or conceived by colleges or universities under the Contract, they are granted a non-exclusive, non-transferable, royalty-free license to use the Works for their own academic and educational purposes only. The license for academic and educational purposes specifically excludes advertising, offering for sale, selling, distributing, publicly displaying, publicly performing, or reproducing the Works, or making derivative works from the Works that are created or conceived under this Contract and colleges and universities and their employees, agents, representatives, consultants, and subcontractors are prohibited from engaging in these uses and activities with regard to the Works unless the prior express written permission of the TEA Copyright Office is obtained.

#### **9.15 SEVERABILITY AND STRICT PERFORMANCE**

The invalidity, illegality, or unenforceability of any provisions of the Grant Award shall in no way affect the validity, legality, or enforceability of any other provisions. Each and every right granted to the Coordinating Board and Awarded Applicant hereunder or under any other document delivered hereunder or in connection herewith, or allowed them by law or equity, shall be cumulative and may be exercised from time to time. Failure by the Coordinating Board or Awarded Applicant at any time to require strict performance of any Grant provision or obligation contained herein shall not constitute a waiver or diminish the rights of either party thereafter to demand strict compliance. Neither Coordinating Board review, approval, acceptance of, nor reimbursement for any of the services carried out in the Grant shall be construed to operate as a waiver of any rights under the Grant, or of any cause of action arising out of the services required by the Grant.

#### **9.16 CONFLICTING RFA LANGUAGE**

In the event that language contained in a particular Section of the RFA is found to be in conflict with language in another Section, the most stringent requirement(s) shall prevail.

In the case of conflicts arising in the interpretation of wording and/or meaning of various sections, parts, General Provisions, Special Provisions, Exhibits, and Attachments or other documents, the Coordinating Board Contract and its General Provisions, Appendices and Special Provisions shall take precedence over all other documents which are a part of this Contract.

#### **9.17 MONITORING**

Pursuant to this Grant, 34 CFR §80.40 and 2 CFR §200, Subpart F, desk reviews and/or on-site monitoring reviews may be conducted by the Coordinating Board or its designee to determine compliance with the approved Application and the applicable statute(s), law(s), regulations, and guidelines.

#### **9.18 ACCOUNTING SYSTEM**

Awarded Applicant assures it will maintain a financial management system that complies with federal standards established in 34 CFR Sections 80.20 and 74.21, as applicable, and that provides for accurate, current, and complete disclosure of the financial results of each grant project. The financial management system records will identify adequately the source and application of funds and will contain information pertaining to grant awards, authorizations, obligations, unobligated balances, assets, outlays, income and interest. Fiscal control and accounting procedures will permit the tracing of funds to a level of expenditure adequate to establish that funds have been used in accordance with the approved Grant Application. Awarded Applicant agrees to maintain effective

control over and accountability for all funds, property, and other assets. In addition, Awarded Applicant shall have an accounting system that accounts for cost in accordance with generally accepted accounting principles. Awarded Applicant's accounting system must include an accurate and organized file/records system for accounting and financial purposes for providing backup materials for billings.

## **9.19 AUDIT AND ACCESS TO RECORDS**

**9.19.1** Pursuant to Texas Government Code §2262.003, Awarded Applicant acknowledges that acceptance of funds under the Grant Award acts as acceptance of the authority of (1) the Texas State Auditor's Office, or any successor agency, (2) the Texas State Auditor's Office or any successor agency, under the direction of the Texas Legislative Audit Committee, (3) the Coordinating Board's Internal Auditor, and (4) any external auditors selected by the Coordinating Board or any auditors selected by the United States, (Collectively referred to as "Audit Entities") to conduct an audit or investigation in connection with those funds. Awarded Applicant further agrees to cooperate fully with Audit Entities in the conduct of the audit or investigation, including providing all records requested. Awarded Applicant shall ensure that this clause concerning the authority to audit funds received indirectly by subcontractors through Awarded Applicant and the requirement to cooperate is included in any subcontract Awarded Applicant awards.

**9.19.2** Awarded Applicant shall maintain its records and accounts in a manner which shall assure a full accounting for all funds received and expended by Awarded Applicant in connection with the Project. The financial management system records will identify adequately the source and application of funds and will contain information pertaining to grant awards, authorizations, obligations, unobligated balances, assets, outlays (i.e., expenditures), income, and interest. Fiscal control and accounting procedures will permit the tracing of funds to a level of expenditure adequate to establish that funds have been used in accordance with the Approved Application. The Applicant agrees to maintain effective control over and accountability for all funds, property, and other assets. These records and accounts (which includes all receipts of expenses incurred by Awarded Applicant) shall be retained by Awarded Applicant and made available for inspecting, monitoring, programmatic or financial auditing, or evaluation by the Coordinating Board and by others authorized by law or regulation to do so for a period of not less than seven (7) years from the date of completion of the Project or the date of the receipt by the Coordinating Board of Awarded Applicant's final claim for reimbursement or final expenditure report or until a resolution of all billing questions in connection with the Grant, whichever is later. If an audit has been announced, the records shall be retained until such audit has been completed. As consistent with applicable law, Awarded Applicant shall make available at reasonable times and upon reasonable notice, and for reasonable periods, all documents and other information related to the Project carried out under the Grant. Awarded Applicant and any subcontractors shall provide any Audit Entities with any information the entity deems relevant to any monitoring, investigation, evaluation, or audit.

**9.19.3** Awarded Applicant's failure to comply with this "Audit and Access to Records" section shall constitute, as allowed by applicable law, a material breach of the Grant.

## **9.20 SUBMISSION OF AUDIT REPORTS TO COORDINATING BOARD**

Awarded Applicants that expend \$750,000 or more total in federal awards in any fiscal year and are thus required to conduct a Single Audit or program-specific audit in accordance with the requirements in 2 CFR §200, Subpart F, agree to submit a copy of such audit to the Coordinating

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Board when the schedule of findings and questioned costs disclosed audit findings relating to any federal awards provided by the Coordinating Board. A copy of such audit shall also be submitted to the Coordinating Board if the summary schedule of prior audit findings reported the status of any audit findings relating to any federal awards provided by the Coordinating Board.

An Awarded Applicant shall provide written notification to the Coordinating Board that an audit was conducted in accordance with 2 CFR §200, Subpart F when the schedule of findings and questioned costs disclosed no audit findings related to any federal awards provided by the Coordinating Board or when the summary schedule of prior audit findings did not report on the status of any prior audit findings related to any federal awards provided by the Coordinating Board. Nonprofit organizations (other than charter schools) and universities/colleges shall submit the audit report to the Coordinating Board Division of Financial Services. Audit reports must be submitted to the Coordinating Board within 30 days of receipt of the report from the auditor. Failure to submit a copy of the audit to the Coordinating Board could result in a reduction of funds paid to the Awarded Applicant, a refund to the Coordinating Board, termination of the Contract, and/or ineligibility to receive additional grant awards from the Coordinating Board.

Entities that expend less than \$750,000 in a fiscal year in federal awards are exempt from the audit requirements in the Single Audit Act and 2 CFR §200, Subpart F. However, such entities are not exempt from other federal requirements (including those to maintain records) concerning federal awards provided to the entity. The entity's records must be available for review or audit by the appropriate officials of federal agencies, pass-through entities, and the General Accounting Office (GAO).

#### **9.21 REFUNDS DUE TO COORDINATING BOARD**

As consistent with applicable law, the Coordinating Board reserves the right to require the reimbursement of any over-payments determined as a result of any audit or inspection of records kept by Awarded Applicant on work performed under the Grant. Awarded Applicant shall reimburse the Coordinating Board within 30 calendar days of receipt of notice from the Coordinating Board of overpayment. If Awarded Applicant fails to make timely payment, the Coordinating Board may obtain such money from Awarded Applicant by any means permitted by law, including but not limited to offset, counterclaim, cancellation, termination, suspension, total withholding, and/or disapproval of all or any subsequent applications for said funds. This section (Refunds Due To the Coordinating Board) survives the termination of the Contract.

If the Awarded Applicant determines that funds must be returned to the Coordinating Board, the Awarded Applicant must contact the Coordinating Board for refund instructions.

The disposal of equipment with a current per unit fair market value in excess of \$5,000 or unused supplies with a total aggregate fair market value in excess of \$5,000 that were purchased with federal grant funds must be catalogued and submitted to the Coordinating Board on the Perkins Inventory Disposition Request Form (located at [www.thecb.state.tx.us/Perkins](http://www.thecb.state.tx.us/Perkins)).

#### **9.22 NON-APPROPRIATION OF FUNDS**

As consistent with applicable law (e.g., 2 CFR §200.207), the Grant may be terminated if funds allocated to the Coordinating Board should become reduced, depleted, or unavailable during the Grant Period, and to the extent that the Coordinating Board is unable to obtain additional funds for such purposes. The Coordinating Board shall negotiate efforts as first consideration and if such efforts fail, then the Coordinating Board shall immediately provide written notification to the

Awarded Applicant of such fact and the Grant shall be deemed terminated upon receipt of the notification, and neither party shall have any further rights or obligations hereunder. Awarded Applicant shall not incur new obligations after the effective date of termination and shall cancel as many outstanding obligations as reasonably practicable. The Coordinating Board shall be liable for costs incurred up to the time of such termination. Under no circumstances shall this RFA or any provisions herein be construed to extend the duties, responsibilities, obligations, or liabilities of the State of Texas or the Coordinating Board beyond the then existing biennium.

### **9.23 REPORTING REQUIREMENTS**

Awarded Applicant shall be required to complete performance and expenditure reports as part of this RFA. Information about those requirements is included in Appendix G.

### **9.24 STATE FISCAL COMPLIANCE GUIDELINES**

The standard financial management conditions and uniform assurances set out in the following pages are applicable to all grants, cooperative agreements, contracts and other financial assistance arrangements executed between state agencies, local governments and any other subrecipient not specifically excluded by state or federal law. All applicable conditions and uniform assurances can be found in the *Uniform Grant Management Standards* at <http://comptroller.texas.gov/procurement/catrad/ugms.pdf>

### **9.25 APPLICABLE LAW AND VENUE**

The Grant Award and any incorporated documents shall be governed by and construed in accordance with the laws of the State of Texas. The exclusive venue of any suit brought concerning the Grant Award and any incorporated documents is fixed in any Court of competent jurisdiction in Travis County, Texas, and all reimbursements under the Grant shall be due and payable in Travis County, Texas.

### **9.26 APPLICANT RESPONSIBILITIES**

Applicant shall comply with all federal, state and local laws, statutes, ordinances, rules and regulations and the orders and decrees of any court or administrative bodies or tribunals in any matter affecting the performance of the Grant, including, if applicable, workers compensation laws, compensation statutes and regulations, and licensing laws and regulations. Applicant shall also comply with all terms and conditions in federal rules, laws and regulations referenced in Section 10.9, Section 10.10, Section 10.11, Section 11, and Appendix C (Certification Regarding Lobbying and other certifications) of this RFA. Applicant shall also comply with all applicable Education Department Administrative Regulations (EDGAR) and all applicable Office of Management and Budget Circulars (OMB) regarding applicable costs, administrative requirements, and audit requirements. All these additional federal terms and conditions are herein incorporated for all purposes into the Grant. When requested to do so by the Coordinating Board, Applicant shall furnish the Coordinating Board with satisfactory proof of its compliance.

### **9.27 KEY PERSONNEL**

Awarded Applicant, in its reasonable discretion, reserves the right to substitute appropriate key personnel to accomplish its duties so long as the substituted personnel are equally qualified and skilled in the tasks necessary to accomplish the Project. Awarded Applicant shall provide to the Coordinating Board prior written notice of any proposed change in key personnel (as submitted in

Grant Application Cover Page, Appendix B) involved in accomplishing the Project. No substitutions of key personnel will be made without the prior written consent of the Coordinating Board. All requested substitutes must be submitted to the Coordinating Board as described in Appendix K, Changes to Grant Plan or Budget. The key personnel that will be assigned to work on the Project are considered to be essential to the accomplishing the work.

### **9.28 ELIGIBILITY/AUTHORIZATION TO WORK IN THE UNITED STATES**

Awarded Applicant shall ensure that all personnel provided to perform work under the Contract possess proof of eligibility/authorization to work in the United States in compliance with the Immigration Reform and Control Act of 1986, the Immigration Act of 1990, and the Illegal Immigration Reform and Immigrant Responsibility Act of 1996. Awarded Applicant shall maintain written records on all personnel provided under the Contract and shall provide such records to the Coordinating Board upon request. Failure to maintain and provide records upon request shall represent a material breach of this Contract and the Coordinating Board shall have the right to terminate the Contract for cause. Awarded Applicant shall ensure this section is included in all subcontracts it is authorized by the Coordinating Board to enter.

### **9.29 TIME AND EFFORT RECORDKEEPING**

For those personnel whose salaries are prorated between or among different funding sources, time and effort records shall be maintained by Awarded Applicant that will confirm the services provided within each funding source. Awarded Applicant must adjust payroll records and expenditures based on this documentation. Time and effort records shall be in accordance with the requirements in the applicable consistent with 2 CFR §200.

### **9.30 FORMS, ASSURANCES, AND REPORTS**

Awarded Applicant shall make timely and file with the proper authorities all forms, assurances and reports required by federal laws and regulations. The Coordinating Board shall be responsible for reporting to the proper authorities any failure by Awarded Applicant to comply with the foregoing laws and regulations coming to the Coordinating Board's attention, and may deny payment or recover payments made by the Coordinating Board to Awarded Applicant in the event of Awarded Applicant's failure so to comply.

### **9.31 FAMILY CODE APPLICABILITY**

By accepting the Grant Award, Awarded Applicant, if other than a state agency or a non-profit, certifies that under Section 231.006, Family Code, that Awarded Applicant is not ineligible to receive payment under this Grant and acknowledges that this Grant Award may be terminated (consistent with 2 CFR §200.338-342) and reimbursement may be withheld if this certification is inaccurate. Coordinating Board reserves the right to terminate this Grant if Awarded Applicant is found to be ineligible to receive payment. If Awarded Applicant is found to be ineligible to receive payment and the Grant is terminated, Awarded Applicant is liable to the Coordinating Board for attorney's fees, the costs necessary to complete the Grant, including the cost of advertising and awarding a second Grant, and any other damages or relief provided by law or equity.

## **9.32 AFFIRMATION CLAUSES**

Applicant has not given, offered to give, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, travel, favor, or service to a Coordinating Board public servant, including employees, in connection with the submitted response.

Neither Applicant nor the firm, corporation, partnership, entity, or institution represented by Applicant or anyone acting for such firm, corporation, partnership, entity, or institution has (1) violated the antitrust laws of the State of Texas under Texas Business & Commerce Code, Chapter 15, or the federal antitrust laws, or (2) communicated the contents of this Application either directly or indirectly to any competitor or any other person engaged in the same line of business during the procurement process for this RFA.

If applicable, the Texas business address shown herein is, in fact, the legal business address of Applicant and Applicant qualifies as a Texas Resident Bidder under Texas Government Code Chapter 2252.

Under Texas Government Code Section 2155.004, no person who was compensated by the Coordinating Board to assist in preparing the RFA specifications or this RFA has any financial interest in Applicant's Application. If Applicant is not eligible, then any Grant Award resulting from this RFA shall be immediately terminated. Further, under Section 2155.004, Texas Government Code, Applicant certifies that the individual, state agency, or business entity named in the Application is not ineligible to receive the specified Grant Award and acknowledges that this Grant Award may be terminated and payment withheld if this certification is inaccurate.

The Coordinating Board is federally mandated to adhere to the directions provided in the President's Executive Order (EO) 13224, Executive Order on Terrorist Financing – Blocking Property and Prohibiting Transactions With Persons Who Commit, Threaten to Commit, or Support Terrorism, effective 9/24/2001 and any subsequent changes made to it via cross-referencing Applicants with the Federal General Services Administration's System for Award Management (SAM, <http://www.sam.gov>), which is inclusive of the United States Treasury's Office of Foreign Assets Control (OFAC) Specially Designated National (SDN) list. Applicant is not so prohibited from entering into this contract. Moreover, Applicant further certifies that the responding entity and its principals are eligible to participate in this transaction and have not been subjected to suspension, debarment, or similar ineligibility determined by any federal, state or local governmental entity and that Applicant is in compliance with the State of Texas statutes and rules relating to procurement and that Applicant is not listed on the federal government's terrorism watch list as described in Executive Order 13224. (Entities ineligible for federal procurement are listed at [www.gsa.gov/portal/category/106579](http://www.gsa.gov/portal/category/106579).)

Under Section 2155.006(b) of the Texas Government Code, a state agency may not accept a bid or award a contract, including a contract for which purchasing authority is delegated to a state agency, that includes proposed financial participation by a person who, during the five-year period preceding the date of the bid or award, has been: (1) convicted of violating a federal law in connection with a contract awarded by the federal government for relief, recovery, or reconstruction efforts as a result of Hurricane Rita, as defined by Section 39.459(a)(2), Texas Utilities Code, Hurricane Katrina, or any other disaster occurring after September 24, 2005; or (2) assessed a penalty in a federal civil or administrative enforcement action in connection with a contract awarded by the federal government for relief, recovery, or reconstruction efforts as a result of Hurricane Rita, as defined by Section 39.459(a)(2), Texas Utilities Code, Hurricane Katrina, or any other disaster occurring after September 24, 2005. Under Section 2155.006 of the Texas

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Government Code, Applicant certifies that the individual or business entity named in this Application is not ineligible to receive a contract resulting from this RFA and acknowledges that any contract resulting from this RFA may be terminated and payment withheld if this certification is inaccurate.

## **10 SPECIAL CONTRACT PROVISIONS AND ASSURANCES**

The following Special Provisions and Assurances apply to all projects funded under the Perkins Act.

### **10.1 DESK REVIEWS**

General ledgers, travel receipts, purchase orders, invoices, Time and Effort reports or Certification Statements, sub-grants, subcontracts or other expense documentation supporting each budget line item shall be provided upon request for review.

For the sub-grant and subcontracts, review will ensure the following were included on each sub-grant or subcontract:

1. CFDA# 84.048A and reference to "Perkins Basic Grant Program"
2. Requirement to comply with Federal law and regulations
3. Suspension and Debarment verification
4. Services to be Performed
5. Deliverables
6. Due Dates
7. Amount of Award
8. Time Period of Award

### **10.2 SOCIAL ACTIVITIES EXPENDITURES**

Amusement, social activities, and incidental entertainment costs such as alcoholic beverages, gratuities, door prizes, and gifts are not allowable expenditures under this Grant. Meals are allowable only when business is being conducted during the meal and a reasonable argument can be made for such expenditure.

### **10.3 REGISTRATION FEES**

Registration fees may be charged for meetings, conferences, and other activities sponsored or funded by The Perkins Act.

### **10.4 SPECIAL FUND RESTRICTIONS**

- No funds received under the Perkins Act may be used to provide career and technical education programs to students prior to the seventh grade, except that equipment and facilities purchased with funds under the Perkins Act may be used by such students.
- The acquisition of furniture (e.g., desks, chairs, book cases, file cabinets, tables) is not allowable unless it is an integral part of an equipment workstation for instruction or acquired to provide reasonable accommodations for CTE students who are disabled.
- Funds may be used for new CTE program implementation only after a program has been approved by the institution's governing board and the Coordinating Board.
- The use of funds to support Continuing Education (CE) programs or students in such programs is limited to Coordinating Board-approved CE programs of at least 360 contact hours.

## **10.5 REQUIRED INTERNAL CONTROLS**

UGG §200.303 Internal Controls states that "The non-Federal entity must: (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that the non-Federal entity is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award." Institutions must have the following policies and procedures in place to address the use of Perkins funds:

1. Procurement
2. Supplement not supplant (Appendix J has additional information)
3. Travel
4. Conflicts
5. Gratuity violations
6. Inventory controls
7. Allowable costs
8. Cash Management

## **10.6 UNFAIR BUSINESS PRACTICES**

By submitting an Application for this RFA, Awarded Applicant, if other than a state agency, certifies that Awarded Applicant, within the preceding 12 months, has not been found guilty, in a judicial or state agency administrative proceeding, of unfair business practices. Awarded Applicant, if other than a state agency, also certifies that no officer of its company has, within the preceding 12 months, served as an officer in another company which has been found, in a judicial or state agency administrative proceeding, to be guilty of unfair business practices.

Awarded Applicant, whether a state agency or not a state agency, certifies that no funds provided under this Grant Award shall be used to purchase supplies, equipment, or services from any companies found to be guilty of unfair business practices within 12 months from the determination of guilt.

## **10.7 FUNDS FOR RELIGIOUS WORSHIP, INSTRUCTION**

No funds will be used to pay for religious worship, instruction, or proselytization, or for any equipment or supplies for such, or for any construction, remodeling, repair, operation, or maintenance of any facility or part of a facility to be used for religious worship, instruction, or proselytization (34 CFR 76.532 and P. L. 107-110, Section 9505).

## **10.8 DISCLOSURE OF GIFTS AND CAMPAIGN CONTRIBUTIONS**

The Awarded Applicant shall file disclosures of gifts and campaign contributions as required by State Board of Education Operating Rule 4.3, which is incorporated as if set out in full. The Awarded Applicant has a continuing obligation to make disclosures through the term of the Contract. Failure to comply with State Board of Education Operating Rule 4.3 is grounds for canceling the Grant Award.

## **10.9 FEDERAL RULES, LAWS AND REGULATIONS THAT APPLY TO ALL FEDERAL PROGRAMS**

Awarded Applicant shall be subject to and shall abide by all federal laws, rules and regulations pertaining to the Contract project, including but not limited to:



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1. Americans With Disabilities Act, P. L. 101-336, 42 U.S.C. sec. 12101, and the regulations effectuating its provisions contained in 28 CFR Parts 35 and 36, 29 CFR Part 1630, and 47 CFR Parts 0 and 64;
2. Title VI of the Civil Rights Act of 1964, as amended (prohibition of discrimination by race, color, or national origin), and the regulations effectuating its provisions contained in 34 CFR Part 100;
3. Title IX of the Education Amendments of 1972, as amended (prohibition of sex discrimination in educational institutions) and the regulations effectuating its provisions contained in 34 CFR Part 106, if Contractor is an educational institution;
4. Section 504 of the Rehabilitation Act of 1973, as amended (nondiscrimination on the basis of handicapping condition), and the regulations effectuating its provisions contained in 34 CFR Part 104 and 105;
5. Age Discrimination Act of 1975, as amended (prohibition of discrimination on basis of age), and any regulations issued there under, including the provisions contained in 34 CFR Part 110;
6. Family Educational Rights and Privacy Act (FERPA) of 1975, as amended (ensures access to educational records for students and parents while protecting the privacy of such records), and any regulations issued there under, including Privacy Rights of Parents and Students (34 CFR Part 99), if Contractor is an educational institution (20 USC 1232g);
7. Section 509 of H.R. 5233 as incorporated by reference in P. L. 99-500 and P. L. 99-591 (prohibition against the use of federal grant funds to influence legislation pending before Congress);
8. Pro-Children Act of 2001, which states that no person shall permit smoking within any indoor facility owned or leased or contracted and utilized for the provision of routine or regular kindergarten, elementary, or secondary education or library services to children [P. L. 107-110, Section 4303(a)]. In addition, no person shall permit smoking within any indoor facility (or portion of such a facility) owned or leased or contracted and utilized for the provision of regular or routine health care or day care or early childhood development (Head Start) services [P. L. 107-110, Section 4303(b)(1)]. Any failure to comply with a prohibition in this Act shall be considered to be a violation of this Act and any person subject to such prohibition who commits such violation may be liable to the United States for a civil penalty, as determined by the Secretary of Education (P. L. 107-110, Section 4303(e)(1));
9. Fair Labor Standards Act (29 USC 207), Davis Bacon Act (40 USC 276(a), and Contract Work Hours and Safety Standards Act (40 USC 327 et seq.), as applicable, and their implementing regulations in 29 CFR 500-899, 29 CFR Parts 1,3,5, and 7, and 29 CFR Parts 5 and 1926, respectively;
10. Buy America Act: Contractor certifies that it is in compliance with the Buy America Act in that each end product purchased under any federally funded supply contract exceeding \$2,500 is considered to have been substantially produced or manufactured in the United States. End products exempt from this requirement are those for which the cost would be unreasonable, products manufactured in the United States that are not of satisfactory

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quality, or products for which the agency head determines that domestic preference would be inconsistent with the public interest. Contractor also certifies that documentation will be maintained that documents compliance with this requirement (FAR 25.1-.2);

11. P.L. 103-227, Title X, Miscellaneous Provisions of the GOALS 2000: Educate America Act; P.L. 103-382, Title XIV, General Provisions of the Elementary and Secondary Education Act, as amended; and General Education Provisions Act, as amended;
12. Prohibition of Text Messaging and E-mailing while Driving during Official Federal Grant Business: Personnel funded from federal grants and their subcontractors and subgrantees are prohibited from text messaging while driving an organization-owned vehicle, or while driving their own privately owned vehicle during official grant business, or from using organization-supplied electronic equipment to text message or e-mail while driving. Recipients must comply with these conditions under Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving" October 1, 2010 (pursuant to provisions attached to federal grants funded by the U.S. Department of Education);
13. Crimes and Prohibited Activities: Anti-Kickback (Copeland) Act, as implemented at 29 CFR 3.1; False Claims Act, 31 USC 3729; and Program Fraud Civil Remedies Act, 31 USC 3801-3812;
14. Drug-Free Workplace: Drug-Free Workplace Act of 1988, P.L. 100-690, as implemented in common rule from by individual agencies;
15. Federal Funding Accountability and Transparency Act of 2006 (FFATA): The Federal Funding Accountability and Transparency Act of 2006 (FFATA) ensures that the public can access information on all entities and organizations receiving Federal funds. Central to the law was the development of [www.USASpending.gov](http://www.USASpending.gov), a publicly-available website with searchable information on each Federal grant and contract. As part of the FFATA guidance, the Coordinating Board will be responsible for providing award information to the Uniform Statewide Accounting System, but Contractor will be responsible for registering in the System for Award Management (SAM) website, [www.sam.gov](http://www.sam.gov), prior to receiving federal funds from the Coordinating Board. Once Contractor is registered with SAM, the Coordinating Board will have the information required to submit the federally required reporting elements.
16. Registration in SAM ([www.sam.gov](http://www.sam.gov)) is an essential part of receiving this Grant. Although Contractor may already be registered, it is incumbent upon the Contractor to ensure this compliance. In addition to SAM registration, Contractor must provide the Coordinating Board with:
  - (1) Data Universal Numbering System Number (DUNS Number). No entity may receive a sub-award from the Coordinating Board unless the entity has provided its DUNS number to the Coordinating Board.
  - (2) Congressional district where the services will be performed/located.

## **10.10 FEDERAL REGULATIONS APPLICABLE TO ALL FEDERAL PROGRAMS**

For Institutions of Higher Education (IHEs): 28 CFR 35 Subparts A-E, 28 CFR 36 Subparts C & D, Appendix A, 29 CFR 1630, 34 CFR 74, 77, 79, 81, 82, 85, 86, 99, 104, 47 CFR 0 and 64, and Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, CFR §200, Subpart E (Cost Principles), 2 CFR §200, Subpart F (Audits), and 2 CFR Part 215 (Uniform Administrative Requirements), as currently enacted and as may be amended. This list is illustrative and may not be exhaustive.

## **10.11 GENERAL EDUCATION PROVISION ACT (GEPA)**

General Education Provisions Act (GEPA), as Amended, Applicable to All Federal Programs Funded or Administered Through or By the U. S. Department of Education:

Participation in Planning: Applicant will provide reasonable opportunities for the participation by teachers, parents, and other interested parties, organizations, and individuals in the planning for and operation of each program described in this application (20 USC 1232(e)).

Availability of Information: Any application, evaluation, periodic program plan, or report relating to each program described in this application will be made readily available to parents and other members of the general public (20 USC 1232(e)).

Sharing of Information: Contractor certifies that it has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each program described in this application significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects (20 USC 1232(e)).

Prohibition of Funds for Busing: The applicant certifies that no federal funds (except for funds appropriated specifically for this purpose) will be used for the transportation of students or teachers (or for the purchase of equipment for such transportation) in order to overcome racial imbalance in any school or school system, or for the transportation of students or teachers (or for the purchase of equipment for such transportation) in order to carry out a plan of racial desegregation of any school or school system (20 USC 1228).

Direct Financial Benefit: Contractor certifies that funds expended under any federal program will not be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization [20 USC 1232(b)(8)].

## **11 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.

### **11.1 DEFINITIONS**

As used in this Section 11.

**Covered Transaction** - A transaction under Federal non-procurement programs, which can be

either a primary covered transaction or a lower tier covered transaction.

**Lower Tier Covered Transaction** - (1) Any transaction between a participant and a person other than a procurement contract for goods or services, regardless of type, under a primary covered transaction; (2) Any procurement contract for goods or services between a participant and a person, regardless of type, expected to equal or exceed the Federal procurement small purchase threshold of \$25,000; (3) Any procurement contract for goods or services between a participant and a person under a covered transaction, regardless of amount.

**Participant** - Any person who submits a proposal for, enters into, or reasonably may be expected to enter into a covered transaction, including an agent or representative of another participant.

**Principal** - An officer, director, owner, partner, principal investigator, or other person within a participant with management or supervisory responsibilities related to a covered transaction; or a consultant or other person, whether or not employed by the participant or paid with Federal funds, who (1) is in a position to handle Federal funds; (2) is in a position to influence or control the use of those funds; or (3) occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the covered transaction.

**System for Award Management (SAM)** - The list maintained and disseminated by the General Services Administration (GSA) containing names and other information about persons who are ineligible.

**Debarment** - Action taken by a debarring official (Federal agency) to exclude a person (recipient) from participating in covered transactions.

**Suspension** - An action taken that immediately prohibits a person from participating in covered transactions for a temporary period, pending completion of an agency investigation and any judicial or administrative proceedings that may ensue.

**Ineligible** - generally refers to a person who is either excluded or disqualified.

**Person** - Any individual, corporation, partnership, association, unit of government or legal entity, however organized, except: foreign governments or foreign governmental entities, public international organizations, foreign government owned (in whole or in part) or controlled entities, and entities consisting wholly or partially of foreign governments or foreign governmental entities.

**Proposal** - A solicited or unsolicited bid, application, request, invitation to consider or similar communication by or on behalf of a person seeking to participate or to receive a benefit, directly or indirectly, in or under a covered transaction.

**Voluntarily Excluded** - A status of nonparticipation or limited participation in covered transactions assumed by a person pursuant to the terms of a settlement.

## **11.2 TERMS**

**11.2.1** By signing the Application Cover Page and submitting its Application, the prospective lower tier participant is providing the certification set out below.

**11.2.2** 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.

**11.2.3** The prospective lower tier participant shall provide immediate written notice to the Coordinating Board's Point of Contact 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.

**11.2.4** 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. Awarded Applicant may contact the Coordinating Board for assistance in obtaining a copy of those regulations.

**11.2.5** The prospective lower tier participant agrees by submitting its Application 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.

**11.2.6** The prospective lower tier participant further agrees by submitting its Application that it will include a clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions", stating the Certification listed below (at 15.3) without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

**11.2.7** 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 Non-Procurement List.

**11.2.8** 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.

**11.2.9** Except for transactions authorized under paragraph 11.2.5 of this section, 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.

### **11.3 CERTIFICATION**

By signature on the Application Cover Page and by submission of its Application, Applicant certifies 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.

Where Applicant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to its Application.

The Applicant certifies that it will comply with all applicable provisions of 34 CFR Part 85.

## **12 LOBBYING CERTIFICATES**

Submission of the Certification Regarding Lobbying, which is a separate form attached to this RFA as Appendix C and which must be submitted with the Application Cover Page, covers all federal programs in this application, is required by the U. S. Department of Education and Section 1352, Title 31, of the United States Code, and is a prerequisite for making or entering into a sub grant or subcontract over \$100,000 with any organization.

Further, Awarded Applicant certifies by signature on the Application Cover Page and by submitting an Application, to the best of his or her knowledge and belief, that:

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 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.
2. 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, Awarded Applicant shall complete and submit Standard Form – LLL "Disclosure of Lobbying Activities," in accordance with its instructions.

Awarded Applicant shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including contracts under grants, cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

**Please scan and email a signed copy of the Certification Regarding Lobbying and Disclosure Form (Appendix C) and the FFATA Certification (Appendix L) with the Application Cover Page.**

**PERKINS BASIC GRANT PROGRAM  
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2016-2017**

**APPENDIX A  
2016-2017 PERKINS BASIC GRANT PROGRAM ALLOCATIONS**

<b><u>ELIGIBLE APPLICANT</u></b>	<b><u>ALLOCATION*</u></b>
Alamo Community College District	\$1,100,089
Alvin Community College	\$84,617
Amarillo College	\$584,584
Angelina College	\$377,418
Austin Community College	\$793,017
Blinn College	\$263,579
Brazosport College	\$95,539
Central Texas College	\$514,043
Cisco College	\$215,399
Clarendon College	\$76,741
Coastal Bend College	\$288,844
College of the Mainland Community College District	\$147,781
Collin County Community College District	\$544,298
Dallas County Community College District	\$1,982,978
Del Mar College	\$495,067
El Paso Community College District	\$662,786
Frank Phillips College	\$64,180
Galveston College	\$73,837
Grayson College	\$363,198
Hill College	\$156,921
Houston Community College	\$1,782,296
Howard County Junior College District	\$139,264
Kilgore College	\$393,488
Lamar Institute of Technology	\$271,365
Lamar State College-Orange	\$202,820
Lamar State College-Port Arthur	\$120,751
Laredo Community College	\$512,263
Lee College	\$266,358
Lone Star College System District	\$901,153
McLennan Community College	\$453,356

**PERKINS BASIC GRANT PROGRAM**  
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<b><u>ELIGIBLE APPLICANT</u></b>	<b><u>ALLOCATION*</u></b>
Midland College	\$137,375
Navarro College	\$584,156
North Central Texas College	\$339,785
Northeast Texas Community College	\$229,315
Odessa College	\$128,110
Panola College	\$277,334
Paris Junior College	\$239,722
Ranger College	\$104,323
San Jacinto Community College	\$620,594
South Plains College	\$505,562
South Texas College	\$1,370,367
Southwest Texas Junior College	\$212,032
Tarrant County College District	\$1,428,381
Temple College	\$197,795
Texarkana College	\$252,478
Texas Southmost College	\$190,971
Texas State Technical College Central Office	\$1,813,994
Trinity Valley Community College	\$324,266
Tyler Junior College	\$618,046
Vernon College	\$235,052
Victoria College	\$142,792
Weatherford College	\$168,253
Western Texas College	\$50,000
Wharton County Junior College	\$202,606

\* The allocations may change based on funding made available from uncommitted Perkins State Leadership and Administration funds.



**PERKINS BASIC GRANT PROGRAM  
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**APPENDIX B  
APPLICATION COVER PAGE**

Original Application

**Texas Higher Education Coordinating Board  
Carl D. Perkins Grants for Program Year 2016-2017  
Application Cover Page**

**Project Title:**

Category:

Classification:

Application Number:

**Applicant Institution:**

Name:

FICE Code:

Mailing Address:

City, State, Zip:

**Project Director:**

Name:

Phone:

Fax:

E-mail:

**Perkins Point of Contact:**

Name:

Phone:

Fax:

E-mail:

We hereby certify that the information contained in this application is, to the best of our knowledge, correct and that the institution named above has authorized us as its representatives to obligate this institution. We further certify that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, applications guidelines and instructions, the Provisions and Assurances, Debarment and Suspension, Lobbying Certifications, Drug-Free Workplace requirements, Special Provisions and Assurances, and the schedules as applicable. We are in full acceptance of the terms and conditions described in the THECB's RFA for Perkins Basic Grant 2016-2017. It is understood that this application constitutes an offer and, if accepted by the Coordinating Board or renegotiated to acceptance, will form a binding agreement.

Name/Title of Chancellor/President/CEO from Applicant Institution

Signature

Date

Name/Title of Chief Financial Officer

Signature

Date

Name/Title of Perkins Point of Contact

Signature

Date

**APPENDIX C**

**CERTIFICATION REGARDING LOBBYING AND DISCLOSURE FORM**

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Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

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As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

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

(c) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-grants and contracts under grants and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

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

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**PERKINS BASIC GRANT PROGRAM**  
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**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.  
1352

0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime _____ Subawardee Tier _____, if known :		<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>    
<b>6. Federal Department/Agency:</b>    	<b>7. Federal Program Name/Description:</b>    CFDA Number, if applicable :	
<b>8. Federal Action Number, if known :</b>	<b>9. Award Amount, if known :</b> \$	
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services</b> (including address if different from No. 10a ) (last name, first name, MI):	
<b>11.</b> 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 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:		
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

**PERKINS BASIC GRANT PROGRAM  
Texas Higher Education Coordinating Board  
2016-2017**

**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. 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 follow-up 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; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included 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 registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
- 11 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).
- 12 The certifying official shall sign and date the form, and print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

**PERKINS BASIC GRANT PROGRAM**  
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**APPENDIX D**  
**LOCAL PLAN**

Each Applicant shall submit a Local Plan that addresses the specific requirements identified in The Perkins Act and the goals of *60x30TX* – Completion. The Local Plan shall be consistent with the *Required and Permissible Uses of Funds* (Appendix H).

The Local Plan shall describe how (1-13):

1. Career and technical education (CTE) programs will be carried out to strengthen the academic and career/technical skills of students, by strengthening the academic and career/technical education components of programs through the integration of academics with career/technical education programs in a coherent sequence of courses to ensure learning in both core academic subjects and career/technical education subjects;
2. The institution will meet state targets for the federal core indicators through its CTE activities;
3. Applicant will:
  - Offer at least one rigorous program of study that includes an articulation agreement between a secondary and post-secondary institution for a CTE program;
  - Improve the academic and technical skills of students participating in CTE programs through integration;
  - Provide students with strong experience in, and understanding of, all aspects of an industry;
  - Ensure that students who participate in CTE programs are taught to the same coherent and rigorous content aligned with challenging academic standards as are taught to all other students; and
  - Encourage CTE students at the secondary level to enroll in rigorous and challenging courses in core academic subjects;
4. Comprehensive professional development (including initial teacher preparation) for CTE, academic, guidance, and administrative personnel will be provided that promotes the integration of coherent and rigorous content aligned with challenging academic standards and relevant CTE (including curriculum development);
5. A wide variety of stakeholders will be involved throughout the process in the development, implementation, and evaluation of CTE programs, and how such individuals and entities are informed about, and assisted in understanding the requirements of Perkins, including CTE programs of study;
6. Assurances will be provided that programs are of such size, scope, and quality to bring about improvement in the quality of CTE within their regions;
7. Milestones will be measured to evaluate and continuously improve performance on the core indicators;
8. Applicant will review CTE programs to identify and adopt strategies to overcome barriers that

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result in lower access or success for special populations,<sup>1</sup> will provide programs that enable special populations to meet local performance levels, and will provide activities to prepare special populations for high-skill, high-wage, or high-demand occupations that will lead to self-sufficiency;

9. Applicant will ensure that individuals who are members of special populations receive fair and equitable treatment, including accessibility of facilities and services;
10. Funds will be used to promote the creation of programs of study in nontraditional fields;
11. Career guidance and academic counseling will be provided to CTE students, including linkages to future education and training opportunities;
12. Efforts will improve the recruitment and retention of CTE teachers, faculty, and career guidance and academic counselors, including underrepresented groups, and will foster the transition for teachers from business and industry; and
13. In addition to the twelve items above, the Application must also provide a description of how the activities in the local plan will meet the goals of *60x30TX*– Completion. Please include in the plan a description of how the Applicant will spend at least 15 percent of direct costs to meet the goals of *60x30TX*– Completion.

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<sup>1</sup> “Special populations” means: individuals with disabilities; individuals from economically disadvantaged families, including foster children; individuals preparing for nontraditional fields; single parents, including single pregnant women; displaced homemakers; and individuals with limited English proficiency.

**PERKINS BASIC GRANT PROGRAM**  
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**APPENDIX E**

**PERFORMANCE IMPROVEMENT/EVALUATION PLAN**

**Perkins Core Indicator 5P2: Nontraditional Completion**

Student completion of CTE programs in nontraditional fields.

Numerator: Number of CTE concentrators from underrepresented gender groups who completed a program that leads to employment in nontraditional fields during the reporting year.

Denominator: Number of CTE concentrators who completed a program that leads to employment in nontraditional fields during the reporting year.

Actual Institutional Performance Compared to State Targets by Program Year											
Institution	2013-2014			2014-2015			2015-2016			2016-2017	
	Actual [1]	Target	90%	Actual [2]	Target	90%	Actual [3]	Target	90%	Target	90%
State Performance/Target	17.28%	17.60%	15.84%	18.51%	18.00%	16.20%	17.50%	18.00%	16.20%	18.00%	16.20%
A Sample Institution	15.31%	-2.29%	-0.53%	17.92%	-0.08%	+1.72%	17.04%	-0.96%	+0.84%		
Source: CBM001, CBM002, CBM009    Reporting Year: [1] 2013-2014, [2] 2014-2015, [3] 2015-2016											
2015-2016 State Target met?: No    90% met?: Yes    90% met at least once in last 3 years?: Yes											

**Performance Improvement Plan**

*Summary of Plan to Meet 2016-2017 Target.*

To increase the College's performance on the core indicator by 10 percent, the College has developed a plan comprising four major initiatives: (1) targeting three high-enrollment CTE certificate and degree programs that show the greatest potential for recruiting, retaining, and graduating under-represented gender groups in nontraditional fields; (2) providing group counseling and advising to under-represented students in those targeted programs; (3) providing specific support services that have been shown to be effective in ensuring the students' attendance and progression; and (4) enhancing the knowledge and skills of instructors and professional staff who work directly with students in these nontraditional fields.

*Key CTE Programs and Activities Identified to Meet 2016-2017 Target.*

Automotive Technology Program (Bluebonnet Campus) – This AAS program had the largest CTE enrollment of women during the previous academic year, and in the College's analysis of dual-credit offerings and other student support and outreach activities, the program showed the greatest potential to attract and retain women and other special student populations.

Welding Technology Program – This AAS program had the second largest CTE enrollment of women during the previous academic year.

Air Framing Program – This certificate program had a 25% increase in enrollment in the previous semester due, in part, to aggressive recruiting by women mentors at partnering high schools. As a result, women represented the majority of that increase through a pipeline created from the College's outreach efforts and dual credit offerings.

Student Counseling Services – The College's research has shown that individual and group counseling has been effective in retaining women in nontraditional degree programs. The College plans to expand these services by highlighting their availability and organizing orientation meetings with the campus counselor in targeted programs.

Bluebonnet Campus – The Special Populations counselor and targeted CTE programs will research, develop, implement, and evaluate a "best strategies" plan for retention of women in nontraditional programs.

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*Specific Budget Items Requested to Meet 2016-2017 Target.*

Schedule A: The Special Populations Counselor (Bluebonnet Campus) will develop and lead a monthly support group for women enrolled in the Automotive Technology, Welding and Air Framing Programs (10% time @ \$5,000) – Research shows that women’s support groups have been successful in retaining women in certain CTE fields.

Schedule B: The Special Populations Counselor (Bluebonnet Campus) will attend Women on the Assembly Line Workforce Conference in Detroit, Michigan, October 20-22, 2016 (\$1,800) – the conference agenda includes presentations and breakout sessions on retention issues.

Schedule F: Child Care Vouchers (\$30,500, representing an estimated 122 vouchers @\$250) – the College has compiled data that shows these vouchers are effective in helping under-represented gender students persist in CTE programs.

**Evaluation Plan**

Activities/Strategies	Timeline Planned	Target Measures
1. Bluebonnet Campus -The Special Populations Counselor will hold monthly support group meetings for women enrolled in the Automotive Technology, Welding, and Air Framing programs.	9/1/2016 - 2/15//2017  2/15/2017 – 5/31/2017	85% of women attending half or more of the support group meetings will persist from the first to the second semester of the program.  85% of women attending half or more of the support group meetings will finish the second semester.
2. Bluebonnet Campus - Special Populations Counselor and instructors in targeted programs will implement an action plan of researched “best strategies” to retain women and evaluate the success of the strategies in that plan.	9/1/2016 - 12/31/2016  1/1/2016 - 8/31/2017	Action plan will be developed during fall semester, with implementation beginning during fall.  100% of the action plan’s strategies will be implemented and evaluated by August 31, 2016.
2a. Bluebonnet Campus - Special Populations Counselor and instructors in targeted programs will implement an action plan of researched “best practices” for retaining women in nontraditional fields.	9/1/2016 - 10/31/2016	100% of identified strategies implemented.
2b. Bluebonnet Campus - Special Populations Counselor and instructors will evaluate strategies in the action plan through retention data and student surveys.	1/1/2017 - 7/31/2017	5% increase over the previous year in the number of women progressing from the first to the second semester.  50% of surveyed nontraditional students will report that one or more strategies are “effective” or “very effective” in helping them to stay in the program.
2c. Special Population Counselor and CTE instructors will use retention data and student feedback to determine and apply criteria for implementing strategies in other nontraditional programs.	8/1/2017 - 8/31/2017	Five faculty members in nontraditional programs will receive professional development on incorporating transferrable strategies into their programs.
3. Cactus Campus - The Student Services Center will track students who have received child-care vouchers for each semester during the Grant Period.	9/1/2016 - 5/31/2017  6/1/2017 - 8/31/2017	90% of students receiving more than three child care vouchers during the fall semester will <u>persist</u> or <u>complete</u> the program in the spring semester. Persistence will be measured for biannual report.  90% of students receiving more than three child care vouchers during the spring semester will persist or complete the program in the summer semesters, or re-enroll for the fall semester.



**PERKINS BASIC GRANT PROGRAM**  
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**2016-2017**  
**APPENDIX F**

**FEDERAL CORE INDICATORS OF PERFORMANCE AND 2016-2017 STATE TARGETS**

Beginning with the 2008-2009 academic program year and thereafter, states are required to submit their performance indicator data to the United States Department of Education/Office of Career, Technical, and Adult Education (OCTAE) via their Consolidated Annual Reports (CAR). Each Applicant is required to meet the state target within 90 percent for each core indicator.

**Federal Postsecondary Student Definitions**

OCTAE has provided the following federal definitions of Participant and Concentrator in the Perkins Act.

**CTE Participant:** A postsecondary student who has earned one (1) or more credits in any CTE program area.

**CTE Concentrator:** A postsecondary student who: 1) completes at least 12 academic or CTE credits in a single CTE program area sequence that comprises 12 or more academic and technical credits and terminates in the award of an industry-recognized credential, certificate, or degree; or 2) completes a short-term CTE program sequence of less than 12 credit units that terminates in an industry-recognized credential, certificate, or degree.

Please note that continuing education students earning certificates and licensures are included in the definition of concentrator. However, the definition of concentrator does not include personal enrichment classes because they are not state funded and not reported to the Coordinating Board.

The federal core indicators of performance for career and technical education at the postsecondary level, under section 113(b)(2)(B) of the Perkins Act are:

**1P1: Technical Skill Attainment.** Student attainment of challenging career and technical skill proficiencies, including student achievement on technical assessment that is aligned with industry-recognized standards, if available and appropriate.

Numerator: Number of CTE concentrators who passed technical skill assessments that are aligned with industry-recognized standards, if available and appropriate, during the reporting year.

Denominator: Number of CTE concentrators who took technical skill assessments during the reporting year.

**2016-2017 State Target: 91.00%**  
**90% of State Target: 81.90**

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Note for Indicator 1P1: The Department recognizes that a State may not have technical skill assessments that are aligned with industry-recognized standards in every CTE program area and for every CTE concentrator. OCTAE expects that each State will identify, in Part A, Section VI (Accountability and Evaluation) of its new Perkins IV State plan, the program areas for which the State has technical skill assessments, the estimated percentage of students who will be reported in the State's calculation of CTE concentrators who took assessments, and the State's plan and timeframe for increasing the coverage of programs and students reported in this indicator to cover all CTE concentrators and all program areas in the future.

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**2P1: Credential, Certificate, or Diploma.** Student attainment of an industry-recognized credential, certificate, or degree.

Numerator: Number of CTE concentrators who received an industry-recognized credential, certificate, or degree during the reporting year.

Denominator: Number of CTE concentrators who left postsecondary education during the reporting year.

**2016-2017 State Target: 32.00%**  
**90% of State Target: 28.80%**

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**3P1: Student Retention or Transfer.** Student retention in postsecondary education or transfer to a baccalaureate degree program.

Numerator: Number of CTE concentrators who remained enrolled in their original postsecondary institution or transferred to another 2- or 4-year postsecondary institution during the reporting year and who were enrolled in postsecondary education in the fall of the previous reporting year.

Denominator: Number of CTE concentrators who were enrolled in postsecondary education in the fall of the previous reporting year and who did not earn an industry-recognized credential, certificate, or degree in the previous reporting year.

**2016-2017 State Target: 63.00%**  
**90% of State Target: 56.70%**

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**4P1: Student Placement.** Student placement in military service or apprenticeship programs or placement or retention in employment, including placement in high-skill, high-wage or high-demand occupations or professions.

Numerator: Number of CTE concentrators who were placed or retained in employment, or placed in military service or apprenticeship programs in the 2<sup>nd</sup> quarter following the program year in which they left postsecondary education. (For example, unduplicated placement status for CTE concentrators who graduated by June 30, 2008 would be assessed between October 1, 2008 and December 31, 2008).

Denominator: Number of CTE concentrators who left postsecondary education during the reporting year.

**2016-2017 State Target: 76.00%**  
**90% of State Target: 68.40%**

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**5P1: Nontraditional Participation.** Student participation in CTE programs in nontraditional fields.

Numerator: Number of CTE participants from underrepresented gender groups who participated in a program that leads to employment in nontraditional fields during the reporting year.

Denominator: Number of CTE participants who participated in a program that leads to employment in nontraditional fields during the reporting year.

**2016-2017 State Target: 24.00%**  
**90 % of State Target: 21.60%**

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**5P2: Nontraditional Completion.** Student completion of CTE programs in nontraditional fields.

Numerator: Number of CTE concentrators from underrepresented gender groups who completed a program that leads to employment in nontraditional fields during the reporting year.

Denominator: Number of CTE concentrators who completed a program that leads to employment in nontraditional fields during the reporting year.

**2016-2017 State Target: 18.00%**  
**90% of State Target: 16.20%**

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**APPENDIX G**  
**REPORTING REQUIREMENTS**

The Awarded Applicant shall submit a Biannual Report, Final Report, a minimum of four Expenditure Reports, and a Property Inventory and Disposition Report to the Coordinating Board for the Grant Period.

All reports, with the exception of the Property Inventory and Disposition Report, shall be submitted via the Perkins Portal at <http://www.thecb.state.tx.us/Perkins/Portal>.

Failure to submit reports in a timely manner is a risk factor for desk review or site visits, may result in the withholding of fiscal reimbursements, and will influence the Awarded Applicant's eligibility for future Grant Awards. Continued failure to submit reports and reimbursement requests and failure to meet commitments made in the Performance Improvement/Evaluation Plans may require the Coordinating Board to terminate the Grant for non-performance.

**Biannual and Final Reports:** The Awarded Applicant shall submit a Biannual and Final Report that documents the implementation and outcomes of the Performance Improvement/Evaluation Plans. Reports must indicate clearly that Results/Comments are **Biannual** or **Final**, with a line skipped (two hard returns) between the two. Both reports shall appear in the final report. The reporting schedule:

<u>Report</u>	<u>For Period Ending</u>	<u>Report Due Date</u>
Biannual	February 28, 2017	March 30, 2017
Final	August 31, 2017	September 29, 2017

**Expenditure Reports:** The Awarded Applicant's chief financial officer or authorized designee shall submit Expenditure Reports on Form CB 100 at any time during the Grant Period but at least quarterly. The final Expenditure Report shall include actual expenditures for the Grant Period and Form CB 320, detailing actual expenditures by activity for the Grant Period. The **Awarded Applicant will not be reimbursed for any expenditures submitted after October 13, 2017.** The reporting schedule:

<u>Report</u>	<u>For Quarter Ending</u>	<u>Report Due Date</u>
First	November 30, 2016	December 16, 2016
Second	February 28, 2017	March 10, 2017
Third	May 31, 2017	June 16, 2017
Final	August 31, 2017	September 30, 2017

**Property Inventory and Disposition Report:** The Awarded Applicant shall submit a Property Inventory and Disposition Report by September 30, 2016 to [Perkins@THECB.state.tx.us](mailto:Perkins@THECB.state.tx.us). The report shall be a cumulative inventory of all single items purchased with Grant funds that are valued according to federal cost policy (tangible property having an initial acquisition price of more than \$5,000 per unit and a useful life of more than one year) or by the applicant's local policy, whichever is more stringent. The list shall include all items in the Awarded Applicant's possession and those discarded, sold, or transferred to another entity. Each entry on the inventory shall include: the identification number, description of the property; acquisition date; acquisition cost; location (if in the Awarded Applicant's possession); and disposition status and date (if not in the Awarded Applicant's possession).

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**APPENDIX H**

**REQUIRED AND PERMISSIBLE USES OF FUNDS**

Each Applicant that receives funds under Section 135 of The Perkins Act must use those funds to improve career and technical education programs.

**Required Uses of Funds**

Funds made available to Applicants must be used to support career and technical education programs that:

- 1) strengthen the academic and career and technical skills of students participating in career and technical education programs, by strengthening the academic and career and technical education components of such programs through the integration of academics with career and technical education programs through a coherent sequence of courses, such as career and technical programs of study described in section 122(c)(1)(A), to ensure learning in:
  - a) the core academic subjects (as defined in section 9101 of the Elementary and Secondary Education Act of 1965); and
  - b) career and technical education subjects;
- 2) link career and technical education at the secondary level and career and technical education at the postsecondary level, including by offering the relevant elements of not less than 1 career and technical program of study described in section 122(c)(1)(A);
- 3) provide students with strong experience in and understanding of all aspects of an industry, which may include work-based learning experiences;
- 4) develop, improve, or expand the use of technology in career and technical education, which may include:
  - a) training of career and technical education teachers, faculty, and administrators to use technology, which may include distance learning;
  - b) providing career and technical education students with the academic and career and technical skills (including the mathematics and science knowledge that provides a strong basis for such skills) that lead to entry into the technology fields; or
  - c) encouraging schools to collaborate with technology industries to offer voluntary internships and mentoring programs, including programs that improve the mathematics and science knowledge of students;
- 5) provide professional development programs that are consistent with section 122 to secondary and postsecondary teachers, faculty, administrators, and career guidance and academic counselors who are involved in integrated career and technical education programs, including--
  - a) in-service and pre-service training on:
    - i) effective integration and use of challenging academic and career and technical education provided jointly with academic teachers to the extent practicable;
    - ii) effective teaching skills based on research that includes promising practices;
    - iii) effective practices to improve parental and community involvement; and
    - iv) effective use of scientifically based research and data to improve instruction;

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- b) support of education programs for teachers of career and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to career and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry;
  - c) internship programs that provide relevant business experience; and
  - d) programs designed to train teachers specifically in the effective use and application of technology to improve instruction;
- 6) develop and implement evaluations of the career and technical education programs carried out with funds under this title, including an assessment of how the needs of special populations are being met;
- 7) initiate, improve, expand, and modernize quality career and technical education programs, including relevant technology;
- 8) provide services and activities that are of sufficient size, scope, and quality to be effective; and
- 9) provide activities to prepare special populations, including single parents and displaced homemakers who are enrolled in career and technical education programs, for high skill, high wage, or high demand occupations that will lead to self-sufficiency.

**Permissible Uses of Funds**

Once the Applicant has addressed all the required elements, they may use funds:

- 1) to involve parents, businesses, and labor organizations as appropriate, in the design, implementation, and evaluation of career and technical education programs authorized under this title, including establishing effective programs and procedures to enable informed and effective participation in such programs;
- 2) to provide career guidance and academic counseling, which may include information described in section 118, for students participating in career and technical education programs, that:
  - a) improves graduation rates and provides information on postsecondary and career options, including baccalaureate degree programs, for secondary students, which activities may include the use of graduation and career plans; and
  - b) provides assistance for postsecondary students, including for adult students who are changing careers or updating skills;
- 3) for local education and business (including small business) partnerships, including for:
  - a) work-related experiences for students, such as internships, cooperative education, school-based enterprises, entrepreneurship, and job shadowing that are related to career and technical education programs;
  - b) adjunct faculty arrangements for qualified industry professionals; and
  - c) industry experience for teachers and faculty;
- 4) to provide programs for special populations;

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- 5) to assist career and technical student organizations;
- 6) for mentoring and support services;
- 7) for leasing, purchasing, upgrading or adapting equipment, including instructional aides and publications (including support for library resources) designed to strengthen and support academic and technical skill achievement;
- 8) for teacher preparation programs that address the integration of academic and career and technical education and that assist individuals who are interested in becoming career and technical education teachers and faculty, including individuals with experience in business and industry;
- 9) to develop and expand postsecondary program offerings at times and in formats that are accessible for students, including working students, including through the use of distance education;
- 10) to develop initiatives that facilitate the transition of sub-baccalaureate career and technical education students into baccalaureate degree programs, including:
  - a) articulation agreements between sub-baccalaureate degree granting career and technical education postsecondary educational institutions and baccalaureate degree granting postsecondary educational institutions;
  - b) postsecondary dual and concurrent enrollment programs;
  - c) academic and financial aid counseling for sub-baccalaureate career and technical education students that informs the students of the opportunities for pursuing a baccalaureate degree and advises the students on how to meet any transfer requirements; and
  - d) other initiatives:
    - i) to encourage the pursuit of a baccalaureate degree; and
    - ii) to overcome barriers to enrollment in and completion of baccalaureate degree programs, including geographic and other barriers affecting rural students and special populations;
- 11) to provide activities to support entrepreneurship education and training;
- 12) for improving or developing new career and technical education courses, including the development of new proposed career and technical programs of study for consideration by the eligible agency and courses that prepare individuals academically and technically for high skill, high wage, or high demand occupations and dual or concurrent enrollment opportunities by which career and technical education students at the secondary level could obtain postsecondary credit to count towards an associate or baccalaureate degree;
- 13) to develop and support small, personalized career-themed learning communities;
- 14) to provide support for family and consumer sciences programs;
- 15) to provide career and technical education programs for adults and school dropouts to

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complete the secondary school education, or upgrade the technical skills, of the adults and school dropouts;

16) to provide assistance to individuals who have participated in services and activities under this Act in continuing their education or training or finding an appropriate job, such as through referral to the system established under section 121 of Public Law 105-220 (29 U.S.C. 2801 et seq.);

17) to support training and activities (such as mentoring and outreach) in nontraditional fields;

18) to provide support for training programs in automotive technologies;

19) to pool a portion of such funds with a portion of funds available to not less than 1 other eligible recipient for innovative initiatives, which may include:

- a) improving the initial preparation and professional development of career and technical education teachers, faculty, administrators, and counselors;
- b) establishing, enhancing, or supporting systems for:
  - i) accountability data collection under this Act; or
  - ii) reporting data under this Act;
- c) implementing career and technical programs of study described in section 122(c)(1)(A); or
- d) implementing technical assessments; and

20) to support other career and technical education activities that are consistent with the purpose of this Act.

**Non-Permissible Uses of Funds**

Individuals with other barriers to educational achievement have been eliminated from the definition of Special Populations. Therefore, developmental activities are no longer allowed.

**Administrative Costs**

Each eligible recipient receiving funds under this part shall not use more than 5 percent of the funds for administrative costs associated with the administration of activities assisted under this section.



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**APPENDIX I**

**CARL D. PERKINS GRANT COST GUIDELINES**

Funds must be expended for *reasonable and necessary costs* in conducting grant activities. *Reasonable* means a cost is consistent with prudent business practice and comparable to current market value. *Necessary* means the cost is essential for the Awarded Applicant to accomplish the objectives of the project. The Awarded Applicant must comply with the applicable Federal Cost Principles in expending grant funds. See the last section of this appendix for a link to Federal Cost Principles.

This appendix addresses certain specific costs only and is not intended to be all-inclusive.

**Advertisements**

Advertisements are allowed for recruiting grant personnel only as long as the advertisement is *not* in color and not excessively large.

Advertisements are allowed for communication with the public and press when the costs are considered necessary as part of the outreach effort for the grant.

**Advisory Council**

An advisory council may be funded under the grant program. Only the following types of advisory councils are allowable:

- The advisory council includes representatives of business and industry (including small businesses), and to the extent possible, labor organizations, higher education representatives and faculty, administrators, representatives of special populations, CTE and academic teachers, students, and community partners;
- The role of the advisory council is to participate in the design, implementation and evaluation of CTE programs, including establishing effective programs and procedures to enable informed and effective participation in CTE programs.

**Alcoholic Beverages**

Alcoholic beverages are not allowable under any circumstances.

**Audit Fees**

Audit fees are allowable in accordance with the following:

- Audit fees and expenses are allowable only when the audit is required by and performed in accordance with 2 CFR Chapter I, Chapter II, Part 200, Subpart F, Audits (posted online at [https://www.whitehouse.gov/omb/circulars\\_default](https://www.whitehouse.gov/omb/circulars_default)); and
- Audit fees and expenses may not be charged as a direct cost when such audit-services costs are part of the Awarded Applicant's indirect cost pool.

**Awards for Recognition and Incentives for Participation**

Minimal-cost certificates, plaques, ribbons, small trophies, or instructionally related items to be used in the classroom (such as pens and pencils) are acceptable incentives for participation in program activities or awards for recognition.

The following items may be donated by others but may NOT be purchased with grant funds:

- Gifts or items that appear to be gifts;
- Souvenirs, memorabilia, or promotional items, such as T-shirts, caps, tote bags, imprinted pens, and key chains;

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- Door prizes, movie tickets, gift certificates, passes to amusement parks, and similar items; and
- Food of any kind (snacks, beverages, refreshments, meals, and so on).

**Calendars and Calendaring Systems**

Calendaring systems to manage *personal* calendars – whether paper calendars, personal digital assistants (PDAs), or electronic or software calendars – are not allowable costs.

**Cellular Telephones for Personal Use**

A cellular telephone for personal use is not an allowable cost.

**Ceremonies, Banquets, or Celebrations**

Costs associated with ceremonies, banquets, or celebrations are not allowable.

**Conflict of Interest**

Any purchase or expenditure that would pose a conflict of interest, real or perceived, is not allowable.

**Construction, Remodeling, or Renovation**

These costs are not allowed unless specifically authorized in the authorizing program statute and unless specifically approved in the applicable grant application.

**Donations**

Donations to other organizations or to other units within the Awarded Applicant institution are not allowable.

**Employee Service Awards**

Employee service awards cannot be paid from grant funds.

**Entertainment, Recreation, Social Events**

Costs associated with any type of entertainment, recreation, or social event are not allowable.

**Field Trips**

Field trips may be funded for educational purposes that address specific CTE course and /or program-related outcomes. Field trips must be open to all students participating in the CTE course or program.

Costs for the field trip must be reasonable. Any entrance fees and transportation costs must be reasonable in comparison to the intended objectives of the trip.

**Unallowable Costs Related to Field Trips**

The following costs are not allowable:

- Field trips that supplant and do not supplement local or state expenditures or activities;
- Field trips that are not reasonable in cost or are not necessary to accomplish the objectives of the grant program; and
- Field trips during which more than 25 percent of the time is spent at the location is used for entertainment or recreation of field trip participants.

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**Fines and Penalties**

Fines and penalties are not allowable.

**Food and Beverage Costs**

Expenditures on food must be *reasonable in cost, necessary to accomplish program objectives, and an integral part of the instructional program.*

**Food Costs for Participant Meetings/Training**

Unless otherwise specified, a limited amount of funds may be expended on light meals for *participant meetings or training events under very limited circumstances.* The use of grant funds for this purpose is specifically limited to *light, working lunches* for participants when the working lunch is noted on an agenda, clearly described, and mandatory. The purpose of a working lunch should be to shorten the overall meeting or training time and to facilitate accomplishing the objectives of the meeting or training and the overall program.

A working or light meal described below is considered to be reasonable in cost when the cost of the meal including tax does not exceed \$20 per person; therefore, the Awarded Applicant will not be reimbursed for more than \$20 per person, including tax. Any amount over \$20 per person must be paid from other allowable funding sources. The \$20 per person does not include any *mandatory service fee or set-up fee.* Anything termed a gratuity or tip is not reimbursable.

Specifically, grant funds may be expended for the following costs, provided that the Awarded Applicant maintains adequate and sufficient documentation that the costs were necessary and reasonable to further the intent and objectives of the grant.

- **Light Meal during an All-Day Meeting or Training Session:** Light meal (not to exceed \$20 per person, including tax) for participants who are cloistered in an all-day (at least six-hour) meeting or training session. Awarded Applicant must document that it was impractical for participants to obtain meals on their own (for example, because of an isolated location or distance to eateries) and that their attendance at the meeting or training session was essential to accomplishing the objectives of the grant. Awarded Applicant must maintain an agenda that clearly identifies the topics discussed during the meeting or training session and the time allocated to each topic, including the meal period.
- **Working meal during an All-Day Meeting or Training Session:** Light meals during a working meeting (not to exceed \$20 per person, including tax). A working meal is defined as an activity in which staff or participants are engaged in exercises or activities during the normal meal time. Awarded Applicant must maintain an agenda that shows that no other opportunity for a meal was provided and that clearly identifies the exercise or activity the participants were engaged in. Awarded Applicant should also retain a representative sample of the work product, if any, that was generated as a result of the working session.

No other food costs, including food and beverages for refreshments, breaks, or snacks, are permitted.

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**Allowable Food Costs for Parents and/or Students**

The following costs are allowable:

- Nutritional snacks for children in child care while parents are participating in grant activities; and
- Food necessary to conduct nutrition education programs for parents.

Full meals for parents or students are not allowable for these purposes under any circumstances. Expenditures must be reasonable in cost, necessary to accomplish program objectives, and an integral part of the instructional program.

**Unallowable Food Costs**

The following costs are not allowable:

- Refreshments of any kind, including beverages, breaks, and snack foods, except as necessary for parental involvement activities to encourage attendance by parents;
- Refreshments or meals at an awards banquet or function;
- Any food costs that are not necessary to accomplish the objectives of the grant program;
- Any food cost associated with an event in which a guest speaker or other individual conducts a presentation and the participants are not actively engaged in performing activities; and
- Gratuities or tips.

**Fundraising Activities**

Costs of organized fundraising, including solicitation of gifts and bequests, endowment drives, financial campaigns, and similar expenses incurred to raise capital or to obtain contributions are not allowable. Costs associated with attending or sponsoring training on fundraising are not allowable.

**Gifts**

Gifts or items that appear to be gifts are not allowable.

**Hosting or Sponsoring of Conferences**

Conferences may be hosted or sponsored under the grant program. Conferences must be managed to minimize cost to the grant award. The following types of conference are allowable:

- Professional development for CTE programs, or for the dissemination of technical information.

Hosting or sponsoring of conferences will require pre-authorization and justification. Please submit request to the Coordinating Board.

**Legal Fees**

Legal fees and expenses are allowable only as necessary for the administration of the grant program. Retainer fees are not allowable costs. Legal expenses for claims against the federal or state government are not allowable.

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**Lobbying**

Any costs incurred for lobbying are not allowable.

**Memberships**

Membership in business, technical, and professional organizations related to the grant program are allowable. Membership must be in the name of the Awarded Applicant and not in the name of an individual.

Memberships in civic and community organizations and in organizations that are substantially engaged in lobbying are not allowable costs.

**Printing Costs**

Printing costs are allowable when they are reasonable and necessary. Any multi-color printing must be reasonable in cost and must be necessary to carry out the objectives of the grant program.

**Promotional Items, Memorabilia, and Souvenirs**

Promotional items, memorabilia, and souvenirs are not allowable costs.

**Salaries, Wages, and Employee Benefits**

Salaries and wages are allowable for personnel who work on the grant provided the appropriate time and activity reports (e.g., time and effort reports) are maintained in accordance with the applicable federal cost principles and submitted to the Awarded Applicant's accounting office to document charges to payroll. Benefits are allowable in the same proportion as salaries and wages.

**Social Events**

The costs associated with social events of any kind are not allowable.

**Training or Technical Assistance on Grant Writing**

Funds may not be used for training or technical assistance on grant writing or for costs associated with writing other grant applications.

**Transportation Costs**

The cost of transporting students (or parents, if appropriate for the particular grant program) to or from grant activities is an allowable expenditure.

**Travel Costs**

The Awarded Applicant shall have written policies and procedures for employees who travel on Perkins business and seek travel reimbursement with Perkins funds. Personnel are required to travel at the federal lodging and per diem rates or the Awarded Applicant's rates, whichever are more stringent. Employees may be reimbursed at the per diem rates or for actual costs not to exceed the per diem rates. At the institutional discretion, employees who exceed the per diem rates may be reimbursed for the difference with other non-federal funds that are available to the Awarded Applicant. Site-specific information on rates for in-state and out-of-state travel is available at the U.S. General Services Administration website at <http://www.gsa.gov/portal/category/100120>.

Personnel shall be reimbursed for actual car mileage at the current rate established by the Texas Comptroller of Public Accounts (CPA) or at a rate established by the Awarded Applicant,

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whichever is more stringent. Information about the rate is available at the CPA website at <https://fm.xcpa.state.tx.us/fm/travel/travelrates.php>.

**Out-of-State Travel**

Out-of-state travel costs are allowable under the grant program. Out-of-state travel costs should be minimal. Travel costs are allowable as long as the expenses for transportation, lodging, subsistence, and related items are only incurred by employees on official business of the grantee and follow the grantee's regular business operations and written travel policy.

Out-of-state travel will require pre-authorization and justification, as defined in Appendix K, Revisions to Program Plan or Budget.

**Allowable Travel Expenses**

The following travel expenses are allowable:

- **Mileage** reimbursement is allowable for travel necessary to carry out the objectives of the grant project. If institutional policy reimburses at a lower rate, the Awarded Applicant must claim that lower rate;
  - **Airfare** is allowable at the lowest fare available;
  - **Car rental** fee (at destination) is not allowable unless other transportation such as taxi or shuttle is not available for performing official business or unless car rental is more cost effective than alternate modes of travel. Gasoline for the rental car is allowable;
  - **Airport parking** is allowable;
  - **Taxi fares** for official business are allowable. Tips cannot be reimbursed;
  - **Itemized miscellaneous business expenses** (such as business phone calls, printing, or materials) for carrying out official business of the meeting, conference, or workshop are allowable; and
  - Registration fees to attend workshops or conferences are allowable. Social events or recreational events available at a cost above the basic registration fee may not be paid from grant funds.
  - Awarded Applicant may claim less than the maximum meal reimbursement rate for a duty point and use the amount of the reduction to increase the maximum lodging reimbursement rate for the duty point. This is allowable for in-state and out-of-state travel.
- **Travel Costs for Officials, such as Vice Presidents and Deans, and Administrative Assistants**
  - Travel costs for executive officers (including the president, vice presidents, and deans) or administrative support staff may not be funded under the grant program.

**Unallowable Travel Expenses**

The following travel expenses are not allowable:

- Any travel expenses associated to **foreign travel**;
- First-class air fare;
- Per diem (meals and lodging) for meeting, conference, or workshop participants who live in the same city where the event is held (Automobile mileage is allowable.);
- Tips or gratuities of any kind;

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- Alcoholic beverages;
- Entertainment, recreational, or social events;
- Any expense for other persons;
- Automobile mileage or taxi fares for other than official business;
- Personal accident insurance or personal effects coverage for rental cars; and
- Rental car for personal use or for purposes not associated with the official business of the meeting, conference, or workshop.

**Travel Documentation**

Travel costs must be properly documented to be reimbursable. Travel costs not supported by proper documentation are not allowable grant charges and are subject to disallowance by state and federal auditors and monitors.

**Federal Cost Principles**

The applicable cost principles as established by the Federal Office of Management and Budget (OMB) are posted online at [eCFR — Code of Federal Regulations](#) and are as follows:

Type of Entity	Applicable Cost Principles
<ul style="list-style-type: none"><li>• Open-enrollment charter schools operated by an institution of higher education (i.e., college or university)</li><li>• Institutions of higher education (IHEs)</li></ul>	<a href="#">eCFR — Code of Federal Regulations</a>

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**APPENDIX J**  
**SUPPLEMENTING VERSUS SUPPLANTING**

Funding provided under the Perkins Act shall ***supplement*** (*increase the level of services*) and ***not supplant*** (*take the place of*) state, local, and other federal funds. Awarded Applicants shall not use Perkins funds to supplant funds that, in the absence of Perkins funds, would have been spent on CTE students.

Federal funds cannot be used to pay for services, staff, programs, or materials that would otherwise be paid with state or local funds.

Any program or activity required by State law, Coordinating Board rules, or local board policy may not be paid with Perkins funds. State or local funds may not be decreased or diverted for other uses merely because of the availability of Perkins funds. Awarded Applicant shall maintain documentation that clearly demonstrates the supplementary nature of Perkins funds.

Presumption of supplanting

An Awarded Applicant may be considered in noncompliance with the supplement-not-supplant requirement if Perkins funds are used to provide services that the Awarded Applicant is required to provide under State or local law, rule, or a court order. Also, Awarded Applicant could be considered in noncompliance for any cost to Perkins funds for any service that was previously funded with State or local funds.

If a program or activity cost was funded with non-federal funds in one year and with Perkins funds the next year, an auditor would most likely make a presumption of supplanting. However, the Awarded Applicant then has the opportunity to rebut the presumption. In view of the current reductions in state appropriations and local tax revenues, an Awarded Applicant may be justified in funding the cost with Perkins funds.

For a decision to allocate Perkins funds in this way, the Awarded Applicant should have two types of documented evidence that supports its action:

1. Evidence of an actual reduction in state and/or local support and/or other non-federal support. Examples of such evidence are state appropriation language or a communication from the Coordinating Board regarding a reduction in state funding. There may be similar examples relating to reduced funding from local or private sources.
2. Proof that the activity/program would be discontinued without the benefit of Perkins funds. Examples of this type of evidence might be minutes from a meeting called by the college president or minutes from a faculty meeting.

The Awarded Applicant should have proper evidence in place before taking this kind of action. The Coordinating Board may request copies of the documented evidence (as described above) prior to approving a budget amendment that would reallocate Perkins funds to an activity or program previously funded by non-federal funds.



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**APPENDIX K**

**CHANGES TO GRANT PLAN OR BUDGET**

The Awarded Applicant shall contact the Coordinating Board to notify staff of, or request changes to, the Grant. The nature or content of a proposed change determines whether the Awarded Applicant shall notify Coordinating Board staff by email or request a formal amendment via the Perkins Portal.

**Email Notification**

The Awarded Applicant shall email its Program Director at least 15 days prior to a change or action that:

1. resolves any potential conflict of interest that arises prior to or during the Grant Period;
2. increases a cost item in Schedule D: Consultant and Service Contracts; or
3. changes one or more cost items *within* a Schedule that does not change the scope or activities of the Grant.

**Formal Amendment via the Perkins Portal**

The Awarded Applicant shall submit a request for a formal amendment to the Grant via the Perkins Portal at <http://www.thecb.state.tx.us/Perkins/Portal> for any change that:

1. changes the scope, strategies, or timeline of a Performance Improvement/Evaluation Plan with or without a change to the budget;
2. changes one or more cost items *within* a Schedule that changes the scope or activities of the Grant.
3. moves costs across Schedules A-F that cumulatively exceed 10% of the total Grant Award;
4. changes any information or costs in Schedule C: Capital Expenditures and Equipment; or
5. temporarily or permanently reassigns the person designated as the Perkins Contact, Perkins Fiscal Officer, or Project Director.

**A formal amendment that involves a change to a cost item shall include a justification for the change in the Budget Summary.**

**Formal Amendments will not reviewed by the Coordinating Board after July 1, 2017.**

**Instructions for Budgetary Amendments**

1. The Perkins Portal system does not allow the deletion of line items within budget schedules. To remove or reduce a line item, indicate the change with a line item showing the amount to be subtracted from the schedule.
2. To increase a line item, use one of the following methods:
  - Subtract out the original line item and add a new line-item entry with updated information, including the increased line-item total; OR
  - Add a new line item for the amount of the increase only. It should be clear which original line item the increase applies to. Add updated information to explain the increase.

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3. To add a new line item, follow the entry formats and examples given in Section 7.4: Budget.
4. Indicate the purpose of each line item in clear language: REMOVE, REDUCE, INCREASE, or ADD.

Sample Entries:

<b>Cost Category Schedule A: Salaries and Fringe Benefits</b>			
<b>I. Activity</b>	<b>II. Title/Position</b>	<b>III. % of Time on Project</b>	<b>IV. Amount</b>
Special Populations	(A2) INCREASE: 3 additional PT interpreters to provide identified CTE special needs students with services. Total for interpreters: \$15,000 + \$10,000 = \$25,000.	100 %	\$ 10,000
Special Populations	4 PT Interpreters to provide identified CTE special needs students with services.	100 %	\$ 15,000

<b>Cost Category Schedule B: Travel</b>			
<b>I. Activity</b>	<b>II. Title/Position</b>	<b>III. Purpose</b>	<b>IV. Amount</b>
Professional Development	(A2) Capson, INTD Coordinator	ADD: Capson, Interior Design Coordinator, will attend the NEOCON Conference from 11/9-12/2016 in Chicago, IL to obtain the latest development in designs and eco-designing as can be applied for course program instruction.	\$ 2,000
Professional Development	(A1) REMOVE	REMOVE: Avery, Nursing Coordinator, attending Texas Nurse Practitioners event in May 2017.	\$ -1,000
Professional Development	Avery, NRSG Coordinator	Avery, Nursing Coordinator, will attend Texas Nurse Practitioners event in May 2017 to obtain information about program instruction and credentialing requirements.	\$ 1,000

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**Cost Category Schedule C: Capital Outlay/Equipment**

<b>I. Activity</b>	<b>II. Description</b>	<b>III. Amount</b>
Instructional Equipment	(A1) REDUCE: Cost savings for Tire Changer purchase for the Automotive Program. Original cost: \$10,000. Final cost: \$7,000.	\$ -3,000
Instructional Equipment	(1) Tire Changer, including related accessories, is needed for classroom instruction, replacement of old equipment, and student use in the Automotive Program.	\$ 10,000
	<b>OR</b>	
Instructional Equipment	(A1) REVISE: Cost savings for Tire Changer purchase for the Automotive Program. Original cost: \$10,000. Final cost: \$7,000.	\$ 7,000
Instructional Equipment	(A1) REMOVE: Tire Changer purchase for the Automotive Program due to cost savings.	\$ -10,000
Instructional Equipment	Tire Changer, including related accessories, is needed for classroom instruction, replacement of old equipment, and student use in the Automotive Program.	\$ 10,000

**Cost Category Schedule F: Operating Expenses, Services, Books, and Supplies**

<b>I. Activity</b>	<b>II. Description</b>	<b>III. Amount</b>
Upgrade Curriculum	(A2) NEW: Scanners (2) are needed for student use, course instruction, and lab application in the Information Technology Systems Program.	\$ 500
Other	(A1) INCREASE: Printed recruitment materials highlighting CTE programs. Will include TEXASgenuine. Original cost: \$2,000. Final cost: \$4,000.	\$ 2,000
Other	Printed recruitment materials highlighting CTE programs. Will include TEXASgenuine.	\$ 2,000

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**APPENDIX L**

FFY15

**FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA) CERTIFICATION**

**A. Certification Regarding Percent (%) of Annual Gross from Federal Awards:**

Did your organization receive 80% or more of its annual gross revenue from federal awards during the preceding fiscal year?

- ☐ Yes If yes, continue to question B.  
☐ No If no, questionnaire is complete. Please sign section E. Thank you!

**B. Certification Regarding Amount of Annual Gross from Federal Awards:**

Did your organization receive \$25 million or more in annual gross revenues from federal awards in the preceding fiscal year?

- ☐ Yes If yes, continue to question C.  
☐ No If no, questionnaire is complete. Please sign section E. Thank you!

**C. Certification Regarding Public Access to Compensation Information.**

Does the public have access to information about the highly compensated officers/senior executives in your business or organization (including parent organization, all branches, and all affiliates worldwide) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

- ☐ Yes If yes, questionnaire is complete. Please sign section E. Thank you!  
☐ No If yes, continue to question D.

**D. Top Executive Disclosure Requirements:** Provide the names and total compensation of the top five most highly compensated officers/senior executives for the preceding fiscal year below. Please see 2 CFR Pt. 170, including its Appendix A for guidance. After completing Section D, please sign section E. Thank you!

	Name of Executive	Annual Compensation
1.		\$
2.		\$
3.		\$
4.		\$
5.		\$

**E. Signatures:**

As the duly authorized representative (Signor) of the Contractor/Grantee, I hereby represent and warrant that the statements made by me in this certification form are true, complete, and correct to the best of my knowledge and are consistent with FFATA (31 USC § 6101 note), as amended, and its implementing regulations including 2 CFR Part 170. I further represent and warrant that I will provide THECB with any and all information which may be further needed for THECB to accurately report to the federal government pursuant to FFATA.

Signature:	
Printed Name:	
Title:	
DUNS Number:	
City in which services will be performed:	
State in which services will be performed:	
Zip Code in which services will be performed:	