

## REQUEST FOR APPLICATION

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# Application Guidelines

## Part 3: Schedule Instructions



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# General Instructions

Follow these general instructions in filling out the application:

- **Applications are to be submitted on the schedules (i.e., forms) provided and must be printed on one side only.** Applications not submitted on the proper schedules or printed front and back will not be reviewed or considered for funding.
- Independent school districts and open-enrollment charter schools must enter the county/district number *on every page* of the application (or, for applicants selected for funding, all amendments to the application).
- Applicants may *not* exceed any specified page or space limits, nor may they alter the format of the application. Applicants are advised to comply with all page limitations on the narrative schedules. Any pages that exceed the specified page limitation on the narrative schedules will be removed from the application for the purposes of reviewing and scoring competitive grant applications. (Limit to the space provided using a font size no smaller than 9-point Arial or Verdana.)
- In some cases, when the applicant may require additional space to provide a complete response to a requirement, applicants may be permitted to duplicate a schedule or a page of a schedule. Instructions on the schedule will indicate when that is permitted.
- When formulating the budget, remember that all costs must be reasonable and necessary for the operation of the program. Clear, concise, relevant descriptions of all budgeted items will help TEA approve the application in a timely manner.
- You *are not* required to reproduce the instructions and submit them with the application.
- Staple each copy of the application in the top left corner. Do not bind the application or place it in notebooks or folders.

The following general instructions apply to applicants selected for funding (i.e., grantees):

- Effective October 3, 2008, indirect costs may be charged to all current and future state-funded grants. Indirect costs may not be charged to any state-funded grants that ended prior to October 3, 2008.
- When an applicant is selected for funding, TEA will assign the application a Notice of Grant Award (NOGA) ID number, which will be appended to **Schedule #1—General Information**. Grantees must include this NOGA ID number on all amendments to the application and on all financial/programmatic reports defined in the RFA as required. (See Part 2: Program Guidelines, “Required Reports,” for details on required reporting.)
- The complete RFA and instructions for each schedule will be incorporated by reference into the Notice of Grant Award. Retain a copy of the RFA for this purpose in case of selection to receive a grant. Pay particular attention to the requirements contained in Schedules #6A through #6F. The signing of Schedule #1—General Information by applicant indicates acceptance of all requirements described on Schedules #6A through #6F, as applicable.
- Only applicants that have been selected for funding and that have received a NOGA ID number are permitted to submit amendments to the application. When amending the application, submit three copies of the amendment as well as three copies of **Schedule #1—General Information**, with an original signature on each copy.

Definitions applicable to this application are as follows:

- **Agency:** The Texas Education Agency (TEA)
- **Applicant:** The entity eligible to apply for funds offered in this application. If the application is approved, *applicant* shall mean grantee/contractor.
- **Application:** The package submitted by the applicant composed of those schedules indicated by an "X" in the **New Application** column of **Schedule #1—General Information: Application Schedules**
- **Application for amendment:** A change being requested by the applicant to the approved application
- **SAS:** The Standard Application System, of which these schedule instructions is a part

## Schedule #1—General Information

### Summary of Schedule Purpose

This schedule indicates which forms must comprise the application (i.e., lists all forms that must be included in the application for the application to be complete and eligible for scoring and review). In addition, this schedule lists any attachments required for the application.

The applicant uses Part 1 of this schedule to indicate which schedules (in addition to those marked as “Required”) comprise the application and to provide the signature of the official who is authorized to sign the application.

In Part 2 of this schedule, the applicant indicates that all required attachments are included with the application. In Part 3 of this schedule, the applicant provides all pertinent contact information.

**The signed form must be included in the application.**

### General Information

Applicants must enter the appropriate information in the top right corner of the first page of the schedule:

- **All applicants:** Organization name, 9-digit vendor ID.  
**NOTE:** Applicants that have received payments in the past from TEA will have been assigned a vendor ID number. Applicants that do not have a vendor ID can find the form online at <http://www.window.state.tx.us/taxinfo/taxforms/ap-152.pdf>.
- **Independent school districts (ISDs) and open-enrollment charter schools:** County-district number; campus name and number as applicable (for campus-based grants).  
**NOTE:** ISDs and open-enrollment charter schools must enter the county-district number on *every page* of the application.
- **Education service centers (ESCs):** Enter the ESC region number.
- **Amendment number:** Applicants that have been selected for funding and whose applications have been assigned a NOGA ID number may submit amendments to their applications. When submitting an amendment, the applicant should number the amendment sequentially. For instance, the first amendment submitted would be numbered “#1,” and so on.

**NOTE: The applicant is not responsible for entering the NOGA ID number.** This number is assigned by TEA after the application is selected for funding.

### Part 1: Index to the Application

#### New Applications

With a new application (i.e., an application to receive grant funding), applicants must review and complete the Index to the Application to ensure that all required schedules are submitted with the application. An “X” in the **New** column indicates a schedule that is **required to be submitted**

with the application. Ensure that these schedules are attached to the application. Applications with missing or incomplete schedules may be disqualified and not awarded.

Only those schedules that apply to your application or for which a budget is required to be prepared should be submitted with the application. For example, if your project includes payroll costs, you must include **Schedule #5B**. On the other hand, if the project does not require the purchase of supplies and materials, do not include **Schedule #5D**.

#### Applications Already Selected for Grant Funding (Amendment Process)

*For a complete description of the amendment process, refer to the instructions for Schedule #3—Purpose of Amendment.*

For an application that has already been selected for grant funding (i.e., an application that has been assigned a NOGA ID number), the applicant must complete the Index to the Application to indicate which of the schedules is being amended.

An “X” in the **Amend** column indicates that you are submitting an amendment to that schedule. Three copies of Schedule #1 must be submitted with the amendment request, with each copy bearing an original signature of the official authorized to sign and submit the application.

**Note:** An amendment is effective on the date it is received in TEA in substantially approvable form. An amendment must be approved by TEA *before* any activities such as purchase orders issued, funds encumbered or expended, goods received, or services rendered which are affected by the amendment. *The last day to submit an amendment to TEA is **90 days before the ending date of the grant**.* TEA will not process or approve an amendment received after that date.

#### Certification and Incorporation/Authorized Official

As the schedule states, an authorized signature on **Schedule #1—General Information** indicates that information contained in the application is correct, that the signatory is authorized to sign the application, and that the applicant accepts all requirements described on **Schedules #6A—#6F**, as applicable.

This section must be signed by an official authorized by the local board to bind the applicant organization in a legally binding contractual agreement. Enter the requested contact information for that official. Once the application is complete, the authorized official must review it thoroughly and sign it.

**NOTE:** In order for TEA to determine which of the copies submitted has an original authorized signature, please sign the required number of copies (minimum of three) in blue ink. (See footnote to **Schedule #1, Part 1**, to determine the total number of applications to submit.)

#### Part 2: List of Required Program-Related Attachments

Required program-related attachments are documents defined in Part 2: Program Guidelines, “Required Program-Related Attachments,” as being required attachments to the application. Each

document on this list must be submitted with the application (appended to the back of the application as an appendix). A competitive application that is submitted without any of the required program-related attachments will not be eligible for competitive review and scoring.

**Applicants for the Algebra Readiness grant are *not* required to submit any additional program-related attachments with the grant application. However, applicants are strongly encouraged to submit the following program attachments with the grant application. Letters from the principal and teachers are required to be submitted prior to the notice of grant award (NOGA) being awarded. Resumes for the local and external coach are required to be submitted during the Planning Phase, prior to funds being release for the Implementation Phase.**

- Letter of support, written on letterhead and with original signature of the campus principal, identifying and indicating support for the algebra readiness intervention model chosen for implementation.
- Letters from at least two math teachers at the campus, written on letterhead and with original signature of authors, indicating support for the algebra readiness intervention model chosen for implementation.
- Resume of the coach, local or external, selected to provide coaching services to mathematics teachers during the first year of the grant (school year 2010-2011). (Refer to Part 2: Program Guidelines, Appendix 1, Instructional Coach Job Description.)
- Resume of the local coach selected to be mentored during the first year of the grant (school year 2010-2011) in preparation for taking on coaching responsibilities for remainder of grant period (school year 2011-2012). (Refer to Part 2: Program Guidelines, Appendix 1, Instructional Coach Job Description.)

See Part 1: General and Fiscal Guidelines, “Conditions for Submission of Application” and Part 4: Schedule 1, for a description of the types of proof that the applicant is required to supply regarding nonprofit status (if applicable) and financial stability.

**NOTE:** Do not attach any documents not requested by TEA. Any such documents will be removed.

The following sections describe the attachments (proof of nonprofit status and proof of financial stability) that are generally required of certain applicants for competitive grant applications. A description of the process for submitting the required Reviewer Information Form is also included.

### **Proof of Financial Stability**

All public school districts, open-enrollment charter schools, and education service centers (ESCs) must be in compliance with submitting the required annual audit for the immediate prior fiscal year to TEA in the time and manner requested by TEA, and the audit must be determined by the TEA Division of Financial Audits to be in compliance with the applicable audit standards. All applicants must be deemed by TEA to be financially stable at the initial time of preliminary selection for funding in order to receive a grant award. The TEA Division of Financial Audits will determine financial stability based on the required annual audit for the immediate prior fiscal year.

### Acceptable Indicators of Financial Stability

All nonprofit organizations (excluding ISDs and nonprofit open-enrollment charter schools) and for-profit organizations must submit along with the application indicators of financial stability, including but not limited to the following:

- Most recent ) audit report (i.e., within the last two years from the date the grant application is filed with TEA, including a statement of financial position, statement of activities [income statement], statement of cash flows, and note disclosures
- Independent auditor's opinion (standard report)

### Accordance with Government Auditing Standards

If the grant applicant is also subject to the Single Audit Act of 1996, as amended, the audit report must also include reports in accordance with Government Auditing Standards, as promulgated by the United States Government Accountability Office and Office of Management and Budget (OMB) Circular A-133.

Alternatively, if the organization is new and has not yet had the first annual audit conducted, the grant applicant may file a compilation of financial statements, including a report on compiled financial statements, a statement of financial position, statement of activities (income statement), and statement of cash flows. The compilation report must be prepared by a certified public accountant and in accordance with the standards promulgated by the American Institute of Certified Public Accountants.

**NOTE: For a competitive application, the application will not be reviewed or scored if acceptable proof of financial stability, as stated above, does not accompany the application when it is submitted.** The audit or compilation report will be forwarded to the TEA Division of Financial Audits to determine financial stability.

### Determination of Suitability for Funding

The division of school financial audits will consider the financial data provided in the application and determine whether the applicant provided sufficient information. Applications submitted with insufficient financial data at the time of original submission will be rejected. Applicants submitting insufficient financial data will not be permitted to submit additional financial data at a later date in order to qualify the application for consideration.

For applications that have sufficient financial data, the division of school will use that data to determine whether the applicant is financially stable based upon a deficiency of net assets, a deficiency of net unrestricted assets, the ratio of current assets to current liabilities, deficiencies in cash flow, qualifications to the opinions of a independent auditor on the applicant's financial statements, and any other financial data submitted with the application that indicates that the applicant is financially unstable.

**A competitive grant will not be awarded to an entity that is not financially stable as determined by the Division of Financial Audits at the initial time the determination is made, regardless of the final score or ranking of the application.** This determination will be made based upon the financial and other information disclosed in the audit or compilation report submitted with the original grant application. Financial stability will be considered before a grant award is issued for each year of subsequent continuation funding and is a pre-condition for award.

**Part 3: Applicant Information**

1. Type the name of your organization in **Organization Name**. If your organization is an open-enrollment charter school, type the name of charter holder.
2. Type the mailing address for the organization.
3. Type the U.S. congressional district number for the fiscal agent. (You can look up your congressional district number online, using a physical street address, at <http://www.fyi.legis.state.tx.us/>.)
4. Type the primary DUNS number for the fiscal agent. (Go to <http://www.dnb.com/us/> to request a DUNS number or to verify the primary DUNS number for your organization. If your organization has multiple DUNS numbers, the primary DUNS number will usually be the first number listed. See below for more information on the DUNS number.)
5. Type the CAGE code for the fiscal agent. (The CAGE code is assigned after you complete the process of registering in the CCR database. You need a DUNS number to register with CCR. You can register with CCR online at <http://www.ccr.gov>. See below for more information on the CAGE code.)
6. Type the name and requested address information for the primary and secondary contacts. These people will be the ones contacted if there are any questions about the application.

**U.S. Congressional District Number**

The U.S. congressional district number you enter should be the one for your central administration headquarters. You can look up your congressional district number at <http://www.fyi.legis.state.tx.us/> using a physical street address. Be sure to enter your **congressional district number**, and not your Texas legislative Senate or House number.

Use the following format to enter the number in the space provided on Schedule #1: two characters to represent the state abbreviation—three numerals for the district number. For instance, Texas's 21st congressional district would be represented like so: TX—021. For charter schools, the correct congressional district number is the one for the **charter holder**.

**DUNS Number Information**

The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. Requesting a DUNS number is free of charge. You can usually receive a DUNS number on the same day you apply.

Some entities already have multiple DUNS numbers. TEA will use the primary DUNS number assigned to the central headquarters for ARRA reporting purposes and reporting of other federal funds awarded to your organization.

**Requesting a DUNS Number**

1. To verify an existing DUNS number or to request a new DUNS number, go to the Dun & Bradstreet website at <http://fedgov.dnb.com/webform/displayHomePage.do> or call 1-866-705-5711 to request a DUNS number over the phone.
2. You will need the following information to obtain a DUNS number:

- a. Legal name of organization
- b. Organization address
- c. Name of the Superintendent or CEO
- d. Legal structure of the organization (corporation, partnership, proprietorship)
- e. Year the organization started
- f. Primary type of business
- g. Total number of employees (full and part time)

#### CAGE Code Information

The Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires that grantees obtain a DUNS number and register in the Central Contractor Registration (CCR) database.

##### Registering in CCR

1. You can register with CCR online at <http://www.ccr.gov>. From the home page, click on “Start New Registration” to register. For help, call 1-888-227-2423.
2. The following information will be needed to register in CCR:
  - a. DUNS number
  - b. Tax Identification Number (TIN) and Taxpayer Name used in federal tax matters
  - c. Statistical information about your organization
  - d. Electronic Funds Transfer (EFT) information, including the name of your depository financial institution, the ABA routing number, account number, and type of account
  - e. An E-Business Point of Contact (E-Biz POC)

**It may take approximately 48 hours for the CCR registration to process.** Your organization will be assigned a CAGE code, which you will provide to TEA for ARRA reporting purposes. You must update your CCR profile annually.

If you have further questions about registering in CCR, consult the excellent resources provided by CCR, including FAQs at <http://www.ccr.gov/FAQ.aspx>, a worksheet/checklist at <http://www.ccr.gov/doc/UserAccount.pdf>, and a user’s guide at <http://www.ccr.gov/handbook.aspx>.

## Schedule #3—Purpose of Amendment

### Summary of Schedule Purpose

This schedule is included in the application for the purpose of indicating amendments to the application **after the applicant has been selected for funding and has received the Notice of Grant Award (NOGA)**. This schedule should **not** be submitted with the original application.

After being selected for funding and receiving the NOGA, grantees should submit this schedule *only* when they are amending the original application. In addition, an amendment should be submitted only if the reason for the amendment is listed in Part 3, “Reason for Amendment Request.”

If you are uncertain as to the amendment requirements, contact the Division of Discretionary Grants before submitting an amendment. This may prevent the completion of unnecessary paperwork and save substantial time for both you and TEA.

Follow these instructions for submitting an amendment:

- Indicate the amendment number in the top right corner of **Schedule #1—General Information** as well as on all pages of the application submitted for the amendment. Amendments should be numbered sequentially, with the first amendment that an applicant submits being numbered “#1,” and so on.
- **Submit three copies of each of the following schedules:**
  - **Schedule #1—General Information**, with an original signature on each of the three copies
  - **Schedule #3—Purpose of Amendment**, with box(es) checked in Part 1 to indicate which schedule(s) is being amended; Part 2 completed to indicate what budget schedule is being amended and the amended amount; and with box(es) checked in Part 3 to indicate reason for amendment.
  - **The schedule being amended.** If the schedule being amended is a narrative schedule, all additions to text should be indicated with underlining. Deletions should be indicated with ~~strikethrough~~.

Regardless of how a grantee distributes the funds among the class/object codes, the grantee is still responsible for carrying out the scope and objectives of the grant as described in the approved application.

TEA reserves the right to reject unnecessary amendments without reviewing and approving them.

## Amendment Effective Date

An amendment, if approved, is effective on the date it is *received* in TEA in substantially approvable form. ***The last day to submit an amendment to TEA is 90 days before the ending date of the grant.***

An amendment must be approved by TEA before any activities occur, such as purchase orders issued, funds encumbered or expended, goods received, or services rendered that are affected by the amendment. Amendments received in substantially approvable form for discretionary grants are

effective on the date received in the Division of Discretionary Grants. Amendments not received under one of the above conditions are effective on the date of approval (signature date) by TEA.

All amendments are subject to negotiation and approval by TEA.

## Amendment Justification

Grantees are permitted to rebudget within the approved direct cost budget (as established on **Schedule #5—Program Budget Summary**) to meet unanticipated requirements and to make certain changes to the approved budget without written amendment. However, other types of changes require the prior written approval of TEA through an amendment. [34 CFR 80.30]

Regardless of whether an amendment is required, grantees must comply with any requirements for maximum or minimum expenditures for certain categories or activities. For example, if the grant requires that no more than 25% of the funds may be used for a certain activity, such as planning, the grantee must comply with this 25% maximum requirement.

Include in the amendment the supporting budget schedules (i.e., Schedules **#5B–5G**), as well as any narrative schedules affected by the amendment. Attach these schedules to **Schedule #1—General Information** with an original authorized signature and an amended **Schedule #5—Program Budget Summary**.

## When an Amendment Is Not Required

For all grants, *regardless of the dollar amount*, an amendment is *not* required to do the following:

- Increase or decrease the amount of funds budgeted for a line item on a supporting budget schedule (i.e., within a class/object code): NO amendment is required as long as the description of the line item does not change and as long as the current amount approved in that class/object code is not changed by more than 25%.
- Increase or decrease the amount of funds currently approved in a class/object code (i.e., 6100–6600) by 25% or less, as long as a new line item is not being added.
- Increase the quantity of computer hardware/equipment (not capitalized) previously approved on **Schedule #5D—Supplies and Materials 6300**.
- Increase the quantity of capital outlay items previously included in the list of articles costing less than \$5,000 on **Schedule #5G—Capital Outlay 6600/1500**.

## When Prior Written Approval from TEA (through an Amendment) Is Required

For all grants, *regardless of the dollar amount*, an amendment is **required** if the applicant is requesting the following:

- To add a class/object code not previously budgeted on **Schedule #5—Program Budget Summary**
- To increase or decrease the amount approved in any class/object code (i.e., 6100–6600) on **Schedule #5—Program Budget Summary** by more than 25% of the current amount approved in the class/object code
- To add a new line item on any of the supporting budget schedules (i.e., Schedules **5B–5G**)

- To increase or decrease the number of positions approved on **Schedule #5B—Payroll Costs 6100**
- To add a new item of computer hardware/equipment (not capitalized) approved on **Schedule #5D—Supplies and Materials 6300**
- To add a new item or increase the quantity of capital outlay items approved on the **Schedule #5G—Capital Outlay 6600/15XX** for articles costing \$5,000 or more
- To add a new item of capital outlay items approved on **Schedule #5G—Capital Outlay 6600/15XX** for articles costing less than \$5,000
- Reduce funds allotted for training costs, where such costs are direct payments or reimbursements to trainees, primarily travel and lodging for trainees, workshop or conference registration fees, tuition, books, and related fees
- ~~Change construction costs~~
- Request additional funding
- Revise the *scope* (i.e., extent or range) *or objectives* of the grant (regardless of whether there is an associated budget revision requiring prior approval)
- ~~Extend the ending date of the grant~~

If you are asking to extend the ending date by more than three months, make sure to provide an explanation/justification for the need to extend. An amendment will not be approved without such explanation.

**Note:** In no case may grantees expend more than the total grant award.

### Part 1: Schedules Amended

Check the appropriate box for each schedule(s) being amended.

Include with the amendment submission the supporting budget schedules, as applicable (i.e., Schedules #5B–5G), as well as any narrative schedules affected by the amendment.

**Submit three copies of each schedule being submitted for the amendment (i.e., Schedule #1—General Information, Schedule #3—Purpose of Amendment, and the specific schedule(s) being amended. If a supporting budget schedule is being amended, submit three copies of the amended Schedule #5—Program Budget Summary as well.**

**NOTE:** Be sure that each copy of Schedule #1—General Information is signed by the official authorized to sign and submit the application.

### Part 2: Revised Budget

This table is required to be completed if there are any budget changes included in the amendment.

In column A, provide the most recently approved budget amounts by class object code, from originally approved application or most recently approved amendment.

In column B, indicate the amount per class object code being deleted.

In column C, indicate the amount per class object code being added.

In column D, provide the new amended budget amount by class object code. This column should match the Total Budget on Schedule #5 – Program Budget Summary.

Be sure that all calculations are correct across each row and down each column.

**Part 3: Reason for Amendment Request**

Check the appropriate box to indicate the reason for the amendment request. Additionally, provide a description of the amendment justification.

## Schedule #4—Program Summary and Application Requirements

### Summary of Schedule Purpose

Part 1 of this schedule is designed to present the program purpose, goals and allowable activities in a summarized, easily accessible format.

Part 2 of this schedule lists all application requirements defined in Part 2: Program Guidelines. The applicant is required to check the appropriate box in the “Primary Component” column to indicate the schedule that contains the primary response to the requirement.

In some cases, the application includes a schedule designed specifically to capture responses to certain requirements. In those cases, the “Primary Component” column will include only the name of that schedule. The applicant must provide responses to those requirements on the named schedules.

Part 3 of this schedule lists all program assurances defined in Part 2: Program Guidelines. Program assurances are those requirements that require assurance that the applicant will comply with the requirement in planning and delivering the program.

### Part 1: Grant Program Information

This part of the schedule summarizes the program purpose, goals and allowable activities and is included in the application for ease of reference. No applicant response is required.

### Part 2: Application Requirements List

Program requirements are those requirements defined for the program that require the applicant to provide some kind of response (narrative, timeline, etc.) in the application. All legal requirements of this grant program are listed on this schedule. In order to qualify for grant funding, the applicant must address each requirement in the appropriate program component.

For some program requirements, there is only one logical schedule in the application where the applicant can provide a response. In those cases, the **Primary Component** column contains only the name of that schedule. Applicants are required to provide their response to the requirement in the schedule named.

For other program requirements, the application may include several places where the applicant can logically provide a response to the requirement. In those cases, the **Primary Component** column includes the names of all narrative schedules in the application. Check the box to indicate the *primary* component of the application where you describe your approach and the activities to be conducted to meet the program requirement.

**Note:** Even if an application requirement is addressed in multiple schedules, you must select the single schedule where the requirement is *primarily* addressed.

For the application to be considered for funding, each of the program requirements listed in the schedule must be addressed by the applicant in the appropriate narrative schedule.

For competitive applications that are submitted by an established deadline time and date, applicants are reminded that no additional information or substitutions of any kind may be submitted after the closing date. The applicant will not be allowed to submit the information pertaining to these requirements at a later date in order to qualify the application for funding.

### Part 3: Program Assurances

Listed in this part of the schedule are those requirements with which the applicant must agree to comply (i.e., to provide assurance of compliance) in order to receive grant funding. The applicant provides this agreement to comply by signing **Schedule #1—General Information** and submitting the application.

**Note:** In Part 2: Program Assurances, rather than providing a response (e.g., narrative, timeline, etc.), the applicant provides assurance that it will comply with all requirements defined in this part.

All provisions and assurances are listed in **Schedule #6F—Program-Specific Provisions and Assurances**.

## Amendments

Submit this schedule during the amendment process only if there are any changes to it. Indicate the amendment number in the space provided. **Submit the schedule in its entirety**, underlining any additions or changes and ~~striking through~~ any deletions.

## Schedule #4A—Program Abstract

### Summary of Schedule Purpose

The purpose of this schedule is to collect an overview of the program the applicant intends to design and deliver.

In writing the program abstract, the applicant should be certain to touch on the elements listed below, each of which is defined as a TEA program requirement for the Algebra Readiness grant program. It is particularly important that the district provide evidence of a thorough needs assessment for the campus on which the Algebra Readiness program will be delivered. In this program abstract, the applicant should ensure that the needs assessment process is clearly described, along with the identified means of addressing the needs of the campus as they relate to the program purpose and goals defined for the Algebra Readiness grant program.

Applicants must address how they will achieve the following within the application:

1. Provide a thorough assessment of the campus middle school mathematics program, examining various criteria, including but not limited to TAKS Mathematics scores, district benchmark scores, content knowledge of mathematics teachers, and other variables found to be significant in contributing to the severity of the mathematics instructional need for the campus.
2. Describe the campus on which this grant will be administered. Description should include demographic information, learning environment (including class sizes, class loads, staff/student ratios, facilities, etc.), needs assessment results, teacher experience and certification, current curriculum, and scheduling utilized.
3. Describe the method for identification of middle school students at risk of not meeting future standards and assessment requirements in Algebra I.
4. Describe how the campus will address the extended learning time for mathematics. How will the campus schedule be modified to provide identified students with 80-100 minutes of mathematics instruction daily (e.g. double blocking)?
5. Describe the qualifications of the teachers selected to participate in the grant, including indicators that they have a high probability of being successful with middle school students at risk for future failure in Algebra I?
6. Describe how grant funds will be used to enhance the content knowledge of mathematics teachers. What activities will occur on the campus, and who will be responsible for ensuring growth in the content knowledge of mathematics teachers?
7. Describe how the instructional coach will be selected and whether a consultant (external coach) or campus/district employee (local coach) will be used in this role. Will a consultant or campus/district employee be used in this role? Applicants should also address specific activities the coach will be responsible for, timelines for coaching, and who will be responsible for monitoring the performance of the coach.
8. Describe additional teacher supports that will be implemented in order to facilitate enhancing teacher content knowledge, including how often common planning time will

occur with teachers served under the grant and what guidance and accountability will be provided to teachers in order to maximize the impact and effectiveness of common planning time.

9. Describe the supplemental instructional resources that will be used to support grant activities. What research is available to support effectiveness with struggling students in middle school in building algebra readiness?
10. Describe how administrators will be trained regarding supporting and facilitating instructional effectiveness, RtI, and assessments, including who will be responsible for providing this training.
11. Describe the types of technology that will be used to support algebra readiness within the grant and identify research to support the effectiveness of technology used with students served.
12. Describe methods used to provide guidance and communication to students and parents related to progress in mathematics and preparedness for four years of mathematics at the high school level
13. Describe how the supplemental instructional resources selected will increase student engagement in the mathematics classroom.

## Amendments

Submit this schedule during the amendment process only if there are any changes to it. Indicate the amendment number in the space provided. ***Submit the schedule in its entirety, underlining any additions or changes and striking through any deletions.***

## Schedule #4B—Program Description: Needs and Objectives

### Summary of Schedule Purpose

This schedule is designed to collect information that verifies that the applicant has conducted a thorough needs assessment in order to verify that program services will benefit the target population. This schedule also identifies the target population to be served, local needs and objectives, and where applicable identifies the participating campuses and student eligibility.

In planning and designing the grant program, the applicant must do the following:

- Conduct a needs assessment to determine the local needs that exist within the context of the stated program goals.
- Establish local program objectives based on the stated program goals and local needs.

Local program objectives must reflect the desired results of the project and must be measurable, realistic, and achievable during the grant period.

The grant program must be designed around these local program objectives.

### Part 1: Target Population

For each type of participating school, type the number of targeted students by grade level (grades 6-8)), as applicable to this grant program.

For each type of school, add the number of targeted students in each grade level and type that result into the **Total** column.

Type totals for all other targeted participant types, as required for this grant program, as follows:

- Type the number of staff to be involved in the project.
- Type the number of parents who will be affected by their children's participation in the program, if applicable.
- Type the number of families that will be affected by participation in the program, if applicable.
- Type the number of campuses targeted to house the project.

### Part 2: Local Needs and Objectives

The needs identified on this schedule should be used to establish the local program objectives and then to design the components and activities to accomplish those objectives. In addition, identified needs must align with the overall goals and objectives identified in the RFA.

### Methods Used to Assess Needs

Applicant must list the specific methods or strategies by which local need for the program was assessed and determined. The assessment must be performed in relation to the stated program goals and objectives.

For instance, if the stated objective of the program is to reduce the rate of students that drop out of high school, one method used to assess need might be “Assessment of district PEIMS data, high school dropout numbers for previous three school years.”

### Local Needs

Applicant must list the specific local needs that were identified in the needs assessment and that justify funding this project at the proposed site(s) for the proposed populations.

For example, an assessment of PEIMS data in terms of local high school dropout rates may indicate that certain campuses in the district have a disproportionately large number of students that drop out. In that case, a local need might be “Identify primary causes that lead students to drop out of high school at Campuses X, Y, and Z.”

**Note:** Provide only the data that is relevant to the stated program goals or to the specific campuses to be served in the project.

### Local Objectives

Applicant must list the objectives that have been identified as a result of the needs assessment. Objectives listed must be measurable and realistic and capable of having achievable results within the grant period.

Continuing the previous example, a local objective might be “Partner with local community groups and businesses to identify mentors for students who meet criteria for being at risk of dropping out of school.”

## Amendments

Submit this schedule during the amendment process only if there are any changes to it. Indicate the amendment number in the space provided. **Submit the schedule in its entirety**, underlining any additions or changes and ~~striking through~~ any deletions.

## Schedule #4B—Program Description: Project Management

### Summary of Schedule Purpose

This schedule is designed to capture a description of the various components of the applicant's project management plan. Included in the project management description should be project management activities for member districts of an SSA, as applicable.

Along with the acceptance and receipt of a grant award come many responsibilities involving the management and administration of programmatic, financial, and reporting aspects of the grant project. The adequacy of the management plan is critical to achieve the objectives of the proposed project (on time and within budget), timelines, and milestones for accomplishing project tasks.

### Part 1: Component Description

#### Supplement Not Supplant

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

Applicants must describe in this schedule specifically how program funds will supplement (increase the level of services) and not supplant (replace) state mandates, State Board of Education (SBOE) rules, or activities previously conducted with state or local funds. The supplement-not-supplant requirement applies to most federal grants and many state grants and dictates that state or local funds may not be decreased or diverted for other purposes merely because of the availability of these funds.

To demonstrate how services and activities provided by this grant program will be *supplemental* to *existing* state and local services and activities, the application must describe any and all *existing* services or activities that are similar in nature to those proposed in this application. The description must delineate precisely *how* all program services and activities to be funded from this grant will be *supplementary* to existing services and activities. Further, it should discuss how grant funds will *not* be used for any services or activities required by state law, State Board of Education, or local policy.

Grantees must maintain documentation that clearly demonstrates the supplementary nature of these funds. Consult *Application Guidelines—Part 2: Program Guidelines* to determine if Supplement Not Supplant is a requirement of this grant program, and for additional information.

Describe specifically how services and activities provided by this grant program will meet both of the following criteria:

- Be supplemental to existing state and local services and activities
- Not be used for any services or activities required by state law, SBOE rules, or local policy

#### Partnership/Involvement of Others

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

Applicants must demonstrate how a variety of individuals with diverse perspectives will be consulted in the design, planning, and implementation of the project.

The applicant must ensure that a diversity of perspectives are solicited in the operation of the proposed project, including those of teachers, parents, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

In this section, you must include the following information:

- Identify specifically with whom you will be partnering or whom you will involve in planning, designing, and carrying out grant activities.
- Describe specifically how and when you will partner or be involved with other entities, organizations, or groups in planning, designing, and carrying out grant activities.
- Specify the roles of each partner in planning, designing, and carrying out grant activities.

#### Management of Grant Activities

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

Administering a grant project *requires* collaboration and coordination between both the local program office and the local business office. However, each of these offices has areas of primary responsibilities for the local grant project. Shared Services Arrangements (SSAs), comprised of two or more local educational agencies (LEAs), including open-enrollment charter schools, will be managed by a fiscal agent. The fiscal agent of the SSA serves as the Project Manager *and* the Business Manager for the entirety of the LEAs within that SSA.

To assure proper and efficient administration of the grant award, responsibilities should be identified, disaggregated, and assigned to key personnel within the grantee organization. It is critical that someone in the grantee organization be directly responsible for each of the functions associated with the administration of the grant project.

Awardees must implement procedures for ensuring feedback and continuous improvement in the operation of the proposed project through ongoing monitoring. The design for monitoring should allow participants to interact and provide feedback, enabling the grantee to determine whether the program met its stated goals and objectives and achieved the desired results based on the established performance indicators.

Describe the plan for how grant activities will be managed and monitored on a day-to-day basis to ensure successful implementation and operation of the grant program.

In this section, you must include the following information:

- Describe the processes for ensuring that activities will be conducted and completed according to the timeline proposed in the application.
- Include processes for soliciting feedback on an ongoing basis and for ensuring continuous improvement in the operation of the project.

### Internal Communication, Coordination, and Reporting

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

Communication and coordination among personnel is essential for a successful grant project. Grant personnel should establish procedures for regularly and frequently communicating with stakeholders with regard to the progress of the grant and any problems encountered in the implementation of grant activities.

Stakeholders include the administration; the local project manager/contact person; the business office; and any major collaborators, including partners, as well as the staff implementing the program throughout the grant period and other interested parties.

In this section, you must describe the following:

- Describe the processes and activities that will be incorporated to provide for regular and frequent communication among all stakeholders, including management.
- The process, including the frequency, by which the project manager will regularly report grant progress as well as problems encountered to the supervisor of the project manager, to the chain of management, and to other stakeholders, including partners.

### Grant Project Manager Qualifications

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

The quality of project personnel, including qualifications, experience, and certifications of employees, and qualifications and experience of external consultants, is a key factor in determining the likelihood of success of a grant project.

Local project managers are usually responsible for the following (not all inclusive):

- Coordinating with appropriate individuals to design and develop the grant project and complete the application
- Coordinating the preparation of the grant budget with the business/accounting office  
This effort will ensure that budgeted line items are classified correctly according to the Financial Accountability System Resource Guide, also known as FAR (for school districts, charter schools, and ESCs)
- Negotiating the grant budget with the TEA Program Manager
- Making any necessary copies and distributing the documents, including the original RFA, for grant personnel.  
This distribution must include individuals in the business office and the grant program area.
- Coordinating with local decision-making committees and other appropriate state and federal programs to maximize the effectiveness of the grant
- Identifying additional resources to carry out grant project activities

- Providing reasonable opportunities for teachers, parents, and other interested parties to participate in the planning and operation of the grant project
- Employing effective procedures for acquiring and disseminating significant information from educational research and promising educational practices developed through similar projects to participating teachers and administrators
- Reviewing the contents of the grant packet as soon as it is received
- Ensuring that appropriate personnel review the approved application, and verifying any necessary modifications that may have taken place before, during, or after negotiation with TEA personnel
- Ensuring that funds are expended as approved in the application
- Ensuring the appropriate inventory of equipment is purchased
- Ensuring all expenditures and activities are properly documented

Although the business office records are the official grant fiscal accounting documents, the project manager must ensure that the project program office's books are regularly compared and reconciled to the business office accounting records.

- Ensuring that all the proposed activities are planned, implemented, and completed as approved in the application
- Filing necessary amendments
- Filing the following reports, as applicable and in coordination with the business/accounting office as needed:
  - Interim Expenditure Reports (usually completed by the business/accounting office)
  - Progress/Activity Reports
  - Evaluation Reports (also known as final reports)
  - Final Expenditure Report (usually completed by the business/accounting office)
  - Revised Final Expenditure Report (usually completed by the business/accounting office)

In this section, you must do the following:

- Describe the experience and qualifications (including any background training) of the project manager who will be managing grant activities on a day-to-day basis.
- Provide satisfactory evidence of the project manager's capability to manage and coordinate the types of activities described in the Application Guidelines and to perform the activities and required program components according to the established timeline.

#### Grant Personnel Qualifications

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

- Describe the qualifications and responsibilities of all other grant personnel, including the following:
  - Certifications

- Endorsements
- Professional experience
- Supervisory responsibilities, as appropriate
- Describe the experience and qualifications of any major external consultants to be used in the project. Consultants must be selected based on demonstrated competence, qualifications, reasonableness of cost, and record of past performance.

### Resource Management

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

One of the purposes of the description of resource management is to help illustrate the cost-effectiveness of the project, including coordination with other programs and resources.

The extent to which existing resources and facilities will be used and managed to maximize the effectiveness of grant funds will be evaluated, as well as the extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, state, and federal resources.

To assist in proper resource management, the local business office should be fully integrated in the grant administration processes.

Business/Accounting Offices are responsible for the following (not all inclusive):

- Maintaining fiduciary and financial responsibility for all grant activities
- Processing and maintaining the accounting data for the grant
- Grant accounting, which shall include the details of all grant transactions, from the approval of the proposed grant to final action by the Grantee and Grantor
- Requesting funds through the automated payment request systems
- Preparing and submitting written expenditure reports, usually in coordination with the project manager, and certifying expenses are true and correct
- Classifying and reporting the accounting transactions properly, according to FAR, if applicable
- Grant accounting records, which should all of include the following:
  - Copy of the grant agreement/contract and any amendments
  - Detailed accounting records, including all appropriate supporting documentation for charges to the grant and for costs used to meet any or Match
  - Payroll records (supported by individual time and effort documentation, if required)
  - Budgets
  - Grant payments
  - Refunds
  - Program income (if applicable)

- Financial reports
- Procurement records, including copies of any contracts with subcontractors

Include the following information in this section:

- Explain how you will maximize the use of grant funds (i.e., cost effectiveness).
- Describe the utilization of existing resources, including the following:
  - Personnel not funded from the grant
  - Facilities management
  - Coordination with other district/campus programs
  - Coordination with community, state, and federal resources

#### Program Continuation

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

Should funding be available beyond the initial grant period, TEA may, at its option, provide continuation grants to those grantees who demonstrate success in accomplishing the previous year's objectives and in meeting the performance targets established by the grantee. In awarding initial grants, consideration is given to those applicants who demonstrate in the application the intent and commitment to the implementation and operation of the grant program in subsequent years, should continuation funding be available.

Describe the organization's intent and commitment to continuing the grant program beyond the initial grant period.

## Amendments

Submit this schedule during the amendment process only if there are any changes to it. Indicate the amendment number in the space provided. **Submit the schedule in its entirety, underlining any additions or changes and ~~striking through~~ any deletions.**

## Schedule #4B—Program Description: Curriculum and Instruction

### Summary of Schedule Purpose

On this schedule, the applicant must clearly identify, as completely and succinctly as possible, the elements of the curriculum and instruction components that will be implemented to accomplish the identified goals and objectives.

Use this schedule to describe the curriculum (*what* will be taught) and instruction (*how* it will be taught) components of the grant project. Do not use the **Component Description** sections to describe the activities to be carried out to accomplish the objectives. Instead, outline activities in **Part 2: Activity Timeline** of this schedule.

Include curriculum and instruction activities for member districts of an SSA, as applicable.

Also included must be an explanation of the **rationale** underlying your choice of the curriculum and instruction strategies (i.e., why do you think they'll work?).

**Note:** Be sure to address any requirements listed in the Program Requirements schedule that are related to curriculum and instruction. Applications that do not address all of the requirements are not eligible to be funded. Competitive applications with deficient information will not be corrected through negotiation.

### Part 1: Component Description

#### Curriculum Approach

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

You must describe the curriculum content to be taught and materials to be used, including computer software, in the grant project (i.e., *what* are you going to teach?).

#### Curriculum Underlying Rationale/Research

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

You must describe why this approach to curriculum was selected.

Support your rationale with underlying research to demonstrate that this approach should work.

#### Instruction Approach

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

You must describe the instructional methods, techniques, and strategies you will use, including computer hardware, in the grant project (i.e., *how* are you going to teach it?).

### Instruction Underlying Rationale/Research

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

Describe why this approach to instruction was selected.

Support your rationale with underlying research to demonstrate that this approach should work.

### Part 2: Activity Timeline

To the degree of specificity practical, the applicant will list the major activities to be undertaken to carry out the component.

In general, the activities must do the following:

- Relate directly to the stated program goals, local program objectives, and component description, as well as to the project requirements section of the application
- Be clearly stated
- Be sufficient to carry out the proposed program
- Address the identified needs of the targeted population
- Be designed to provide measurable outcomes

For each *major activity*, time frames must be logical and must be appropriate to complete all activities within the beginning and ending dates of the project.

To complete this section, do the following:

- a. Type a brief description of the major curriculum and instruction activities in each box.
- b. Check the appropriate box in indicate whether the activity is to be held in the planning or the implementation phase.
- c. Type the proposed start date for that activity.
- d. Type the proposed end date for the activity.

## Amendments

Submit this schedule during the amendment process only if there are any changes to it. Indicate the amendment number in the space provided. **Submit the schedule in its entirety, underlining any additions or changes and striking through any deletions.**

## Schedule #4B—Program Description: Professional Development

### Summary of Schedule Purpose

Professional development is often central to the successful implementation and operation of a grant program. Use this schedule to identify the different types of professional development activities and the different areas of focus or topics to be addressed in professional development activities.

### Part 1: Component Description

#### Professional Development Approach

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

Include professional development activities for member districts of an SSA, as applicable.

#### Session Type

Type the appropriate type of professional development session. Some of the most common types are listed below:

- Coaching
- College Courses
- Conferences
- Mentoring
- Networking or Sharing with Others
- Seminars
- Study Groups
- Visits to Other Campuses
- Workshops

#### Focus or Topic

Type the focus or topic for each session type.

#### Frequency and Duration

Type how often this type of session will occur and the length of time (i.e., duration) allotted per session. Example: 2x week/1 hour each.

#### Underlying Rationale/Research

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

- a. Describe why this approach to professional development was selected.

Support your rationale with underlying research to demonstrate why this approach should work.

## Part 2: Activity Timeline

To the degree of specificity practical, the applicant will list the major activities to be undertaken to carry out the component.

In general, the activities must do the following:

- Relate directly to the stated program goals, local program objectives, and component description, as well as to the project requirements section of the application
- Be clearly stated
- Be sufficient to carry out the proposed program
- Address the identified needs of the targeted population
- Be designed to provide measurable outcomes

For each *major activity*, time frames must be logical and must be appropriate to complete all activities within the beginning and ending dates of the project.

To complete this section, do the following:

- a. Type a brief description of the major professional-development activities in each box.
- b. Check the appropriate box in indicate whether the activity is to be held in the planning or the implementation phase.
- c. Type the proposed start date for that activity.
- d. Type the proposed end date for the activity.

## Copyright/Ownership

The grantee must ensure that TEA retains copyright and ownership of any and all materials or products conceived or developed under the grant by any and all employees or contractors. Grantee must ensure that such copyright/ownership is clearly stated in any and all written agreements/contracts for services (refer to Schedule #6A—**General Provisions and Assurances**).

## Amendments

Submit this schedule during the amendment process only if there are any changes to it. Indicate the amendment number in the space provided. **Submit the schedule in its entirety**, underlining any additions or changes and ~~striking through~~ any deletions.

## Schedule #4B—Program Description: Parent Involvement

The successful implementation and accomplishment of the objectives of a grant program often requires the involvement of parents and family members. In addition, many grant programs require parent involvement as a condition of receiving grant funds. Use this schedule to describe the types of activities designed to involve parents and family members, if applicable, in the grant program.

### Part 1: Activity Timeline

To the degree of specificity practical, the applicant will list the major activities to be undertaken to carry out the component.

In general, the activities must do the following:

- relate directly to the stated program goals, local program objectives, and component description, as well as to the project requirements section of the application
- be clearly stated
- be sufficient to carry out the proposed program
- address the identified needs of the targeted population
- be designed to provide measurable outcomes

For each *major activity*, time frames must be logical and must be appropriate to complete all activities within the beginning and ending dates of the project.

To complete this section, do the following:

- a. Type a brief description of the major parent-involvement activities in each box.
- b. Type the proposed start date for that activity (mm/dd/yyyy).
- c. Type the proposed end date for the activity (mm/dd/yyyy).

## Amendments

Submit this schedule during the amendment process only if there are any changes to it. Indicate the amendment number in the space provided. **Submit the schedule in its entirety**, underlining any additions or changes and *crossing through* any deletions.

## Schedule #4C—Performance Assessment and Evaluation

### Summary of Schedule Purpose

This schedule collects data on a number of performance measures defined specifically for the program. All applicants are required to submit all actual data (whether in numeric or percentage format) available for those defined performance measures.

Applicants for competitive funding are also required to project a target or goal for the next grant year. The purpose of this projection is to gather information about the impact of the grant program that the applicant foresees for the target population. In other words, how does the applicant anticipate that grant funds will influence or change the performance of the target population?

Applicants for continuation funding are asked to provide all information required of competitive applicants. In addition, applicants for continuation funding are required to indicate the projected target numbers (in the **Projected % or #**) they submitted with the original grant application. In conjunction with the data provided in the **Actual % or #** field, this information allows the applicant and TEA to compare the projected target with actual grantee performance. This creates a stable foundation for the assessment and evaluation of the program (i.e., how was the target population's performance affected by grant funding?).

Use this schedule to describe the elements of performance assessment and program evaluation. Include a description of the methods used to monitor progress and to provide for continuous improvement, methods of collecting both qualitative and quantitative data, formative evaluation, and performance measures and targets.

Evaluations may be conducted for each of the selected campuses according to guidelines approved by TEA staff with input from the participating districts.

By submitting this application, you are indicating agreement to comply with any evaluation requirements that may be established by TEA, as agreed upon by the project participants and as described below, and that you will submit the evaluation reports in the format requested by the agency.

Grantees selected for funding must provide a final evaluation that addresses, in general, the following:

- The extent to which the activities of the project were implemented as planned
- The effectiveness of the activities in achieving the goals and objectives of the project
- The impact of the project activities on the participants.
- The extent to which the performance targets were met.

Include evaluation activities for member districts of an SSA, as applicable.

**Part 1: Component Description****Ongoing Monitoring/Continuous Improvement**

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

You must describe how you will solicit feedback and monitor progress on an ongoing basis.

How will you use the information to identify and correct program deficiencies as they are encountered and provide for continuous improvement of the project?

**Formative Evaluation**

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

Formative evaluation examines the conduct of the project, including a determination of the effectiveness of the planning, design, implementation, and evaluation of the project.

You must describe how formative evaluation information and process-evaluation information will be obtained from program administrators and participants (parents, teachers, students, others from the community, etc.) to determine quality measures according to the purpose and objectives of the project.

Provide a description of how formative evaluation information will be obtained to determine the following, as applicable to the grant program:

- Quality, type, and degree of planning, implementation, and evaluation of project activities
- Quality, type, and degree of collaboration with project partners
- Quality and level of communication with and reporting to management on the progress of the project and any problems encountered
- Quality, type, and degree of participatory involvement practiced by the principals, teachers, parents, and, when appropriate, students
- Quality, type, and level of professional development activities
- Quality, type, and level of services actually provided to the targeted population
- Quality and type of curriculum that is utilized
- Quality and type of instruction
- Quality of any products or documents developed as part of the project
- Strengths and weaknesses of the project design, implementation, and evaluation
- Extent to which recommendations for modifying or improving the program as a result of ongoing evaluation activities were implemented

**Qualitative and Quantitative Data Collection Methods**

**Note:** Responses in this part are limited to the space provided, front side only, with a font size no smaller than nine-point Arial or Verdana.

You must describe the process and methods you will use during the grant project to collect and analyze both qualitative and quantitative data related to the performance measures.

**Part 2: Performance Targets**

Performance measures are defined by the program area in charge of designing and administering any given grant program. The performance measures defined for a grant program provide TEA with information on the condition or status of a program in producing the intended or desired results. They are used to measure and document the accomplishment of, or progress toward, the stated goals, objectives, and activities.

**Competitive Applications**

Applicants for competitive grants are required to list their actual performance for the current year (or the most recent year for which data is available) in the column headed **Performance Actual % or #**. This provides the baseline for competitive grants.

Applicants for competitive grants are also required to define their performance targets for 2 years funded by the grant (in the columns headed **Year 1 2010-2011 Target/Goal % or # and Year 2 2011-2012 Target/Goal % or #**) for each performance measure. Performance targets are the specific goals expressed in terms of percentages or numbers. If the applicant applies for continuation funding, this target figure is used for comparison with actual performance in order to determine how effectively the applicant used grant funding in relation to the defined performance measures.

**Continuation Applications**

For continuation grants, programs are expected to achieve continuous improvement in performance measures over the previous year and throughout the multi-year contract period. List your current/most recent year's performance along with the projected targets or goals for the two years of the grant period. This information will be used in TEA's evaluation of your continuation application.

Grantees must make significant progress to receive continued funding. Some of the indicators included on this schedule may be used by the state to monitor, evaluate, and improve grant programs within the state.

**Performance Measure**

The required performance measures are listed on the form. Follow the specific instructions for each section carefully. **Applicants are to indicate "DNA" if data is not available. Similarly, applicants are to indicate "0" if the value for the performance target is zero. Do not leave any fields blank**

**Assessment Instrument/Tool – Required for All Applicants, Both Competitive and Continuation**

For each performance measure, type the name of the assessment instrument or tool used to measure performance for the measure. **This is required for all applicants, including new competitive applicants and applicants applying for continuation funding.** Do not leave a field blank.

**Total Number in Population – Required for All Applicants, Both Competitive and Continuation**

For each performance measure, type the total number of members this grant is serving regarding that measure. For example, if the Performance Measure is *Number of teachers demonstrating Proficiency on the LMT assessment instrument*, indicate the total number of teachers that will be assessed. **This is required for all applicants, including new competitive applicants and applicants applying for continuation funding.** Do not leave a field blank.

**Performance Actual % or # - Required for All Applicants, Both Competitive and Continuation**

**This field is required for all applicants, competitive and continuation.** For each performance measure, type the actual percentage or number (based on best available data) that indicates the performance for the current/most recent year for which data is available. This provides the baseline for competitive grants or demonstrates progress or lack of progress for continuation grants. If this measure is new and data is not available, type **DNA** (data not available). **Do not leave the field blank.**

**Year 1 Target/Goal % or # - Required for All Applicants, Both Competitive and Continuation**

**This field is required for all applicants, competitive and continuation.** For each performance measure, type the percentage or number that reflects the performance you expect to reach by the end of the first school year for this application.

**Year 2 Target/Goal % or # - Required for All Applicants, Both Competitive and Continuation**

**This field is required for all applicants, competitive and continuation.** For each performance measure, type the percentage or number that reflects the performance you expect to reach by the end of the second school year for this application.

## Final Evaluation Report

The grantee must agree to provide a final evaluation report in the format requested by TEA within 30 days after the end of the project. The grantee is not in compliance with grant conditions and requirements until such time as this report is received by the TEA Project Administrator. Final payment may be withheld pending receipt of the report. Eligibility of grantee to receive future grants, including continuation grants, from TEA may be impacted by such noncompliance.

## Amendments

Submit this schedule during the amendment process only if there are any changes to it. Indicate the amendment number in the space provided. **Submit the schedule in its entirety, underlining** any additions or changes and *crossing through* any deletions.

## Schedule #5—Program Budget Summary

### General Information

**NOTE: All applicants are required to complete this schedule and submit it as part of the application in order to be considered for funding.** The total budgeted for each class/object code on this schedule must match the total on the corresponding supporting budget schedule.

The budgeted amounts for program costs, administrative costs, and Planning Phase for each appropriate class/object code are summarized on this schedule. Applicants must complete the amount of federal indirect costs, if requested, and the amount of payments to be made to member districts of a shared services arrangement (SSA), if applicable, as well as the total budgeted for each class/object code.

All expenditures must be budgeted in an appropriate line item within an appropriate class/object code in order to be reimbursed by TEA. Request funds only for those items/expenditures which are necessary to fulfill your project objectives.

Costs must be allocable to a particular grant award in accordance with relative benefits received. They must be treated consistently with other costs incurred for the same purposes in like circumstances, and must meet the following:

- Be incurred specifically for the grant
- Be beneficial to the grant and other work
- Be distributed in reasonable proportion to the benefits received

Any cost allocable to a particular grant or other cost objective may not be shifted to other grant awards to overcome deficiencies or to avoid restrictions required by law or the terms of the grant award.

You are strongly encouraged to consult with your business/accounting office before submitting the application to assign budgeted items to proper class/object codes. Advance coordination will expedite negotiation and application processing.

For all grants, including state-funded grants and federally funded grants, you must comply with federal cost principles in expending grant funds. Refer to “Basic Principles for Allowability of Costs” and to “Cost Principles Guidelines” for additional information. All encumbrances and expenditure of funds approved shall occur on or after the effective date of this application—upon receipt of the grant application or the first day of the grant availability period, whichever is later.

Grant funds are to be requested on the appropriate supporting budget schedules, as included in the application. Refer to the specific instructions for each supporting budget schedule for more detailed instructions:

- Payroll Costs Schedule #5B (6100)
- Professional and Contracted Services Schedule #5C (6200)
- Supplies and Materials Schedule #5D(6300)

- Other Operating Costs Schedule #5E (6400)
- Capital Outlay Schedule #5G (6600/15XX)
- Building Purchase, Construction or Improvements Schedule #5H (6629) (if applicable for this application)

## Amendments

Follow these guidelines for amendments:

- Submit the applicable supporting budget schedules if you have changes, deletions, or additions to any approved items.
- Include all items previously approved as well as the new items requested.
- Omit any previously approved items to be deleted in the amendment.

## Program Costs

Program costs are those costs directly associated with carrying out daily activities of the grant program. Program costs usually include the following costs:

- Program coordinator/director salary
- Instructional personnel (teachers, instructional aids, tutors, etc.)
- Professional development for teachers
- Supplies and materials for carrying out program activities
- Equipment for carrying out program activities
- Other operating costs expended in carrying out daily program activities

## Administrative Costs

Administrative funds include both direct and indirect costs. Direct administrative costs may include those costs associated with:

- Accounting and other fiscal activities, including reporting expenditures to TEA
- Auditing
- Overall program administration
- Evaluating and reporting on the progress and results of the grant program
- Monitoring compliance with the program requirements
- Salaries and benefits for staff who supervise activities of program staff
- Insurance that protects the grantee
- Direct administrative costs included in an approved direct cost allocation plan

The authorizing statute or TEA may limit the amount of funds that may be expended to administer the program to no more than 5% (or another amount specified in statute) of the total grant awarded for any fiscal year. Refer to the *Application Guidelines—Part 1: General and Fiscal Guidelines* for more information on administrative costs and to *Part 2: Program Guidelines* to determine if

administrative costs are limited for this grant. If administrative costs must be specified, the corresponding column in the budget schedules will not be shaded and will require administrative costs to be budgeted.

## Reasonable and Necessary Costs

All costs and expenditures must be reasonable and necessary for the operation of the grant project. *Reasonable* costs are consistent with prudent business practice and comparable to current market value. *Necessary* costs are essential to accomplish the objectives of the project. All items requested must be allowable expenditures under the authorizing program statutes, regulations, rules, and guidelines.

To be allowable under a grant award, costs must meet the following criteria:

- Be reasonable for the performance of the grant and be allocable under the applicable cost principles
- Conform to limitations or exclusions set forth in applicable cost principles or the grant agreement as to types or amount of costs
- Be consistent with policies and procedures that apply uniformly to federally funded activities and activities funded from other sources
- Be accorded consistent treatment among all grant programs, regardless of funding source
- Be determined in accordance with generally accepted accounting principles (GAAP)
- Not be included as cost or used to meet cost-sharing or matching requirements of any other federal- or state-funded program in the current or in a prior period

Determine the reasonableness of a cost by considering the following:

- The cost is of a type generally recognized as ordinary and necessary for operation of the organization or grant performance.
- Restrictions or requirements are imposed for generally accepted sound business practices, arms length bargaining, federal/state laws and regulations, and grant award terms and conditions.
- Individuals acted with prudence in the circumstances of responsibility to the organization, its members, employees, clients, the public, and federal/state government.
- There are no significant deviations from established practices of the organization that may unjustifiably increase grant costs.

## Federal Cost Principles

For all grants, including state-funded grants and federally funded grants, grantees must comply with the federal cost principles in expending grant funds. The applicable cost principles as established by the federal Office of Management and Budget (OMB) are as follows:

Type of Entity	Applicable Cost Principles
<ul style="list-style-type: none"> <li>■ Public school districts</li> <li>■ Regional education service centers (ESCs)</li> </ul>	<i>OMB Circular A-87, Cost Principles for State and Local Governments</i>

<ul style="list-style-type: none"> <li>■ Open enrollment charter schools operated by a governmental entity</li> <li>■ Local governments (e.g., cities, counties)</li> </ul>	<a href="http://www.whitehouse.gov/omb/circulars/a087/a087-all.html">http://www.whitehouse.gov/omb/circulars/a087/a087-all.html</a>
<ul style="list-style-type: none"> <li>■ Open enrollment charter schools operated by a non-profit organization</li> <li>■ Non-profit organizations, including community-based organizations and faith-based organizations</li> </ul>	<p><i>OMB Circular A-122, Cost Principles for Non-Profit Organizations</i></p> <a href="http://www.whitehouse.gov/omb/circulars/a021/a021.html">http://www.whitehouse.gov/omb/circulars/a021/a021.html</a>
<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>	<p><i>OMB Circular A-21, Cost Principles for Educational Institutions</i></p> <a href="http://www.whitehouse.gov/omb/circulars/a122/a122.html">http://www.whitehouse.gov/omb/circulars/a122/a122.html</a>

In addition, refer to Appendix 1: Guidelines Related to Specific Costs, for guidance relating to specific unallowable costs identified by TEA. This list is not all-inclusive.

## Indirect Costs

- You must have an approved federal indirect cost rate in order to charge indirect costs to a federal or state grant program.
- You are not required to budget indirect costs in the grant application in order to charge indirect costs to the grant.
- If indirect costs are claimed, they are part of the total grant award amount. They are not in addition to the award amount.
- Indirect cost is based on actual expenditures. If the total grant award is not expended, the final amount claimed for indirect cost must be adjusted based on final expenditure.
- All applicants other than school districts, ESCs, and open-enrollment charter schools that have an approved rate from TEA must submit a copy of their indirect cost rate agreement specifying the approved rate for the current period to TEA along with the application. Indirect costs will not be permitted in the absence of a copy of this agreement.
- Costs included in the calculation of the indirect cost rate (i.e., as specified in the indirect cost plan) may *not* be charged as direct costs to a grant.
- Unless otherwise indicated for individual programs in the Program Guidelines, you may charge state-funded grant programs for indirect costs incurred by using the restricted indirect cost rate or 15%, whichever is less.
- Unless otherwise indicated for individual programs in the Program Guidelines, you may charge federally funded grant programs for indirect costs incurred by using the restricted indirect cost rate or 8%, whichever is less.
- If administrative costs are limited to a certain percentage, for example 5%, then the total direct administrative costs, *plus* indirect costs, cannot exceed 5%.

## Indirect Costs Calculation

### Step 1

#### School Districts, Education Service Centers, and Charter Schools Operated by an LEA

Compute the amount of indirect cost to be claimed by deducting the following cost exclusions from **Total Direct Costs**:

- Subgrants (6290)
- Debt Service (6500)
- Capital Outlay (6600)
- Building Purchase, Construction, or Improvements (6620)

#### Colleges/Universities and Charter Schools Operated by a College/University

Calculate the amount of indirect cost by deducting the following:

- Tuition remission (6100)
- Rental or Lease of Buildings, Space in Buildings, or Land (6269) (Does not include rental of temporary meeting room space)
- Scholarships and Fellowships (6200)
- Portion of each subcontract in excess of \$25,000 (6219)
- Subgrants (6290), regardless of dollar amounts
- Debt Service (6500)
- Capital Outlay (6600)
- Building Purchase, Construction, or Improvements (6620)

#### Nonprofit Organizations and Charter Schools Operated by a Nonprofit Organization

Calculate the modified total direct cost base by deducting the following:

- Rental or Lease of Buildings, Space in Buildings, or Land (6269) (does not include rental of temporary meeting room space)
- Portion of each subcontract in excess of \$25,000 (6219)
- Subgrants (6290), regardless of dollar amounts
- Debt Service (6500)
- Capital Outlay (6600/15XX)
- Building Purchase, Construction, or Improvements (6620)

### Step 2

For **federally funded grants** regardless of who the grantee is, multiply the modified total direct costs by **8%** or the restricted indirect cost rate approved by your cognizant agency, whichever is *less*. **Drop the cents. Do not round up.** If administrative costs are limited to a certain percent, the total direct and indirect costs cannot exceed the specified percentage.

For **state-funded grants**, regardless of who the grantee is, multiply the modified total direct costs by 15%, or the restricted indirect cost rate approved by your cognizant agency, whichever is less. **Drop the cents. Do not round up.** If administrative costs are limited to a certain percentage, the total direct and indirect costs cannot exceed the specified percentage.

**Step 3**

The maximum allowable is the total direct cost minus exclusions multiplied by the grantee’s approved restricted indirect cost rate or the rate specified in Step 2, whichever is less. The grantee may enter, in the appropriate field on the form *Schedule #5—Budget Summary*, an amount not to exceed the maximum allowable.

Indirect costs may be claimed based upon actual expenditures declared on mid-year or final expenditure reports (whether or not indirect costs were budgeted in the original application or amendment). The amount spent on indirect costs is part of the total amount awarded and not in addition to the total amount awarded.

**Costs That Must Be Excluded from the Indirect Cost Calculation (indicated with an X)**

Items of Cost	School districts, ESCs, and open enrollment charter schools operated by a governmental entity (OMB Circular A-87)	Nonprofit Organizations, including open enrollment charter schools operated by a nonprofit organization (OMB Circular A-122)	Educational Institutions (institutions of higher education including open enrollment charter schools operated by a college/university) (OMB Circular A-21)
6100—Payroll Exclude: Tuition Remission	Not an allowable cost	Not an allowable cost	X
6200—Professional and Contracted Services Exclude: Rental or lease of buildings, space in buildings, or land (does not include rental of temporary meeting room space)		X	X
6200—Professional and Contracted Services Exclude: Scholarships and Fellowships		Not an allowable cost	X
6200—Professional and Contracted Services Exclude: The portion of each subcontract in excess of \$25,000		X	X

6200—Professional and Contracted Services Exclude: Subgrants, regardless of dollar amounts	X	X	X
6500—Debt Service All costs in this category must be excluded prior to calculating indirect costs	X	X	X
6600—Capital Outlay All costs in this category must be excluded prior to calculating indirect costs	X	X	X
6620—Building Purchase, Construction, or Improvements All costs in this category must be excluded prior to calculating indirect costs	X	X	X

## Instructions

Items requiring specific approval are preprinted for your convenience. Request funding only in those class/object codes which are necessary to fulfill your project objectives.

1. First complete the related budget schedules (#5B–5G) to obtain the amounts to be typed in the program budget summary section.
2. For each class/object code, type the amounts to be allocated to **Program Cost** (from support schedules #5B-5G **Amount Budgeted**) and **Planning** from Schedules #5B–5G. **Planning Phase budget amount may not exceed more than 10% of the total grant award.**
3. For each class/object code, add the amounts to be used for administrative costs in the **Admin Cost** column. See the “Administrative Cost Calculation” section below for assistance in the calculation.
4. Total each row by adding **Program Costs** and **Admin Costs** and type that amount in **Total Budget**. Then type the amount of the **Total Budget** that is budgeted for the **Planning** Phase per class/object code.
5. Total these amounts by column and type the result beside **Total Direct Costs**.
6. Type your organization’s indirect cost rate in % **Indirect Costs**. See [Indirect Costs Calculation](#) for assistance and information.
7. Type the total amount of indirect cost in the **Admin Cost** column. See [Indirect Costs Calculation](#) for assistance and information.

**Grand Total**

Total the costs for each column on this line.

**Administrative Cost Calculation**

8. Type the grant amount you are requesting in the first box.
9. Multiply the administrative costs percentage by the amount from the first box.
10. Type the result in the last box. This amount is your organization's Maximum Allowable for administrative costs, including any indirect costs you claim.

## Schedule #5B—Payroll Costs

**NOTE: If funds are being requested in this class/object code (6100), the applicant must complete this schedule and submit it with the application.** The total amount requested on this budget schedule must match the corresponding amount listed on **Schedule #5—Program Budget Summary**.

This section must be completed to request employee payroll costs. All payroll costs require specific approval. Items requested must be allowable expenditures under the authorizing program statutes, regulations, rules, and guidelines. All standard positions are preprinted for your convenience. Request funds only that are necessary to fulfill your project objectives.

Report all positions to be charged to this program. Do not list positions for people who are not employees (consultants or contractors); such positions must be reported under **Schedule #5C—Professional and Contracted Services**.

### Unallowable Costs

The following employee payroll costs are not allowed:

- **Personal liability insurance:** Allowable fringe benefits do not include any type of personal liability insurance. Liability insurance is allowed only for the organization for carrying out grant activities, not for the individual as a fringe benefit, and is budgeted or expended as “other operating costs.”
- **Voluntary Retirement Plans:** These plans are employer contributions to voluntary retirement plans such as 403b or 401k.

### Administrative Cost

Consult *Part 2: Program Guidelines* to determine if administrative costs are limited. Examples for administrative payroll costs may include the following:

- Salaries and benefits for staff who supervise program staff
- Personnel who perform fiscal and reporting activities related to the grant

If you are required to identify administrative costs, do so in **Schedule #5** Budget Summary in the appropriate column.

#### Employee Position Titles

List all part-time and full-time positions to be charged to the grant on this schedule. Most of the common titles are listed. If you are paying other employees from the grant funds, list them under **Other Employee Positions**. The title **Principal** only appears under **Program Management and Administration** if funding for the principal is allowed under the grant program.

If a title is not listed, list it under **Other Employee Positions**.

**Justification**

Type a brief justification for each kind of position being budgeted for the grant.

**#Full-Time Effort**

If you are funding full-time efforts of staff with grant monies, type in the number of personnel for each title being staffed who will dedicate 100% of their effort to the program. Full-time effort is defined as devoting 100% of an employee's time working on the grant program.

Budget extra-duty pay—pay for work that is beyond normal work hours—in **Other Payroll Related Costs** in **6119** or **6121** as appropriate. Budget employee benefits in **6140**.

**#Part-Time Effort**

If you are funding part-time efforts of staff with grant monies, type in the number of part-time personnel for each title being staffed. Part-time effort is defined as devoting less than 100% of an employee's time working on the grant program or splitting an employee's time among multiple grants.

**Amount Budgeted**

Type the amount budgeted for each kind of position being funded by the grant.

**Planning**

If you are budgeting costs for a position to be used during the Planning Phase, type in the amount of **Planning** Phase costs allocated to this position.

**Subtotal Employee Costs**

Add the total employee costs in each column.

**Substitute, Extra-Duty, Benefits**

For each of the cost items listed, type in the amounts for **Amount Budgeted** and **Planning** (if applicable).

**6112—Substitute Pay**

Substitute pay can be budgeted and charged to this grant only if your district's business office practice is to consistently charge all substitute pay to each respective grant program for which substitutes are used. Otherwise, substitutes may only be charged to state and local (i.e., non-grant) funds. Check with your local business office if unsure.

Substitute pay is not to exceed the amount determined by local district policy. Pay for substitute teachers is allowable only for public school and open-enrollment charter school teachers. Substitute pay for private nonprofit school teachers is not allowable under any circumstances.

Allowable examples include the following, as long as substitutes are consistently charged to each respective grant program:

- Replacing grant-funded classroom teachers who are absent
- Allowing teachers to participate in grant-funded professional-development activities
- Allowing teachers to participate in grant-funded planning activities

#### 6119—Professional Staff Extra-Duty Pay and 6121—Support Staff Extra-Duty Pay

Extra-duty pay is not to exceed local district policy. This pay is not for regular working hours of a contract day but is defined as payment for time spent beyond normal work hours—after hours, holidays, and weekends.

Allowable examples include the following:

- Attending meetings, conferences, or workshops on noncontract days
- Participating in Saturday or evening staff-development activities beyond normal contract hours
- Participating in evening parental involvement activities beyond normal contract hours

#### 6140—Employee Benefits

Employee benefits include all allowable fringe benefit costs for each listed position to be charged against this grant.

Allowable fringe benefits include the following:

- Group health and life insurance
- Worker's compensation
- Unemployment compensation
- Teacher retirement (the applicable portion)
- Social security or Medicare (where paid by the employer as a benefit)

**Note:** Individual liability, personal liability, or professional liability insurance is not allowable from grant funds. Employer contributions to a voluntary retirement plan such as a 401K or 403B are not allowable to be paid from the grant.

**Teacher Retirement:** The full amount of the state's contribution for teacher retirement may be budgeted on a federally or privately funded application, if allowed by the grant. For State-funded grants, the employing district may budget for teacher retirement of the State's contribution only on that portion of the employee's salary exceeding the statutory salary minimum. For further detail concerning state provisions, refer to the Texas Government Code at Sections 825.404 Collection of State Contributions and 825.405 Contributions Based on Compensation Above Statutory Minimum  
<http://tlo2.tlc.state.tx.us/statutes/ed.toc.htm>.

#### 61XX—Tuition Remission

Tuition remission for employees is only allowable for institutes of higher education (IHEs) in accordance with the established policy of the college or university. Tuition remission must meet the criteria established in OMB Circular A-21 and must be equitably distributed to all institutional

activities. This line item must be excluded from the indirect cost calculation for colleges and universities.

**Subtotal: Substitute, Extra-Duty, Benefits Costs**

Total these costs in the appropriate columns.

**Grand Total: Payroll Budget**

Type the total for all Payroll costs in the appropriate columns, adding lines 26 and 31. These totals *must* match the **Total Budget** and **Planning** entered for **6100 Payroll Costs** in **Schedule #5** of this application.

## Amendments

An amendment is required to add a new position or to increase or decrease the number of approved positions. An amendment is effective only as of the date of receipt of the amendment by TEA.

## Time and Effort Documentation for Personnel

You must ensure that state-funded and federally-funded grants bear their fair share of cost. To support charges to payroll for personnel who spend time on a grant, time and effort documentation requirements must be satisfied.

*For state-funded grants* with personnel salaries prorated between or among different funding sources, you must do the following:

- Maintain personnel activity reports that confirm services provided by each funding source
- Adjust payroll records and expenditures based on this documentation

*For federally funded grants*, time and effort documentation must conform to the Federal cost principles applicable to the grantee organization as follows:

- Charges to payroll must be documented according to Federal requirements.
- Employee job descriptions for each employee must be current and must delineate all program or cost objectives under which the employee works. Job descriptions should be updated as new assignments are made.
- Daily class schedules for teachers and instructional aides may be used in lieu of time and effort reports for these personnel.
- Salaries and wages of employees used to meet or matching requirements must be supported with time and effort records in the same manner.

## Documentation Required for Charges to Payroll for Federally Funded Programs

Refer to the appropriate section below to determine the documentation required for charges to payroll for the following types of organizations:

- LEAs, ESCs, and open-enrollment charter schools operated by a government entity
- Nonprofit organizations, including open-enrollment charter schools operated by a nonprofit organization

- Colleges and universities, including open-enrollment charter schools operated by an IHE

### Documentation Required under OMB Circular A-87 for LEAs, ESCs, and Open-Enrollment Charter Schools Operated by a Governmental Entity

All charges to payroll for grant-funded personnel must be based on one of the following:

- Semi-annual certification
- Time and effort records
- Substitute system

Refer to the section “Compensation for personal services” in OMB Circular A-87 for more detailed information pertaining to charges to payroll.

#### Semi-Annual Certification

Semi-annual certification applies to employees who meet one of the following:

- Work 100% of their time under a single grant program
- Work 100% of their time under a single cost objective

Cost objective means a function, organizational subdivision, contract, grant, or other activity for which cost data are needed and for which costs are incurred. A Title I, Part A, schoolwide program funded from multiple funding sources is considered a “single cost objective.”

These employees are not required to maintain time and effort records. However, all employees must *certify* in writing, at least semi-annually, that they worked solely on the program for the period covered by the certification. The certification must be signed by the employee or by the supervisor having first-hand knowledge of the work performed. Charges to the grant must be supported by these semi-annual certifications.

#### Time and Effort

Time and effort applies to employees who meet one of the following:

- Do not work 100% of their time in a single grant program
- Work under multiple grant programs
- Work under multiple cost objectives

These employees are required to maintain time and effort records or to account for their time under a substitute system. See [Substitute Systems in Lieu of Time and Effort Reports](#). Employees must prepare time and effort reports at least monthly to coincide with pay periods. Such reports must reflect an *after-the-fact* distribution of 100 percent of the *actual* time spent on each activity and must be signed by the employee. Charges to payroll must be adjusted to coincide with preparation and submittal of the interim expenditure report required for TEA discretionary grants.

Here are a couple of examples:

Employees who work partially on administering programs included in NCLB consolidated administrative funds and work partially on administering other programs must maintain time and effort or account for their time under a substitute system.

Employees who work partially on administrative activities (paid from administrative funds) and work partially on program activities (paid from program funds) must maintain time and effort or account for their time under a substitute system.

### **Substitute Systems in Lieu of Time and Effort Reports**

Substitute systems for allocating salaries and wages may be used in place of time and effort reports. Substitute systems may include but are not limited to random-moment sampling, case counts, or other quantifiable measures of employee effort. Substitute systems that use sampling methods must meet acceptable statistical sampling standards. Refer to OMB Circular A-87 for detailed requirements.

Documentation of rationale and calculations for allocating salaries and wages must be maintained for audit purposes. It is recommended that a copy of a Certified Public Accountant's approval of a substitute system be kept on file for documentation. An unacceptable or invalid substitute system could result in an audit finding and the return of grant dollars to TEA.

### **Documentation Required under OMB Circular A-122 for Nonprofit Organizations and Open-Enrollment Charter Schools Operated by a Nonprofit Organization**

All charges to payroll for grant-funded staff must be based on distribution of activity reports. This requirement includes *professionals* and *nonprofessionals* whose compensation is charged, in whole or in part, directly to awards. Therefore, *all grant-funded personnel, whether 100% funded or partially funded, must maintain time and effort records.*

Employees must prepare time and effort reports at least monthly, to coincide with pay periods. Such reports must reflect an after-the-fact distribution of 100 percent of the actual time spent on each activity and must be signed by the employee. Charges to payroll must be adjusted based on time and effort records.

Charges for salaries and wages of nonprofessional employees must also be supported by records indicating the total number of hours worked each day maintained in conformance with the Department of Labor regulations implementing the Fair Labor Standards Act (FLSA). For this purpose, nonprofessional employee shall have the same meaning as nonexempt employee under FLSA.

Refer to the section "Compensation for personal services" in OMB Circular A-122 for more detailed information about charges to payroll.

### **Documentation Required under OMB Circular A-21 for Colleges and Universities and Open-Enrollment Charter Schools Operated by an IHE**

All charges must be based on payrolls documented in accordance with the generally accepted practices of colleges and universities. The method must provide for after-the-fact confirmation or determination by responsible persons with suitable means of verifying that the work was performed.

The payroll distribution system must reflect categories of activities expressed as a percentage distribution of total activities. Charges may be initially based on estimates made before services are

performed. Significant changes in the work activity must be identified and entered into the payroll distribution system.

Following are examples of acceptable methods:

- **Plan Confirmation:** The distribution of salaries and wages is based on budgeted, planned, or assigned work activity, updated to reflect any significant changes in work distribution. Certain standards must be met, as outlined in OMB Circular A-21, including an annual statement signed by the employee certifying that the work was performed.
- **After-the-Fact Activity Records:** Distribution of salaries and wages is supported by activity reports that reflect an after-the-fact description of the activity expended by employees. Charges may be made initially on the basis of estimates, provided that such charges are promptly adjusted if significant differences are indicated by activity records.
- **Multiple Confirmation Records:** The distribution of salaries and wages is supported by records that certify separately for direct and facilities and administration (synonymous with indirect) cost activities.

Activity reports must be prepared for each academic term, but no less frequently than every six months, and must be signed by the employee or a person having direct knowledge of the work performed. Charges may be made initially on the basis of estimates, provided that such charges are promptly adjusted if significant differences are indicated by activity records.

Refer to “Compensation for personal services” in OMB Circular A-21 for more detailed information about charges to payroll.

## Schedule #5C—Itemized 6200 Professional and Contracted Services Requiring Specific Approval

**NOTE: If funds are being requested in this class/object code (6200), the applicant must complete this schedule and submit it with the application.** The total amount requested on this budget schedule must match the corresponding amount listed on **Schedule #5—Program Budget Summary**.

Complete this schedule for professional and contracted services requiring specific approval. Included are professional or contracted services rendered by firms, individuals, and other organizations not on your district's or charter school's payroll. All items requested must be allowable under the authorizing program statutes, regulations, rules, and guidelines. Normally, professional and contracted services represent a complete service that is rendered for the school district, and no attempt should be made to separate labor from supplies.

**All Professional and consulting services require specific approval.** Professional and consulting services are those services delivered by an independent contractor (individual entity or firm) who is not on your organization's payroll and who offers its services to the public. Such specialized services that are usually considered to be temporary or short-term in nature are paid on a fee basis. Services are normally in areas that supplement the expertise of your organization. They generally include project management, evaluation services, professional development, curriculum development, or technical assistance. This category includes all related expenditures covered by a professional services contract. It does not include accounting or bookkeeping services, printing services, media services, or data management, which are contracted services that do not require specific approval unless otherwise specified.

Consultants must be selected based upon demonstrated competence, qualifications, experience, and reasonableness of proposed fees. Request funds only as necessary to fulfill your project objectives.

**Note:** Payments for any contracted services performed by consortium members must be listed in this schedule.

## Unallowable Costs

You shall not use or pay any consultant in the conduct of this application if the services to be rendered by such consultant could have been rendered by your employees.

Grant funds may not be used for the following:

- Training or technical assistance on grant writing or obtaining grant funds
- Fund-raising activities or training on fundraising
- Multi-color printing costs that are not reasonable and necessary to accomplish the objectives of the grant program (applies to printing costs incurred under 6200, 6290, and 6400)
- Retainer fees

Legal fees and expenses are allowed only as necessary for the administration of the grant program.

## Costs That Require Specific Approval

Items requiring specific approval are preprinted for your convenience on this schedule. The following types of costs require specific approval and must be listed:

- All audit costs except those associated with the OMB Circular A-133 Single Audit
- Rental or lease of building, space of building, or land (does not include rental of temporary meeting room spaces)
- Contracted publication and printing costs (specific approval required only for nonprofit organizations)

**Note:** Specific approval for contracted publication and printing costs is required only for nonprofit organizations, including charter schools operated or chartered by nonprofit organizations.

- Scholarships and fellowships (not allowed for nonprofit organizations)
- All professional consulting services, regardless of dollar amount, including project management, evaluation services, professional development, curriculum development, or technical assistance

### 6212 Audit Services

Costs in conjunction with conducting the A-133 Single Audit do not require specific approval and do not need to be listed here. Costs connected with conducting the required annual audit and report of financial activities are not allowable from grant funds.

Follow these instructions to complete this part of the form.

Type the purpose of the audit costs in **Specify purpose**.

Type the amount budgeted for audit costs other than those required under and conducted in accordance with OMB Circular A-133 in **Amount Budgeted**.

Type the amount to be budgeted to planning phase, if applicable.

### State-Funded Grants

Audit fees and expenses may not be charged to state-funded grants.

### Federally-Funded Grants

Audit fees and expenses are allowed only when the audit is required under and conducted in accordance with Office of Management and Budget [\(OMB\) Circular A-133, Audits](#). These costs do not require specific approval.

Audit fees and expenses may not be charged as direct costs when such audit services costs are part of your organization's indirect cost pool.

### 6269 Rental or Lease of Buildings, Space in Buildings, or Land

This cost category allows you to budget rentals and leases for building space not owned by your organization. This category includes but is not limited to the rental or lease of the following:

- Land
- Buildings
- Space in buildings
- Grounds

**Note:** Rental of temporary meeting room space does not require specific approval.

To complete this line of the form, do the following:

Type the purpose of the rented or leased space, including the calculation used to determine the program costs for the grant period, for example, \$5/mo x 12 mo = \$60.

Type the amount budgeted for rental or lease. This line item will be excluded from the indirect cost calculation for nonprofit organizations and for colleges and universities.

Type in the amount for planning, if applicable.

**6299 Contracted Publication and Printing Costs**

Specific approval for these costs is only required for nonprofit organizations, including charter schools operated or chartered by a nonprofit organization. All other organizations should include these costs on the **Budget Summary, 6200 Professional and Contracted Services**.

Follow these instructions to complete this line:

Type in the purpose of the contracted publication and printing costs.

Type in the amount budgeted for contracted publication and printing costs.

Type in the amount for planning, if applicable

**6299 Scholarships and Fellowships**

Type in the amount budgeted for scholarships and fellowships if requested. These costs are not allowed for nonprofit organizations, including charter schools operated or chartered by a nonprofit organization.

Type in the purpose of the scholarships and fellowships.

Type in the amount budgeted for scholarships and fellowships.

Type in the amount for planning, if applicable

**Subtotal: Professional and Contracted Services Requiring Specific Approval**

Add the totals in the **Amount Budgeted** and **Planning** columns, and type them in this line.

**Professional and Consulting Services (6219/6239) or Subgrants (6290)  
Less than \$10,000**

This section is for professional and consulting services that total less than \$10,000 for each consultant or subgrant. Professional and consulting services are those services delivered by an independent contractor (individual entity or firm) who is not on your organization's payroll and who offers its services to the public. Such specialized services that are usually considered to be temporary or short-term in nature are paid on a fee basis. Services are normally in areas that supplement the expertise of your organization. Consultants must be selected based upon demonstrated competence, qualifications, experience, and reasonableness of proposed fees.

They generally include project management, evaluation services, professional development, curriculum development, or technical assistance. This category includes all related expenditures covered by a professional services contract.

Contracted services such as accounting or bookkeeping services, printing services, media services, or data management, are not generally defined as professional and consulting services.

The same cost principles for allowable costs apply to all professional or consulting services contractors and subgrantees. Remember that your budget is subject to negotiation.

Budgeted consultant travel costs must be reasonable. Consultant costs must also include costs for any materials provided by consultants. Professional services funded from payments to SSA member districts are budgeted here.

Use the **6239** cost category to budget all professional and consulting services provided by an ESC when the ESC is not the applicant.

For each professional/consulting services contract and for each subgrant totaling less than \$10,000, type in a description of the topic, purpose, or service.

Check the **Subgrant** box if the amount is being budgeted for a subgrant. Exclude this amount from the indirect cost calculation.

Type in the amount of the total payment to be made to the consultant or subgrantee. Include the cost of any materials to be provided by the consultant and the amount of any travel costs to be incurred by the consultant.

Type in the amount budgeted for this contract or service.

Type in the amount of planning, if applicable.

## Unallowable Costs

This cost category does not include supplies purchased under a purchasing agreement with an ESC. Charge those supplies to the appropriate cost category on **6300 Supplies and Materials**.

**Subtotal: Professional and Consulting Services or Subgrants Less than \$10,000**

Enter the total **Amount Budgeted** and **Planning**, if applicable, for items under Professional and Consulting Services or Subgrants less than \$10,000

**Professional and Consulting Services (6219/6239) or Subgrants (6290)  
Greater than or Equal to \$10,000**

This section is for professional and consulting services and subgrants that are \$10,000 or more. These services and subgrants require specific approval.

For each consultant, professional services contractor, or subgrantee to be paid \$10,000 or more during the grant period, provide the budget by class/object code and cost category in accordance with the information requested. *The application will not be approved without this information.*

Items that must be listed in this section are the following:

- All professional and consulting services or subgrants equal to or exceeding \$10,000, including services provided by an ESC when the ESC is not the applicant  
Refer to the form introduction for more information on what constitutes professional and consulting services.
- all costs associated with these services, including materials provided by the consultant and travel costs incurred by the consultant

For each topic, purpose, or service totaling \$10,000 or more, do the following:

Check the **Subgrant** box if the amount is being budgeted for a subgrant rather than for a subcontract. Exclude this amount from indirect cost calculations.

Type in a description of the topic, purpose, or service.

Type in the title for any subcontracted payroll cost positions. Attach a page if necessary to identify additional positions paid from the grant.

Type in the number of positions for any subcontracted payroll costs.

Type in the payment amount for each class/object code.

Type in the cost budgeted for each class/object code.

Capital outlay is not an allowable expenditure for subcontractors or consultants. These entities should be properly equipped before they are awarded the contract.

Type in the amount of planning, if applicable.

Type in the percent of indirect cost.

Compute the amount of indirect cost for the payment amount, amount budgeted, and planning.

For each column, add the appropriate amounts to calculate the **Total Payment**.

**Subtotal: Professional and Consulting Services Greater Than or Equal to \$ 10,000**

Type the total **Amount Budgeted** and **Planning**, if applicable, for items under Professional and Consulting Services or Subgrants Greater than or equal to \$10,000.

**Subtotal of Professional and Contracted Services Requiring Specific Approval**

Type the total **Amount Budgeted and Planning**, if applicable, from the **Subtotal** line under **6200 Professional and Contracted Services Requiring Specific Approval**.

Subtotal of Professional and Consulting Services or Subgrants less than \$10,000

Type the total **Amount Budgeted and Planning**, if applicable, from the **Subtotal** line under **Professional and Consulting Services or Subgrants less than \$10,000**.

Subtotal of Professional and Consulting Services Greater Than or Equal to \$ 10,000

Type the total **Amount Budgeted and Planning**, if applicable, from the **Subtotal** line under **Professional and Consulting Services or Subgrants Greater than or equal to \$10,000**.

Remaining 6200 Professional and Contracted Services that do not require specific approval

Type the amount of funds budgeted and planning listed in Schedule #5 of the Budget Summary that are not included in the specific line items requiring approval.

#### Costs That Do Not Require Specific Approval

The following costs do not require specific approval in Schedule #5C and only need to be included in the **Remaining 6200 Professional and Contracted Services that do not require Specific approval** line.

- Test scoring
- Staff and student tuition and fees for higher education, public, and nonpublic schools for the following:
  - Services rendered by IHEs for the benefit of school district personnel when payment is made directly to the institution
  - Tuition when the school district is under contract to provide instructional services to students
  - Other tuition and transfer payments not detailed above

If tuition is to be paid by the participant and then reimbursed upon completion of the course, budget this cost in Schedule #5E—**6400 Other Operating Costs**.

**Note:** Tuition and fees for courses not directly related to the grant program are not allowable.

- Maintenance and repair services rendered by firms, individuals, or organizations other than the school district

Maintenance or repair costs include normal upkeep, repair, and minor restorations. When contracted maintenance and repair services are rendered, the total cost of the service, labor, and parts is to be included in the appropriate contracted services account.

**Note:** This cost category does not include new building construction or renovating or remodeling of buildings. Include costs in Schedule #5H—**6629 Building Purchase, Construction, or Improvements**, if allowed under the grant.

- Utilities, including communication costs:

- telephone service
- Telecommunication charges for cellular phones, pagers, modem lines, fax, and so on
- Heating, cooling, and water utilities when grant activities are conducted before school, after school, or during the summer
- Electricity
- Natural gas, propane, coal, and other fuel used for the heating and cooling of buildings
- Water, wastewater treatment, and sanitation (garbage disposal)
- Rentals and leases for equipment not owned by your organization, including the rental or lease of the following:
  - Furniture
  - Computers
  - Telecommunications equipment
  - Audio-visual equipment
  - Vehicles (including buses)

**Note:** Rental or lease of land, buildings, space in buildings, or grounds requires specific approval under Schedule #5C.

- Contracted accounting or bookkeeping services

Audit services other than for audits required under and conducted in accordance with OMB Circular A-133 require specific approval.

- Contracted services provided by ESCs, for example, data-processing, accounting or media services

Professional consulting services such as evaluation services, professional development, curriculum development, or technical assistance require specific approval.

- Contracted publication and printing costs (except for nonprofit organizations, which require specific approval)

In this context, nonprofit organizations include charter schools operated or chartered by a nonprofit organization.

- Legal services (only allowable when necessary for the administration of the grant program)
- Audit costs connected with the OMB Circular A-133 Single Audit

Other audit costs require specific approval and are to be listed in Schedule #5C.

**Note:** Budget contracted services provided by an ESC when the ESC is not the applicant in Schedule #5C.

### Grand Total

Add the **Budgeted Amount** and the **Planning** for all the subtotals on this schedule.

The amount entered on this line must match the amounts shown in Schedule #5—**Budget Summary** for **6200 Professional and Contracted Services**.

## Written Agreements and Contracts

You must maintain a contract administration system to ensure that contractors or consultants perform in accordance with the terms, conditions, and specifications of their contracts and written agreements.

The dates for services to be performed in contracts and other written agreements must be within the grant period. Multi-year contracts are not appropriate for discretionary grants. TEA is not liable for reimbursing grantees for a contract beyond the current grant period.

The contract administration system must be in compliance with requirements stated in [34 CFR 80.36, Procurement](#), including the following:

- Maintain a copy of the signed contract, agreement, or purchase order for services to be performed and the rationale or procedure for selecting a particular contractor.
- For contracts or agreements in excess of \$10,000, describe conditions under which the contract may be terminated for cause or for convenience and include the basis for settlement.
- If the contract is to develop materials, concepts, or products, ensure that the agreement or contract contains provisions that protect and retain ownership of such materials, concepts, or products by TEA, the State of Texas, and the Federal government as applicable (including copyright, patent, trademark).
- Maintain evidence that awards were made only to contractors or consultants possessing the ability to perform successfully under the terms and conditions of the proposed contract or procurement.
- Select consultants based on demonstrated competence, qualifications, experience, and reasonableness of costs. Consideration must be given to contractor integrity, compliance with public policy, past performance, and financial and technical resources.
- Contract only with persons not employed by your organization.
- Do not participate in selection or award of a contract if a conflict of interest is involved.
- Maintain records on services performed—date of service, purpose of service—ensuring that services are consistent and satisfactory as described in the signed contract or purchase order.
- Make payment only after the service is performed and not before, according to state and Federal law. Advance payment to contractors is prohibited.
- For procurement contracts under which a contracted person will have critical influence or substantive control over the transaction, contract only with persons not debarred or suspended from receiving financial assistance under Federal programs.

## Amendments

An amendment must be filed if you are budgeting funds for a new item that requires specific approval.

## Schedule #5D—Itemized 6300 Supplies and Materials Costs Requiring Specific Approval

**NOTE: If funds are being requested in this class/object code (6300), the applicant must complete this schedule and submit it with the application.** The total amount requested on this budget schedule must match the corresponding amount listed on **Schedule #5—Program Budget Summary**.

Complete this schedule to request supplies and materials requiring specific approval, including technology hardware and software not capitalized.

Expenditures must be allowable under the authorizing program statutes, regulations, rules, and guidelines. Items requiring specific approval are preprinted for your convenience. Request funds only as necessary to fulfill your project objectives.

### Competitive Bid

Applicants must comply with competitive bidding requirements outlined in the Texas Education Code, Section 44.031, and its implementing rules, where applicable.

### Unallowable Costs

The following costs are unallowable:

- Costs associated with awards banquets, ceremonies, celebrations, and social events
- Calendaring systems to manage personal calendars—personal digital assistant (PDA) devices, palm pilots, electronic or software calendars
- Cellular telephones for personal use
- Gifts or items that appear to be gifts
- Souvenirs, memorabilia, or promotional items (t-shirts, tote bags, key chains, imprinted pens, etc.)

### Costs That Require Specific Approval

The following costs require specific approval and must be listed in this schedule:

- Technology hardware and software not capitalized
- Supplies and materials associated with an Advisory Council or committee
- Pre-award supplies and materials, if allowed by the program

6399 Technology Hardware—Not Capitalized

Use these instructions to complete this item.

Type a generic description for the type of technology or computer hardware requested. Do not use brand names.

Briefly describe the purpose of the hardware in accomplishing objectives of the project.

Type the estimated quantity for this type of hardware.

Type the total amount budgeted for hardware.

Type in the planning, if applicable.

### Amendment

If any of the following changes occur to this budget item once your application has been approved, you must file an amendment to this supporting schedule.

- Request a new item of hardware or other equipment.
- Add a new line item not previously budgeted on this schedule.

Refer to *Schedule #3—Purpose of Amendment* for further information.

**6399 Technology Software—Not Capitalized and Supplies and Materials Associated with Advisory Council or Committee**

Follow these instructions to complete these items:

Type in the amounts budgeted for these two items requiring specific approval.

Type in the amount for planning, if applicable.

**63XX Program Specific**

If there are allowable program-specific 63XX costs requiring specific approval, do the following:

Type in a description of the costs.

Type in the amount budgeted.

Type in the amount for planning, if applicable.

### Total Supplies and Materials Requiring Specific Approval

Once you have filled out all the budget sections for **Schedule #5D, Supplies and Materials**, type the total amount budgeted and the total planning requiring specific approval.

**Remaining 6300 Supplies and Materials that do not require specific approval**

Type the total amount of funds budgeted and the planning, if applicable, for items that do not require specific approval.

### Costs That Do Not Require Specific Approval

The following costs do not require specific approval on Schedule #5D and only need to be included in the **Remaining 6300 Supplies and Materials that do not require specific approval** line.

- Maintenance and operations supplies and materials such as the following:
  - Gasoline or fuel for transportation

- Janitorial supplies
- Building maintenance supplies
- Supplies for upkeep of equipment
- Textbooks and other reading materials
  - Supplementary textbooks that are purchased by the school district and furnished free to students participating in the grant program
  - Magazine or newspaper subscriptions and subscriptions for business, professional, and technical periodicals, placed in classrooms, offices, or libraries

Subscriptions must be in the name of your organization and not in the name of an individual

- Reference books and other reading materials placed in a classroom or office but not cataloged and controlled by the library
- Library books and media that do not meet capitalization criteria of the school or that have a useful life of one year or less
- Testing materials, such as test booklets

**Note:** Budget test scoring under **6200 Professional and Contracted Services**. Test scoring does not require specific approval.

- District food service
  - Food and food related costs—transportation, handling, processing, and so on
  - Nonfood items—napkins, straws, brooms
  - Miscellaneous food service supplies

To be allowed under the grant, your food costs for grant activities must not be reimbursed by the Federal school breakfast and lunch program. Refer to Guidelines Related to Specific Costs for information about food costs, as they are allowable under very limited circumstances.

**Note:** Unallowable costs are those associated with awards banquets, ceremonies, celebrations, and social events.

- General supplies and materials
    - Office supplies—paper, pencils, forms, postage
    - Audiovisual aids—filmstrips, VCR tapes, CD-ROM disks, diskettes, computer tapes, software
    - Workbooks
    - Site licenses, single-use software that has a per unit cost of less than \$5,000
    - Supplies for satellite dish and other technology supplies
    - Equipment (not capitalized) other than technology hardware or software
- Non-capitalized technology hardware and software require specific approval on Schedule # 5D.

General supplies and materials include consumable items. They are not capitalized. These items have a relatively low unit cost (though they are often used in large quantities) but are necessary for carrying out program activities or administration of the grant program.

### Grand Total

Add the **Budgeted Amount** and the **Planning** from all the subtotals on this schedule.

The amount entered on this line must match the amounts shown in Schedule #5—**Budget Summary** for **6300 Supplies and Materials**.

## Amendment

If any of the following changes occur to this schedule once your application has been approved, *you must* file an amendment to the application if:

- A new item of noncapitalized technology hardware is requested.
- You add a new line item that requires specific approval.

Refer to [\*Schedule #3—Purpose of Amendment\*](#) for further information.

## Schedule #5E—Other Operating Costs

**NOTE: If funds are being requested in this class/object code (6400), the applicant must complete this schedule and submit it with the application.** The total amount requested on this budget schedule must match the corresponding amount listed on **Schedule #5—Program Budget Summary**.

Use this schedule to request other operating costs requiring specific approval. Items requested must be allowed under the authorizing program statutes, regulations, rules, and guidelines.

Items requiring specific approval are preprinted for your convenience. Request funds only as necessary to fulfill your project objectives.

### Unallowable Costs

The following costs are unallowable

- Out-of-state training is not allowed where the same type and quality of training is available in-state.
- Gifts or anything that can be construed as a gift, souvenirs, memorabilia, promotional items (such as t-shirts, caps, tote bags, imprinted pens) are not allowed.
- Door prizes are not allowed. (Movie tickets, gift certificates, amusement park passes and so on may be donated by others, but not purchased with grant funds.) See Guidelines Related to Specific Costs for information on incentives to participate and awards for recognition.
- Food, meals, snacks, beverages, and refreshments are not acceptable incentives or awards.
- Membership dues in organizations substantially engaged in lobbying or in social organizations are not allowable costs.
- Multi-color printing costs that are not reasonable and necessary to accomplish the objectives of the grant program are not allowable costs.

See Appendix 1: Guidelines Related to Specific Costs for more information about allowable and unallowable travel costs. All travel costs must be documented with some type of travel or expense voucher identifying actual costs.

### Costs That Require Specific Approval

The following costs require specific approval and must be listed on this schedule:

- Out-of-state travel for employees (including registration fees for conferences)
- Travel for students, including registration fees but not including field trips (specific approval required only for nonprofit organizations)
- Stipends for nonemployees, including registration fees for conferences (specific approval required only for nonprofit organizations)
- Travel for nonemployees (specific approval required only for nonprofit organizations)  
A field trip that takes place in a single day is not considered travel.

- Travel for an executive director, superintendents, or board members, including registration fees
- Actual losses that could have been covered by permissible insurance
- Indemnification compensation for loss or damage
- Travel or other expenses for an Advisory Council or committee (explain the purpose of committee /council on the schedule)
- Membership dues in civic or community organizations (not allowable for colleges and universities)
- publication and printing costs, if reimbursed (specific approval required only for nonprofit organizations)
- Pre-award other operating costs, if applicable under the grant program in accordance with the Program Guidelines

**Note:** Nonprofit organizations include charter schools operated or chartered by a nonprofit organization.

## Instructions

For each item requiring specific approval, do the following:

Type the purpose of the expenditures next to **Specify Purpose**.

Type in the total amount budgeted for other operating costs that require specific approval.

Type in the planning phase amount, if applicable.

6411 Out-of-State Travel for Employees

**Note:** In-state travel for employees does not require specific approval. Include in-state travel costs for employees on the Remaining **6400 Other Operating Costs that do not require specific approval** line. Refer to Guidelines Related to Specific Costs for more information about allowable and unallowable travel costs.

Out-of-state travel is not allowed where the same type and quality of training is available in-state. Out-of-state travel expenses always require specific approval and are limited to the following:

- Lowest available airfare
- Actual cost of lodging and meals, not to exceed maximum allowable Federal government rates for locale or local policy, whichever is less

See information on Federal travel rates at the following site:

<https://fmx.cpa.state.tx.us/fm/travel/>

Click on **Out-of-State Meal and Lodging Rates**.

- Reimbursement for mileage, not to exceed 55 cents per mile (effective January 1, 2009) or the local policy, whichever is less.

**6412 Travel for Students**

Use this line to request travel for students. Specific approval is required only for nonprofit organizations, including charter schools operated or chartered by a nonprofit organization. Travel for students includes any overnight travel or travel requiring air fare (in-state and out-of-state as well as registration fees for conferences). It generally does not include a field trip that takes place during a single day. See the [Unallowable Costs](#) section of the instructions for this schedule and Appendix 1: Guidelines Related to Specific Costs for more information about allowable and unallowable travel costs.

**6413 Stipends for Nonemployees**

Use this line to request stipends (sometimes referred to as “participant costs”) paid to individuals not employed by the grantee organization for allowances related to or for participation in grant activities. Specific approval is required only for nonprofit organizations, including charter schools operated or chartered by a nonprofit organization. Identify the purpose of non-employee stipends.

**6419 Travel for Nonemployees**

Use this line to request in-state or out-of-state travel for nonemployees. Specific approval is required only for nonprofit organizations, including charter schools operated or chartered by a nonprofit organization.

See the [Unallowable Costs](#) section of the instructions for this schedule and Appendix 1: Guidelines Related to Specific Costs for more information about allowable and unallowable travel costs.

**6411/6419 Travel Costs for Executives**

Use this line to request travel costs for executives, directors, superintendents, or board members. Specific approval is required for all travel by executives. Such travel must be specifically related to and necessary for carrying out the objectives of the grant program.

See the [Unallowable Costs](#) section of the instructions for this schedule and Appendix 1: Guidelines Related to Specific Costs for more information about allowable and unallowable travel costs.

**6429 Actual Losses which Could Have Been Covered by Permissible Insurance**

Use this line to request compensation for actual losses that could have been covered by permissible insurance.

**6490 Indemnification Compensation for Loss or Damage**

Use this line to request compensation for loss or damage to third persons and other losses or damages not compensated by insurance. The Federal government and TEA are only obligated to indemnify your organization to the extent expressly provided by specific approval.

**6490 Advisory Council/Committee Travel or Other Expenses**

Use this line to request operating expenses, including travel, related to the Advisory Council or committee. See the information for line items **6411**, **6412**, and **6419** for more information about travel.

**6499 Membership Dues in Civic or Community Organizations**

Membership in professional and technical organizations does not require specific approval but must be directly related to the grant program. Membership in a civic or community organization *does* require specific approval. All memberships must be in the name of your organization, not in that of an individual. Memberships must be necessary to carry out the objectives of the grant.

In addition to the general instructions for this section, type the name and primary purpose of the organization.

### Unallowable Membership Costs

The following membership costs are unallowable:

- Memberships in organizations that are substantially engaged in lobbying
- Memberships in social organizations
- Memberships in civic or community organizations (for colleges and universities)

#### 6499 Publication and Printing Costs

Use this line for publication and printing costs to be reimbursed. Specific approval is required only for nonprofit organizations, including charter schools operated or chartered by a nonprofit organization.

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

Briefly explain the purpose of bid notices, newspaper advertisements, printing costs, and so on.

#### 64XX Grant Specific Line items

If there are grant specific 64XX costs requiring specific approval, do the following:

Type in a description of the costs.

Type in the amount budgeted.

Type in the .

#### Total 64XX Other Operating Cost Requiring Specific Approval

Total the **Amount Budgeted** and **Planning** columns for the total costs requiring specific approval.

#### Remaining 6400 Other Operating Costs that do not require specific approval

Type the total amount of funds budgeted and the /match, if applicable, for items that do not require specific approval.

### Costs That Do Not Require Specific Approval

The following costs do *not* require specific approval on **Schedule #5E** and only need to be included in the **Remaining 6400 Other Operating Costs that do not require specific approval** line.

- In-state travel for employees (out-of-state travel requires specific approval)
- Travel (in-state or out-of-state) for students or nonemployees (except for specific approval required for nonprofits)
- Conference and workshop fees for in-state travel for employees
- Stipends for nonemployees (except for specific approval required for nonprofits)
- Property and liability insurance for the grantee organization

**Note:** Professional or personal liability insurance for individual employees is not an allowable cost.

- Transportation for participants or parents to or from grant activities

**Note:** Refer to Guidelines Related to Specific Costs for information on field trips.

- Bid notices and newspaper advertisements
- Food and beverage costs, under very limited circumstances  
Refer to the [Guidelines Related to Specific Costs](#) for information on allowable food costs.
- Incentives for participation and awards for recognition (see [Guidelines Related to Specific Costs](#) for more information)
- Publication and printing costs (***except for specific approval required for nonprofit organizations***)

**Note:** In this context, nonprofit organizations include charter schools operated or chartered by a nonprofit organization.

- Membership dues or fees for professional and technical organizations

**Note:** Membership in social organizations or in organizations substantially engaged in lobbying is not an allowable cost.

- Reimbursement of tuition and fees for courses directly related to the grant program

**Note:** Tuition and fees for courses not directly related to the grant program are not allowable costs.

### Grand Total

Add the **Budgeted Amount** and the **Planning**, if applicable, for all the subtotals on this schedule.

The amount entered on this line must match the amounts shown on Schedule #5 **Budget Summary** for **6400 Other Operating Costs**.

## Guidelines Related to In-State Travel for Employees

*Travel* generally means traveling to a destination *outside* the city or town in which the individual traveling works. Travel can also mean traveling from one duty point to another within the same city or town, such as by an itinerant teacher or counselor who travels to multiple campuses in the same work day.

*Travel allowances*, where the per diem is paid to the employee regardless of the amount actually expended, are not allowable from grants funded by TEA.

In-state travel expenses for employees do not require specific approval, but they are limited to the following:

- Lowest available airfare
- Actual cost of lodging, not to exceed \$85/day plus tax, effective September 1, 2005
- Actual cost of meals, not to exceed \$36/day or local policy, whichever is less, effective September 1, 2005 (employee must be outside designated headquarters for at least six consecutive hours the day expenses are incurred to be reimbursed for meal costs)
- Reimbursement for mileage, not to exceed 55 cents per mile (effective January 1, 2009) or the local policy, whichever is less.

Refer to [Guidelines Related to Specific Costs](#) for more information about allowable and unallowable travel costs.

All travel costs must be documented with some type of travel voucher or expense voucher completed after the travel occurred.

## Unallowable Travel Costs

Costs that are not allowed are the following:

- Alcoholic beverages
- Tips or gratuities
- Entertainment, recreation, or social events
- Travel allowances
- first-class airfare
- Any expense for other persons
- Meals and lodging for persons who live in the same city or town where the meeting, conference, or workshop is held
- Costs that are not reasonable and necessary to meet the objectives of the grant
- Those related to training or technical assistance on grant writing or obtaining funds
- Field trips that do not meet the guidelines established by TEA (see [Guidelines Related to Specific Costs](#) for guidance related to field trips)

## Amendment

If any of the following changes occur to this budget item once your application has been approved, *you must* file an amendment to the application:

- You add a new line item that requires specific approval.

Refer to [\*Schedule #3—Purpose of Amendment\*](#) for further information.

## Schedule #5G—Itemized 6600/15XX Capital Outlay—Capitalized Assets Regardless of Unit Cost

**NOTE: If funds are being requested in this class/object code (6600), the applicant must complete this schedule and submit it with the application.** The total amount requested on this budget schedule must match the corresponding amount listed on **Schedule #5—Program Budget Summary**.

Use this schedule to request allowable capital outlay costs. All capital outlay, regardless of the dollar amount, requires specific approval. Items requested must be allowable expenditures under the authorizing program statutes, regulations, rules, and guidelines. You must carefully evaluate the current use of capital outlay to determine the most cost-effective utilization. Funds may be used to purchase capital outlay only when necessary to accomplish project objectives.

**Note:** Capital outlay encompasses articles of nonexpendable, tangible, personal property having a useful life of more than one year and an acquisition cost that equals the lesser of the following:

- the capitalization level established by the applicant for financial statement purposes
- \$5,000

Use this schedule to request items such as the following:

- Capitalized equipment, including telephone systems, intercommunication and telecommunications systems, mainframes and minicomputers, high-capacity copy machines
- Capitalized furniture
- Capitalized vehicles
- Capitalized software, including site licenses or single-use software
- Library books and library media (to be cataloged and controlled by the library)

All capital outlay requires specific approval from TEA. This requirement includes items costing less than \$5,000 that are capitalized according to local policy as well as items costing \$5,000 or more. All standard budget items are preprinted for your convenience. Request funds only for those items that are necessary to fulfill your project objectives.

List each item requested that meets the capital outlay criteria. Remember to include shipping and handling costs. Items will not be approved without a description and purpose of each item in accomplishing project objectives.

Itemize building purchase, construction, or improvement costs under Schedule #5H, **6629** if allowed under the grant.

All capital outlay, regardless of cost, must be excluded from the calculation of indirect costs.

Budget noncapitalized equipment and furniture on **6300 Supplies and Materials**.

## Unallowable Costs

Unless specifically permitted in the authorizing statute and approved by TEA in the application, the following costs are unallowable:

- Land purchase and improvements to land
- Construction, renovation, or remodeling

## Compliance

Your organization must comply with requirements for competitive bidding outlined in [Texas Education Code, Section 44.031](#) and its implementing rules, where applicable.

### 6669/15XX—Library Books and Library Media (cataloged and controlled by library)

Use this line to request books and film that meet the one-year useful life criteria and that are to be cataloged and controlled by the library.

Type a description and purpose of the library books and media.

Type the amount budgeted for library books and media.

Type the planning amount, if applicable.

Examples of items:

- Library books
- CD-ROMs, software, and learning diskettes

### 66XX/15XX—Technology Hardware—Capitalized

Use these lines to request capitalized technology hardware.

Type a description of the technology hardware.

Type the unit cost.

Type the exact quantity for items \$5,000 or more.

Type the estimated quantity for items costing less than \$5,000.

Type the amount budgeted for capitalized technology hardware.

Type the planning amount, if applicable.

### 66XX/15XX—Technology Software—Capitalized

Use these lines to request capitalized technology software.

Type a description of the technology software.

Type the unit cost.

Type the exact quantity for items costing \$5,000 or more.

Type the estimated quantity for items costing less than \$5,000.

Type the amount budgeted for capitalized technology software.

Type the planning amount, if applicable.

#### 66XX/15XX—Equipment, Furniture, or Vehicles

Use these lines to request capitalized equipment other than technology hardware and to request furniture or vehicles.

Type a description of the equipment, furniture, or vehicles.

Type the unit cost.

Type the exact quantity for items costing \$5,000 or more.

Type the estimated quantity for items costing less than \$5,000.

Type the amount budgeted for equipment furniture or vehicles.

Type the planning amount.

#### 66XX/15XX—Capital Expenditures for Improvements to Land, Buildings, or Equipment which Materially Increase their Value or Useful Life

For this item, do the following:

Type the description and purpose for capital expenditures for improvements to land, buildings, or equipment.

Type the amount for these improvements.

Type the planning amount, if applicable.

#### Grand Total

Add the total amount budgeted for all capital outlay and the total /match, if applicable. These totals *must* match the **Budgeted Amount** and **Planning** entered for **6600 Capital Outlay** on Schedule #5 of this application.

## Amendment

If any of the following changes occur to this part once your application has been approved, you must file an amendment to this supporting schedule.

- A new item of capital outlay is requested, regardless of cost. (This is a new policy.)

- The item quantity increases for items greater than or equal to \$5,000.

**Note:** The amendment must be approved before ordering or encumbering any new item, regardless of cost, or before requesting or ordering any additional units costing \$5000 or more.

## Schedules #6A–6F—Provisions and Assurances

Legal provisions, assurances and certification schedules are provided for each application. Applicants should carefully review all of the included schedules. If a particular schedule is deemed to be not applicable, it must be identified as such.

Agreement to these schedules are necessary in the following situations:

- Schedule #6A—General Provisions and Assurances applies to all programs
- Schedule #6B—Debarment and Suspension Certification applies to all federally funded programs
- Schedule #6C—Lobbying Certification
- Schedule #6D—Disclosure of Lobbying Activities apply to federally-funded programs in which the grant award exceeds \$100,000. Complete these schedules only if disclosing lobbying activities.
- Schedule #6E—No Child Left Behind Provisions and Assurances applies to No Child Left Behind applications
- Schedule #6F—Program-Specific Provisions and Assurances applies specifically to this program application

## Required Approvals

Applications are not eligible to be funded until the Schedules **#6A–6F—Provisions, Assurances, and Certifications**, as applicable, are agreed to. Formal agreement is required by the legal representative/authorized official as follows:

- Public school district applications require Superintendent approval; campus/campus charter schools must apply via their public school district.
- Education service center applications require Executive Director approval.
- Open enrollment charter schools require Chief Operating Officer approval.

Completion and submission of the Application Submission Authorization on Schedule #1 signifies that the authorized official (or designee) read and agrees to comply with all terms outlined on the applicable schedules.

All application certification schedules must be read by the applicant and acceptance acknowledged at the bottom of the form. You must select either **Yes** or **Not Applicable** in answer to the following statement:

*“I certify my acceptance and compliance with all requirements described above.”*

## Schedule #6A—General Provisions and Assurances

General provisions and assurances apply to every program type:

- State-funded
- Federally funded
- Discretionary grants
- Formula grants

### Confirmation

By signing Schedule #1 of the application, the authorized official is certifying agreement to comply with the provisions and assurances as stated on this schedule.

By certifying this schedule, assurance is given that the applicant has read and agreed to these provisions. This schedule is required for submission of the application.

## Schedule #6F—Program-Specific Provisions and Assurances

This schedule will only appear when there are provisions and assurance that are not covered by the General or NCLB provisions and assurances schedules.

### Confirmation

By signing Schedule #1 of the application, the authorized official is certifying agreement to comply with the provisions and assurances as stated on this schedule.