

**EASTERN WEST VIRGINIA COMMUNITY AND TECHNICAL COLLEGE**

316 Eastern Drive  
Moorefield, WV 26836  
(304) 434-8000 · [www.easternwv.edu](http://www.easternwv.edu)

**REQUEST FOR PROPOSALS RFP NO. 14395**

**TITLE III STRENGTHENING INSTITUTIONS PROGRAM GRANT  
ADVISING, TECHNOLOGY, TRAINING, AND INNOVATION (ATTAIN)  
EVALUATION SERVICES**

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Questions will be received until April 20, 2022

Proposals will be received until May 4, 2022

## REQUEST FOR PROPOSALS

RFP# 14395

### **SECTION 1: GENERAL INFORMATION AND STANDARD TERMS AND CONDITIONS**

**1.1 Purpose:** The purpose of this RFP is to retain the services of an external evaluation service provider to establish a framework or model to measure the impact Eastern West Virginia Community and Technical College's Advising, Technology, Training, and Innovations (ATTAIN) student success program has on student retention and graduation rates. ATTAIN is funded through a U.S. Department of Education Title III Strengthening Institutions Program (SIP) grant.

#### **1.2 Schedule of Events**

Release of RFP: April 6, 2022

Question Deadline: April 20, 2022

Addendum/Response to Questions: April 25, 2022

Proposal Due Date: May 4, 2022, by 3:00 p.m. ET

Target Award Date: May 20, 2022

**1.3 Bidder's Point of Contact:** The sole point of contact for questions, clarification, and inquiries concerning this Request for Proposal (RFP) is:

Dr. Thomas Striplin, President  
Eastern West Virginia Community and Technical College  
316 Eastern Drive  
Moorefield, WV 26836  
Phone: 304.434.8000 x 9227  
Email: [thomas.striplin@easternwv.edu](mailto:thomas.striplin@easternwv.edu)

A Bidder, or anyone acting on the Bidder's behalf, may not make any contact whatsoever with any member of the Evaluation Committee concerning the requested services, terms or conditions set forth in the RFP. Violation of this clause may result in the rejection of the bid.

**1.4 Posting of Information:** This RFP and any addenda, including answers to questions, will be posted to the website below. It is the vendor's responsibility to check this webpage for current information regarding this RFP.

<https://easternwv.edu/business-office/invitation-for-vendor-bids/>

**1.5 Questions and Answers:** Questions concerning this RFP will be received in writing, via email, by the point of contact until the deadline identified in Section 1.2. When submitting questions, please reference RFP#: 14395 in the subject line. Questions, if any, will be answered by addendum and posted to the webpage identified in Section 1.4 above.

**1.6 Mandatory Provisions:** This RFP may contain mandatory provisions identified by the use of the words "must, will and shall." Failure to comply with a mandatory term in the RFP will result in bid disqualification.

**1.7 Proposal Format:** Vendor should provide responses in the format listed below:

- 1.7.1 Two-Part Submission: Vendors should submit proposals in two distinct parts: Technical and Cost. Technical proposals should not contain any cost information relating to this project. Cost proposals must contain all cost information and should be sealed in a separate envelope from the technical proposal.
- 1.7.2 Title Page: The title page includes the RFP number, addenda received check boxes, the bidder's business name, business address and telephone number, a contact name and email address, and includes a signature line and date for the individual authorized to obligate the business. See Exhibit A.
- 1.7.3 Table of Contents: Clearly identify the material by section and page number.
- 1.7.4 Response Reference: Vendor's response should clearly reference how information provided applies to the RFP request. Vendor should reference the section of the RFP that the information provided in the bid is referencing.

**1.8 Proposal Submission:** Proposals may be emailed to [bid.receipt@easternwv.edu](mailto:bid.receipt@easternwv.edu) or delivered with one (1) original and four (4) copies of the proposal on or before the date required in Section 1.2. The outside of the envelope should be clearly marked with the RFP number, the bid opening date/time, and the President's name and address. **Email submission requirements can be found in Exhibit E.**

**NOTE: ALL PRICES SHOULD BE PROVIDED IN A SEPARATE SEALED ENVELOPE LABELED AS PRICING INFORMATION.**

**PROPOSALS RECEIVED AFTER THE DUE DATE AND TIME WILL NOT BE CONSIDERED. IT IS THE BIDDER'S SOLE RESPONSIBILITY TO ENSURE TIMELY DELIVERY OF THE PROPOSAL.**

**1.9 Proposal Effective Period:** Proposals shall remain in effect ninety (90) days from the submission date.

**1.10 Conflict of Interest:** By signing the proposal, the bidder affirms that it and its' officers, members and employees have no actual or potential conflict of interest, beyond the conflicts disclosed in its' proposal. Bidder will not acquire any interest, direct or indirect, that would conflict or compromise in any manner or degree with the performance of its services under this contract. If any potential conflict is later discovered or if one arises, the bidder must disclose it to Eastern West Virginia Community and Technical College (E WVCTC) promptly.

**1.11 Independent Proposal:** A proposal will not be considered for award if the price in the proposal was not arrived at independently, without collusion, consultation, communication, or agreement as to any matter relating to such prices with any other offer or with any competitor.

**1.12 Exceptions and Clarifications:** By submitting a proposal in response to this RFP, a firm shall be deemed to have accepted all terms, conditions, and requirements set forth herein unless otherwise clearly noted and explained in writing. Any exception(s) or additional terms and conditions a firm wishes to offer for consideration should be clearly itemized and explained. Otherwise, the RFP in total shall be incorporated into the contract by reference. The state may accept or reject the Firm's proposed exceptions as it deems appropriate and in the best interest of the Systems.

The State's Agreement Addendum (WV-96) is attached to demonstrate the State law and guidelines which must be adhered to in any contracts presented to the Systems for execution. See Exhibit B.

**1.13 Rejection of Proposals:** E WVCTC shall select the best value solution according to the evaluation criteria. However, the President reserves the right to accept or reject any or all proposals, in part or in whole at his

discretion. The President reserves the right to withdraw this RFP at any time and for any reason. Submission of, or receipt by the President, confers no rights upon the Bidder nor obligates EWVCTC in any manner.

**1.14 Expenses:** Neither EWVCTC nor any of its employees or officers shall be held liable for expenses incurred by any bidder responding to this RFP, including expenses to prepare or deliver the proposal or attend any oral presentation.

**1.15 Interviews:** Discussions and interviews may be held with Bidders under final consideration prior to selecting for award; however, the RFP may be awarded without such discussions or interviews. In the event that mutually acceptable terms cannot be reached within a reasonable period with the most advantageous firm, EWVCTC reserves the right to undertake negotiations with the next most advantageous firm, etc., without starting a new procurement process.

**1.16 Oral Statements and Commitments:** Any oral representations made or assumed to be made during discussions held between the Bidder's representatives and EWVCTC personnel are not binding. Only the information issued in writing and added to the RFP specifications file by an official written addendum are binding.

**1.17 Award:** It is anticipated that a single contract will be awarded for all services. However, EWVCTC reserves the right to configure the contract in whatever manner is in its' best interest. The price quotes in the bidder's proposal will not be subject to any increase and will be considered firm for the life of the contract unless specific provisions have been provided for adjustments in the original contract.

**1.18 Public Record:** All documents submitted in response to the RFP and any documents created as a result of this RFP are considered public record. All bids, proposals or offers submitted shall become public information and will be available for inspection during normal business hours at EWVCTC.

The only exception for public record is disclosure information listed in WV Code § 29B-1-4. Primarily, only trade secrets are considered exempt from public disclosure. **EWVCTC requests that you not submit material considered to be confidential, a trade secret or otherwise not subject to public disclosure.**

**1.19 Contract:** The RFP and the Bidder's response will be incorporated into the contract by reference. The order of precedence is the contract, the RFP and any addendum and the Bidder's proposal in response to the RFP.

**1.20 Contract Release Order (Purchase Order):** EWVCTC will provide the Successful Bidder with a formal contract release order as notification to proceed with services. The Successful Bidder may not proceed until it is in receipt of an approved, signed contract release order/purchase order.

**1.21 Contractor Relationship:** The relationship of the Contractor to EWVCTC shall be that of an independent contractor, and no principal-agent or employer-employee relationship is contemplated or created by the parties to this contract. The Contractor, as an independent contractor, is solely liable for the acts and omissions of its employees and agents.

(a) The Contractor shall be exclusively responsible for selecting, supervising, and compensating all individuals employed pursuant to the terms of this RFP and resulting contract. Neither the Contractor nor any employees or contractors of the Contractor may be deemed to be employees of EWVCTC for any purpose whatsoever.

(b) The Contractor shall be exclusively responsible for the payment of employees and contractors, including wages and salaries, taxes, withholding payments, penalties, fees, fringe benefits, professional liability insurance premiums, contributions to insurance and pension or other deferred compensation

plans, including but not limited to Worker's Compensation and Social Security obligations, and licensing fees, etc. and the filing of all necessary documents, forms, and returns pertinent to all of the foregoing.

**1.22 Subcontracts and Joint Ventures:** The Contractor is solely responsible for all work performed under the contract and shall assume prime contractor responsibility for all services offered and products to be delivered under the terms of this contract. EWVCTC will consider the Contractor to be the sole point of contact with regard to all contractual matters. The Contractor may, with the prior written consent of EWVCTC, enter into written subcontracts for performance of work under this contract; however, the Contractor is responsible for payment of the subcontractor.

**1.23 Contract Term:** This contract will be effective upon award and shall extend for a period of five (5) years in alignment with a Title III Strengthening Institutions Program (SIP) grant award by the U.S. Department of Education. The period of performance is from October 1, 2021-September 30, 2026.

**1.24 Contract Changes:** Any changes to the original contract will be made via a Change Order issued by EWVCTC. No change is official until a Signed Change of Order is produced.

**1.25 Contract Termination for Unavailable Funds:** If funds are not appropriated or allocated for the services provided under this contract, EWVCTC may terminate the contract at the end of the affected fiscal period without change or penalty. EWVCTC shall give the vendor written notice of such non-appropriation or non-allocation of funds as soon as possible after EWVCTC receives notice.

**1.26 Contract Termination for Failure to Perform:** EWVCTC may terminate the contract resulting from this RFP immediately at any time the vendor fails to meet the terms of the contract.

**1.27 Payment of Fees:** Payment of fees will be made upon successful completion of the required services. Progress payments for services satisfactorily completed may be made pursuant to a payment schedule which is deemed satisfactory to EWVCTC and is included in the Bidder's response to this RFP.

**1.28 Invoices:** The vendor shall submit invoices, in arrears. State law prohibits payment of invoices prior to receipt of services. State law does not provide for interest payments on late payments. Invoices properly prepared and submitted in accordance with the terms and conditions of the contract are usually paid within thirty (30) days.

**1.29 Taxes:** The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.

**1.30 Governing Law:** This contract shall be governed by the laws of the State of West Virginia.

**1.31 Arbitration:** Any references made to arbitration contained in the contract or other documents pertaining to this contract are hereby deleted, void, and of no effect.

**1.32 Subsequent Forms:** The terms and conditions contained in the contract shall supersede any and all subsequent terms and conditions which may appear on any form documents submitted by the vendor including price lists, order forms, invoices, sales agreements, or maintenance agreements, and includes internet websites or electronic documents. Acceptance or use of a vendor's form does not constitute acceptance of the terms and conditions contained thereon.

**1.33 Assignment:** Neither this contract, nor any monies due, or to become due hereunder, may be assigned by the vendor without express written consent of the state.

**1.34 Privacy, Security, and Confidentiality:** The vendor agrees that it will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the state, unless the individual who is the subject of the information consents to the disclosure in writing.

**1.35 Indemnification:** The vendor agrees to indemnify, defend, and hold harmless the State, its officers and employees from and against: (1) Any claims or losses for services rendered by any subcontractor, person, or firm performing or supplying services, materials, or supplies in connection with the performance of the contract; (2) Any claim or losses resulting to any person or entity injured or damaged by the vendor, its officers, employees, or subcontractors by the publication, translation, reproduction, delivery, performance, use, or disposition of any data used under the contract in a manner not authorized by the contract, or by federal or state statutes or regulations, and (3) Any failure of the vendor, its officers, employees or subcontractors to observe state and federal laws including, but not limited to, labor and wage and hour laws.

**1.36 Licensing:** In accordance with WV Code of State Rules §148-1-6.1. e., vendor must be licensed and in good standing in accordance with any and all state laws and requirements including, but not limited to, the WV Secretary of State Office, the WV Tax Department, West Virginia Insurance Commission, and any other state agency.

**1.37 Compliance with Laws and Regulations:** The Contractor agrees to comply with the Civil Rights Act of 1964 and all other applicable federal, state, and local laws, ordinances, and regulations.

(a) The Contractor shall procure all necessary permits and licenses to comply with all applicable laws, ordinances, and regulations.

(b) The Contractor shall pay any applicable sales, use, personal property, and other taxes arising out of this contract and the transactions, contemplated therein. Any other taxes levied upon this contract, the transaction, equipment or services shall be borne by the Contractor. It is clearly understood that EWVCTC is exempt from any taxes regarding performance of the scope of work of this contract.

## **SECTION 2: ELIGIBILITY REQUIREMENTS**

**2.1 Vendor Registration:** WV Code § 5A-3-12. The West Virginia Code requires all vendors be registered with the WV Department of Administration, Purchasing Division, prior to receiving a purchase order for competitive products and/or services exceeding \$25,000. See <http://www.state.wv.us/admin/purchase/vrc/default.html> for additional vendor registration information.

**2.2 Debarment:** WV Code §5A-3-33 through §5A.3.33F. Vendors that have been debarred by the federal government are not eligible to offer on or receive contracts to supply goods or services to the state and its subdivision for a specific period of time.

**2.3 West Virginia Secretary of State:** The vendor must be in compliance with the Secretary of State and should provide a copy of their business license with the proposal. For more information, contact the WV Secretary of State.

**2.4 Taxpayer Identification Information:** The Internal Revenue Service (IRS) requires EWVCTC to request a taxpayer identification number (TIN) for tax reporting purposes. IRS Form W9 is used to obtain this information. See Exhibit C.

**2.5 Purchasing Affidavit:** WV State Code §5A-3-10a. WV State Code requires all vendors to submit an affidavit regarding any debt owed to the State. The Affidavit (Exhibit D) should be completed, signed, notarized, and returned with the bidder's proposal.

**2.6 Interested Party Disclosure:** WV Code §6D-1-2 requires that a vendor must submit a disclosure of interested parties for any contract that is estimated to have a value of \$1 million. The disclosure must occur on the form prescribed and approved by the WV Ethics Commission prior to contract award.

**2.7 Protection of Integrity:** In order to assure the integrity of the evaluation and unbiased commentary, no employees of EWVCTC will be considered for award of this contract. Employees of any other State Title III grants will also be excluded from consideration.

**2.8 Research Experience:** The evaluator must have extensive knowledge of research principles and methodologies as well as experience with data collection and analysis. The evaluator must have experience in collecting, analyzing, and reporting large amounts of data longitudinally.

**2.9 Knowledge:** The evaluator must demonstrate knowledge of post-secondary education and knowledge of how to assess student academic success.

**2.10 Educational Grant Experience:** The evaluator must have experience in evaluating large educational grants and in working with cohort groups in establishing data collection procedures and protocols.

**2.11 GEPA Compliance:** EWVCTC requires that all partners ensure equal access and treatment for students, families, and educators in compliance with U.S. Department of Education's General Education Provision Act (GEPA), Section 427, which requires each federally funded project to ensure equitable access to all program beneficiaries. EWVCTC does not discriminate in access to educational programs and activities on the basis or race, color, national origin, religion, creed, sex, gender identity and expression, political affiliation, age, disability, veteran status, and/or sexual orientation and requires the same of all program partners.

### **SECTION 3: BACKGROUND INFORMATION**

**3.1** EWVCTC has been awarded \$2.25 million in federal funding for a five-year program to strengthen educational experiences and student services. The Title III Strengthening Institutions Program (SIP) grant funded through the U.S. Department of Education will allow implementation of targeted "Advising, Technology, Training, and Innovation (ATTAIN)" initiatives to improve outcomes aligned with goals for student retention and success to include:

- **Redesigned Advising Model:** Develop and implement software-assisted intrusive advising model to help students select and stay on a career path and to provide at-risk students with timely interventions to improve retention.
- **Enhanced Career Services:** New career services programming, career exploration software, mandatory career advising, career counseling staff, and college and life success courses and workshops—all these career service enhancements will allow EWVCTC to embed career outcomes into educational programs.
- **Expanded Instructional Innovation:** Curriculum development, faculty professional development, and augmentation of online learning will elevate EWVCTC's instructional innovation, standardize online content, and allow faculty to deploy best practices to redesign 36 general education courses for online delivery.
- **Improved Data Analysis and Implementation, including Assessment:** Through new software, strategic professional development, and a new Office of Institutional Effectiveness (OIE) – Eastern will create a culture of data-driven decision making for instructional practice, assessment, and improved career outcomes. New analyses, dashboards, predictive modeling, and assessment tools will support instructional innovation.

- **Foundation Capacity Building:** New staff support, a fundraising database, and systems will build capacity in an embryonic Foundation/Development office. **This component only builds capacity; it is not a fundraising activity.**

#### **SECTION 4: SCOPE OF SERVICES**

**4.1** The external evaluation service provider shall establish a framework or model to evaluate the impact of the ATTAIN program on students, faculty, advisers, and other staff. This evaluation model must address the following ATTAIN goals and objectives.

**Table 4.1.1 Evaluation of Activity Objectives**

<b>Goal 1: Academic Programs: (a) Improved student retention and graduation rates for full-time students; (b) improved student retention rates for part-time students; and (c) increased student satisfaction and engagement.</b>			
<b>Objective</b>	<b>Baseline</b>	<b>Goal</b>	<b>Outcome Attained By</b>
Increase fall-to-fall retention rate of first-time, <b>full-time</b> degree-seeking undergraduate students ( <b>GPRA</b> ).	45%	56%	09/30/26
Increase fall-to-fall retention of first-time, <b>part-time</b> degree-seeking undergraduate students.	45%	55%	09/30/26
Increase percentage of first-time, <b>full-time</b> degree-seeking undergraduate students graduating within three years ( <b>GPRA</b> ).	25%	31%	09/30/26
Increase number of full-time, degree-seeking students (Long-term GPRA).	138	152	09/30/26
Increase Eastern student satisfaction and engagement, as measured by administration of SmartEvals.			09/30/26
<b>Goal 2: Institutional Management: (a) Reduce academic notification; (b) improved student career readiness; (c) increased faculty capacity; and (d) strengthen data infrastructure and college systems.</b>			
<b>Objective</b>	<b>Baseline</b>	<b>Goal</b>	<b>Outcome Attained By</b>
Reduce the percentage of <b>all</b> degree seeking students with academic notification.	14%	9%	09/30/26
Increase the percentage of first-year <b>full- and part-time</b> students who access mandatory career exploration, develop a career plan, and/or attend an advising session.	0%	95%	09/30/26
Increase the pass rates of select DFW gateway courses	TBD YR2	25%	09/30/26
<b>Goal 3: Fiscal Stability: Improve fiscal stability by recapturing student FTE.</b>			
<b>Objective</b>	<b>Baseline</b>	<b>Goal</b>	<b>Outcome Attained By</b>
Increase student tuition revenue by retaining students (in YR1 dollars).	TBA	8%	09/30/26
Decrease grant cost per degree. (Long-term GPRA) (Baseline: 5-year average: 66%)	\$7,031	\$4,592 (34.7%)	09/30/26



**Table 4.1.2 Data Elements Related to Project Implementation**

Information Collected	Data Source	Collection Methods	Use of Data
Student use of, and satisfaction with, career services and modified courses with instructional innovation.	Annual administration of SmartEvals. Supplemental surveys as necessary.	Administered in class to students using a cluster sampling design.	Feedback used to improve systems and inform advisory committees.
Faculty and Staff Impact: Develop and administer a faculty and staff perception survey that investigates the effectiveness of instructional innovation; institutional effectiveness; career services; use of data, assessment, and best practices in course/program design; and improvements in foundation operations.	Online surveys, designed by Office of Institutional Effectiveness and reviewed by evaluator, will be administered to faculty, advisers, and staff participating in the program elements. Office of Institutional Effectiveness will conduct an annual focus group with faculty involved in instructional innovation to obtain more information and to develop new understandings for future use.	Online survey administered in the fall term annually. Focus groups conducted in spring term annually.	Provides feedback from advisers, faculty, and other staff related to specific project implementation tasks. Improvement project based on feedback and to inform advisory committee, the President's Cabinet, and the Title III Steering Committee.

**4.2 Description of Data Analysis Procedures/Formative and Summative Results:** This section describes how data are linked to data analysis procedures, results-reporting and timing, and use of formative and summative analyses. Data analysis procedures will include elements in the table below:

**Table 4.2 Elements of Data Analysis**

Elements of Data Analysis
<b>Translating Collected Data into an Analysis Data Set:</b> Project data will either be extracted directly from Banner or provided as a data file (i.e. data from SmartEvals). Before data are used for analysis, the Office of Institutional Effectiveness will check for data quality, select specific populations of students from the data set for analysis, sort and merge data from various sources, and recode data values into appropriate measures.
<b>Conducting Statistical Analyses:</b> Descriptive statistics (calculated means and frequency distributions) will be reported. The Office of Institutional Effectiveness also will conduct inferential statistical analysis to determine the extent to which changes in the course-taking and career initiative patterns of students are statistically significant (i.e., not random chance).
<b>Producing and Reporting Results:</b> The Office of Institutional Effectiveness will provide the Title III Steering Committee members with reports on outcome results and a brief executive summary of these results. Results related to the Title III objective measures of student retention, academic standing, and graduation, along with an evaluation of the implementation strategies will be reported annually to the U.S. Department of Education. The Office of Institutional Effectiveness, however, will provide preliminary data assessing progress to the Steering Committee members as new data are available for analysis, typically at the completion of each term.

**4.3 Data Analysis/Evaluation of Implementation Strategies:** The Director of Institutional Effectiveness, Title III Project Director, and Title III Steering Committee will assess progress toward completing each implementation strategy at least once per term. The Title III Steering Committee will make necessary modifications to ensure implementation strategies are successfully completed within stated timeframes.

**4.4 Dimensions used to Conduct Implementation Strategy Evaluations:** Each implementation strategy evaluation will be structured around five dimensions, focusing each term on the particular tasks within each strategy area during the term, as outlined in Table 4.4.

**Table 4.4 Dimensions of Implementation Strategy Evaluation (Formative Evaluation)**

<b>Dimensions of Implementation Strategy Evaluation (Formative Evaluation)</b>
<b>Results:</b> To what extent were the scheduled tasks related to the implementation strategy completed to the satisfaction of the Title III Steering Committee and other members of the college community, such as students, advisers, faculty, and other staff?
<b>Methodology:</b> To what extent were the techniques used to achieve the tasks appropriately and carried out as planned? What adjustments need to be made in the future?
<b>Participants:</b> To what extent were responsibilities clearly defined, and were those assigned to carry out specific tasks fulfilling their responsibilities?
<b>Timeframe:</b> To what extent were the tasks completed in a timely manner during the course of the academic term, and is the timeline realistic?
<b>Contribution:</b> To what extent has the completion of the particular task made a contribution toward achieving the project's goals and objectives?

Survey instruments addressing the five dimensions will be developed for each implementation strategy along with the tasks associated to meet the strategy. Completed surveys will be analyzed by the Office of Institutional Effectiveness; results will be reported to the Title III Steering Committee.

**4.5 Analyzing and Using Summative and Formative Data:** The Title III project evaluation team will work with the external evaluator to use benchmarks related to the activity objectives (i.e. progress on persistence, etc.) and assessments of the implementation strategies using the five evaluation dimensions (Table 4.4). The benchmarks are based on *outcomes* and, therefore, characterized primarily as *summative*. Both formative (*process-based*) and summative (*outcome-based*) analyses will be applied to the assessment of the implementation strategies. The formative evaluation will be based, in part, on measurements of student, faculty, and adviser satisfaction with aspects of implementation, as reflected in surveys administered to these groups. The Office of Institutional Effectiveness will examine scoring of the implementation tasks along the lines of the five evaluation dimensions (Table 4.4). The formative evaluation of implementation strategies will rely on open-ended comments collected through web-based surveys administered to students, advisers, and faculty. Title III Steering Committee members' comments will be evaluated on the success of the implementation strategies along the five dimensions.

The evaluator will review annual data, analyses, and reports and provide feedback to the Title III Steering Committee, as well as report his/her findings to the U.S. Department of Education and to Eastern administration. The external evaluator will communicate quarterly, and as needed, with the Title III Project Director to meet U.S. Department of Education reporting requirements. The external evaluator will also conduct a five-day onsite visit to Eastern annually as part of the reporting requirements.

## **SECTION 5: VENDOR INFORMATION AND QUALIFICATIONS**

Provide a statement/response to each of the following:

**5.1** Identify and provide a statement of qualifications of individuals to be assigned direct responsibility for the services.

**5.2** Describe the experience that key personnel have, their length of services with the firm, as well as other relevant skills.

**5.3** Describe the firm's size, illustrating its ability to fulfill the terms of the RFP.

**5.4** Describe any related experience.

**5.5** Provide a complete description of how the work will be conducted including all quality assurances that are provided in the firm's process for this type of work and detail the amount of time and effort that will be required of the entities' personnel. Include in this description an explanation of the tools/technology used to collect/coordinate requested items.

**5.6** Provide a proposed schedule that ensures completion of services.

**5.7** Provide the names, telephone numbers and mailing addresses of at least three higher education clients and the contact person from whom references may be obtained for both the firm and the key personnel assigned to the engagement. References should be from clients comparable to the type and scope of services solicited in this RFP.

## **SECTION 6: BIDDER RESPONSE AND EVALUATION CRITERIA**

**6.1 Economy of Preparation:** Proposals shall be prepared simply and economically, providing straightforward, concise description of the bidder's ability to satisfy the requirements of the RFP. Emphasis should be placed on completeness and clarity of content.

### **NOTE: ALL PRICES ARE TO BE PROVIDED IN A SEPARATE SEALED ENVELOPE LABELED AS PRICING INFORMATION.**

**6.2** Proposals should be limited to twenty (20) pages. Additional material may be presented as exhibits to the main proposal.

**6.3** A Title Page (Exhibit C) should be provided. The Title Page is the preferred method of providing the bidder's information. If the bidder does not utilize the Title Page, the bid must provide a cover letter with, at a minimum, the signature of an individual authorized to obligate the company and a date.

**6.4** The proposal will be evaluated on a one hundred (100) point scale with points assigned as outlined below:

#### **6.4.1 Conflicts – 0 Points**

- Affirm that you or your firm and all individuals who will be assigned to this evaluation are free from obligations and interests that might conflict with EWVCTC, the State of West Virginia, and the U.S. Department of Education.
- Disclose any information about you or your firm which presently or in the future could impair you and your firm's ability to provide the level of services outlined in the RFP.

**6.4.2 Services – 50 points maximum:** A five-year (October 1, 2021 – September 30, 2026) evaluation/research plan that is clear, grounded in research, addresses the services required as outlined in Section 4 of this RFP and addresses each of the following:

- A rationale addressing evaluation of project services that is grounded in research principles and methodologies.
- Data collection procedures (including surveys, procurement of secondary data, use of incentives to improve response rates, etc., as well as Institutional Review Board practices.)

- Measures and variables
- Data analysis procedures
- Indication of how measures and analysis are related to project services
- A detailed timeline (that includes monthly benchmarks) for conducting and completing the evaluation project
- Description and dates of deliverables throughout the evaluation process
- Description of secure web-based data warehouse and appropriate training

**6.4.3 Qualifications, Experience, and Company Background – 20 points maximum:** Responses to Section 5 will be reviewed and evaluated here.

**6.4.4 Price – 30 points maximum:** The low bid will receive the full 30 points. Each higher bid will receive a percentage of the 30 points on a ratio basis compared to the low bid cost.

Vendor is to provide a 5-year fee proposal (both chart and detailed narrative) that addresses costs.

**Please note that the annual external evaluation contract must not exceed \$13,750.**  
**Travel costs will not be paid separately.**

**6.5** Award will be made to the bidder ranking highest in meeting or exceeding expectations.

**6.6** In the event that mutually accepted terms cannot be reached within a reasonable period of time with the highest-ranked bidder, EWVCTC reserves the right to undertake negotiations with the next highest-ranked bidder and so on until mutually acceptable terms can be reached.

## **SECTION 7: OTHER INFORMATION**

**7.1 Record Retention:** The Contractor shall comply with applicable federal and state record retention laws, rules and regulations, and requirements governing the maintenance of documentation to verify any cost of services or commodities rendered under this contract. The Contractor shall maintain such records a minimum of five (5) years after creation or three (3) years after the end of the U.S. Department of Education grant performance period, whichever is later, and make such records to U.S. Department of Education or EWVCTC personnel promptly upon written request. This provision does not apply to confidential information.

**7.2 Appendices.** The following Appendices as referenced in this RFP are a binding part of this RFP and are attached to the RFP.

- Appendix 1 – ATTAIN Grant Narrative – Abridged Version
- Appendix 2 - Title III ATTAIN Annual Performance Report

TITLE PAGE

The undersigned declares that he/she has read the RFP and that the following BID is submitted as a good faith response.

The undersigned declares that he/she has the authority to obligate the company.

The undersigned acknowledges receipt of the following addenda, if released. If no addenda are released, this section is to be left blank:

Addendum 1 \_\_\_\_\_ (initial receipt)

Addendum 2 \_\_\_\_\_ (initial receipt)

\_\_\_\_\_  
(Signature of Signee)

\_\_\_\_\_  
(Name of Signee)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Company Name)

\_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City, State, Zip)

\_\_\_\_\_  
(Telephone Number)

\_\_\_\_\_  
(Email)

WV-96  
1/1/2019

**STATE OF WEST VIRGINIA  
ADDENDUM TO VENDOR'S STANDARD CONTRACTUAL FORMS**

State Agency, Board, or Commission (the "State"):

Vendor:

Contract/Lease Number ("Contract"):

Commodity/Service:

The State and the Vendor are entering into the Contract identified above. The Vendor desires to incorporate one or more forms it created into the Contract. Vendor's form(s), however, include(s) one or more contractual terms and conditions that the State cannot or will not accept. In consideration for the State's incorporating Vendor's form(s) into the Contract, the Vendor enters into this Addendum which specifically eliminates or alters the legal enforceability of certain terms and conditions contained in Vendor's form(s). Therefore, on the date shown below each signature line, the parties agree to the following contractual terms and conditions in this Addendum are dominate over any competing terms made a part of the Contract:

1. **ORDER OF PRECEDENCE:** This Addendum modifies and supersedes anything contained on Vendor's form(s) whether or not they are submitted before or after the signing of this Addendum. **IN THE EVENT OF ANY CONFLICT BETWEEN VENDOR'S FORM(S) AND THIS ADDENDUM, THIS ADDENDUM SHALL CONTROL.**

2. **PAYMENT** – Payments for goods/services will be made in arrears only upon receipt of a proper invoice, detailing the goods/services provided or receipt of the goods/services, whichever is later. Notwithstanding the foregoing, payments for software licenses, subscriptions, or maintenance may be paid annually in advance.

Any language imposing any interest or charges due to late payment is deleted.

3. **FISCAL YEAR FUNDING** – Performance of this Contract is contingent upon funds being appropriated by the WV Legislature or otherwise being available for this Contract. In the event funds are not appropriated or otherwise available, the Contract becomes of no effect and is null and void after June 30 of the current fiscal year. If that occurs, the State may notify the Vendor that an alternative source of funding has been obtained and thereby avoid the automatic termination. Non-appropriation or non-funding shall not be considered an event of default.

4. **RIGHT TO TERMINATE** – The State reserves the right to terminate this Contract upon thirty (30) days written notice to the Vendor. If this right is exercised, the State agrees to pay the Vendor only for all undisputed services rendered or goods received before the termination's effective date. All provisions are deleted that seek to require the State to (1) compensate Vendor, in whole or in part, for lost profit, (2) pay a termination fee, or (3) pay liquidated damages if the Contract is terminated early.

Any language seeking to accelerate payments in the event of Contract termination, default, or non-funding is hereby deleted.

5. **DISPUTES** – Any language binding the State to any arbitration or to the decision of any arbitration board, commission, panel or other entity is deleted; as is any requirement to waive a jury trial.

Any language requiring or permitting disputes under this Contract to be resolved in the courts of any state other than the State of West Virginia is deleted. All legal actions for damages brought by Vendor against the State shall be brought in the West Virginia Claims Commission. Other causes of action must be brought in the West Virginia court authorized by statute to exercise jurisdiction over it.

Any language requiring the State to agree to, or be subject to, any form of equitable relief not authorized by the Constitution or laws of State of West Virginia is deleted.

6. **FEES OR COSTS:** Any language obligating the State to pay costs of collection, court costs, or attorney's fees, unless ordered by a court of competent jurisdiction is deleted.

7. **GOVERNING LAW** – Any language requiring the application of the law of any state other than the State of West Virginia in interpreting or enforcing the Contract is deleted. The Contract shall be governed by the laws of the State of West Virginia.

8. **RISK SHIFTING** – Any provision requiring the State to bear the costs of all or a majority of business/legal risks associated with this Contract, to indemnify the Vendor, or hold the Vendor or a third party harmless for any act or omission is hereby deleted.

9. **LIMITING LIABILITY** – Any language limiting the Vendor's liability for direct damages to person or property is deleted.

10. **TAXES** – Any provisions requiring the State to pay Federal, State or local taxes or file tax returns or reports on behalf of Vendor are deleted. The State will, upon request, provide a tax exempt certificate to confirm its tax exempt status.

11. **NO WAIVER** – Any provision requiring the State to waive any rights, claims or defenses is hereby deleted.

12. **STATUTE OF LIMITATIONS** – Any clauses limiting the time in which the State may bring suit against the Vendor or any other third party are deleted.
13. **ASSIGNMENT** – The Vendor agrees not to assign the Contract to any person or entity without the State’s prior written consent, which will not be unreasonably delayed or denied. The State reserves the right to assign this Contract to another State agency, board or commission upon thirty (30) days written notice to the Vendor. These restrictions do not apply to the payments made by the State. Any assignment will not become effective and binding upon the State until the State is notified of the assignment, and the State and Vendor execute a change order to the Contract.
14. **RENEWAL** – Any language that seeks to automatically renew, modify, or extend the Contract beyond the initial term or automatically continue the Contract period from term to term is deleted. The Contract may be renewed or continued only upon mutual written agreement of the Parties.
15. **INSURANCE** – Any provision requiring the State to maintain any type of insurance for either its or the Vendor’s benefit is deleted.
16. **RIGHT TO REPOSSESSION NOTICE** – Any provision for repossession of equipment without notice is hereby deleted. However, the State does recognize a right of repossession with notice.
17. **DELIVERY** – All deliveries under the Contract will be FOB destination unless the State expressly and knowingly agrees otherwise. Any contrary delivery terms are hereby deleted.
18. **CONFIDENTIALITY** – Any provisions regarding confidential treatment or non-disclosure of the terms and conditions of the Contract are hereby deleted. State contracts are public records under the West Virginia Freedom of Information Act (“FOIA”) (W. Va. Code §29B-a-1, et seq.) and public procurement laws. This Contract and other public records may be disclosed without notice to the vendor at the State’s sole discretion.
- Any provisions regarding confidentiality or non-disclosure related to contract performance are only effective to the extent they are consistent with FOIA and incorporated into the Contract through a separately approved and signed non-disclosure agreement.
19. **THIRD-PARTY SOFTWARE** – If this Contract contemplates or requires the use of third-party software, the vendor represents that none of the mandatory click-through, unsigned, or web-linked terms and conditions presented or required before using such third-party software conflict with any term of this Addendum or that it has the authority to modify such third-party software’s terms and conditions to be subordinate to this Addendum. The Vendor shall indemnify and defend the State against all claims resulting from an assertion that such third-party terms and conditions are not in accord with, or subordinate to, this Addendum.
20. **AMENDMENTS** – The parties agree that all amendments, modifications, alterations or changes to the Contract shall be by mutual agreement, in writing, and signed by both parties. Any language to the contrary is deleted.

Notwithstanding the foregoing, this Addendum can only be amended by (1) identifying the alterations to this form by using *Italics* to identify language being added and ~~strike through~~ for language being deleted (do not use track-changes) and (2) having the Office of the West Virginia Attorney General’s authorized representative expressly agree to and knowingly approve those alterations.

State: \_\_\_\_\_

Vendor: \_\_\_\_\_

By: \_\_\_\_\_

By: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

# Request for Taxpayer Identification Number and Certification

► Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

**Give Form to the  
requester. Do not  
send to the IRS.**

Print or type.  
See Specific Instructions on page 3.

<b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.
<b>2</b> Business name/disregarded entity name, if different from above
<b>3</b> Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <input type="checkbox"/> Individual/sole proprietor or single-member LLC         </div> <div style="width: 48%;"> <input type="checkbox"/> C Corporation    <input type="checkbox"/> S Corporation    <input type="checkbox"/> Partnership    <input type="checkbox"/> Trust/estate         </div> </div> <div style="margin-top: 5px;"> <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____         </div> <p><b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.</p> <div style="margin-top: 5px;"> <input type="checkbox"/> Other (see instructions) ► _____         </div>
<b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):
Exempt payee code (if any) _____  Exemption from FATCA reporting code (if any) _____  <small>(Applies to accounts maintained outside the U.S.)</small>
<b>5</b> Address (number, street, and apt. or suite no.) See instructions.
Requester's name and address (optional)
<b>6</b> City, state, and ZIP code
<b>7</b> List account number(s) here (optional)

## Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

<b>Social security number</b>
<div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>
<b>or</b>
<b>Employer identification number</b>
<div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>

## Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

**Sign  
Here**

Signature of  
U.S. person ►

Date ►

## General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

## Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
  - Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
  - Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
  - Form 1099-S (proceeds from real estate transactions)
  - Form 1099-K (merchant card and third party network transactions)
  - Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
  - Form 1099-C (canceled debt)
  - Form 1099-A (acquisition or abandonment of secured property)
- Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*



By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

**Note:** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

## Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note: ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

### Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

### Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual	Individual/sole proprietor or single-member LLC
• Sole proprietorship, or	
• Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	
• LLC treated as a partnership for U.S. federal tax purposes,	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or	
• LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	
• Partnership	Partnership
• Trust/estate	Trust/estate

### Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

#### Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**Note:** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

## Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

## Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note:** See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://www.SSA.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/Businesses](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note:** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

## What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more Individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor <sup>4</sup>
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

**\*Note:** The grantor also must provide a Form W-9 to trustee of trust.

**Note:** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

## Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

### Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at [spam@uce.gov](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

Visit [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

STATE OF WEST VIRGINIA  
Purchasing Division

# PURCHASING AFFIDAVIT

**CONSTRUCTION CONTRACTS:** Under W. Va. Code § 5-22-1(i), the contracting public entity shall not award a construction contract to any bidder that is known to be in default on any monetary obligation owed to the state or a political subdivision of the state, including, but not limited to, obligations related to payroll taxes, property taxes, sales and use taxes, fire service fees, or other fines or fees.

**ALL CONTRACTS:** Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

**EXCEPTION:** The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

**DEFINITIONS:**

**"Debt"** means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

**"Employer default"** means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

**"Related party"** means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceeds five percent of the total contract amount.

**AFFIRMATION:** By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (*W. Va. Code §61-5-3*) that: (1) for construction contracts, the vendor is not in default on any monetary obligation owed to the state or a political subdivision of the state, and (2) for all other contracts, that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

**WITNESS THE FOLLOWING SIGNATURE:**

Vendor's Name: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

State of \_\_\_\_\_

County of \_\_\_\_\_, to-wit:

Taken, subscribed, and sworn to before me this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

My Commission expires \_\_\_\_\_, 20\_\_\_\_.

**AFFIX SEAL HERE**

**NOTARY PUBLIC** \_\_\_\_\_

## VENDOR GUIDELINES FOR BID SUBMISSIONS VIA EMAIL

**NOTE:** This document is specific to the competitive solicitation processes, where bid submissions must arrive at the closing location on time.

### 1. Purpose of These Guidelines

The Commission/Council may post opportunities that allow vendors to submit their bids / proposals / responses (known as submissions) electronically via email. This document is intended to assist vendors in understanding:

- the risks associated with submitting an emailed submission; and
- the pitfalls that should be avoided if emailing a submission.

**NOTE:** Vendors who deliver submissions via email do so at their own risk; the Commission/Council does not take any responsibility for any emailed submission that:

- does not arrive on time;
- is rejected; or
- contains corrupted electronic files.

### 2. Risks

Although emails are sent every day without incident, there are a number of risks that could occur and delay the receipt of an email. An email submission is deemed to have been received once it arrives in the Commission/Council's Electronic Mail System. Emailed submissions that arrive late will not be considered, regardless of the reason, and vendors will not have the option to resubmit after the closing date and time.

Following are some of the reasons that may delay an email, or cause an email to be rejected by the Commission/Council's email system:

- i. Delays can occur as an email moves from server to server between the sender and the recipient, meaning that the time when an email is received can be later – and sometimes considerably later – than the time when it was sent. The Commission/Council will consider the time that an email was received by the Commission/Council's email system as the official time for any emailed submission.
- ii. The Commission/Council's email system has technical and security limitations on the size and type of files that will be accepted. Emails containing attachments that exceed 30 MB cannot be accepted.
- iii. The Commission/Council's email system has protocols whereby an email may be investigated as potential spam or containing a virus / malware. Such protocols may result in an email being sent to the recipient's inbox late.

- iv. The Commission/Council's email system has protocols whereby an email may be investigated as having Personally Identifiable Information (PII). An email determined by the system to contain PII or data of a similar appearance of PII will not be delivered.
- v. The Commission/Council's email system is designed to reject any email that is considered spam or that contains a virus or malware. On occasion, an email may be falsely flagged and rejected. Copies of rejected emails are not kept in the email system, and therefore no possibility exists to retrieve an emailed submission that has been rejected.
- vi. In addition, it is possible that one or more attachments to an email to become corrupted and therefore inaccessible to the Commission/Council's email system. Vendor will not have the option to resubmit after closing if the attachments cannot be opened. Further, the Commission/Council cannot open any submission prior to closing to confirm whether or not the files have been corrupted.

### **3. Vendor Guidance for Emailed Submissions**

1. Never assume that a solicitation allows for emailed submissions. Emails should only be used as a delivery mechanism when the opportunity expressly allows for it.
2. Never assume which email address is being used for submissions, when emailed submissions are permitted. Carefully read the instructions and ask questions well in advance of closing if the email address for submissions is not clear. Submissions that are emailed to any address other than the one expressly stated for the purpose may be rejected as missing a mandatory requirement of the solicitation.
3. Avoid using generic subject lines in the emailed submissions that do not clearly identify the solicitation name and / or number as well as the vendor organization name. The subject line of the email should be: BID FOR xxxxxxxxx DUE WEDNESDAY xxxxxxxxxx AT 3:00PM. A sample email subject line for an open bid might be: BID FOR 21001 DUE WEDNESDAY, APRIL 7, 2021 AT 3:00PM.
4. Avoid multiple emails from the same vendor for the same opportunity wherever possible. If multiple emails cannot be avoided (e.g., the collective size of the emails exceeds the maximum size allowed), identify how many emails constitute the full submission and provide clear instructions on how to assemble the submission. Multiple submissions from the same vendor for the same opportunity may result in rejection if these instructions are unclear.
5. Vendors may update, change, or withdraw their submission at any time prior to the closing date and time. If emailing updates or changes, do not submit only the changes that then require collation with the previous submission. Instead, a complete revised package with clear instructions that it replaces the earlier submission should be sent. This will help to avoid any confusion as to what constitutes the complete submission.



6. Avoid emailing submissions in the last 60 minutes that the solicitation is open. Sufficient time should be left prior to closing to ensure that the email was received, and to resubmit before closing if a problem occurs.
7. Do not assume that the email has been received. If a confirmation email is not received shortly after sending the email, contact the named Contact on the solicitation to confirm whether or not their submission was received. In addition, send the emailed submission with a delivery receipt request. If unsure how to send an email with a delivery receipt request, contact the vendor's own system support personnel or search online for instructions specific to the vendor's email system (e.g., Outlook, Gmail, etc.)
8. If the confirmation email is not received, do not resubmit without first contacting the named Contact. Resending a submission should only occur once confirmation is received that the original email was not received, and enough time is left for receipt of the submission prior to the closing date and time.
9. Do not ignore any message from the Commission/Council regarding rejection of an emailed submission. If such a message is received prior to closing, contact the named Contact on the opportunity immediately.
10. If time permits prior to closing, possible remedies for a rejected or missing emailed submission include:
  - i. If the collective size of the emailed attachments exceeds 30 MB, resubmit it over multiple emails, clearly identify how many emails constitute the full submission and how to collate the files.
  - ii. If the emailed submission included zipped or executable files, unzip or remove the executable the files and resubmit over one or more emails (see previous bullet if the files collectively exceed 30 MB).
  - iii. Resend the submission from a different email account.
  - iv. If permitted in the opportunity, use an alternative method to deliver the submission (e.g., mailed or hand delivered).

Note: None of these remedies are applicable after the closing date and time.

## Appendix 1

### ATTAIN Grant Narrative – Abridged Version

Eastern West Virginia Community and Technical College's (EWVCTC) Advising, Technology, Training, and Innovation (ATTAIN) program will focus on career initiatives, instructional innovation, and career counseling to provide more organized paths to help students succeed and help at-risk students get back on track. By addressing students' career and academic difficulties collectively and strategically, appropriate planning, intervention, and advising will help students succeed in planning their degrees and meeting their educational goals.

**Services:** ATTAIN initiatives and services, delivered over a 5-year project period (2021-2026), will provide students with the knowledge about careers, academic programs, and financial opportunities to make significant difference in their collective persistence. ATTAIN's retention, graduation, and capacity-building measures have been designed to serve students more effectively to increase retention and graduation rates. ATTAIN's major components include the following:

1. **Redesigned advising model** based on best practices for all students to help them select and stay on a career path, including intrusive advising for students at risk of academic failure.
2. **Career services enhancements** that embed career outcomes through instruction, assessment, and curricula. Services will include new programming, a career counselor, career exploration software, data-driven integration of career paths into academic programs, mandatory career counseling for undecided students, and college and life success courses and workshops.
3. **Expanded Instructional Innovation:** Curriculum development, professional development, and augmentation of online courses will elevate EWVCTC's instructional innovation strategies. Thirty-six (36) general education courses with low pass rates will be redesigned and moved online to make college more accessible and positive outcomes more likely.
4. **Improved Data Analysis and Implementation, including Assessment:** Through data-driven technology and tools, software, and professional development, a new Office of Instructional Effectiveness (OIE) will lead the college's efforts to improve instructional practices, assessment, and career services. The OIE will expand EWVCTC's capacity to collect and analyze data to support student success strategies, assessment, institutional management, and financial stability. New staff will provide training to employees on using data to support decisions on the development of new academic courses and programs to meet workforce needs as well as create tools (e.g. dashboards) to assist faculty in using assessment in their courses.
5. **Foundation Capacity Building:** New staff support and a fundraising database will lay the groundwork for EWVCTC's Foundation to support college programs and students through increased future scholarship and program funding, helping EWVCTC to sustain ATTAIN beyond the grant period. **This component involves only capacity building, not fundraising.**

**Outcomes:** Through the identified services, EWVCTC will achieve the goals of ATTAIN:

- **Academic Programs: Goal 1A:** Improve student retention and graduation rates for first-time, **full-time** degree-seeking students by implementing augmented career services and improving instructional practices through innovation. **Goal 1B:** Improve student retention rates for first-time, **part-time** degree-seeking students by implementing augmented career services and improving instructional practices through innovation. **Goal 1C:** Improve student engagement, as well as fiscal stability of the institution by systematically assessing learning supports associated with the Title III program.

- **Institutional Management: Goal 2A:** Reduce student academic warnings, probation, and suspension through timely, targeted, proactive intervention strategies, including career counseling strategies, intrusive advising, instructional innovation, and student assessment. **Goal 2B:** Improve students' career readiness as part of their educational programs through EWVCTC career initiatives. **Goal 2C:** Strengthen data analysis infrastructure and college systems to improve learning outcomes and assessment.
- **Fiscal Stability: Goal 3A:** Improve fiscal stability by recapturing student tuition through increased retention of first-year students to the second year by ensuring completion of their goals and/or graduation. **Goal 3B:** Strengthen the capacity of the EWVCTC Foundation to support retention and success through improved processes and services.

**Evaluation:** The methods of the evaluation will allow EWVCTC and the U.S. Department of Education to better understand how ATTAIN services impact student retention. Distinct to this project is the opportunity to determine the impact of formative, data-driven services. These data will enable continuous assessment of ATTAIN services and how they influence project outcomes related to persistence, and completion.



**UNITED STATES DEPARTMENT OF EDUCATION**  
**OFFICE OF POSTSECONDARY EDUCATION**

**TITLES III, V, AND VII GRANT PROGRAMS**

Alaska Native and Native Hawaiian-Serving Institutions (84.031N, 84.031R, 84.031W, 84.031V), Asian American and Native American Pacific Islander-Serving Institutions (84.031L, 84.382B), Developing Hispanic-Serving Institutions (84.031S), Hispanic-Serving STEM and Articulation (84.031C), Master's Degree Programs at Historically Black Colleges and Universities (84.382G), Master's Degree Programs at Predominantly Black Institutions (84.382D), Minority Science and Engineering Improvement (84.120A), Native American-Serving Nontribal Institutions (84.031X, 84.382C), Predominantly Black Institutions (84.031P, 84.382A), Promoting Postbaccalaureate Opportunities for Hispanic Americans (84.031M), Strengthening Historically Black Colleges and Universities (84.031B), Strengthening Historically Black Graduate Institutions (84.031K), Strengthening Institutions (84.031A, 84.031F), and Tribally Controlled Colleges and Universities (84.031T, 84.031D)

**Annual Performance Report**

OMB: 1840-0766  
 Exp. Date: 10/02/2023

Submitted: \_\_\_\_\_

PR/Award #: \_\_\_\_\_ OPEID: \_\_\_\_\_ Unit (NCES) ID #: \_\_\_\_\_

Program: \_\_\_\_\_

Grantee Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

Grantee Address: \_\_\_\_\_

Project Director Name: \_\_\_\_\_ Project Director Title: \_\_\_\_\_

Email Address: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Reporting Period Start: \_\_\_\_\_ Reporting Period End: \_\_\_\_\_

Year Grant was Awarded: \_\_\_\_\_ Scheduled End Year: \_\_\_\_\_

Total Expected Duration of Grant (years): \_\_\_\_\_ Year Number (of total): \_\_\_\_\_

Is this a no cost extension year? Yes ☐ No ☐

Grant Type (*from drop down list*): Institutional, Cooperative, Training, Research, Emergency

All questions are limited to 250 words or less unless otherwise stated.

## Section 1—Executive Summary

**Q1.** The goals of Titles III, V, and VII grants are to strengthen an institution's capacity to serve low-income and minority students. Use the following questions to summarize how your grant is enabling your institution to fulfill the legislative intent of the Titles III, V, or VII program during the most recently completed grant period.

**Q1a.** Summarize the impact your institution's Titles III, V, or VII grant has had on enrollment this year.

**Q1b.** Summarize the impact your institution's Titles III, V, or VII grant has had on graduation rates this year.

**Q1c.** Summarize the impact your institution's Titles III, V, or VII grant has had on student persistence/retention this year.

**Q1d.** Summarize the impact your institution's Titles III, V, or VII grant has had on fiscal stability this year.

**Q2.** Based on the goals set forth in your comprehensive development plan and/or grant application, summarize the major milestones reached during this grant period.

**Q3.** What additional ways do you think the Education Department can support you in implementing the grant project?

**Q4.** Has your institution's project(s) contributed to evidence-based (a) research, (b) knowledge, (c) practice, and/or (d) policy over the past year? If so, how? Use quantifiable measures where possible. These may be presentations, publications, program development, and recommendations for policy changes due to the project.

**Q5.** If your institution has experienced any unexpected outcomes because of this project, which affect, for better or worse, its capacity to fulfill the goals of the legislation, tell us about them here. Additionally, tell us about any challenges, such as natural and national disasters, that you have had during the reporting period or that you anticipate in the coming year which may affect your ability to meet the goals of your grant. Include, if applicable, your institution's plans to combat these challenges.

**Q6.** Under the competition for which your grant application was funded, did you respond to any Education Department evidence standards?

Yes ☐ No ☐

**Q6a.** Which Education Department evidence standard was required?

☐ Demonstrates Rationale (Logic Model)

☐ Evidence of Promise

☐ Moderate Evidence

☐ Strong Evidence

**Q6b.** Please cite the study/studies you included in your application to address the evidence standard. What specifically was the evidence-based intervention you proposed to implement in your funded application?

**Q6c.** Are you implementing the evidence-based intervention as planned?

Yes ☐ No ☐

**Q6d.** If no, what challenges have occurred that affected your ability to implement the evidence-based intervention as specified in your proposed plan? What has your institution done to address those challenges?

**Q6e.** Describe the actual results of the intervention during the reporting period.

**Q7.** Have you conducted any formative evaluation relating to your grant?

Yes ☐ No ☐

**Q7a.** If yes, summarize the results of the formative evaluation.

**Q7b.** Have the results of the formative evaluation yielded any improvements in your projects and/or campus?

**Q8.** If you have conducted any other program evaluation, assessment, or research related to the grant, please summarize your results.

**Q9.** Please attach any evaluation results including formative evaluations, summative evaluations, journal articles, presentations, and publications relating to your grant projects. These documents may provide greater detail of your results, or items that you would like to highlight. Please indicate if the assessments were conducted by an evaluator hired specifically to monitor the grant, your institution's research office, or grant personnel (director, etc.).

## Section 2—Institutional Profile

### **Institutional Measures (GPRA indicators):**

Complete the following table based on this grant year's data. "Total Fall Enrollment" and "Fall-to Fall Retention %" will be from your institution's most recently available data. Prior year data are pre-filled but may be corrected.

Grant Year Collection Year	Pre-Grant 20XX	Year 1 20XX	Year 2 20XX	Year 3 20XX	Year 4 20XX	Year 5 20XX
Total Fall Enrollment (#)						
Fall-to-Fall Retention (%)						
2-Year Graduation Rate (%) (2-Yr only)						
4-Year Graduation Rate (%) (2- & 4-Yr)						
6-Year Graduation Rate (%) (4-Yr only)						

### **Institutional Leadership:**

**Q1.** Have there been changes in institutional leadership (presidents, vice-presidents, provosts, etc.)?

Yes ☐ No ☐

**Q1a.** If yes, how has this affected the grant?

**Q2.** Have there been changes in grant leadership (project director, activity director, etc.)?

Yes ☐ No ☐

**Q2a.** If yes, how has this affected the grant?

### **Accreditation:**

Which is your institution's primary accrediting agency? [Please check only one.]

#### Accrediting agencies

- ☐ Middle States Commission on Higher Education
- ☐ New England Association of Schools and Colleges, Commission on Institutions of Higher Education
- ☐ The Higher Learning Commission of the North Central Association of Colleges and Schools
- ☐ Northwest Commission on Colleges and Universities
- ☐ Southern Association of Colleges and Schools, Commission on Colleges
- ☐ Western Association of Schools and Colleges Accrediting Commission for Community and Junior Colleges
- ☐ Western Association of Schools and Colleges Senior College and University Commission
- ☐ Other (please specify)

### **Accreditation Changes:**

**Q1.** Has the accreditation of your institution changed since you began the project (e.g., status changes or the addition of new programs)?

Yes ☐ No ☐

**Q1a.** If yes, please explain.

**Audit:**

**Q1.** Institutions that expend \$750,000 worth of federal funds in one year must complete an audit annually pursuant to 2 CFR part 200, subpart F. Were you required to complete an audit pursuant to 2 CFR part 200, subpart F?  
Yes ☐ No ☐

**Q2.** If yes, has an audit pursuant to 2 CFR part 200, subpart F been completed?  
Yes ☐ No ☐

**Q2a.** If yes, were there any findings in the audit?  
Yes ☐ No ☐

**Q2a1.** If yes, what were the findings? Explain how these findings are being addressed. Please attach the report with the findings.

**Q2b.** If no, why hasn't an audit pursuant to CFR part 200, subpart F been completed? When do you plan to complete the audit?

**Endowment:**

**Q1.** Do you have an Endowment Challenge Grant that has not matured?  
Yes ☐ No ☐

**Q2.** Are grant funds from this award being used for an endowment activity?  
Yes ☐ No ☐

**Q3.** Do you have an endowment activity on a previous award not matured?  
Yes ☐ No ☐

**Q4.** If yes to the above questions, please list the associated award numbers.

If yes to any of the above questions, you will be required to complete the FY 20XX Endowment Financial Report (OMB 1840-0564) by the deadline. (*This report is available on the EFRS tab in the HEPIS system.*)



## Section 3: Grant Project Status and Budget

### Grant Project Objective Status Report

**Q1.** What is the overall goal of your grant?

**Q2.** What is the expected long-term impact of the grant project on the institution?

Number of Grant Activities: \_\_\_\_\_

Grantees should report on the status of their project objectives (as stated in their application). Please provide the information requested for each project objective in the following table. In the narratives for this section please address the quality of the change (positive or negative). **Note:** each Grant Activity must have at least **one** Project Objective (but may have more), and each Project Objective must have at least **one** Performance Measure (but may have more). Potential scenarios are shown below:

Grant Activity 1/2:										
Project Objective 1/1:	Measure Type (Dropdown)  - Project - Program - GPRA	Quantitative Data						Status		
		Target			Actual Performance Data					
		Raw Number	% Calculated from Ratio	Ratio	Raw Number	% Calculated from Ratio	Ratio	Date Measured	Frequency Measured	Objective Status (Dropdown)
Performance Measure 1/2:				/			/			
Objective Narrative:										
Performance Measure 2/2:				/			/			
Objective Narrative:										
Grant Activity 2/2:										
Project Objective 1/2:	Measure Type (Dropdown)  - Project - Program - GPRA	Quantitative Data						Status		
		Target			Actual Performance Data					
		Raw Number	% Calculated from Ratio	Ratio	Raw Number	% Calculated from Ratio	Ratio	Date Measured	Frequency Measured	Objective Status (Dropdown)
Performance Measure 1/2:				/			/			
Objective Narrative										
Performance Measure 2/2:				/			/			
Objective Narrative										
Project Objective 2/2:	Measure Type (Dropdown)  - Project - Program - GPRA	Quantitative Data						Status		
		Target			Actual Performance Data					
		Raw Number	% Calculated from Ratio	Ratio	Raw Number	% Calculated from Ratio	Ratio	Date Measured	Frequency Measured	Objective Status (Dropdown)
Performance Measure 1/2:				/			/			
Objective Narrative										
Performance Measure 2/2:				/			/			
Objective Narrative										

## Budget Status Report

The budget and expenditure table (below) accepts dollar amounts for the following line item categories: Personnel, Student Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction, Other, Endowment (if allowed), Scholarships (if allowed), and Student Stipends (if allowed).

The budget and expenditure table allows reporting by the above categories for the following seven columns:

- Carryover Balance from Previous Year
- Approved Budget
- Total Budget
- Expenditures
- Non-Federal Expenditures
- Carryover Balance (Will show the percentage and the actual number)
- Next Year's Actual Budget
- Changes (Y/N)

### Changes by Line Item

Grantees checking the “Changes” box in the Budget and Expenditure Table can provide a narrative discussing relevant details on the corresponding line item. All major budgetary changes must receive approval from the Department.

### Budget Summary Narrative

Please explain budget changes, as needed, particularly the use of funds from cost savings, carryover funds, and other expanded authority changes to your budget. Provide an explanation if you are NOT expending funds at the expected rate. Describe any significant changes to your budget resulting from modifications of project activities.

**Budget and Expenditure Table**

Budget Categories	Carryover Balance from Previous FY	Approved Budget	Total Budget (Carryover + Approved)	Expenditures	Non-Federal Expenditures	Carryover Balance	Next Year's Actual Budget	Changes Y/N
Personnel								
Student Personnel								
Fringe Benefits								
Travel								
Equipment								
Supplies								
Contractual								
Construction								
Other								
Endowment								
Scholarships (If Allowed)								
Student Stipends (If Allowed)								
Total Direct Costs								
Indirect Costs								
Total Costs								

**Q1.** Did you have any unexpended funds at the end of the performance period?

Yes ☐ No ☐

**Q1a.** If yes, explain why, provide the amount, and indicate how you plan to use the unexpended funds (carryover) in the next budget period.

**Q2.** Do you anticipate any changes in your budget for the next performance period that will require prior approval from the Education Department (as designated by EDGAR, 34 CFR 74.25 and 80.30, as applicable)?

Yes ☐ No ☐

**Q2a.** Describe any anticipated changes in your budget for the **next** budget period (see EDGAR, 34 CFR 74.25 and 80.30, as applicable).

**Q2b.** Have you notified or requested approval from your program officer? All major budgetary changes must receive approval from the Education Department.

Yes ☐ No ☐

**Q3.** Do you wish to make any changes in the grant's activities/objectives for the next budget period?

Yes ☐ No ☐

**Q3a.** If yes, describe any changes that you wish to make in the grant's activities/objectives for the next budget period that are consistent with the scope, objectives, and/or personnel of your approved application. *(\*Further approval for these proposed changes may be required. Please contact your program officer.)*

**Q3b.** Have you notified or requested approval from your program officer? All major changes in the scope, objective, and/or personnel must receive approval from the Education Department.

Yes ☐ No ☐

**Q4.** Is this a cooperative arrangement grant?

Yes ☐ No ☐

**Q4a.** If yes, describe the type of cooperative arrangement you are in. And, how did the cooperative arrangement aspect of the grant benefit the institutions involved?

**Q5.** Many grantees include community partners, other institutions of higher education, and secondary schools in their work. Complete the table below (if applicable) with information related to any partners you are working with.

Partner Name (if applicable)	Description of Partner's Role
1.	
2.	

**Q5a.** If applicable, in the space below, please describe if and how these partnerships have developed during the reporting period. If partners changed, describe whether this impacted your ability to achieve your approved project objectives and/or project activities.

Partner's name whose role has changed	How has their role has changed?	What impact has this had on your ability to achieve approved project objectives/activities?
1.		
2.		

**Q6.** Have you met your goals and objectives as outlined in your approved activities for this reporting period?  
Yes ☐ No ☐ Partially ☐

Q6a. If “No” or “Partially” please explain. (500 word limit)

## Section 4: LAA Tables

*Note: Section 4 in the online APR form will **only** display the **one** LAA table that applies to your grant program. It will not display nor will you be required to complete the others.*

### Alaska Native and Native Hawaiian-Serving Institutions Program (ANNH 84.031N, 84.031R, 84.031W, 84.031V)

LAA Category [Note: All listed activities are directly from legislation.]	Dollars Spent	% of Activity
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities.		
Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.		
Curriculum development and academic instruction.		
Purchase of library books, periodicals, and other educational materials.		
Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Academic tutoring and counseling programs and student support services.		
Education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Asian American and Native American Pacific Islander-Serving Institutions  
(AANAPISI 84.031L)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities.		
Support of faculty exchanges, and faculty development and faculty fellowships to assist in attaining advanced degrees in the faculty's field of instruction.		
Curriculum development and academic instruction.		
Purchase of library books, periodicals, microfilm, and other educational materials.		
Funds and administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities such as laboratories and libraries.		
Academic tutoring and counseling programs and student support services.		
Establishing community outreach programs that will encourage elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education.		
Establishing or improving an endowment fund.		
Academic instruction in disciplines in which Asian Americans and Native American Pacific Islanders are underrepresented.		
Conducting research and data collection for Asian American and Native American Pacific Islander populations and subpopulations.		
Establishing partnerships with community-based organizations serving Asian Americans and Native American Pacific Islanders.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Asian American and Native American Pacific Islander-Serving Institutions  
(AANAPISI 84.382B)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including the integration of computer technology into institutional facilities to create smart buildings.		
Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.		
Development and improvement of academic programs.		
Purchase of library books, periodicals, and other educational materials, including telecommunications program material.		
Tutoring, counseling, and student service programs designed to improve academic success.		
Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Establishing or improving an endowment fund.		
Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Developing Hispanic-Serving Institutions  
(DHSI 84.031S)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities.		
Support of faculty exchanges, faculty development, curriculum development, academic instruction, and faculty fellowships to assist in attaining advanced degrees in the fellow's field of instruction.		
Purchase of library books, periodicals, and other educational materials, including telecommunications program materials.		
Tutoring, counseling, and student service programs designed to improve academic success.		
Articulation agreements and student support programs designed to facilitate the transfer from two-year to four-year institutions.		
Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Establishing or improving an endowment fund.		
Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.		
Establishing or enhancing a program or teacher education designed to qualify students to teach in public elementary schools and secondary schools.		
Establishing community outreach programs that will encourage elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education.		
Expanding the number of Hispanic and other underrepresented graduate and professional students that can be served by the institution by expanding courses and institutional resources.		
Providing education, counseling services, or financial information designed to improve the financial literacy and economic literacy of students or the students' families with regard to indebtedness and student assistance programs under subchapter IV.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		



**Hispanic-Serving Institutions – Science, Technology, Engineering, or Math and  
Articulation Agreements  
(HSI STEM 84.031C)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities.		
Support of faculty exchanges, faculty development, curriculum development, academic instruction, and faculty fellowships to assist in attaining advanced degrees in the fellow's field of instruction.		
Purchase of library books, periodicals, and other educational materials, including telecommunications program materials.		
Tutoring, counseling, and student service programs designed to improve academic success.		
Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Establishing or improving an endowment fund.		
Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.		
Establishing or enhancing a program or teacher education designed to qualify students to teach in public elementary schools and secondary schools.		
Establishing community outreach programs that will encourage elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education.		
Expanding the number of Hispanic and other underrepresented graduate and professional students that can be served by the institution by expanding courses and institutional resources.		
Support for low-income postbaccalaureate students including outreach, academic support services, mentoring, scholarships, fellowships, and other financial assistance to permit the enrollment of such students in postbaccalaureate certificate and postbaccalaureate degree granting programs.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Historically Black Colleges and Universities  
(HBCU Part A 84.031B)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and technology equipment or services.		
Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.		
Academic instruction in disciplines in which Black Americans are underrepresented.		
Purchase of library books, periodicals, and other educational materials, including telecommunications program material.		
Tutoring, counseling, and student service programs designed to improve academic success.		
Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification.		
Establishing community outreach programs which will encourage elementary and secondary students to develop the academic skills and the interest to pursue postsecondary education.		
Establishing or improving an endowment fund.		
Acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities.		
Education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under subchapter IV of this chapter and part C of subchapter I of chapter 34 of title 42.		
Services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Secretary, except that not more than two percent of the grant amount may be used for this purpose.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Historically Black Colleges and Universities Part F  
(HBCU Part F 84.031B)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services.		
Academic instruction in disciplines in which Black Americans are underrepresented.		
Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program material.		
Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification.		
Other activities, consistent with the institution's comprehensive plan and designed to increase the institution's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology or sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Historically Black Graduate Institutions  
(HBGI 84.031K)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and technology equipment or services.		
Purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials, including telecommunications program materials.		
Scholarships, fellowships and other financial assistance for needy graduate and professional students to permit the enrollment of the students in and completion of the doctoral degree in medicine, dentistry, pharmacy, veterinary medicine, law, and the doctorate degree in the physical or natural sciences, engineering, mathematics, or other scientific disciplines in which African Americans are underrepresented.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Assisting in the establishment or maintenance of an institutional endowment fund.		
Funds and administration management, and the acquisition of equipment, including software, for use in strengthening funds management and management information systems.		
Acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or addition to or improvement of campus facilities.		
Education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs [under subchapter IV of this chapter and part C of subchapter I of chapter 34 of title 42].		
Services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Secretary, except that not more than two percent of the grant amount may be used for this purpose.		
Tutoring, counseling, and student service programs designed to improve academic success.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Master's Degree Programs at Historically Black Colleges and Universities  
(MDHBCU 84.382G)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and technology equipment or services.		
Purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials, including telecommunications program materials.		
Scholarships, fellowships and other financial assistance for needy graduate and professional students to permit the enrollment of the students in and completion of the doctoral degree in medicine, dentistry, pharmacy, veterinary medicine, law, and the doctorate degree in the physical or natural sciences, engineering, mathematics, or other scientific disciplines in which African Americans are underrepresented.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Assisting in the establishment or maintenance of an institutional endowment fund.		
Funds and administration management, and the acquisition of equipment, including software, for use in strengthening funds management and management information systems.		
Acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or addition to or improvement of campus facilities.		
Education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs [under subchapter IV of this chapter and part C of subchapter I of chapter 34 of title 42].		
Tutoring, counseling, and student service programs designed to improve academic success.		
Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.		
Services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Secretary, except that not more than two percent of the grant amount may be used for this purpose.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Master's Degree Programs at Predominantly Black Institutions  
(PBI 84.382D)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications program materials.		
Purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials, including telecommunications program materials.		
Scholarships, fellowships, and other financial assistance for needy graduate students to permit the enrollment of the students in, and completion of, a master's degree in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines in which African Americans are underrepresented.		
Establishing or improving a development office to strengthen and increase contributions from alumni and the private sector.		
Assisting in the establishment or maintenance of an institutional endowment to facilitate financial independence pursuant to section 331.		
Funds and administrative management, and the acquisition of equipment, including software, for use in strengthening funds management and management information systems.		
Acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or improvement of, or an addition to, campus facilities.		
Education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under Title IV.		
Tutoring, counseling, and student service programs designed to improve academic success.		
Faculty professional development, faculty exchanges, and faculty participation in professional conferences and meetings.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Minority Science and Engineering Improvement Program  
(MSEIP 84.120A)**

<b>LAA Category</b> [Note: All listed activities are directly from legislation.]	<b>Dollars Spent</b>	<b>% of Activity</b>
<b>Institutional Grants</b>		
Faculty development programs.		
Development of curriculum materials.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		
<b>Cooperative Grants</b>		
Assisting institutions in sharing facilities and personnel.		
Disseminating information about established programs in science and engineering.		
Supporting cooperative efforts to strengthen the institutions' science and engineering programs.		
Carrying out a combination of any of the other cooperative grant activities.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		
<b>Design Projects</b>		
Developing, planning, management, and evaluation systems.		
Developing plans for initiating scientific research and for improving institutions' capabilities for such activities.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		
<b>Special Programs</b>		
Advanced science seminars.		
Science faculty workshops and conferences.		
Faculty training to develop specific science research or education skills.		
Research in science education.		
Programs for visiting scientists.		
Preparation of films or audio-visual materials in science.		
Development of learning experiences in science beyond those normally available to minority undergraduate students.		
Development of pre-college enrichment activities in science.		
Any other activities designed to address specific barriers to the entry of minorities into science.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Native American-Serving Nontribal Institutions Program  
(NASNTI 84.031X, 84.382C)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Renovation and improvement in classroom, library, laboratory, and other instructional facilities.		
Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the degrees in the faculty's field of instruction.		
Curriculum development and academic instruction.		
Purchase of library books, periodicals, microfilm, and other educational materials.		
Academic tutoring, counseling, and student service programs designed to improve academic success.		
Funds and administrative management and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Education or counseling services designed to improve the financial and economic literacy of students or student's families.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		



**Predominantly Black Institutions  
(PBI 84.031P, 84.382A)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including the integration of computer technology into institutional facilities to create smart buildings.		
Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.		
Development and improvement of academic programs.		
Purchase of library books, periodicals, and other educational materials, including telecommunications program material.		
Tutoring, counseling, and student service programs designed to improve academic success.		
Education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families.		
Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Establishing or improving an endowment fund.		
Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.		
Academic instruction in disciplines in which Black Americans are underrepresented.		
Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary school or secondary school in the State that shall include, as part of such program, preparation for teacher certification.		
Establishing community outreach programs that will encourage elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Promoting Postbaccalaureate Opportunities for Hispanic Americans  
(PPOHA 84.031M)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement of classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services.		
Purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials, including telecommunications program materials.		
Support for low-income postbaccalaureate students including outreach, academic support services, mentoring, scholarships, fellowships, and other financial assistance to permit the enrollment of such students in postbaccalaureate certificate and postbaccalaureate degree granting programs.		
Support of faculty exchanges, faculty development, faculty research, curriculum development, and academic instruction.		
Creating or improving facilities for Internet or other distance education technologies, including purchase or rental of telecommunications technology equipment or services.		
Collaboration with other institutions of higher education to expand postbaccalaureate certificate and postbaccalaureate degree offerings.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Strengthening Institutions Program  
(SIP 84.031A, 84.031F)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including the integration of computer technology into institutional facilities to create smart buildings.		
Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.		
Development and improvement of academic programs.		
Purchase of library books, periodicals, and other educational materials, including telecommunications program material.		
Tutoring, counseling, and student service programs designed to improve academic success.		
Education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families.		
Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Establishing or improving an endowment fund.		
Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

**Tribally Controlled Colleges and Universities  
(TCCU 84.031T, 84.031D)**

<b>LAA Category</b> <b>[Note: All listed activities are directly from legislation.]</b>	<b>Dollars Spent</b>	<b>% of Activity</b>
Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes.		
Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications and technology equipment or services.		
Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty.		
Academic instruction in disciplines in which Indians are underrepresented.		
Purchase of library books, periodicals, and other educational materials, including telecommunications program material.		
Tutoring, counseling, and student service programs designed to improve academic success.		
Education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families.		
Funds management, administrative management, and acquisition of equipment for use in strengthening funds management.		
Joint use of facilities, such as laboratories and libraries.		
Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector.		
Establishing or enhancing a program of teacher education designed to qualify students to teach in public elementary schools or secondary schools, with a particular emphasis on teaching Indian children and youth, which shall include, as part of such program, preparation for teacher certification.		
Establishing community outreach programs that encourage Indian elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education.		
Developing or improving facilities for Internet or other distance learning academic instruction technologies.		
Establishing or improving an endowment fund.		
OTHER ACTIVITIES--PLEASE DESCRIBE IN SIMILAR DETAIL		
GRAND TOTAL		

## Section 5: Institutionalization

**Q1.** What are your institution's plans to institutionalize or assume the costs incurred from the projects and activities created from this grant? The desire is for there to be continuity in the work begun by this grant and the work that is done in the future. Detail your plans to accomplish that goal.

**Q1a.** Complete the chart below detailing your plans to institutionalize the costs created by the objectives of your project. In the three columns below, each objective is to be listed, then approved line items (i.e. teacher salary), then total financial cost.

Project Objective <sup>1</sup>	Approved line items*	Financial cost (\$)
#1		
#2		
#3		

**Q1b.** Please describe your plan to institutionalize the costs.

Project Objective <sup>1</sup>	Institutionalization plan
#1	
#2	
#3	

**Q1c.** In the space provided below please explain any notable experiences you have had in institutionalizing this project. Please list any considerable challenges, successes, or failures. (500-word limit)

**Q2.** How has the grant facilitated or contributed to bringing additional resources to your institution, for example, new Federal, State, or local dollars that can be attributed partly to your grant activities? Please explain.

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<sup>1</sup> Activity names will be pulled automatically from Section 3 to pre-populate the tables.

## **Public Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0766. Public reporting burden for this collection of information is estimated to average 18 hours per response, including time for reviewing instructions, searching existing data sources, gathering, and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Higher Education Act of 1965, as amended). If you have any comments concerning the accuracy of the time estimate, suggestions for improving this individual collection, or if you have comments or concerns regarding the status of your individual form, application or survey, please contact Jason Cottrell directly at [jason.cottrell@ed.gov](mailto:jason.cottrell@ed.gov).