

Archived Information

U. S. Department of Education

Office of Postsecondary Education

Washington, D.C. 20006-8524



Fiscal Year 2008 Application for **State Grants** Under the

GAINING EARLY AWARENESS & READINESS FOR UNDERGRADUATE PROGRAMS (GEAR UP)

(CFDA NUMBER 84.334S)

CLOSING DATE: December 20, 2007

OMB No. 1840-0740

Expiration Date 2/29/2008

Paperwork 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 1840-0740. The time required to complete this information collection is estimated to average **40** hours per response, including time to review instructions, search existing data resources, gather the data needed and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Gaining Early Awareness & Readiness for Undergraduate Programs, U.S. Department of Education, 1990 K Street, NW Room 6100, Washington, DC 20006-8524.

Gaining Early Awareness & Readiness for Undergraduate Programs (GEAR UP)

Contents

Dear Applicant Letter	4
Competition Highlights.....	6
Supplemental Information.....	9
Grants.gov Submission Procedures and Tips for Applicants.....	11
Grants.gov Registration Instructions for Organizations.....	14
Closing Date Notice	16
Program Authorization.....	38
Program Regulations.....	46
State Grant Program Overview.....	52
Non-Federal Match Requirement.....	52
State Activities.....	56
Evaluation of Project Performance.....	59
Selection Criteria for State Grants.....	61
Instructions for Completing the Application Package.....	63
Application Transmittal Instructions.....	67
Important Notice to Prospective Participants in ED Contract and Grant Programs.....	70
Intergovernmental Review of Federal Programs.....	71
Notice to Applicants: The Government Performance and Results Act (GPRA).....	73
Contact Information.....	77
Application Package Checklist.....	78
Forms.....	79



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF POSTSECONDARY EDUCATION

Dear Applicant:

Thank you for your interest in the Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) program. We are pleased to provide the application booklet for the fiscal year 2008 GEAR UP State grant competition. Included in this application booklet are the program statute and regulations, and the instructions and forms needed to submit a complete state application package to the U.S. Department of Education.

The GEAR UP program is designed to significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education. GEAR UP provides six-year grants to states and partnerships to provide services at high-poverty middle and high schools. The services include: tutoring, mentoring, teacher training, curriculum enhancement, summer programs, college visits, counseling, and parental involvement activities. GEAR UP funding can also be used to provide college scholarships to low-income students.

In the Fiscal Year (FY) 2008 competition, there are five invitational priorities for this program. The Department encourages all applicants to address the relevant invitational priorities. For additional information about the invitational priorities, refer to the Federal Register notice inviting applications for new awards for FY 2008.

This letter highlights a few items in the FY 2008 application package that will be important to you in applying for grants under this program. You should review the entire application package carefully before preparing and submitting your application. Information on the GEAR UP program is accessible at the U.S. Department of Education (Department) Web site at:

<http://www.ed.gov/programs/gearup/index.html>.

Please be sure to review thoroughly the entire application booklet for information concerning the GEAR UP program. Applicants should pay particular attention to the section entitled "Competition Highlights" that outlines invitational priorities as well as other program and competition details.

The Department of Education is requiring that applications for FY 2008 grants under the GEAR UP program be submitted electronically using Grants.gov. You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included in the application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

We also urge you to consider the following three extremely important administrative factors if you are planning to apply for this program:

1. We strongly encourage you to register in Grants.gov early. The registration procedures may require 5 or more days to complete.
2. We strongly recommend that you submit your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on your application and the speed of your Internet connection. The application submission process must be complete prior to the deadline for transmittal of applications.
3. In order to submit successfully, you must remember to provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

After you electronically submit your application, you will first receive an e-mail from Grants.gov acknowledging the date and time at which your application was received. You will receive a second e-mail from Grants.gov that will state that your application has been validated OR that your application was rejected with errors. If your application is validated, you will receive a third e-mail from the Department of Education with an assigned PR/Award number, which is an ED-specified identifying number that is unique to your application. **This third confirmation by e-mail, with a PR/Award number assigned, is the e-mail that verifies that your application was submitted on time by the closing date. This may take several days.**

Please review carefully the enclosed materials regarding eligibility and program requirements. In particular, please note that all partnerships must include at least one institution of higher education (IHE), at least one local education agency (LEA) or school district, and two other partners. The fiscal agent for the partnership must be either an IHE or a LEA. Also, please note GEAR UP grantees are obligated to provide at least 50 percent of the total cost of a GEAR UP project (a dollar-for-dollar match) from state, local, institutional, or private funds in the form of cash or documented in-kind contributions.

For further information regarding the program, please contact Mrs. Karmon Simms-Coates in the Office of Postsecondary Education. Mrs. Simms-Coates can be reached at (202) 502-7676 or at karmon.simms-coates@ed.gov.

Sincerely,

/signed/

Thomas C. Dawson III
Deputy Assistant Secretary
Higher Education Programs

COMPETITION HIGHLIGHTS

1. We are implementing a change in the electronic submission process. **GEAR UP applications submitted for the fiscal year (FY) 2008 competition must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

2. It is important to know that the Grants.gov site works differently than the Department's e-Application system used in past competitions.

Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.

3. In the FY 2008 competition, the Department is particularly interested in applications that meet the following program priorities:

Invitational Priorities (5):

- i. Invitational Priority 1: State applicants are encouraged to include plans to develop and administer an assessment in the tenth grade, eleventh grade, or both to determine whether GEAR UP students are adequately prepared for postsecondary education. Assessments would include math skills, language skills, and other content areas or skills the applicants believe are sound indicators of preparedness for college-level work. The results of such an assessment would then be used as a substitute for placement tests that members of the cohort who are admitted to a partner institution of higher education would otherwise be required to take, and to guide intervention strategies that focus on the needs of individual GEAR UP students to help ensure that, by the time they graduate from high school, they are prepared for college.
- ii. Invitational Priority 2: State and Partnership applicants are encouraged to include plans to engage faith-based and community organizations in the delivery of services under this program.
- iii. Invitational Priority 3: State and Partnership applicants are encouraged to include plans to align their activities with the States' rigorous secondary school program of study options recognized by the Secretary for that State under the Academic Competitiveness Grant (ACG) Program, or that reflect the secondary school program of study recognized as rigorous by the Secretary under 34 CFR 691.16(d)(2) of the ACG Program. The recognized secondary school programs of study for each State for students graduating in 2007 can be found at the following website: <http://www.ed.gov/admins/finaid/about/ac->

smart/2007/state-programs-07.html. Plans should include strategies for documenting completion of the rigorous secondary school program of study on high school transcripts.

- iv. **Invitational Priority 4:** State and Partnership applicants are encouraged to include plans to provide information to school personnel, students, and parents about the rigorous secondary school program of study requirements for an ACG as defined in 34 CFR 691.16.
- v. **Invitational Priority 5:** State and Partnership applicants are encouraged to include plans to provide supportive services that help students meet the rigorous secondary school program of study requirements for an ACG as defined in 34 CFR 691.16.

Please note that these priorities are explained in detail in the Closing Date Notice contained in this application package. You are urged to fully review the Closing Date Notice carefully before preparing your application.

4. The following forms are specific to the GEAR UP program and should be reviewed carefully to ensure proper submission since they must be attached to the Grants.gov system:

- Students to be Served Form
- Project Budget Summary Form
- Applicant Organization Identification Form and Cost Share Worksheet
- Partner Identification Form and Cost Share Worksheet
- Documentation of Student Eligibility for Free & Reduced – Priced Lunch

Please note that more detailed instructions for attaching these forms are covered in the “INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE” section of the application.

5. The project abstract is limited to one page, single – spaced. The abstract should include information about the project’s goals and objectives, number of students to be served, the target school(s), a list of partners, and the activities and services that will be implemented during the 6-year performance period.
6. Please note that you must submit your application by 4:30 p.m. (Washington, D.C. time) on or before the application deadline date. Late applications will not be accepted. We suggest that you submit your application several days before the deadline. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.
7. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register notice inviting applications for new awards for FY 2008 and qualify for one of the exceptions to the electronic submission requirement.

8. Applicants are required to adhere to the page limit in the Application Narrative portion of the application. The “Notice inviting applications” for new awards for FY 2008, published in the Federal Register, contains specific information governing page limits for each grant type and formatting instructions. The page limit for the FY 2008 GEAR UP competition is 40 pages.
9. All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.
10. Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to attach and submit the application. (This is different from e-Application, where you are working online and saving data to the Department’s database.) You must provide a DUNS number that was used when your organization registered with the Central Contractor Registry (CCR).

For help with Grants.gov, please go to <http://www.grants.gov/ForApplicants> and click on “help” at the top of the screen. Also, refer to the “Submission Procedures and Tips for Applicants” found on page ten of this application booklet.

You are reminded that the document published in the Federal Register is the official document, and that you should not rely upon any information that is inconsistent with the guidelines contained within the official document.

SUPPLEMENTAL INFORMATION

The following information supplements the information provided in the “Dear Applicant” letter and the Notice.

1. **GEAR UP Eligibility**

All applicants applying for a Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) partnership grant must be either a local education agency or an institution of higher education. The Governor of the state must designate an applicant applying for a GEAR UP State grant.

2. **Estimated Funding and Project Period**

- Estimated Available Funds for FY 2008: \$303,423,120
- Estimated Range of Awards:
\$100,000 - \$7,000,000 for partnership grants
\$500,000 - \$3,000,000 for State grants
- Estimated Average Size of Awards:
\$1,200,000 for partnership grants
\$3,000,000 for State grants
- Estimated Number of New Awards: 20 partnership grants and 4 State grants
- Project Period for New Awards: Up to 72 months

The U.S. Department of Education is not bound by these estimates.

3. **Intergovernmental Review of Federal Programs**

Intergovernmental Review of Federal Programs was issued to foster an intergovernmental partnership and to strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at:
<http://www.whitehouse.gov/OMB/grants/spoc.html>.

4. **Applicant Funding**

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the “Award Information” section of the Notice. The Department will not fund any application at an amount exceeding the applicable maximum award level.

5. **Evaluation of Applicants for Awards**

A three-member panel of non-federal reviewers evaluates each application. Each reviewer assigns points for each selection criterion and prepares evaluation comments.

6. **Selection Criteria**

The selection criteria in EDGAR 34 CFR part 75 sections 75.209(a) and 75.210 are used to evaluate applications. The selection criteria and maximum possible points are included in the Notice.

7. Notice to Successful Applicants

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new GEAR UP program grants. Successful applicants will receive award notices by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

8. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

9. Annual Performance Report Requirements

If you receive a FY 2008 new grant award, you will be required to submit annual and final performance reports during the six-year funding cycle using an Internet-based reporting system. This online system collects narratives and data about funded projects, to enable program officers to determine if a grantee is making substantial progress toward meeting approved project objectives. The Annual Performance Report used for this program can be found at <http://www.ed.gov/gearup>.

10. Contact Information

For GEAR UP program-related questions and assistance, please contact:

Program Officer: Angela Oliphant
Address: Gaining Early Awareness and Readiness for
Undergraduate Programs
U.S. Department of Education
1990 K Street, N.W., Room 6133
Washington, D.C. 20006-8521
Telephone: (202) 502-7676
Fax: (202) 502-7675
E-mail Address: angela.oliphant@ed.gov

For Grants.gov-related questions and assistance, please contact:

Support Desk: Grants.gov Support Desk
Telephone: (800) 518-4726
Hours: Monday – Friday, 7:00 A.M. – 9:00 P.M. Eastern Time

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 p.m. on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission in a timely manner and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/assets/ApplicationErrorTips.doc>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application.

Please do not rely solely on e-mail to confirm whether your application has been received in a timely manner and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the *Federal Register* notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 p.m., unless you follow the procedures in the *Federal Register* notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the *Federal Register* notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

Dial-Up Internet Connections

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection.

If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the *Federal Register* notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the *Federal Register* notice for detailed instructions.)

MAC Users

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf) white paper published by Pure Edge: http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf,

and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information.

If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the *Federal Register* notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the *Federal Register* notice for detailed instructions.)

ATTENTION – Microsoft Vista and Word Users

Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

GRANTS.GOV REGISTRATION INSTRUCTIONS FOR ORGANIZATIONS

The Grants.gov registration process involves three basic steps:

1. Register your organization
 - Obtain a D-U-N-S Number (see below for instructions)
 - Register with the Central Contractor Registry (see below for instructions)
2. Register yourself as an Authorized Organization Representative (AOR)
 - Obtain a username and password from the Grants.gov credential provider (<https://apply.grants.gov/OrcRegister>)
 - Register with Grants.gov (<https://apply.grants.gov/GrantsgovRegister>)
3. Get authorized as an AOR by your organization
 - Receive approval from your organization's E-Business POC (see CCR instructions below for details)
 - If you are both the E-Business POC and an AOR, you should authorize your own AOR request

For more information, go to http://www.grants.gov/applicants/get_registered.jsp.

Note: If you are a grant applicant who is submitting a grant application on your own behalf and not on behalf of a company, institution, state, local or tribal government, or other type of organization, refer to <http://www.grants.gov/assets/IndividualRegCheck.pdf>. If you apply as an individual to a grant application package designated for organizations, your application will be rejected.

D-U-N-S NUMBER INSTRUCTIONS

To successfully submit an application using Grants.gov, you must provide your organization's D-U-N-S Number. A D-U-N-S Number is a unique nine-digit number issued by D&B, a global information services provider, that identifies your organization and is used by the Federal government to track how Federal money is distributed. Most large organizations, libraries, colleges, and research universities already have D-U-N-S numbers. Ask your grant administrator or chief financial officer to provide your organization's D-U-N-S Number.

If your organization does not have a D-U-N-S Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a D-U-N-S Number Request Form (http://www.dnb.com/US/duns_update/index.html). You will need to provide the following information:

- Legal name
- Tradestyle, doing business as (DBA), or other name by which your organization is commonly recognized
- Physical address, city, state and zip code
- Mailing address (if separate)

- Telephone number
- Contact name
- SIC code (Line of Business)
- Number of employees at your location
- Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
- Is this a home-based business?

Obtaining a DUNS Number places your organization on D&B's marketing list, which is sold to other companies. You can request not to be added to this list during your application.

Live help from D&B is available Monday-Friday, 8 a.m. – 5 p.m. (EST) at 1-888-814-1435.

CENTRAL CONTRACTOR REGISTRATION (CCR) INSTRUCTIONS

The Central Contractor Registration (CCR) is a web-enabled government-wide application that collects, validates, stores, and disseminates business information about the Federal government's trading partners in support of the contract award, grants, and electronic payment processes.

Check to see if your organization is already registered at the CCR website

(<http://www.bpn.gov/ccrinq/scripts/search.asp>).

If your organization is already registered, take note of who is listed as your E-Business Point of Contact (E-Business POC). This person will be responsible for authorizing who within your organization is able to submit applications using Grants.gov.

If your organization is not already registered, you can register using the CCR website (<https://www.bpn.gov/ccr/scripts/indexnew.asp>) or by phone (1-888-227-2423). When your organization registers with CCR, you will need to designate an E-Business Point of Contact (POC). This designee authorizes individuals to submit grant applications on behalf of the organization. A special Marketing Partner ID Number (MPIN) is established as a password to verify the E-Business POC.

The E-Business POC will be notified by e-mail when individuals from their organization register with Grants.gov. This registration is a request to be designated as an Authorized Organization Representative (AOR). To assign AOR rights, E-Business POCs need to log into Grants.gov (http://www.grants.gov/applicants/e_biz.jsp) using the organization's D-U-N-S Number and MPIN. Grants.gov will send the AOR a confirmation e-mail when this process has been completed.

Please note that your CCR registration must be renewed once a year. You can check your registration status using the CCR search page (<http://www.bpn.gov/ccrinq/scripts/search.asp>). If you have further questions about creating, updating or renewing your CCR registration, please visit the CCR Frequently Asked Questions page (<http://www.ccr.gov/FAQ.asp>) or contact the CCR Help Desk at 1-888-227-2423.

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Gaining Early Awareness and Readiness for Undergraduate Programs

Notice inviting applications for new awards for fiscal year (FY) 2008.

Catalog of Federal Domestic Assistance (CFDA) Numbers:

84.334S (State grants) and 84.334A (Partnership grants).

Dates:

Applications Available: November 5, 2007.

Deadline for Transmittal of Applications: December 20, 2007

Deadline for Intergovernmental Review: February 18, 2008

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) is to support early college preparation and awareness activities for low-income students.

Priorities: Under these competitions we are particularly interested in applications that address one or more of the following priorities.

Invitational Priorities: For FY 2008 these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a

competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1:

State applicants are encouraged to include plans to develop and administer an assessment in the tenth grade, eleventh grade, or both to determine whether GEAR UP students are adequately prepared for postsecondary education. Assessments would include math skills, language skills, and other content areas or skills the applicants believe are sound indicators of preparedness for college-level work.

The Secretary will review the results of this invitational priority (including the number of applicants who include information responsive to this priority and whether any grantees develop and administer an assessment), and may propose to modify the regulations in 34 CFR 694 for GEAR UP to require that grantees conduct an assessment of this kind of the students receiving services through GEAR UP partnership or State grants.

Invitational Priority 2:

State and Partnership applicants are encouraged to include plans to engage faith-based and community organizations in the delivery of services under this program.

Invitational Priority 3:

State and Partnership applicants are encouraged to include plans to align their activities with the States' rigorous secondary school program of study options recognized by the

Secretary for that State under the Academic Competitiveness Grant (ACG) Program or that reflect the secondary school program of study recognized as rigorous by the Secretary under 34 CFR 691.16(d)(2) of the ACG Program. The recognized secondary school programs of study for each State for students graduating in 2007 can be found at the following website:

<http://www.ed.gov/admins/finaid/about/ac-smart/2007/state-programs-07.html> Plans should include strategies for

documenting completion of the rigorous secondary school program of study on high school transcripts.

Invitational Priority 4:

State and Partnership applicants are encouraged to include plans to provide information to school personnel, students, and parents about the rigorous secondary school program of study requirements for an ACG as defined in 34 CFR 691.16.

Invitational Priority 5:

State and Partnership applicants are encouraged to include plans to provide supportive services that help students meet the rigorous secondary school program of study requirements for an ACG as defined in 34 CFR 691.16.

Program Authority: 20 U.S.C. 1070a-21.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. (b) The regulations for this program in 34 CFR part 694.

Note: The regulations in 34 CFR part 79 apply to all applicants except Federally recognized Indian tribes.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education (IHEs) only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$303,423,120 for this program for FY 2008, of which we intend to use an estimated \$44,700,000 for these competitions. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2009 from the list of unfunded applicants from these competitions.

Estimated Range of Awards: State grants: \$2,800,000-\$3,000,000. Partnership grants: \$100,000-\$7,000,000.

Estimated Average Size of Awards: State grants: \$2,900,000. Partnership grants: \$800,000.

Maximum Award: We will reject any application for a State grant that proposes a budget exceeding \$3,000,000 for a single budget period of 12 months. We will reject any application for a partnership grant that proposes a budget exceeding \$800 per student for a single budget period of 12 months. We also will

reject any State or partnership grant application that proposes an increase in its budget after the first 12-month budget period. The Assistant Secretary for Postsecondary Education may change the maximum amounts through a notice published in the Federal Register.

Estimated Number of Awards: State grants: 7. Partnership grants: 30.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 72 months.

III. Eligibility Information

1. Eligible Applicants: (1) A State; or (2) a partnership consisting of (A) one or more local educational agencies acting on behalf of (i) one or more elementary schools or secondary schools, and (ii) the secondary schools that students from the schools described in (i) would normally attend; (B) one or more degree granting IHE; and (C) at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, institutions or agencies sponsoring programs authorized under subpart 4 of Part A of Title IV of the Higher Education Act of 1965, as amended (HEA), or other public or private agencies or organizations.

Note: For State grants, the fiscal agent/applicant must be a single State agency as designated by the State's Governor. For

partnership grants, the fiscal agent/applicant must be either an IHE or a local educational agency.

2. Cost Sharing or Matching: Section 404C of the HEA requires grantees under this program to provide not less than 50 percent of the total cost of the project over six years. By regulation, a partnership may propose a non-Federal contribution of less than 50 percent, but not less than 30 percent of the total cost of the project, if the partnership includes three or fewer IHEs as members and meets the high-need criteria in 34 CFR 694.7(b)(2). The non-Federal share of project costs may be in cash or in-kind. The Department will hold applicants accountable for the matching commitment proposed in the application for funding, even if the proposed match is higher than the percent required by statute.

3. Other: For State grants, at least 25 percent, and not more than 50 percent of grant funds must be spent on early college preparation and awareness, and at least 50 percent of grant funds must be spent on postsecondary scholarships to eligible GEAR UP students. The Secretary may waive the scholarship percentage requirement if the applicant demonstrates that it has another means of providing the students with financial assistance.

IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet by downloading the

package from the program Web site at:

<http://www.ed.gov/programs/gearup/index.html>

You also can request a copy of the application package from the following: Angela Oliphant, Gaining Early Awareness and Readiness for Undergraduate Programs, U.S. Department of Education, 1990 K Street, NW., room 6133, Washington, DC 20006-8524. Telephone: (202) 502-7676 or by e-mail: angela.oliphant@ed.gov

If you use a telecommunications device for the deaf (TDD), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

Individuals with disabilities can obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application packages for these competitions.

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative (Part III) to no more than 40 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman and Arial Narrow) will not be accepted.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract.

We will reject your application if you exceed the page limit.

3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: (INSERT DATE)

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper

format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in Section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: (INSERT DATE)

4. Intergovernmental Review: These competitions are subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application packages for these competitions.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under these competitions must be submitted electronically unless

you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the GEAR UP State and Partnership Competitions, CFDA Numbers 84.334S and CFDA 84.334A, must be submitted electronically using the Governmentwide Grants.gov Apply site at <http://www.Grants.gov> Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for GEAR UP at <http://www.Grants.gov> You must search for the downloadable application packages for these competitions by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.334, not 84.334A or 84.334S).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application packages for these competitions

to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see http://www.grants.gov/applicants/get_registered.jsp). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic

submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).

- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the

Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII in this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your

application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or

fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Angela Oliphant, U.S. Department of Education, 1990 K Street, NW., room 6133, Washington, DC 20006-8524. FAX: (202) 502-7675.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application in paper format to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.334A or 84.334S)
400 Maryland Avenue, SW.
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center, Stop 4260
Attention: (CFDA Number 84.334A or 84.334S)
7100 Old Landover Road
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your application in paper format to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.334A or 84.334S)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do

not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

Selection Criteria: The selection criteria for these programs are from 34 75.210 of EDGAR and are listed in the application package.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notice (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section in this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a

multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

4. Performance Measures: The objectives of the GEAR UP program are--(1) to increase the academic performance and preparation for postsecondary education of participating students; (2) to increase the rate of high school graduation and participation in postsecondary education of participating students; and (3) to increase educational expectations for participating students and student and family knowledge of postsecondary education options, preparation, and financing.

The effectiveness of this program depends on the rate at which program participants complete high school and enroll in and complete a postsecondary education. We developed the following performance measures to track progress toward achieving the program's goals:

1. The percentage of GEAR UP students who passed Algebra 1 by the end of the 9th grade.
2. The percentage of GEAR UP students who have knowledge of necessary academic preparation for college.
3. The percentage of GEAR UP students who graduated

from high school.

4. The percentage of former GEAR UP students who are enrolled in college.

In addition, to assess the efficiency of the program, we track the average cost in federal funds, of achieving a successful outcome, where success is defined as enrollment in postsecondary education of GEAR UP students immediately after high school graduation. These performance measures constitute GEAR UP's indicators of the success of the program. Grant recipients must collect and report data on steps they have taken toward achieving these goals. Accordingly, we request that applicants include these performance measures in conceptualizing the design, implementation, and evaluation of their proposed projects.

VII. Agency Contact

For Further Information Contact: Angela Oliphant, Gaining Early Awareness and Readiness for Undergraduate Programs, U.S. Department of Education, 1990 K Street, NW., room 6133, Washington, DC 20006-8524. Telephone: (202) 502-7676 or by e-mail: angela.oliphant@ed.gov

If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

VIII. Other Information

Alternative Format: Individuals with disabilities can obtain this document and a copy of the application package in an

alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in Section VII in this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

www.gpoaccess.gov/nara/index.html

Dated:

/signed/

Diane Auer Jones,
Assistant Secretary for
Postsecondary Education.

The Higher Education Act of 1965, as amended

Title IV, Part A, Subpart 2 Chapter 2--GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS

Title IV--STUDENT ASSISTANCE

PART A--GRANTS TO STUDENTS IN ATTENDANCE AT INSTITUTIONS OF HIGHER EDUCATION

CHAPTER 2—GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS

SEC. 404A. EARLY INTERVENTION AND COLLEGE AWARENESS PROGRAM AUTHORIZED.

- (a) PROGRAM AUTHORIZED – The Secretary is authorized, in accordance with the requirements of this chapter, to establish a program that—
- (1) encourages eligible entities to provide or maintain a guarantee to eligible low-income students who obtain a secondary school diploma (or its recognized equivalent), of the financial assistance necessary to permit the students to attend an institution of higher education; and
 - (2) supports eligible entities in providing—
 - (A) additional counseling, mentoring, academic support, outreach, and supportive services to elementary school, middle school, and secondary school students who are at risk of dropping out of school; and
 - (B) information to students and their parents about the advantages of obtaining a postsecondary education and the college financing options for the students and their parents.
- (b) AWARDS-
- (1) IN GENERAL – From funds appropriated under section 404H for each fiscal year, the Secretary shall make awards to eligible entities described in paragraphs (1) and (2) of subsection (c) to enable the entities to carry out the program authorized under subsection (a).
 - (2) PRIORITY – In making awards to eligible entities described in paragraph (c)(1), the Secretary shall—
 - (A) give priority to eligible entities that—
 - (i) on the day before the date of enactment of the Higher Education Amendments of 1998, carried out successful educational opportunity programs under this chapter (as this chapter was in effect on such day); and
 - (ii) have a prior, demonstrated commitment to early intervention leading to college access through collaboration and replication of successful strategies;
 - (B) ensure that students served under this chapter on the day before the date of enactment of the Higher Education Amendment of 1998 continue to receive assistance through the completion of secondary school.
- (c) DEFINITION OF ELIGIBLE ENTITY- For the purposes of this chapter, the term eligible entity means—

- (1) a State; or
- (2) a partnership consisting of—
 - (A) one or more local educational agencies acting on behalf of –
 - (i) one or more elementary schools or secondary schools; and
 - (ii) the secondary schools that students from the school described in clause (i) would normally attend;
 - (B) one or more degree granting institutions of higher education; and
 - (C) at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, institutions or agencies sponsoring programs authorized under subpart 4, or other public or private agencies or organizations.

SEC. 404B. REQUIREMENTS.

(a) FUNDING RULES-

- (1) CONTINUATION AWARDS-From the amount appropriated under section 404H for fiscal year, the Secretary shall continue to award grants to States under this chapter (as this chapter was in effect on the day before the date of enactment of the Higher Education Amendments of 1998) in accordance with the terms and conditions of such grants.
- (2) DISTRIBUTION-From the amount appropriated under section 404H that remains after making continuation awards under paragraph (1) for a fiscal year, the Secretary shall—

(A) make available--

- (i) not less than 33 percent of the amount to eligible entities described in section 404A(c)(1); and
- (ii) not less than 33 percent of the amount to eligible entities described in section 404A(c) (2); and

(B) award the remainder of the amount to eligible entities described in paragraph (1) or (2) of section 404A(c).

(3) SPECIAL RULE- The Secretary shall annually reevaluate the distributions of funds described in paragraph (2)(B) based on number, quality, and promise of the applications and adjust the distribution accordingly.

- (b) LIMITATION- Each eligible entity described in section 404A(c)(1), and each eligible entity described in section 404A(c)(2) that conducts a scholarship component under section 404E, shall use not less than 25 percent and not more than 50 percent of grant funds received under this chapter for the early intervention component of an eligible entity's program under this chapter, except that the Secretary may waive the 50 percent limitation if the eligible entity demonstrates that the eligible entity has another means of providing the students with financial assistance that is described in the plan submitted under section 404C.

- (c) COORDINATION- Each eligible entity shall ensure that the activities assisted under this chapter are, to the extent practicable, coordinated with, and complement and enhance—
 - (1) services under this chapter provided by other eligible entities serving the same school district or State; and
 - (2) related services under other Federal or non-Federal programs.
- (d) DESIGNATION OF FISCAL AGENT – An eligible entity described in section 404A(c)(2) shall designate an institution of higher education or a local educational agency as the fiscal agent for the eligible entity.
- (e) COORDINATORS – An eligible entity described in section 404A(c)(2) shall have a full-time program coordinator or a part-time program coordinator, whose primary responsibility is a project under section 404C.
- (f) DISPLACEMENT – An eligible entity described in 404A(c)(2) shall ensure that the activities assisted under this chapter will not displace an employee or eliminate a position at a school assisted under this chapter, including a partial displacement such as a reduction in hours, wages, or employment benefits.
- (g) COHORT APPROACH –
 - (1) IN GENERAL-The Secretary shall require that eligible entities described in section 404A(c)(2)—
 - (A) provide services under this chapter to at least one grade level of students, beginning not later than 7th grade, in a participating school that has a 7th grade and in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch under the National School Lunch Act (or, if an eligible entity determines that it would promote, the effectiveness of s program, an entire grade level of students, beginning not later than the 7th grade, who reside in public housing as defined in section 3(b)(1) of the United States Housing Act of 1937); and
 - (B) ensure that the services are provided through the 12th grade to students in the participating grade level.
 - (2) COORDINATION REQUIREMENT – In order for the Secretary to require the cohort approach described in paragraph (1), the Secretary shall, where applicable, ensure that the cohort approach is done in coordination and collaboration with existing early intervention programs and does not duplicate the services already provided to a school or community.

SEC.404C. ELIGIBLE ENTITY PLANS.

- (a) PLAN REQUIRED FOR ELIGIBILITY –
 - (1) IN GENERAL – In order for an eligible entity to qualify for a grant under this chapter, the eligible entity shall submit to the Secretary a plan for carrying out the program under this chapter. Such plan shall provide for the conduct of a scholarship component if required or undertaken pursuant to section 404E and an early intervention component required pursuant to section 404D.

(2) CONTENTS – Each plan submitted pursuant to paragraph (1) shall be in such form, contain or be accompanied by such information or assurances, and be submitted at such time as the Secretary may require by regulation. Each such plan shall—

- (A) describe the activities for which assistance under this chapter is sought; and
- (B) provide such additional assurances as the Secretary determines necessary to ensure compliance with the requirements of this chapter.

(b) MATCHING REQUIREMENT –

(1) IN GENERAL – The Secretary shall not approve a plan submitted under subsection (a) unless such plan—

- (A) provides that the eligible entity will provide, from State, local, institutional, or private funds, not less than 50 percent of the cost of the program, which matching funds may be provided in cash or in kind;
- (B) specifies the methods by which matching funds will be paid; and
- (C) includes provisions designed to ensure that funds provided under this chapter shall supplement and not supplant funds expended for existing programs.

(2) SPECIAL RULE – Notwithstanding the matching requirement described in paragraph (1)(A), the Secretary may by regulation modify the percentage requirement described in paragraph (1)(A) for eligible entities described in section 404A(c)(2).

(c) METHODS FOR COMPLYING WITH MATCHING REQUIREMENT – An eligible entity may count toward the matching requirement described in subsection (b)(1)(A)—

- (1) the amount of the financial assistance paid to students from State, local, institutional, or private funds under this chapter;
- (2) the amount of tuition, fees, room or board waived or reduced for recipients of financial assistance under this chapter; and
- (3) the amount expended on documented, targeted, long-term mentoring and counseling provided by volunteers or paid staff of nonschool organizations, including businesses, religious organizations, community groups, postsecondary educational institutions, nonprofit and philanthropic organizations, and other organizations.

(d) PEER REVIEW PANELS – The Secretary shall convene peer review panels to assist in making determinations regarding the awarding of grants under this chapter.

SEC.404D. EARLY INTERVENTION.

(a) SERVICES –

(1) **IN GENERAL** – In order to receive a grant under this chapter, an eligible entity shall demonstrate to the satisfaction of the Secretary, in the plan submitted under section 404C, that the eligible entity will provide comprehensive mentoring, counseling, outreach, and supportive services to students participating in programs under this chapter. Such counseling shall include—

- (A) financial aid counseling and information regarding the opportunities for financial assistance under this title; and
- (B) activities or information regarding—

- (i) fostering and improving parent involvement in promoting the advantages of a college education, academic admission requirements, and the need to take college preparation courses;

- (ii) college admissions and achievement tests; and

- (iii) college application procedures.

(2) **METHODS** – The eligible entity shall demonstrate in such plan, pursuant to regulations of the Secretary, the methods by which the eligible entity will target services on priority students described in subsection (c), if applicable.

(b) **USES OF FUNDS** –

(1) **IN GENERAL** – The Secretary shall, by regulation, establish criteria for determining whether comprehensive mentoring, counseling, outreach, and supportive services programs may be used to meet the requirements of subsection (a).

(2) **PERMISSIBLE ACTIVITIES** – Examples of activities that meet the requirements of subsection (a) include the following:

- (A) Providing eligible students in preschool through grade 12 with a continuing system of mentoring and advising that—

- (i) is coordinated with the Federal and State community service initiatives; and

- (ii) may include such support services as after school and summer tutoring, assistance in obtaining summer jobs, career mentoring, and academic counseling.

- (B) Requiring each student to enter into an agreement under which the student agrees to achieve certain academic milestones, such as completing a prescribed set of courses and maintaining satisfactory progress described in section 484(c), in exchange for receiving tuition assistance for a period of time to be established by each eligible entity.

- (C) Activities designed to ensure secondary school completion and college enrollment of at-risk children, such as identification of at-risk children, after school and summer jobs, academic counseling, volunteer and parent involvement, providing former or current scholarship recipients as mentor or peer counselors, skills assessment, providing access to rigorous core counselors that reflect challenging academic standards, personal counseling, family counseling and home visits, staff development, and

programs and activities described in the subparagraph that are specially designed for students of limited English proficiency.

(D) Summer programs for individuals who are in their sophomore or junior years of secondary school or are planning to attend an institution of higher education in the succeeding academic year that—

(i) are carried out at an institution of higher education that has programs of academic year supportive services for disadvantaged students through projects authorized under section 402D or through comparable projects funded by the State or other sources;

(ii) provide for the participation of the individuals who are eligible for assistance under section 402D or who are eligible for comparable programs funded by the State;

(iii) (I) provide summer instruction in remedial, developmental or supportive courses,

(II) provide such summer services as counseling, tutoring, or orientation; and

(III) provide financial assistance to the individuals' summer costs for books, supplies, living costs, and personal expenses; and

(iv) provide the individuals with financial assistance during each academic year the individuals are enrolled at the participating institution after the summer program.

(E) Requiring eligible students to meet other standards or requirements as the State determines necessary to meet the purposes of this section.

(c) PRIORITY STUDENTS – For eligible entities not using a cohort approach, the eligible entity shall treat as priority students any student in preschool through grade 12 who is eligible—

(1) to be counted under section 1124(c) of the Elementary and Secondary Education Act of 1965;

(2) for free or reduced price meals under the National School Lunch Act; or

(3) for assistance pursuant to part A of title IV of the Social Security Act.

(d) ALLOWABLE PROVIDERS – In the case of eligible entities described in section 404A(c)(1), the activities required by this section may be provided by service providers such as community-based organizations, schools, institutions of higher education, public and private agencies, nonprofit and philanthropic organizations, businesses, institutions and agencies sponsoring programs authorized under subpart 4, and other organizations the State deems appropriate.

SEC.404E. SCHOLARSHIP COMPONENT.

(A) IN GENERAL -

- (1) STATES – In order to receive a grant under this chapter, an eligible entity described in section 404A(c)(1) shall establish or maintain a financial assistance program that awards scholarships to students in accordance with the requirements of this section. The Secretary shall encourage the eligible entity to ensure that a scholarship provided pursuant to this section is available to an eligible student for use at any institution of higher education.
- (2) PARTNERSHIPS – An eligible entity described in section 404A(c)(2) may award scholarships to eligible students in accordance with the requirements of this section.

(b) GRANT AMOUNTS – The maximum amount of a scholarship that an eligible student shall be eligible to receive under this section shall be established by the eligible entity. The minimum amount of the scholarship for each fiscal year shall not be less than the lesser of—

- (1) 75 percent of the average cost of attendance for an in-State student, in a 4-year program of instruction, at public institutions of higher education in such State, as determined in accordance with regulations prescribed by the Secretary; or
- (2) the maximum Federal Pell grant funded under section 401 for such fiscal year.

(c) RELATION TO OTHER ASSISTANCE – Scholarships provided under this section shall be not considered for the purpose of awarding Federal grant assistance under this title, except that in no case shall the total amount of student financial assistance awarded to a student under this title exceed such student's total cost of attendance.

(d) ELIGIBLE STUDENTS – A student eligible for assistance under this section is a student who—

- (1) is less than 22 years old at time of first scholarship award under this section;
- (2) receives a secondary school diploma or its recognized equivalent on or after January 1, 1993;
- (3) is enrolled or accepted for enrollment in a program of undergraduate instruction at an institution of higher education that is located within the State's boundaries, except that, at the State's option, an eligible entity may offer scholarship program portability for recipients who attend institutions of higher education outside such State; and
- (4) who participated in the early intervention component required under section 404D.

(e) PRIORITY – The Secretary shall ensure that each eligible entity places a priority on awarding scholarships to students who will receive a Federal Pell Grant for the academic year for which the scholarship is awarded under this section.

(f) SPECIAL RULE – An eligible entity may consider students who have successfully participated in programs funded under chapter 1 to have met the requirements of subsection (d)(4).

SEC. 404F. 21ST CENTURY SCHOLAR CERTIFICATES.

(a) AUTHORITY – The Secretary using funds appropriated under section 404H that do not exceed \$200,000 for a fiscal year--

- (1) shall ensure that certificates, to be known as 21st Century Scholar Certificates, are provided to all students participating in programs under this chapter; and
- (2) may as practicable, ensure that such certificates are provided to all students in grades 6 through 12 who attend schools at which at least 50 percent of the students enrolled are eligible for a free or reduced price lunch under the National School Lunch Act.

(b) INFORMATION REQUIRED – A 21st Century Scholar Certificate shall be personalized for each student and indicate the amount of Federal financial aid for college which a student may be eligible to receive.

SEC. 404G. EVALUATION AND REPORT.

(a) EVALUATION – Each eligible entity receiving a grant under this chapter shall biennially evaluate the activities assisted under this chapter in accordance with the standards described in subsection (b) and shall submit to the Secretary a copy of such evaluation. The evaluation shall permit service providers to track eligible student progress during the period such students are participating in the activities and shall be consistent with the standards developed by the Secretary pursuant to subsection (b).

(b) EVALUATION STANDARDS – The Secretary shall prescribe standards for the evaluation described in subsection (a). Such standards shall—

- (1) provide for input from eligible entities and service providers; and
- (2) ensure that data protocols and procedures are consistent and uniform.

(c) FEDERAL EVALUATION – In order to evaluate and improve the impact of the activities assisted under this chapter, the Secretary shall, from not more than 0.75 percent of the funds appropriated under section 404H for a fiscal year, award one or more grants, contracts, or cooperative agreements to or with public and private institutions and organizations, to enable the institutions and organizations to evaluate the effectiveness of the program and, as appropriate, disseminate the results of the evaluation.

(d) REPORT – The Secretary shall biennially report to Congress regarding the activities assisted under this chapter and the evaluation conducted pursuant to this section.

SEC. 404H. AUTHORIZATION OF APPROPRIATIONS.

There are authorized to be appropriated to carry out this chapter \$200,000,000 for fiscal year 1999 and such sums as may be necessary for each of the 4 succeeding fiscal years.

GEAR UP PROGRAM REGULATIONS

U.S. DEPARTMENT OF EDUCATION OFFICE OF POSTSECONDARY EDUCATION PART 694 -- GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS (GEAR UP)

Sec.

[694.1](#) What is the maximum amount that the Secretary may award each fiscal year to a Partnership or a State under this program?

[694.2](#) Which students must a Partnership, or a State that chooses to use the cohort approach in its project, serve under the program's early intervention component?

[694.3](#) What are the requirements for a cohort?

[694.4](#) Which students must a State or Partnership serve when there are changes in the cohort?

[694.5](#) What requirements must be met by a Partnership or State that chooses to provide services to private school students under the program's early intervention component?

[694.6](#) Who may provide GEAR UP services to students attending private schools?

[694.7](#) What are the matching requirements for a GEAR UP Partnership?

[694.8](#) What are the requirements that a Partnership must meet in designating a fiscal agent for its project under this program?

[694.9](#) What is the maximum indirect cost rate for an agency of a State or local government?

[694.10](#) What are the requirements for awards under the program's scholarship component under section 404E of the HEA?

[694.11](#) Under what conditions may a Partnership that does not participate in the GEAR UP scholarship component under section 404E of the HEA provide financial assistance for postsecondary education to students under the GEAR UP early intervention component?

[694.12](#) How does a State determine which State agency will apply for, and administer, a State grant under this program?

[694.13](#) What requirements must be met by a Partnership or State participating in GEAR UP with respect to 21st Century Scholarship Certificates?

[694.14](#) What requirements apply to a State that served students under the National Early Intervention Scholarship and Partnership program (NEISP) and that receives a GEAR UP grant?

[694.15](#) What priorities may the Secretary establish for a GEAR UP grant?

Authority: 20 U.S.C. 1070a-21 to 1070a-28.

Source: [65 FR 24760](#), Apr. 27, 2000, unless otherwise noted.

§694.1 What is the maximum amount that the Secretary may award each fiscal year to a Partnership or a State under this program?

(a) *Partnership grants.* The maximum amount that the Secretary may award each fiscal year for a GEAR UP Partnership grant is calculated by multiplying --

(1) \$800; by

(2) The number of students the Partnership proposes to serve that year, as stated in the Partnership's plan.

(b) *State grants.* The Secretary establishes the maximum amount that may be awarded each fiscal year for a GEAR UP State grant in a notice published in the FEDERAL REGISTER. (Authority: 20 U.S.C. 1070a-23)

§694.2 Which students must a Partnership, or a State that chooses to use the cohort approach in its project, serve under the program's early intervention component?

A Partnership, or a State that chooses to use a cohort approach in its GEAR UP early intervention component, must, except as provided in §694.4 --

- (a) Provide services to at least one entire grade level (cohort) of students (subject to §694.3(b)) beginning not later than the 7th grade;
- (b) Ensure that supplemental appropriate services are targeted to the students with the greatest needs; and
- (c) Ensure that services are provided through the 12th grade to those students. (Authority: 20 U.S.C. 1070a-22)

§694.3 What are the requirements for a cohort?

- (a) *In general.* Each cohort to be served by a Partnership or State must be from a participating school --
 - (1) That has a 7th grade; and
 - (2) In which at least 50 percent of the students are eligible for free or reduced-price lunch under the National School Lunch Act; or
- (b) *Public housing exception.* If the Partnership or State determines it would promote program effectiveness, a cohort may consist of all of the students in a particular grade level at one or more participating schools who reside in public housing, as defined in section 3(b)(1) of the United States Housing Act of 1937. (Authority: 20 U.S.C. 1070a-22)

§694.4 Which students must a State or Partnership serve when there are changes in the cohort?

- (a) *At the school where the cohort began.* A Partnership or State must serve, as part of the cohort, any additional students who --
 - (1) Are at the grade level of the students in the cohort; and
 - (2) Begin attending the participating school at which the cohort began to receive GEAR UP services.
- (b) *At a subsequent participating school.* If not all of the students in the cohort attend the same school after the cohort completes the last grade level offered by the school at which the cohort began to receive GEAR UP services, a Partnership or a State --
 - (1) May continue to provide GEAR UP services to all students in the cohort; and
 - (2) Must continue to provide GEAR UP services to at least those students in the cohort that attend participating schools that enroll a substantial majority of the students in the cohort. (Authority: 20 U.S.C. 1070-a22)

§694.5 What requirements must be met by a Partnership or State that chooses to provide services to private school students under the program's early intervention component?

- (a) *Secular, neutral, and nonideological services or benefits.* Educational services or other benefits, including materials and equipment, provided under GEAR UP by a Partnership or State that chooses to provide those services or benefits to students attending private schools, must be secular, neutral, and nonideological.
- (b) *Control of funds.* In the case of a Partnership or State that chooses to provide services under GEAR UP to students attending private schools, the fiscal agent (in the case of a Partnership) or a State agency (in the case of a State) must --

- (1) Control the funds used to provide services under GEAR UP to those students;
- (2) Hold title to materials, equipment, and property purchased with GEAR UP funds for GEAR UP program uses and purposes related to those students; and
- (3) Administer those GEAR UP funds and property. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

§694.6 Who may provide GEAR UP services to students attending private schools?

(a) GEAR UP services to students attending private schools must be provided --

(1) By employees of a public agency; or

(2) Through contract by the public agency with an individual, association, agency, or organization.

(b) In providing GEAR UP services to students attending private schools, the employee, individual, association, agency, or organization must be independent of the private school that the students attend, and of any religious organization affiliated with the school, and that employment or contract must be under the control and supervision of the public agency.

(c) Federal funds used to provide GEAR UP services to students attending private schools may not be commingled with non-Federal funds. (Authority: 1070a-21 to 1070a-28)

§694.7 What are the matching requirements for a GEAR UP Partnership?

(a) *In general.* A Partnership must --

(1) State in its application the percentage of the cost of the GEAR UP project the Partnership will provide for each year from non-Federal funds, subject to the requirements in paragraph (b) of this section; and

(2) Comply with the matching percentage stated in its application for each year of the project period.

(b) *Matching requirements.* (1) Except as provided in paragraph (b)(2) of this section, the non-Federal share of the cost of the GEAR UP project must be not less than 50 percent of the total cost over the project period.

(2) A Partnership that has three or fewer institutions of higher education as members may provide less than 50 percent, but not less than 30 percent, of the total cost over the project period if it includes --

(i) A fiscal agent that is eligible to receive funds under Title V, or Part B of Title III, or section 316 or 317 of the HEA, or a local educational agency;

(ii) Only participating schools with a 7th grade in which at least 75 percent of the students are eligible for free or reduced-price lunch under the National School Lunch Act; and

(iii) Only local educational agencies in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch under the National School Lunch Act.

(3) The non-Federal share of the cost of a GEAR UP project may be provided in cash or in-kind. (Authority: 20 U.S.C. 1070a-23)

§694.8 What are the requirements that a Partnership must meet in designating a fiscal agent for its project under this program?

Although any member of a Partnership may organize the project, a Partnership must designate as the fiscal agent for its project under GEAR UP --

- (a) A local educational agency; or
- (b) An institution of higher education that is not pervasively sectarian. (Authority: 20 U.S.C. 1070a-22)

§694.9 What is the maximum indirect cost rate for an agency of a State or local government?

Notwithstanding 34 CFR 75.560-75.562 and 34 CFR 80.22, the maximum indirect cost rate that an agency of a State or local government receiving funds under GEAR UP may use to charge indirect costs to these funds is the lesser of

- (a) The rate established by the negotiated indirect cost agreement; or
- (b) Eight percent of a modified total direct cost base. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

§694.10 What are the requirements for awards under the program's scholarship component under section 404E of the HEA?

(a) *Amount of scholarship.* (1) Except as provided in paragraph (a)(2) of this section, the amount of a scholarship awarded under section 404E of the HEA must be at least the lesser of --

- (i) 75 percent of the average cost of attendance, as determined under section 472 of the HEA, for in-State students in 4-year programs of instruction at public institutions of higher education in the State; or
- (ii) The maximum Federal Pell Grant award funded for the award year in which the scholarship will be awarded.

(2) If a student who is awarded a GEAR UP scholarship attends an institution on a less than full-time basis during any award year, the State or Partnership awarding the GEAR UP scholarship may reduce the scholarship amount, but in no case shall the percentage reduction in the scholarship be greater than the percentage reduction in tuition and fees charged to that student.

(b) *Pell Grant recipient priority.* A State, or a Partnership that chooses to participate in the scholarship component under section 404E of the HEA in its GEAR UP project --

- (1) Must award GEAR UP scholarships first to students who will receive, or are eligible to receive, a Federal Pell Grant during the award year in which the GEAR UP scholarship is being awarded and who are eligible for a GEAR UP scholarship under the eligibility requirements in section 404E(d) of the HEA; and
- (2) May, if GEAR UP scholarship funds remain after awarding scholarships to students under paragraph (b)(1) of this section, award GEAR UP scholarships to other eligible students (who will not receive a Federal Pell Grant) after considering the need of those students for GEAR UP scholarships.

(c) *Cost of attendance.* A GEAR UP scholarship, in combination with other student financial assistance awarded under any title IV HEA program and any other grant or scholarship assistance, may not exceed the student's cost of attendance.

(d) *Continuation scholarships.* A State, or a Partnership that chooses to participate in the scholarship component in accordance with section 404E of the HEA in its GEAR UP project, must award continuation scholarships in successive award years to each student who received an initial scholarship and who continues to be eligible for a scholarship.

(e) *Other grant assistance.* A GEAR UP scholarship may not be considered in the determination of a student's eligibility for other grant assistance provided under title IV of the HEA. (Authority: 20 U.S.C. 1070a-25)

[65 FR 24760, Apr. 27, 2000, as amended at 67 FR 67083, Nov. 1, 2002]

§694.11 Under what conditions may a Partnership that does not participate in the GEAR UP scholarship component under section 404E of the HEA provide financial assistance for postsecondary education to students under the GEAR UP early intervention component?

A GEAR UP Partnership that does not participate in the GEAR UP scholarship component may provide financial assistance for postsecondary education, either with funds under this chapter, (Under Chapter 2 of subpart 2 of Part A of Title IV of the HEA,) or with non-Federal funds used to comply with the matching requirement, to students who participate in the early intervention component of GEAR UP if --

(a) The financial assistance is directly related to, and in support of, other activities of the Partnership under the early intervention component of GEAR UP; and

(b) It complies with the requirements in §694.10. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

§694.12 How does a State determine which State agency will apply for, and administer, a State grant under this program?

The Governor of a State must designate which State agency applies for, and administers, a State grant under GEAR UP. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

§694.13 What requirements must be met by a Partnership or State participating in GEAR UP with respect to 21st Century Scholarship Certificates?

(a) A State or Partnership must provide, in accordance with procedures the Secretary may specify, a 21st Century Scholar Certificate from the Secretary to each student participating in the early intervention component of its GEAR UP project.

(b) 21st Century Scholarship Certificates must be personalized and indicate the amount of Federal financial aid for college that a student may be eligible to receive. (Authority: 20 U.S.C. 1070a-26)

§694.14 What requirements apply to a State that served students under the National Early Intervention Scholarship and Partnership program (NEISP) and that receives a GEAR UP grant?

Any State that receives a grant under this part and that served students under the NEISP program on October 6, 1998 must continue to provide services under this part to those students until they complete secondary school. (Authority: 20 U.S.C. 1070a-21)

§694.15 What priorities may the Secretary establish for a GEAR UP grant?

For any fiscal year, the Secretary may select one or more of the following priorities:

(a) Projects by Partnerships or States that serve a substantial number or percentage of students who reside, or attend a school, in an Empowerment Zone, including a Supplemental Empowerment Zone, or Enterprise Community designated by the U.S. Department of Housing and Urban Development or the U.S. Department of Agriculture.

(b) Partnerships that establish or maintain a financial assistance program that awards scholarships to students, either in accordance with section 404E of the HEA, or in accordance with §694.11, to strengthen the early intervention component of its GEAR UP project. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

GEAR UP STATE GRANTS PROGRAM OVERVIEW

Legislative Authority:

Title IV, Sections 404A-404H, of the Higher Education Act of 1965, as amended.

Purpose:

The GEAR UP program is a discretionary grant program designed to significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education. GEAR UP provides six-year grants to states to provide services at high-poverty middle and high schools. GEAR UP grantees serve an entire cohort of students beginning no later than the seventh grade and follow the cohort through high school. GEAR UP funds are also used to provide college scholarships to low-income students.

Description of the GEAR UP State Grant Program:

State GEAR UP grants are competitive six-year matching grants that must include both an *early intervention component* and a *scholarship component*. Under the early intervention component, the project will provide early college awareness and preparation activities for participating students and their parents through comprehensive mentoring, counseling, outreach, and support services. Under the scholarship component, the project will establish or maintain a financial assistance program that awards scholarships to eligible students so that they may attend institutions of higher education.

Size of Awards:

The maximum Federal award for State grants awarded in FY 2008 is \$3.0 million. There is no minimum award.

Out Year Costs:

Partnership and State grants originally funded with FY 2008 funds will receive level funding in the out years based on approved funding for the first year award. For example, if a grantee requests \$100,000 of funding in year 1 of the grant and that amount is approved, the grantee will receive \$100,000 of Federal funding for years 2 through 6 of the grant.

Requirement for Matching of Federal Funds:

Successful applicants are required to match the Federal contribution dollar-for-dollar, that is, the non-Federal contribution must equal at least 50 percent of the total six-year project cost. This non-Federal match may be met through cash or in-kind contributions and cannot be waived. *Please note that funded applicants will be held to the matching commitment proposed in the application for funding, even if the proposed match is higher than the percent required by statute.* No points will be awarded for match exceeding the 50 percent level required by statute. Readers will look for projects in which the budgets are sufficient to provide the services proposed in their applications, projects in which the partners have a demonstrated commitment to

the project, and projects in which there is potential support for the project after Federal funding ends. We are more interested in strong demonstrated commitment at a level that is sustainable over time than larger commitments of match that are less likely to be realized or sustained.

Matching contributions may be made from any non-Federal source, and must be documented in accordance with relevant Office of Management and Budget (OMB) Circulars and EDGAR, 74.23 and 80.24 as applicable. Documentation of matching contributions must contain adequate source documentation for the claimed cost sharing, provide clear valuation of in-kind matching, and provide support of cost-sharing by grant partners. Grantees are required to value in-kind contributions in accordance with relevant OMB circulars and EDGAR, 74.23 and 80.24 as applicable. In most cases, grantees must value in-kind contributions of facilities and equipment using depreciation rather than fair market value.

Eligibility:

The governor of each state may designate only one agency to apply for and administer a GEAR UP State grant, though states are encouraged to ensure strong collaboration between K-12 and higher education agencies and may choose to have more than one entity deliver the services. College preparation and awareness activities may be provided by service providers such as community-based organizations, schools, institutions of higher education, public and private agencies, nonprofit and philanthropic organizations, faith-based organizations, businesses, institutions, and other organizations the state may deem appropriate.

Required Elements of a GEAR UP State Grant:

STATE GRANTS MUST INCLUDE:

- *An early intervention component*, including early college awareness and preparation activities through comprehensive mentoring, counseling, outreach, and supportive services, academic counseling and support; and
- *A scholarship component*, which establishes or maintains a financial assistance program of renewable scholarships for eligible GEAR UP students.

Under this grant, states are required to:

- Spend at least 25 percent and not more than 50 percent of their grant funds on the early college awareness and preparation component of their program;
- Spend at least 50 percent of their State grant funds on the scholarship component. *The Secretary may waive this percentage requirement if the grantee demonstrates that it has another means of providing financial assistance to students;* and
- Ensure that its activities are coordinated with other potential GEAR UP projects, serving the same school district or state, as well as with other related Federal and non-Federal programs. Applicants are encouraged to maximize the coordination of their GEAR UP project with other GEAR UP projects.

States may choose to:

- Serve priority students as defined below; or
- Serve a “cohort” of students.

States that target early intervention services to priority students must target students in preschool through 12th grade who are eligible:

1. To be counted under section 1124(c) of the Elementary and Secondary Education Act of 1965 (Title I);
2. For free or reduced-price meals under the National School Lunch Act; or
3. For assistance under Temporary Assistance for Needy Families (TANF), authorized by Title I of the Personal Responsibility and Work Opportunity.

States that opt to serve a *cohort* must provide services to *all* students in the participating grade levels at a school, rather than a selected group of students. Services must be provided to a cohort starting no later than the 7th grade and continuing through high school completion. Each cohort must include either: a) all the students in a particular grade level(s) at a participating school(s) that has a 7th grade and in which at least 50 percent of the students are eligible for free or reduced-price lunch under the National School Lunch Act; or b) all the students in a particular grade level(s) who reside in public housing, as defined in section 3(b) (1) of the United States Housing Act of 1937. State grant applicants that choose to use the cohort approach must make services available to all students in the participating “cohort” until that grade level moves on to the next school — for example, moving from middle school to high school. Not all students in a cohort will necessarily opt to take advantage of available services but services must be offered to the whole cohort. New students at the same grade level as the students in the GEAR UP cohort, who enroll in the school in which the cohort began to receive services, must be considered a part of the cohort and provided GEAR UP services as well. Those students who leave the cohort by transferring to a school that is not participating in GEAR UP, for example, may continue to receive GEAR UP services, but are not required to be served.

Once the cohort moves on to another school (for example, moving from middle school to high school), a GEAR UP project must continue to provide services to at least those students in the cohort that attend participating secondary schools that enroll a *substantial majority* of the students in the cohort. However, a GEAR UP project is not required to follow individual students who attend a high school that is not participating in the program. To fulfill the ***early intervention component*** of a GEAR UP State grant, states are required to provide early college preparation and awareness services through comprehensive mentoring, counseling — including financial aid counseling and information about opportunities for Federal financial aid and activities and information regarding fostering and improving parent involvement in preparing students for college, college admissions and achievement tests, and college application procedures — outreach, and supportive services for participating students.

States are encouraged to involve their top leadership in planning, coordinating, and implementing GEAR UP State grant projects and to give appropriate attention to the state’s academic reforms and higher academic standards. Making the issues of school reform and standards an integral part of the project’s college readiness efforts is essential. The State grant should use state, college, and university resources wisely, as part of the State grant’s project and in cooperation with partnership projects. Each participating organization in a GEAR UP State grant project will want to be clear about its particular contribution and how that contribution will coordinate with other related efforts and resources.

To fulfill the scholarship component of a State GEAR UP grant, States are required by law to provide scholarships to participating students in the following ways:

- At least 50 percent of State grant funds must be spent on the Scholarship Component. *The Secretary may waive this percentage requirement if the grantee demonstrates that it has another means of providing the students with financial assistance.*
- To receive a GEAR UP Scholarship, an eligible student must be less than 22 years of age at time of first scholarship award; have received a secondary school diploma or its recognized equivalent on or after January 1, 1993; and be enrolled or accepted for enrollment in a program of undergraduate instruction at an institution of higher education that is located within the state's boundaries. (*Exception – the state has the option of offering a “portable” scholarship program that allows the participating students to use their scholarships to attend an institution of higher education outside of their state*); and have successfully participated in the early intervention component of a GEAR UP or National Early Intervention Scholarship and Partnership (NEISP) project or have participated in a Federal TRIO Program.
- A priority must be placed on awarding scholarships to students *eligible* to receive a Federal Pell Grant for the same academic year. GEAR UP scholarships are designed to supplement, not supplant, other scholarship funding.
- Individual states may determine the maximum amount of an eligible student's scholarship but the *minimum* amount of a scholarship *must not* be less than the lesser of 75 percent of the average cost of attendance for an in-state student in a four-year program of instruction at a public institution in their state; or the maximum Federal Pell Grant for such fiscal year.
- Federal funds for scholarships must be placed in a trust fund in the year and amount specified in the GEAR UP application. These funds will then go to the benefit of GEAR UP students upon their enrollment in college.

WHAT THE STATE CAN DO

EXAMPLES OF ACTIVITIES IN THE EARLY INTERVENTION COMPONENT ARE:

Tutoring

Fundamental to supporting classroom instruction, tutoring supports commitment and incremental success vital to motivating students. While GEAR UP funds can be used to cover costs associated with tutoring, local college students and other partners, to satisfy part of the matching requirement, can also provide these services. What better way to demonstrate that college is possible than getting the extra academic support low-income middle and high school students needs one-on-one from successful college students?

Professional Development and Curriculum Improvement

GEAR UP expressly encourages the support of professional development and curriculum improvement. Strengthening subject matter knowledge and teaching skills among classroom teachers is integral to GEAR UP's mission of fostering long-term, sustainable school-wide improvements. Funds may be used for training, courses, materials, textbooks, and other professional resources to strengthen classroom instruction. Successful applicants will expressly show how professional development and curriculum improvement benefit GEAR UP student cohorts.

21st Century Scholar Certificates

All GEAR UP students will receive a 21st Century Scholar Certificate congratulating them on their commitment and reminding them that if they study hard, take challenging courses, and finish high school, they will be able to go to college. On the reverse side of the certificate will be a summary of how much Federal aid may be available to them based on income. Supplemental information will also be provided which gives further detail about the forms of available Federal financial assistance and how families can learn more about Federal financial aid programs.

The Department supplies both the 21st Century Scholar Certificates and the accompanying supplemental material. The grantee is responsible for personalizing the certificates by adding the students' names, and distributing the certificates to participating GEAR UP students. Grant funds may be used for hosting an event where families, faculty, partners, and others supporting the local Partnership are invited and students receive their certificates.

After-School and Saturday Programs

GEAR UP funds can be used to extend the school day and week by providing teachers, classrooms, and materials for after school programs. The level of emphasis on improving skills and subject knowledge, as opposed to a focus on advanced academic preparation, can vary depending on the project and should be tailored to the needs of the student cohort(s). GEAR UP funds can also be used to provide refreshments (e.g., after-school snacks) and the transportation associated with these programs, though they cannot be used for purchasing school buses and the like. Projects are encouraged to use GEAR UP funds to leverage Federal, state and local funds to supplement these programs.

Summer Programs

GEAR UP funds can support summer programs. Summer programs are sometimes designed around themes such as science and math or computer camps. When college campuses are not fully utilized in summer months, they may supply facilities and other resources for such

programs, which can be used as part of a grantee's non-Federal contribution to the project's cost. In other cases, meeting places and materials and other costs can be paid for by GEAR UP funds or supplied by matching resources from the grantee.

Mentoring

Mentoring services provide valuable opportunities to inspire GEAR UP students connecting academic work with practical application. Through mentoring, the real life benefits of studying hard and staying in school are impressed on the students by personal observation. Mentors can also provide friendship, guidance, connection to other resources, and help in resolving conflicts and problems. Incidental expenses related to mentoring and coordination and training can be paid out of grant funds. However, it is more common that grantees provide mentoring services as a matching contribution.

College Counseling

Unfortunately, it is more often the exception rather than the rule that low-income students are told, "you can go to college." Not surprisingly, they seldom see higher education in their future and as a result, fail to investigate how they may obtain a college degree. GEAR UP grants can be used in a variety of ways to support college counseling—for example, funds can be used for college fairs, nights, purchasing or printing information kits, and underwriting visits to college campuses. In short, GEAR UP grants can support nearly any reasonable approach to inform and counsel students on what they must do to prepare for college.

Financial Counseling

Research indicates that low-income families often overestimate the cost of higher education. When college is perceived as unaffordable, there is little attempt to learn about college cost or the numerous forms of financial assistance that help students pay for college. Research also shows that communicating with and engaging families in their children's education is a critical step in getting students on the pathway to college. GEAR UP grants can be used to provide the tools needed to reach out and communicate effectively with families about the real costs of college. GEAR UP can fund parent education programs and materials. Previous GEAR UP grantees have found that parental engagement is one of the most difficult aspects of administering a GEAR UP grant. Applicants should consider how to best reach their individual populations. Strategies could include visiting families at home, events to attract parents, taking parents on college visits, and other activities.

Scholarships

Scholarships are required for GEAR UP State grants. Scholarships can serve multiple GEAR UP objectives. Most important is providing tangible resources to ensure that after graduating from high school, students will have the resources to go to college. Depending on how the program structures scholarships, they can also be valuable tools for motivating students by rewarding progress and providing incentives for students to persist.

Develop Matching Commitments

Federal funds shall provide not more than 50 percent of the total cost of any project funded by a grant under this program. There is no waiver for state matching requirements.

The non-Federal share of project costs may be in cash or in kind, including services, supplies, facilities use or equipment.

This grant program encourages the leveraging of grantee resources, and investments and contributions from the private and public sectors. Subject to some exceptions, the total of non-Federal commitments made by states and local partnership members and the value of private sector investments and donations may be included in the match. It is particularly important that these matching commitments contribute to the long-term sustainability of the project after the grant's funding ends.

In determining the adequacy of resources under the selection criteria for grants, applications will be evaluated on the relevance and demonstrated commitment of each partner in the proposed project and the potential for continued support of the project after Federal funding ends.

Please note that funded applicants will be held to the matching commitment proposed in the application for funding, even if the proposed match is higher than the percentage required by statute. No points will be awarded for match exceeding the 50 percent (dollar-for-dollar) level required by statute. Readers will look for projects in which the budgets are sufficient to provide the services proposed in their applications, projects in which the partners have a demonstrated commitment to the project, and projects in which there is potential support for the project after Federal funding ends. We are more interested in strong demonstrated commitment at a level that is sustainable over time than larger commitments of match that are less likely to be realized or sustained.

Indirect Costs

Consistent with section 75.562 of EDGAR, all grant recipients are limited to a maximum indirect cost rate of eight percent of a modified total direct cost base or the amount permitted by its negotiated indirect cost rate agreement, whichever is less. Notwithstanding 34 CFR 75.560-75.562 and 34 CFR 80.22, the maximum indirect cost rate that an agency of a state or local government receiving funds under GEAR UP may use to charge indirect costs to these funds is the lesser of (a) the rate established by the negotiated indirect cost agreement; or (b) eight percent of a modified total direct cost base. (Authority: 20 U.S.C. 1070a-21 to 1070a-28). Unrecovered indirect costs cannot be used to fulfill non-Federal matching requirements.

Participate in Conferences and Technical Assistance Workshops

It is essential for grantees to collaborate, together and with others, on strategies for improving the academic experiences of low-income students. To achieve this objective, applicants should plan and budget for attendance at annual conferences and workshops, in the event that they are awarded a grant. Each trip will be for four days for up to six persons paid for out of GEAR UP funds (Federal and/or non-Federal). Grantees may also make prudent use of grant funds to participate in other conferences during the year, if these activities will contribute to their efforts to prepare GEAR UP students for college and help inform parents about the cost of college and student financial assistance. *Before using GEAR UP Federal or matching funds to attend conferences not sponsored or co-sponsored by the U.S. Department of Education, grantees must obtain approval from their program officer at the U.S. Department of Education.*

Evaluation of Project Performance

Your application must explain your GEAR UP project's overall objectives. These objectives must be clear and measurable, and be outcomes-oriented (i.e., related to achieving specific, desirable results of your GEAR UP services for participants) rather than process-oriented. The activities that you propose to implement for students, parents, and teachers must be linked to the objectives you are aiming to achieve.

Each year, successful applicants will be required to submit to the Department an annual performance report that includes evidence of progress in meeting the project's objectives and program's objectives which are:

Objective 1: Increase the academic performance and preparation for post-secondary education for GEAR UP students.

Objective 2: Increase the rate of high school graduation and participation in post-secondary education for GEAR UP students.

Objective 3: Increase GEAR UP students' and their families' knowledge of post-secondary education options, preparation and financing.

Therefore, if you are chosen as a GEAR UP grantee, you will be required to consistently collect, analyze, and report on the participation and outcome data that enables the Department to verify that your GEAR UP project is accomplishing the proposed objectives during each year.

In this application, you need to report on each of your project objectives and associated **performance measures** for each of those objectives. (Note: there can be multiple performance measures tied to each project objective).

Your performance measures should include the following:

1. Government Performance and Results Act of 1993 (GPRA) measures, which are related to GEAR UP's performance indicators that are published in this application. (Please refer to the GEAR UP GPRA Performance Indicators for these measures.) These indicators include students' completion of courses such as Pre Algebra by the end of seventh grade, students' completion of Algebra I by the end of ninth grade, and students' and parents' knowledge of necessary academic preparation for college. An example of a performance measure related to a GPRA indicator would be "Increase the percentage of GEAR UP students who have completed Algebra I by ninth grade by 10 percentage points each year of the project."
2. Program measures, which are additional performance measures the GEAR UP program office has established that are aligned with the GEAR UP statute and program goals. These specific measures are (a) average daily attendance at the GEAR UP schools, (b) percentages of GEAR UP students promoted on time to successive grade levels, and (c) students' education aspirations/expectations (i.e., percentages of GEAR UP students who expect to graduate from high school). An example of a program performance measure could be "Each project year, at least 95 percent of GEAR UP students will be promoted to the next grade level on time."

3. Project-specific measures, which are performance measures in addition to those mentioned above that you establish and include in your GEAR UP application. These measures can relate to, for instance, academic factors such as grade point averages or standardized test scores. An example of a project-specific performance measure could be “Increase the average percentile rank of GEAR UP students’ math scores by 5 points each year.”

In addition to reporting the specific performance measures for each of your objectives, your application must show the **targets** you have set for each of those measures. Targets must be set for each of the six years of your GEAR UP project. Please note that these targets are set **after** you have collected baseline data on the performance measures. If you have already collected baseline data on any of the performance measures (e.g., baseline data such as the 2006-07 average daily attendance of seventh graders in the middle school you propose to serve in your GEAR UP project) and included these data in this application, please set targets for each year of your GEAR UP project on those specific performance measures and include them in your application as well. If you have **not** included baseline data for each performance measure in your application, then baseline data should be collected during the first year of the project (on those specific measures). Once the baseline data are obtained for a particular measure, targets for that measure can then be set for the second and subsequent years of the project.

Each year, when you submit your annual performance report, Department of Education GEAR UP staff will compare the target you have established for each performance measure to the actual performance data.

SELECTION CRITERIA FOR STATE GRANTS

The Secretary considers six criteria drawn from the Education Department General Administrative Regulations (EDGAR): (1) the need for the project; (2) the quality of project services; (3) the quality of project personnel; (4) the quality of the management plan; (5) the quality of the project evaluation; and (6) the adequacy of project resources. The Secretary evaluates each criterion equally and, within each criterion, each factors equally.

1. NEED FOR THE PROJECT (15 POINTS):

In determining the need for the proposed project, the Secretary considers the following factors:

- The magnitude or severity of the problem to be addressed by the proposed project; and
- The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

2. QUALITY OF PROJECT SERVICES (20 POINTS):

In determining the quality of project services provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers the following factors:

- The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services;
- The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practices;
- The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services; and
- The long-term and systemic effects of the services to be provided by the proposed project on the intended recipients of those services.

3. QUALITY OF PROJECT PERSONNEL (15 POINTS):

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability. In addition, the Secretary considers the following factors:

- The qualifications, including relevant training and experience, of the project director or principal investigator, and
- The qualifications, including relevant training and experience, of key personnel.

4. QUALITY OF THE MANAGEMENT PLAN (15 POINTS):

In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

- The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;
- The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project;
- The extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project; and
- How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

5. QUALITY OF THE PROJECT EVALUATION (20 POINTS):

In determining the quality of the project evaluation, the Secretary considers the following factors:

- The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and
- The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

6. ADEQUACY OF RESOURCES (15 POINTS):

In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

- The adequacy of support, including facilities, equipment, supplies and other resources, from the applicant organization or the lead applicant organization;
- The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;
- The extent to which the costs are reasonable in relation to the number of persons to be served and the anticipated results and benefits; and
- The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

The GEAR UP application consists of three parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

Part I: 424 Forms

Application for Federal Assistance – (SF424)
Department of Education Supplemental Information Form for SF424

***Notes:**

- Applicants must complete the SF 424 form first because some of the information you provide here is automatically inserted into other sections of the Grants.gov application package.
- Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although the form accepts attachments, the Department of Education will only review materials/files attached to the forms listed below.

Part II: Attachments

ED Abstract Form
Project Narrative Attachment Form
Other Attachments Form

The Department of Education Abstract Form is where you attach your project abstract.

The Project Narrative Attachment Form is where you address the selection criteria that reviewers use to evaluate your application. As a guide for reviewers, applicants are encouraged to label each section in the narrative by its associated criterion. **You must limit the project narrative to no more than 40 double-spaced pages. Applications that exceed the page limit will not be considered for funding and will be returned to the applicant.** A page is 8.5 inches by 11 inches, on one side only, with 1-inch margins at the top, bottom, and both sides. Double space all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures and graphs. Use a font that is 12 point or larger. The page limits do not apply to the Budget Summary Form and Narrative; other application forms attached in the “Other Attachments Form” section; or the assurances and certifications. We will reject your application if you do not apply these standards and exceed the page limit.

The “Other Attachments Form” is where you attach curricula vitae of key personnel, position descriptions for proposed personnel for the project, Students to be Served Form, Budget Summary Form, Detailed Budget Narrative, Applicant Organization Identification Form and Cost Share Worksheet, Partner Identification Form and Cost Share Worksheet (for each partner), Waiver Request (if applicable), Governor’s Letter, and Documentation of Student Eligibility for Free & Reduced-Priced Lunch.

Applicants should copy and paste these forms from this document (the application package) into Microsoft Word and save the new documents (separate files) as either a .DOC (document) .RTF (rich text) or .PDF (Portable Document) file in landscape format. These forms can be found in the “FORMS” section of the application package. **DO NOT MODIFY OR CHANGE THE CONTENTS IN ANY WAY.** Once the forms have been completed, the applicant must attach the documents (separate files) to the “Other Attachments Form” in the Grants.gov system.

Please note there is no specific form or format for the Detailed Budget Narrative and Documentation of Student Eligibility for Free & Reduced-Priced Lunch. This information also has to be saved as a Microsoft Word document, per instructions above, and attached (separate files) to the “Other Attachments Form” in the Grants.gov system.

Part III: Assurances, Certifications, and Survey Forms

GEPA Section 427 Requirement
Assurances – Non-Construction Programs (SF 424B)
Grants.gov Lobbying Form (formerly ED Form 80-0013)
Disclosure of Lobbying Activities (SF-LLL)
Survey on Ensuring Equal Opportunity for Applicants

APPLICATION FORMS/INSTRUCTIONS

GEPA SECTION 427 REQUIREMENT: Section 427 of the General Education Provisions Act (GEPA) requires each applicant to include in its application a description of proposed steps to ensure equitable access to, and participation in, its Federally-assisted program. The statute, which allows applicants discretion in developing the required description, highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. You may use local circumstances to determine the extent to which these or other barriers prevent equitable participation by students, teachers, parents or other community members. Your description need not be lengthy, but it should include a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances, and it should support the discussion of similar issues in the narrative section of the application.

STANDARD FORM 424B, ASSURANCES-NON-CONSTRUCTION PROGRAM:

Applicants should read each section of the form to determine which of the assurances apply to their project.

GRANTS.GOV LOBBYING FORM (ED 80-0013): Applicants should refer to the regulations cited in each section of the form to determine the certification to which they are required to attest.

DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL): Applicants should read the accompanying directions before filling out this form.

APPLICANT ORGANIZATION IDENTIFICATION FORM AND COST SHARE

WORKSHEET: The support, contribution, and commitment of the partner serving as the grant Applicant should be described clearly within the narrative. Additionally, the Applicant Organization Identification Form and Cost Share Worksheet, which clearly documents the role and contribution of the Partnership's Applicant Organization, must be attached in the "Other Attachments Form" section of the Grants.gov system.

PARTNER IDENTIFICATION FORM AND COST SHARE WORKSHEET: The support, contributions, and commitment of each partner should be described clearly within the narrative. Additionally, a Partner Identification Form and Cost Share Worksheet for each member of the partnership, other than the lead partner, which clearly documents the role and contribution of each partner, must be attached in the "Other Attachments Forms" section of the Grants.gov system. The total of the contributions on each of the Cost Share Worksheets should equal the total matching dollars on the Project Budget Summary Form.

STUDENTS TO BE SERVED: This form presents an outline of the proposed cohort of students to be served during the 6-year performance period.

BUDGET SUMMARY FORM AND NARRATIVE: This form presents a complete budget summary for each year of grant funding. Please provide a narrative for this budget by including, *for each year*, a narrative for each budget line item, which explains: (1) the basis for estimating the costs of professional personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any projected expenditures; (2) how the major

cost items relate to the proposed activities; and (3) the costs of evaluation. Please include travel funds to attend annual conferences and workshops. Each trip will be for four days for up to six persons paid for out of project funds. At these meetings, each grant recipient will have an opportunity to strengthen its efforts by collaborating with other grantees funded in this program and receive technical assistance from U.S. Department of Education personnel. Applicants are reminded that GEAR UP funds must be used to supplement, not supplant, funds for existing programs.

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS: Applicants should read the accompanying directions before filling out this form.

Application Transmittal Instructions

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

This program requires the electronic submission of applications; specific requirements and waiver instructions can be found in the Federal Register notice.

According to the instructions found in the Federal Register notice, those requesting and qualifying for an exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, D.C. time) on or before the application deadline date.

If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application. For more information on using Grants.gov, please refer to the “Notice Inviting Applications” that was published in the Federal Register, or visit <http://www.grants.gov>.

Applications Delivered by Mail

You must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education
Application Control Center
Attention: (CFDA Number - 84.334A or 84.334S)
400 Maryland Avenue, S.W.
Washington, DC 20202 – 4260**

You must show one of the following as proof of mailing:

1. A legibly dated U. S. Postal Service Postmark
2. A legible mail receipt with the date of mailing stamped by the U. S. Postal Service
3. A dated shipping label, invoice, or receipt from a commercial carrier
4. Any other proof of mailing acceptable to the U. S. Secretary of Education

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

1. A private metered postmark, or
2. A mail receipt that is not dated by the U.S. Postal Services

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Special Note: Due to potential disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Delivered by Mail,” then follow the instructions for “Applications Delivered by Hand.”

Applications Delivered by Commercial Carrier:

If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the instructions under the appropriate delivery method.

You must mail the original and two copies of your application on or before the application deadline date to:

**U.S. Department of Education
Application Control Center – Stop 4260
Attention: (CFDA Number - 84.334A or 84.334S)
7100 Old Landover Road
Landover, MD 20785-1506**

Applications Delivered by Hand

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date to the following address:

**U.S. Department of Education
Application Control Center
Attention: (CFDA Number - 84.334A or 84.334S)
550 12th Street, SW
Potomac Center Plaza – Room 7067
Washington, D.C. 20202 – 4260**

Application Control Center Hours of Operation

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and Federal holidays.

Grant application Receipt From the Application Control Center

If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you.

If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

Late Applications

If your application is late, we will notify you that we will not consider the application.

Notification of Award

Applicants will be notified on or around July 30, 2008 whether their application is being funded.

Assurances and Certifications

Applications selected for funding will be required to not just submit assurances and certifications [i.e., Certifications Regarding Lobbying Form; Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, Standard Form 424B (Assurances-Non-Construction Programs), and Standard Form LLL (Disclosure of Lobbying Activities)] but sign them as well before an award is made.

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that

**Failure to meet a deadline will mean that an applicant will be rejected
without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulations and implementing ED Procurement Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracting Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 8 '92 REPLACES ED FORM 5348, 6 '86, WHICH IS OBSOLETE

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372.

Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. You can find a list of the Single Point of Contact for each State at

<http://www.whitehouse.gov/omb/grants/spoc.html>.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102).

Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS
AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED
APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

NOTICE TO ALL APPLICANTS:

The Government Performance and Results Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2007-2012. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

Goal 1: Increase student achievement, reward qualified teachers, and renew troubled schools so that every student can read and do math at grade level by 2014, as called for by the No Child Left Behind Act.

Goal 2: Encourage more rigorous and advanced coursework to improve the academic performance of our middle and high school students.

Goal 3: Work with colleges and universities to improve access, affordability, and accountability, so that our higher education system remains the world's finest.

What are the Performance Indicators for the GEAR UP Program?

The Department's specific goal for the GEAR UP Program is: "to significantly increase the number of low-income students who are prepared to enter and succeed in post-secondary education."

Objective 1: Increase the academic performance and preparation for post-secondary education of GEAR UP students.

Objective 2: Increase the rate of high school graduation and participation in post-secondary education for GEAR UP students.

Objective 3: Increase GEAR UP students' and their families' knowledge of post-secondary education options, preparation and financing.

OPE: Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR-UP)

HEA Title IV, Part A-2, Chapter 2

FY2006

CFDA Numbers: 84.334 - Gaining Early Awareness and Readiness for Undergraduate Programs
 84.334A - GEAR-UP Partnership Grants
 84.334S - GEAR-UP State Grants

Program Goal: To significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education.

Objective 8.1 of 3: Increase the academic performance and preparation for postsecondary education of GEAR UP students.

Indicator 8.1.1 of 1: Completion of academically challenging curricula: The percentage of GEAR UP students who passed prealgebra by the end of the 7th grade and Algebra 1 by the end of the 9th grade.

Targets and Performance Data	Assessment of Progress	Sources and Data Quality																																												
<p><i>The percentage of GEAR UP students who passed prealgebra by the end of the 7th grade and the percentage of GEAR UP students who passed Algebra 1 by the end of the 9th grade.</i></p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th rowspan="2" style="width: 10%;">Year</th> <th colspan="2" style="width: 40%;">Actual Performance</th> <th colspan="2" style="width: 50%;">Performance Targets</th> </tr> <tr> <th style="width: 15%;">Prealgebra</th> <th style="width: 25%;">Algebra 1</th> <th style="width: 15%;">Prealgebra</th> <th style="width: 15%;">Algebra 1</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">2001</td> <td style="text-align: center;">18</td> <td></td> <td></td> <td></td> </tr> <tr> <td style="text-align: center;">2002</td> <td style="text-align: center;">18</td> <td></td> <td></td> <td></td> </tr> <tr> <td style="text-align: center;">2003</td> <td style="text-align: center;">22</td> <td style="text-align: center;">30</td> <td style="text-align: center;">19</td> <td style="text-align: center;">19</td> </tr> <tr> <td style="text-align: center;">2004</td> <td style="text-align: center;">29</td> <td style="text-align: center;">21</td> <td style="text-align: center;">20</td> <td style="text-align: center;">20</td> </tr> <tr> <td style="text-align: center;">2005</td> <td></td> <td></td> <td style="text-align: center;">25</td> <td style="text-align: center;">50</td> </tr> <tr> <td style="text-align: center;">2006</td> <td></td> <td></td> <td style="text-align: center;">30</td> <td style="text-align: center;">22</td> </tr> <tr> <td style="text-align: center;">2007</td> <td></td> <td></td> <td style="text-align: center;">35</td> <td style="text-align: center;">23</td> </tr> </tbody> </table>	Year	Actual Performance		Performance Targets		Prealgebra	Algebra 1	Prealgebra	Algebra 1	2001	18				2002	18				2003	22	30	19	19	2004	29	21	20	20	2005			25	50	2006			30	22	2007			35	23	<p>Explanation: Historical performance data through 2002 show the percentages of GEAR UP students who were enrolled in prealgebra by the end of the 7th grade. Data for 2003 reflect the percentage of GEAR UP students who were enrolled in prealgebra by the end of the 7th grade and in Algebra 1 by the end of the 9th grade. Data beginning in 2004 are collected on successful completion of core academic subjects and other college preparatory courses. Standards to enter and complete above grade-level math courses (such as prealgebra and Algebra I for 7th graders) are becoming more rigorous. This practice may limit the percentage of students in many schools served by GEAR UP who are entering and completing such courses. Data for each year were obtained from the GEAR UP annual performance reports. For example: data for year 2004 were obtained from the GEAR UP Annual Performance Report covering April 2003 - March 2004.</p>	<p>Additional Source Information: Annual program performance reports and program evaluation study.</p> <p>Frequency: Annually.</p> <p>Collection Period: 2004 - 2005</p> <p>Data Available: December 2005</p> <p>Validated By: No Formal Verification. GEAR UP staff review performance report data for quality, clarity, and consistency and to assess extent to which project objectives are being accomplished.</p>
Year		Actual Performance		Performance Targets																																										
	Prealgebra	Algebra 1	Prealgebra	Algebra 1																																										
2001	18																																													
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2007			35	23																																										

Objective 8.2 of 3: Increase the rate of high school graduation and enrollment in postsecondary education of GEAR UP students.

Indicator 8.2.1 of 1: High school graduation and enrollment in postsecondary education: GEAR UP students will have high rates of high school graduation and postsecondary education enrollment.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>The percentage of GEAR UP students who graduated from high school.</i>			Explanation: Data will be collected in future years on GEAR UP students' high school completion and postsecondary education enrollment. The long term goal for the percentage of GEAR UP students who have completed high school is 74.5% in 2010, and the long term goal for the percentage of former GEAR UP students who are enrolled in college is 66.5 in 2010.	Additional Source Information: Annual program performance reports and program evaluation study. Frequency: Annually. Collection Period: 2007 - 2008 Data Available: December 2008 Validated By: No Formal Verification. GEAR UP staff review performance report data for quality, clarity, and consistency and to assess extent to which project objectives are being accomplished.
Year	Actual Performance	Performance Targets		
2007		73		
2008		73.50		
2009		74		
2010		74.50		
<i>The percentage of former GEAR UP students who are enrolled in college.</i>				
Year	Actual Performance	Performance Targets		
2007		65		
2008		65.50		
2009		66		
2010		66.50		

Objective 8.3 of 3: Increase GEAR UP students' and their families' knowledge of postsecondary education options, preparation, and financing.

Indicator 8.3.1 of 2: Knowledge of postsecondary education: GEAR UP students and their families who report having knowledge of available financial aid and necessary academic preparation for college.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>The percentage of parents of GEAR UP students who have knowledge of available financial aid.</i>			Explanation: Data reflect the percentages of GEAR UP students and their parents who have talked to school counselors, advisors, or someone else about academic preparation for college and college entrance requirements as well as the percentages of GEAR UP students' parents who have talked to school counselors, advisors, or someone else about availability of financial assistance. Data will continue to be collected on students' and parents' knowledge of postsecondary education entrance requirements, costs of attendance, and financial aid opportunities.	Additional Source Information: Annual program performance reports and program evaluation study. Frequency: Annually. Collection Period: 2004 - 2005 Data Available: December 2005 Validated By: No Formal Verification. GEAR UP staff review performance report data for quality, clarity, and consistency and to assess extent to which project objectives are being accomplished.
Year	Actual Performance	Performance Targets		
	Parents: Aid	Parents: Aid		
2001	24			
2002	31			
2003	35	32		
2004	34	33		
2005		35		
2006		37		
2007		38		
<i>The percentage of GEAR UP students and their families who have knowledge of necessary academic preparation for college.</i>				
Year	Actual Performance	Performance		

			Targets	
	Students: Prep	Parents: Prep	Students: Prep	Parents: Prep
2001	50	31		
2002	53	39		
2003	57	43	54	40
2004	62	42	56	42
2005			61	46
2006			66	47
2007			75	48

Indicator 8.3.2 of 2: Efficiency measure: Cost per successful outcome

Targets and Performance Data			Assessment of Progress	Sources and Data Quality						
<p><i>The average cost (federal funds) per GEAR UP student who immediately enrolls in college after high school graduation.</i></p> <table border="1"> <thead> <tr> <th>Year</th> <th>Actual Performance</th> <th>Performance Targets</th> </tr> </thead> <tbody> <tr> <td>2008</td> <td></td> <td>999</td> </tr> </tbody> </table>			Year	Actual Performance	Performance Targets	2008		999	<p>Explanation: In school year 2007-2008, the program will begin to collect data on college enrollment rates, which will be reported by December 2008. The FY 2008 target is to establish a baseline.</p>	<p>Additional Source Information: Annual program performance reports, program evaluation study, and Grants Administration and Payment System (GAPS)</p> <p>Frequency: Annually. Collection Period: 2007 - 2008 Data Available: December 2008 Validated By: No Formal Verification. GEAR UP staff review performance report data for quality, clarity, and consistency and to assess extent to which project objectives are being accomplished.</p>
Year	Actual Performance	Performance Targets								
2008		999								

Source: 2006PM

11/09/2005 01:20 PM

Contact Information

**Director of the Teacher and Student
Development Service**

James Davis

GEAR UP Team Leader

Karmon Simms-Coates

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Angela Oliphant

**Gaining Early Awareness and
Readiness for Undergraduate Programs**

U.S. Department of Education

1990 K Street N.W., Rm 6101

Washington, DC 20006-8524

Phone: 202-502-7676

Fax: 202-502-7675

Web Page: <http://www.ed.gov/programs/gearup>

Application Package Checklist

The Application:

- SF-424 and Supplemental Forms
- Budget Summary Form

- ❑ Detailed Budget Narrative
- ❑ Students to be Served Form
- ❑ Abstract (one page maximum)
- ❑ Narrative (40 page maximum)
- ❑ Applicant Organization Identification Form and Cost Share Worksheet
- ❑ Partner Identification Form and Cost Share Worksheet
- ❑ Documentation of Student Eligibility for Free & Reduced – Priced Lunch
- ❑ Equitable Access and Participation (GEPA)
- ❑ Governor’s Letter
- ❑ Scholarship Waiver Request (if applicable)
- ❑ Grants.gov Lobbying Form (formerly 80-0013)
- ❑ Standard Form 424B
- ❑ Standard Form LLL
- ❑ Survey on Ensuring Equal Opportunity for Applicants

Approved by OMB 1840-0740

STUDENTS TO BE SERVED FORM

For *all* Partnership Grants using a cohort approach:

PROJECT BUDGET SUMMARY FORM

FEDERAL FUNDS REQUESTED FROM THE GEAR UP GRANT PROGRAM

Direct Costs:	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	TOTAL
1. Salaries and Wages							
2. Employee Benefits							
3. Travel							
4. Materials and Supplies							
5. Consultants & Contracts							
6. Other							
A. Total Direct Costs: <i>(Sum of lines 1-6)</i>							
B. Total Indirect Costs*: <i>(cannot be greater than 8% of Total Direct Costs)</i>							
C. Equipment							
D. Scholarships/ Tuition Assistance							
E. TOTAL REQUESTED <i>A + B+ C+D (Enter these figures in Item 7 of the Title Page)</i>							

All items must be addressed in the detailed budget justification

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line B, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?
 Yes No
- (2) If yes, please provide the following information:
 Period Covered by the Indirect Cost Rate Agreement:
 From: ___/___/_____ To: ___/___/_____ (mm/dd/yyyy)
 Approving Federal agency: ___ ED ___ Other (please specify): _____
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that: Is included in your approved Indirect Cost Rate Agreement? or Complies with 34 CFR 76.564(c)(2)?

MATCHING FUNDS PROVIDED BY NON-FEDERAL SOURCES

Direct Costs:	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	TOTAL
1. Salaries and Wages							
2. Employee Benefits							
3. Travel							
4. Materials and Supplies							
5. Consultants & Contracts							
6. Other							
A. Total Direct Costs: <i>(Sum of lines 1-6)</i>							
B. Total Indirect Costs: <i>(cannot be greater than 8% of Total Direct Costs)</i>							
C. Equipment							
D. Scholarships/ Tuition Assistance							
E. TOTAL MATCHING FUNDS FROM NON- FEDERAL SOURCES							

All items must be addressed in the detailed budget justification

APPLICANT ORGANIZATION IDENTIFICATION FORM AND COST SHARE WORKSHEET

Please provide the following information for the Applicant Organization and its share of matching commitments (cash or in-kind) for each year of the proposed project.

1. Type of Grant:

Are you applying for a partnership grant? Yes No

Are you applying for a State grant? Yes No

2. Type of Institution/Organization:

Are you an Local Education Agency (LEA)?

Yes No

Are you an Institution of Higher Education (IHE)?

Yes No

If you are applying for a **State grant**, please tell us the type of organization.

(i.e., business, community-based organization, professional association, philanthropic organization, or state agency)

Type of IHE:

Four-Year Two-Year

Public Private

College University

HBCU HSI TCCU NHSI ANSI

3. Matching Funds Provided by Applicant Organization

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	TOTAL
1. Salaries and Wages							
2. Employee Benefits							
3. Travel							
4. Materials and Supplies							
5. Consultants and Contracts							
6. Other							
A. Total Direct Costs <i>(Sum of lines 1-6)</i>							
B. Total Indirect Costs: <i>(cannot be greater than 8% of Total Direct Costs)</i>							
C. Equipment							
D. Scholarships/ Tuition Assistance							
E. TOTAL COMMITMENT (Lines A + B+ C+D)							

4. **Match Reduction:** Are you applying for the reduced match? Yes No

You will have to supply eligibility documentation and submit a budget reflecting a reduction in match. Reduced match is only applicable to Partnership applicants.

PARTNER IDENTIFICATION FORM AND COST SHARE WORKSHEET
 Please complete one form for each partner (other than the Applicant Organization).

1. Institution/Organization _____

Point of Contact: Name _____

Title _____ Department _____

Address _____

City _____ State _____ Zip _____

Telephone _____ e-mail _____ Fax _____

2. Type of Organization:

Are you an Local Education Agency (LEA)?

___ Yes ___ No

Are you an Institution of Higher Education (IHE)?

___ Yes ___ No

Type of IHE:

___ Four-Year ___ Two-Year

___ Public ___ Private

___ College ___ University

___ HBCU ___ HSI ___ TCCU ___ NHSI ___ ANSI

Other types:

___ Business

___ Community-based organization

___ Professional association

___ Philanthropic Organization

___ State Agency

Other: _____

3. Non-Federal Fund contribution provided by Partner

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	TOTAL
1. Salaries and Wages							
2. Employee Benefits							
3. Travel							
4. Materials and Supplies							
5. Consultants and Contracts							
6. Other							
A. Total Direct Costs <i>(Sum of lines 1-6)</i>							
B. Total Indirect Costs: <i>(Cannot be greater than 8% of Total Direct Costs)</i>							
C. Equipment							
D. Scholarships/Tuition Assistance							
E. TOTAL <i>(Lines A + B+ C+D)</i>							

Please summarize the partner's specific support and commitment to the project in this space.

SIGNATURE OF AUTHORIZING OFFICIAL: _____

NAME OF AUTHORIZING OFFICIAL: _____

TITLE OF AUTHORIZING OFFICIAL: _____

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

OMB No. 1890-0014 Exp. 02/28/09

Paperwork 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 1890-0014. The

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
11. Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
12. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 th district, NC-103 for North Carolina's 103 rd district. <ul style="list-style-type: none"> • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions: <p>a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p> <p>b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p> <p>c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p> <p>d. Address: Enter the complete address as follows: Street address (Line</p>	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
		18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

	<p>1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
		20.	<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="1" data-bbox="142 562 857 1155"> <tr> <td data-bbox="142 562 505 1155"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td data-bbox="505 562 857 1155"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>	21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>				

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. Novice Applicant. Check **“Yes”** or **“No”** only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check **“Yes”** if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking **“Yes”** the applicant certifies that it meets these novice applicant requirements. Check **“No”** if you do not meet the requirements for novice applicants.

3. Human Subjects Research. (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

If Not Human Subjects Research. Check **“No”** if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

If Human Subjects Research. Check **“Yes”** if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check **“Yes”** even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

If Human Subjects Research is Exempt from the Human Subjects Regulations. Check **“Yes”** if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check **“No”** if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter **“None.”** In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

Paperwork 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 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202 4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.

**DEFINITIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424
(Attachment to Instructions for Supplemental Information for SF 424)**

Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—RESEARCH

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—HUMAN SUBJECT

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture. II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be

obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

**Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:
<http://www.ed.gov/about/offices/list/OCFO/humansub.html>**

NOTE: The State Applicant Identifier on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable). (0348-0046), Washington, DC 20503