



# **GAINING EARLY AWARENESS & READINESS FOR UNDERGRADUATE PROGRAMS**

## **PRE-APPLICATION WORKSHOP**

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF POSTSECONDARY EDUCATION

# MISSION AND OBJECTIVES

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

**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 postsecondary education for GEAR UP students.

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

# OUTLOOK

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The President has requested \$303 million for FY 2008.

Approximately \$ 20.5 million will be available for new state grants

Approximately \$ 34.1 million will be available for new partnership grants

# AWARDS

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## STATE

Range of Awards: \$1,000,000 – \$3,000,000

Average Size of Awards: \$2,000,000

Maximum Award: \$3,000,000 per year

## PARTNERSHIP

Range of Awards: \$130,000 - \$8,000,000

Average Size of Awards: \$1,074,354

Maximum Award: \$800 per student per year

**Grantees receive level funding in the out-years based on approved funding for the first year award.**

# INVITATIONAL PRIORITIES

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## **Priority 1:**

State applicants are encouraged to include plans to develop and administer an assessment in the tenth and/or eleventh grade to determine whether GEAR UP students are adequately prepared for postsecondary education.

## **Priority 2:**

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

# TYPES OF GRANTS

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- **STATE GRANTS**
- **PARTNERSHIP GRANTS**



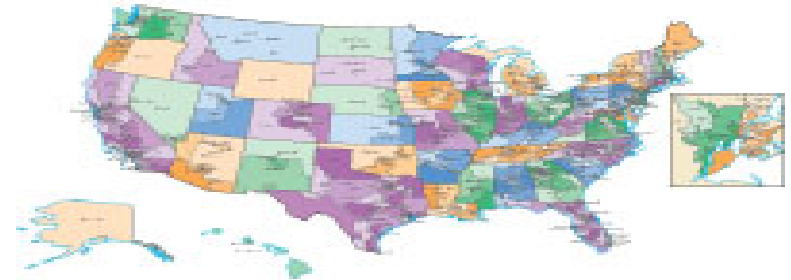
**GEAR UP provides six-year grants to states and partnerships to provide services at high poverty middle and high schools.**

# STATE PROJECTS

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## Eligible Applicant

The governor of a state must designate in writing which state agency is the applicant for, and will administer, the state grant.



A state may opt to have more than one entity deliver the services. Each applicant should include a letter on official state letterhead, signed by the Governor, designating the state's applicant agency.

# STATE PROJECTS

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## Two Components

- **Early Intervention Component** - Early college awareness and preparation activities through comprehensive mentoring, counseling, outreach, and supportive services, academic counseling and support; and
- **Scholarship Component** – A financial assistance program of renewable scholarships for eligible GEAR UP students.



# STATE PROJECTS

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## **State grants 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.
- 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.*

# STATE PROJECTS

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States may choose to serve:

1. **Priority students;** and/or
2. A **“cohort”** of students:
  - a. Whole-grade model
  - b. Public housing model



# STATE PROJECTS

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## 1. Priority Students Model

Students in preschool through 12<sup>th</sup> grade who are eligible:

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

# STATE PROJECTS

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## 2. A “Cohort” of Students

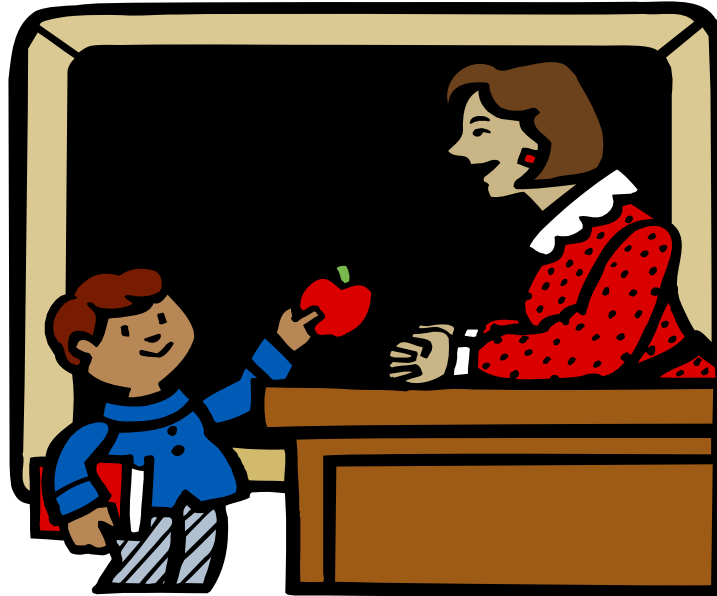
### a. Whole-Grade Model

- The whole-grade model requires that services must be provided to all students in a participating grade level or “cohort” until that grade level moves on to the next school.
- Once the cohort moves on to another school, a GEAR UP project must continue to provide services to at least those students in the cohort who attend participating secondary schools that enroll a substantial majority of the students in the cohort.

# STATE PROJECTS

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- Participating school(s) must have a 7<sup>th</sup> grade class and at least 50 percent of the students in the school must be eligible for free or reduced-price lunch under the National School Lunch Act.



# STATE PROJECTS

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## **b. Public Housing Model**

Whole grade levels of students residing in public housing, as defined in section 3(b)(1) of the United States Housing Act of 1937, are eligible to receive services under GEAR UP Partnerships. This includes public housing facilities operated by Public Housing Agencies.

Section 8 housing is not included in the definition of public housing eligible for GEAR UP Partnerships.

# STATE PROJECTS

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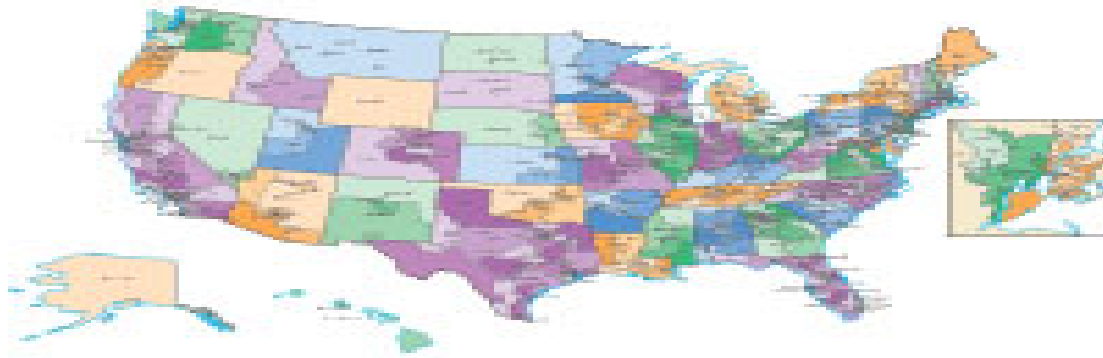
The Public Housing Agency in your area is the best source for obtaining information regarding which publicly assisted housing facilities are eligible under the GEAR UP program.

Names and addresses of Public Housing Authorities can be obtained by calling the Department of Housing and Urban Development (HUD) local offices or through the HUD Web site at <http://www.hud.gov>.

# STATE PROJECTS

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Both models (public housing and whole-grade) must start serving students no later than 7<sup>th</sup> grade and continue to provide services through high school.





# PARTNERSHIP PROJECTS

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## Eligible Applicant

The fiscal agent/applicant must be either a Local Education Agency (**LEA**) or an Institution of Higher Education (**IHE**). However, any member of the Partnership may take the lead in identifying the partners, gaining their commitment, and organizing the effort.



# PARTNERSHIP PROJECTS

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A partnership application must be submitted on behalf of a partnership between:

- one or more Local Education Agencies (LEA);
- one or more Institutions of Higher Education (IHE); and
- at least **two other entities** such as community-based organizations, faith-based organizations, state agencies, family organizations, etc.

# PARTNERSHIP PROJECTS

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## Partnership grants:

- May not use funds from a new GEAR UP grant to serve students originally served under a previous grant;
- May provide scholarships to students, but are not required to do so. *Priority Points will not be given to partnership applications which include a scholarship component.*
- May implement either cohort model or public housing model--or a combination of both, however, they are not allowed to implement the priority model (only state projects).



# 21<sup>st</sup> CENTURY SCHOLAR CERTIFICATES

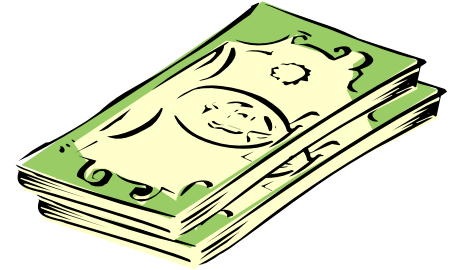
Both **State and Partnership** grants must give all GEAR UP students a 21<sup>st</sup> Century Scholar Certificate congratulating them on their commitment and reminding them that if they study hard, take challenging courses, and finish high school, they will be able to go to college.

On the reverse side of the certificate will be a summary of how much federal aid may be available to them based on income. The 21<sup>st</sup> Century Scholar Certificates are provided by the Department for grantees to distribute to their students.

# MATCHING REQUIREMENTS

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- 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.
- The applicant/fiscal agent is responsible for documenting all matching contributions for the entire grant – even partner match.
- 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.



# MATCHING REQUIREMENTS

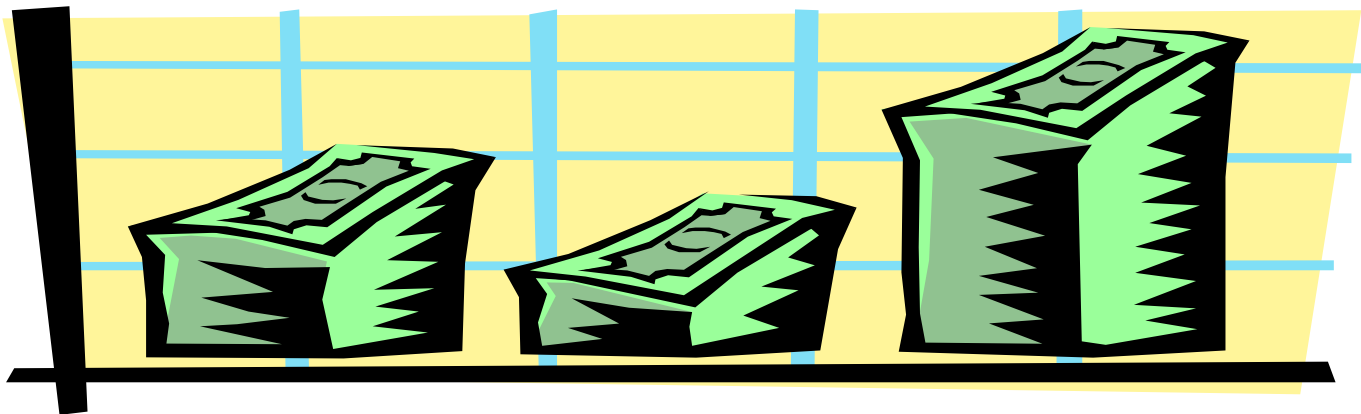
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- Matching contributions may be made from any non-federal source and must be documented.
- Documentation of matching contributions must contain adequate source documentation for the claimed cost sharing, provide clear valuation of in-kind matching, and provide support of cost-sharing by grant partners.
- Applicants are required to value in-kind contributions in accordance with relevant Office of Management and Budget (OMB) Circulars. OMB circulars can be found at: [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars) . In most cases, applicants must value in-kind contributions of facilities and equipment using depreciation or use allowance rather than fair market value.

# MATCHING REQUIREMENTS

## Reduced Match

Under specific circumstances, an applicant applying for a Partnership grant may propose a non-Federal contribution of less than 50 percent, but not less than 30 percent of the total cost of the project. The reduced match option does not apply to State applicants.



# **Applicants must satisfy four conditions to qualify for the reduced match.**

1. 75% of all the students in the participating school(s) with a 7<sup>th</sup> grade in the partnership are eligible for free and reduced – priced lunch.
2. 50% of all the students in the participating local education agency (LEA) in which the participating school (s) is located are eligible for free or reduced-price lunch.
3. The partnership has three or fewer IHEs as members.



## **For condition #4, you can chose one of the following two options.**

4. The participating LEA in which 50% of all the students are eligible for free or reduced –price lunch is the partnership’s designated fiscal agent.

**OR**

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4. The partnership’s designated fiscal agent is a Historically Black College or University (HBCU), a Hispanic Serving Institution (HSI), a Tribally Controlled College or University (TCCU), a Native Hawaiian Serving Institution (NHSI) or an Alaska Native Serving Institution (ANSI) under Title V or Part B of Title III or section 316 or 317 of the HEA.

# MATCHING REQUIREMENTS

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## Types of Matching

Anything you could pay for with federal dollars, can be used as match, such as:

1. Financial assistance paid to students;
2. The amount of tuition, fees, room; board waived or reduced for students;
3. Early intervention activities: the amount spent on documented, targeted, long-term mentoring, and counseling provided by volunteers or non-federally paid staff of non-school organizations, including businesses, religious organizations, community groups, postsecondary educations, nonprofit and philanthropic organizations, and other organizations.

Please note a person's time cannot be used as match if the service is performed within their normal workday (tour of duty). Services performed outside of a normal workday, such as after school tutoring, Saturday academy, etc., are generally acceptable.

# PROJECT BUDGET

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Each application must include a budget justification, as well as 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;
- 3) The costs of evaluation; and
- 4) A detailed description explaining the matching resources provided by members of the partnership.

# PROJECT BUDGET

## **Indirect Costs:**

All grant recipients are limited to a maximum indirect cost rate of eight (8) percent of a modified total direct cost base or the amount permitted by its negotiated indirect cost rate agreement, whichever is less.

Unrecovered indirect costs cannot be used to fulfill non-Federal matching requirements.



# PROJECT BUDGET



## **Indirect Costs:**

- All grant recipients are limited to a maximum Indirect Cost Rate (ICR) of eight (8) percent of a modified total direct cost base or the amount permitted by its negotiated ICR agreement, whichever is less.
- Unrecovered indirect costs cannot be used to fulfill non-federal matching requirements.
- Applicants must have an approved ICR agreement at the time of submission. The Department will modify the budget if there is no approved ICR agreement.

# PROJECT BUDGET

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- Applicants should plan and budget for attendance at two annual conferences and workshops sponsored or cosponsored by the nation GEAR UP office or a State grantee.
- Funded projects will need to obtain approval to attend conferences not sponsored or co-sponsored by the Department. Grantees must get approval from their program officer before expending funds to attend these conferences.



## STUDENTS TO BE SERVED FORM

**For all State Grants using a cohort approach:**

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6
Kindergarten						
1 <sup>st</sup>						
2 <sup>nd</sup>						
3 <sup>rd</sup>						
4 <sup>th</sup>						
5 <sup>th</sup>						
6 <sup>th</sup>						
7 <sup>th</sup>	1000					
8 <sup>th</sup>		1000				
9 <sup>th</sup>			1000			
10 <sup>th</sup>				1000		
11 <sup>th</sup>					1000	
12 <sup>th</sup>						1000
Total Students Served	1000	1000	1000	1000	1000	1000

**For all State Grants using a cohort approach:**

Target School(s)	Grades levels offered in the school(s)
Martin Luther King Jr Middle School	6-8
Somerset High School	9-12

**For those State Grants *not* using the cohort approach:**

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6
Total Students Served	4000	4000	4000	4000	4000	4000

**For Partnerships using a *school-based* cohort approach:**

*Check only one*

At least 50% of all the students in the participating school(s) from which the cohort(s) is drawn are *eligible* for free or reduced-priced lunch under the National School Lunch Act.

At least 75% of all the students in the participating school(s) from which the cohort(s) is drawn *and* at least 50% of all the students in each participating school district from which the participating school(s) are drawn are *eligible* for free or reduced-priced lunch under the National School Lunch Act.

# 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							
<b>A. Total Direct Costs:</b> <i>(Sum of lines 1-6)</i>							
<b>B. Total Indirect Costs*:</b> <i>(cannot be greater than 8% of Total Direct Costs)</i>							
<b>C. Equipment</b>							
<b>D. Scholarships/ Tuition Assistance</b>							
<b>E. TOTAL REQUESTED</b> <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							
<b>A. Total Direct Costs:</b> <i>(Sum of lines 1-6)</i>							
<b>B. Total Indirect Costs:</b> <i>(cannot be greater than 8% of Total Direct Costs)</i>							
<b>C. Equipment</b>							
<b>A. Scholarships/ Tuition Assistance</b>							
<b>B. TOTAL MATCHING FUNDS FROM NON-FEDERAL SOURCES</b>							

**All items must be addressed in the detailed budget justification**

# EARLY INTERVENTION ACTIVITIES

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**Tutoring** - Fundamental to supporting classroom instruction, tutoring supports commitment and incremental success vital to motivating students.

**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.



# EARLY INTERVENTION ACTIVITIES

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**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. 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.

**Summer Programs** - 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.

# EARLY INTERVENTION ACTIVITIES

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**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. Financial Counseling-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.

**Mentoring** - 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.

# GEAR UP AT A GLANCE

State	Partnership
<ol style="list-style-type: none"><li>1. Designated by Governor</li><li>2. \$3,000,000 maximum per year</li><li>3. 8% cap on indirect costs</li><li>4. Dollar-for-dollar match</li><li>5. At least 25% of funds for early intervention activities</li><li>6. At least 50% of funds for scholarships, unless there is a waiver</li><li>7. Cohort and/or Priority Student Models</li></ol>	<ol style="list-style-type: none"><li>1. LEA or IHE</li><li>2. \$800 per student maximum per year</li><li>3. 8% cap on indirect costs</li><li>4. Dollar-for-dollar match (30% exception)</li><li>5. Four partners: LEA, IHE and at least two community-based organizations</li><li>6. Cohort Model</li></ol>

# SELECTION CRITERIA

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Applicants must clearly address the published criteria. The Secretary considers six criteria drawn from the Education Department General Admistrative Regulations (EDGAR):

1. The need for the project;
2. The quality of project services;
3. 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.



# 1. The Need for the Project (15 Points)

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## **Applicants should address:**

- magnitude/severity of problem (i.e., baseline data)
  - specific gaps/weaknesses in services, infrastructure, or opportunities and how they will be addressed
- the likelihood that proposed services will address the participants' needs (e.g., gaps in students' academic performance)

The purpose is not to portray the bleakest picture possible, but rather to identify what needs are to be addressed and what deficiencies exist in the current program.

## 2. Quality of Project Services (20 Points)

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### **Applicants should address:**

- appropriateness of services in addressing needs through the 12th grade and link services directly to objectives to promote acceleration for traditionally underserved youth and positive outcomes;
- how services reflect research and effective practice;
- quality, intensity, and duration of staff development and continuous capacity building and improvement
- impact of services for its intended recipients
- how system reform will have an impact on program improvement and sustainability



### 3. Quality of Project Personnel (15 Points)

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#### **Applicants should address:**

- qualifications of project director and key personnel
- efforts to hire individuals from underrepresented groups
- the number and types of personnel needed to meet the project's objectives

A position description should be included for all key personnel, even if key personnel has already been identified.

## 4. Quality of the Management Plan (15 Points)

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### **Applicants should address:**

- adequacy of plan to achieve quantifiable objectives on time and within budget
- clearly defined responsibilities, timelines, and benchmarks/milestones for accomplishing tasks
- adequacy of procedures for ensuring feedback, data collection, and continuous improvement
- adequacy of time commitments of key personnel in meeting objectives

## 5. Quality of the Project Evaluation (20 Points)

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### **Applicants should address:**

- use of objective performance measures/indicators that are clearly related to measurable objectives and outcomes
- implementation of a mechanism to continuously assess progress toward achieving objectives and outcomes, and to obtain feedback on program services and provisions that may need to be altered

## 6. Adequacy of Resources (15 Points)

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### **Applicants should address:**

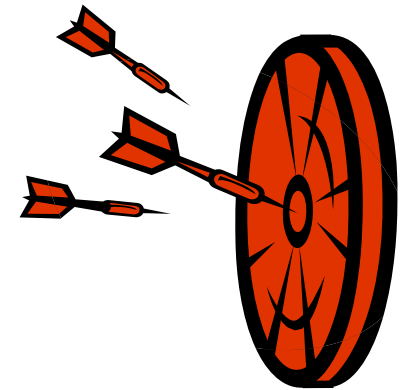
- relevance and commitment of each partner to the implementation and success of project
- evidence of carefully selected partners that have committed to accomplishing specific objectives and to work as a team
- the potential for continued support of the project after Federal funding ends

# APPLICATION PROCESS

- Submit application on Grants.gov
- Prescreening
- A panel of three reviewers, who are not federal employees, will evaluate the application
- The panel will prepare an evaluation of the application and assign points to each selection criterion. The highest score an application can receive is 100
- Scores from the three reviewers will be averaged to determine one numeric score for the application



- Final scores are ranked in order, highest to lowest on a funding slate
- Applications are awarded down the funding slate until all funds are used
- All awards are funded for six years



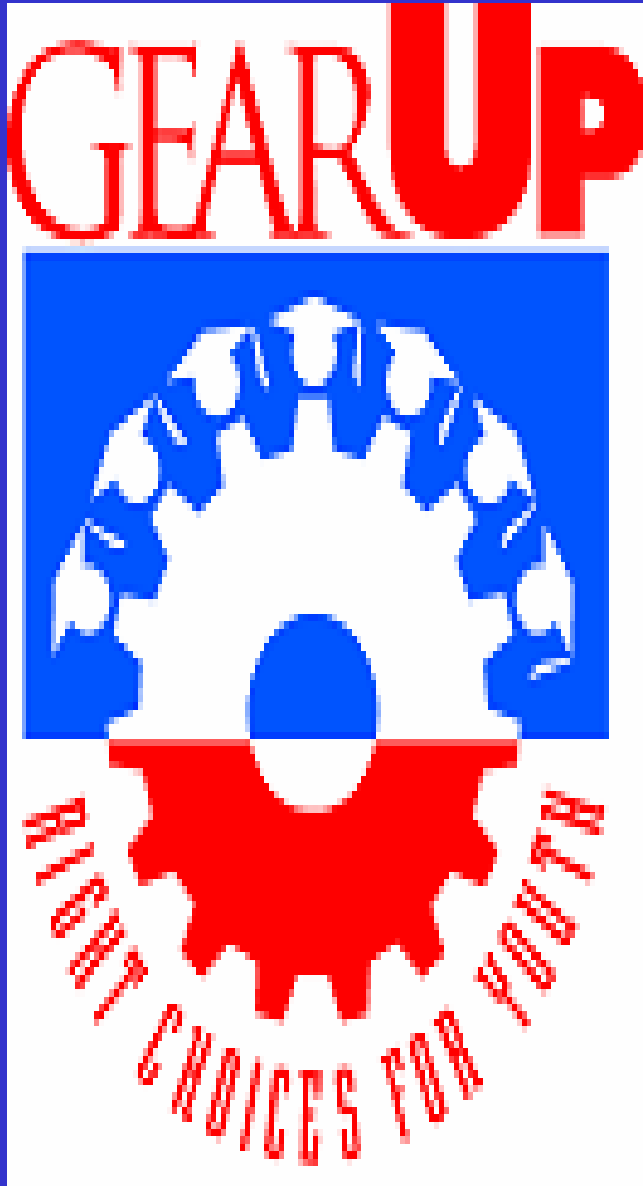
# FORMS/DOCUMENTATION

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- GEAR UP Title Page
- Students to be Served Form
- Narrative (40 page maximum)
- Project Budget Summary Forms and detailed budget justification
- Applicant Organization Identification Form and Cost Share Worksheet
- Partner Identification Form and Cost Share Worksheet
- Documentation of Student Eligibility for Free and Reduced –Price Lunch
- Letter from the Governor (States Only)
- Scholarship waiver documentation (States Only)
- Form ED 80-0013
- Standard Form 424B
- Standard Form LLL
- Survey on Ensuring Equal Opportunity

**QUESTIONS!!**





## GEAR UP CONTACT INFORMATION

[www.ed.gov/programs/gearup](http://www.ed.gov/programs/gearup)

Main Number (202) 502-7676

U.S. Department of Education

1990 K Street N.W.

Washington, DC 20006