



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

TECHNICAL ASSISTANCE WORKSHOP

U.S. DEPARTMENT OF EDUCATION
OFFICE OF POSTSECONDARY EDUCATION

Gaining
Early
Awareness &
Readiness for
Undergraduate
Programs



Mission of GEAR UP



The GEAR UP Program is a discretionary grant program designed to increase the number of low-income students who are prepared to enter and succeed in postsecondary education.

2006 GEAR UP OUTLOOK

The Congress appropriated \$306 million for FY 2005. Based on level funding in FY 2006:

Approximately \$13 million will be available for new state grants

Approximately \$28 will be available for new partnership grants

2006 GEAR UP AWARDS

STATE

Range of Awards: \$500,000 – \$3,000,000

Average Size of Awards: \$2,700,000

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

PARTNERSHIP

Range of Awards: \$100,000 - \$7,000,000

Average Size of Awards: \$800,000

Maximum Award: \$800 per student per year

2006 GEAR UP AWARDS

Special Note: Partnership grants originally funded with FY 2006 funds may not use those funds to serve GEAR UP students originally served under a previous grant. For example, FY 2006 funds cannot be used to serve students who received funding under a FY 2000 grant, but have not yet graduated from high school. FY 2006 funds can only be used to serve new cohorts beginning no later than the seventh grade.

Out Year Costs: Partnership and State grants originally funded with FY 2006 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.

TWO TYPES OF COMPETITIVE GRANTS

STATE GRANTS

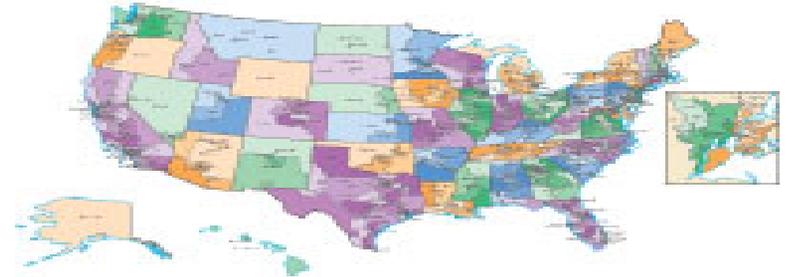
PARTNERSHIP GRANTS



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

State Applicants

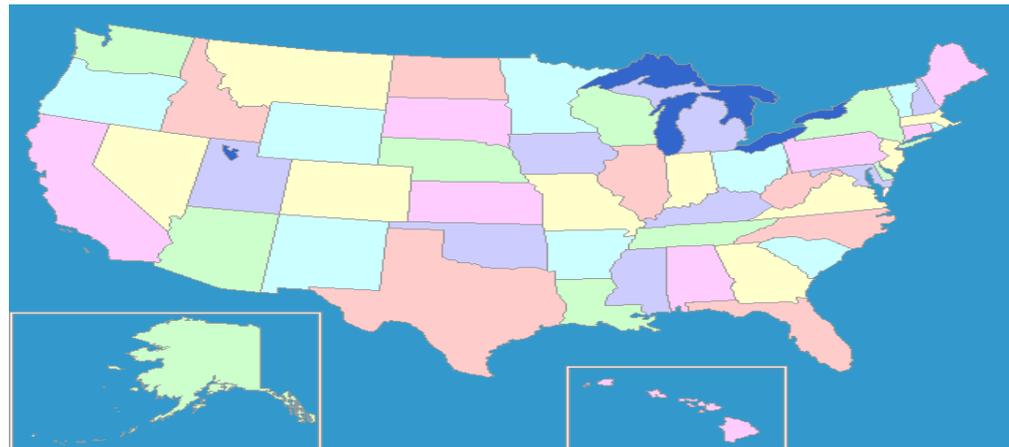
States: The governor of a state must designate in writing which state agency is the applicant for, and will administer, the state grant.



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

- **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

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
- 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.*



STATE PROJECTS

States may choose to:

- Serve “priority students” or
- Serve a “cohort” of students



STATE PROJECTS

Priority Students are 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 Act.



STATE PROJECTS- Cohort Model

Whole-Grade:

- Services must be provided to all students in the participating grade levels at a school(s), rather than a selected group of students;
- Services must start by no later than 7th grade and continue through high school; and
- Participating school(s) must have a 7th grade class and at least 50 percent of the students must be eligible for free or reduced-price lunch under the National School Lunch Act.

STATE PROJECTS-Cohort Model

Public Housing

- 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.

Partnership Applicants

Partnerships: A partnership grant application must be submitted on behalf of a partnership between one or more local education agencies (LEA) or school districts, one or more degree-granting institutions of higher education (IHE), and at least two other entities such as community-based organizations, businesses, faith-based organizations, college student organizations, state agencies, family organizations or parent groups. Each partner should be carefully chosen for its potential to make substantive collaborative contributions to a comprehensive program that will enable low-income students to stay in school, take the right courses, and go to college.



Eligible Applicants

Partnerships con't:

By statute, the Partnership's Fiscal Agent, and therefore the Applicant, must be either an LEA or an IHE.

However, any member of the Partnership may take the lead in identifying the partners, gaining their commitment, and organizing the effort.

Partnership projects 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.*



PARTNERSHIP PROJECTS

Partnership grants are required to:

- Promote rigorous academic coursework based on college entrance requirements;
- Work with a whole grade level of students in order to raise expectations for all students;
- Start with students no later than the 7th grade in a school with a 7th grade, follow those students through high school graduation; and
- Inform students and parents about college options and financial aid.



PARTNERSHIP PROJECTS

The Cohort Model:

The cohort 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 (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 who attend participating secondary schools that enroll a substantial majority of the students in the cohort.



PARTNERSHIP PROJECTS

The Public Housing Model:

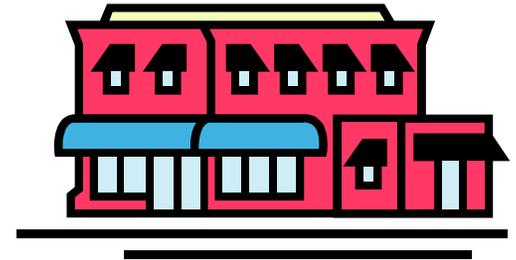
Whole grade levels of students residing in public housing, as defined in section 3(b)(1) of the United States Housing Act of 1937, are eligible to receive services under GEAR UP Partnerships. This includes public housing facilities operated by Public Housing Agencies.

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



PARTNERSHIP PROJECTS

A GEAR UP partnership application may include one or more grade levels of students from an eligible school in addition to one or more grade levels of students residing in public housing.



There is no minimum grade level at which services to students in public housing must start, however applicants should consider the most appropriate age at which these services can best be delivered. Applicants should also consider how students in younger grade levels will continue to be served when Federal funding ends after six years.

PARTNERSHIP PROJECTS



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 website at <http://www.hud.gov>.

Non-Federal Matching Requirements

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.



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.

Non-Federal Matching Requirements con't

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. OMB circulars can be found at: www.whitehouse.gov/omb/circulars

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 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.

Reduced Matching Contribution

Under specific circumstances, an applicant may propose a non-Federal contribution of less than 50 percent, but not less than 30 percent of the total cost of the project. This option exists only in specific cases where the level of poverty in the school district can be described by all four of the following conditions:



REDUCED MATCHING CONTRIBUTION con't:

1. 75 percent of all the students in the participating school(s) with a 7th grade in the partnership are eligible for free and reduced-priced lunch; **and**
2. 50 percent 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; **and**
3. The participating LEA in which 50 percent of all the students are eligible for free or reduced-price lunch is the partnership's designated fiscal agent; **and**
4. The partnership has three or fewer IHEs as members.



Alternatively, the applicant can apply for a waiver if all four of the following conditions are met:

1. 75 percent of all the students in the participating school(s) with a 7th grade in the Partnership are eligible for free and reduced-priced lunch; **and**
2. 50 percent 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; **and**



Alternatively, the applicant can apply for a waiver if all four of the following conditions are met con't:

3. 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; **and**
4. The partnership has three or fewer IHEs as members.

REDUCED MATCHING CONTRIBUTION con't:

If an applicant meets either of these sets of conditions, a waiver for the minimum non-Federal contribution of the partnership may be allowed. **Under no circumstances will the match be lower than 30 percent of the total cost of the project.**

Applicants that wish to apply for a reduced matching percentage must indicate their eligibility and must propose matching budgets reflective of the reduced match percentage. Successful applicants will be required to provide match as proposed in their application budgets, even if they are eligible to provide a lower match percentage.

REDUCED MATCHING CONTRIBUTION con't:

The rationale for the reduced non-Federal match is to provide those partnerships who lack the resources the ability to compete for a GEAR UP grant.

However, applicants who meet the criteria for this reduced match but have the resources may not wish to propose a reduced match if they are concerned that it may diminish the quality of services they can provide.

The reduced match option does not apply to State applicants.



GEAR UP AT A GLANCE



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

Developing a Project Budget



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.

Developing a 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.



Developing a Project Budget



Applicants should plan and budget for attendance at two annual conferences and workshops sponsored or cosponsored by the GEAR UP Program at the US Dept of Education or a GEAR UP State grantee.

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. 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 st						
2 nd						
3 rd						
4 th						
5 th						
6 th						
7 th	1000					
8 th		1000				
9 th			1000			
10 th						
11 th				1000		
12 th					1000	
Total Students Served						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	K-8
Somerset Junior High School	7-9

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							
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							
A. Scholarships/ Tuition Assistance							
B. TOTAL MATCHING FUNDS FROM NON-FEDERAL SOURCES							

All items must be addressed in the detailed budget justification

EARLY INTERVENTION ACTIVITIES

- ◆ **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

- ◆ **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

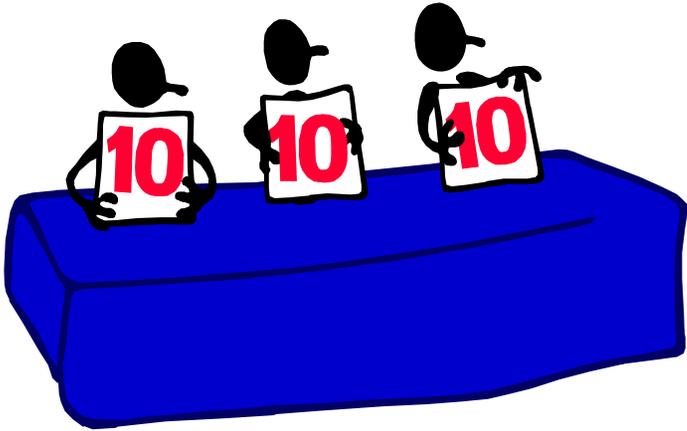
- ◆ **21st Century Scholar Certificates** - All GEAR UP students will receive a 21st Century Scholar Certificate congratulating them on their commitment and reminding them that if they study hard, take challenging courses, and finish high school, they will be able to go to college. On the reverse side of the certificate will be a summary of how much Federal aid may be available to them based on income. The 21st Century Scholar Certificates are provided by the Department for grantees to distribute to their students.
- ◆ **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.

EARLY INTERVENTION ACTIVITIES

- ◆ **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.



ELEMENTS OF A SUCCESSFUL GEAR UP APPLICATION



- Good, clear writing that clearly addresses the published criteria;
- A solid rationale for what will be done, based on evidence or research findings, not just assertions;
- A description of how you will manage for continuous capacity building and improvement of teaching and learning;

ELEMENTS OF A SUCCESSFUL GEAR UP APPLICATION

- Clear, measurable goals, objectives, benchmarks, and outcomes;

The Difference Between Goals & Objectives

GOALS

- Are broad statements that indicate what you hope to accomplish. Create the setting for what you are proposing.
- Focuses on how a situation will be changed as a result of a successful project, not what a project will do.



ELEMENTS OF A SUCCESSFUL GEAR UP APPLICATION

OBJECTIVES

- Explain how the activities of the project will be achieved
- Provide basis for program evaluation
- Are measurable
- Include a time frame



ELEMENTS OF A SUCCESSFUL GEAR UP APPLICATION

- The provision of services that are directly linked to objectives, promote acceleration for traditionally underserved youths, and produce measurable outcomes;
- Baseline data;
- A reasonable plan for program sustainability and carrying on after the federal funding of the project ends;
- Incorporation of performance indicators in the evaluation process;

ELEMENTS OF A SUCCESSFUL GEAR UP APPLICATION

Performance Indicators

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 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.

SELECTION CRITERIA

The Secretary considers six criteria drawn from the Education Department General Aministrative 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.



SELECTION CRITERIA: Need (15 Points)

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.

SELECTION CRITERIA: Quality of Project Services (20 Points)

Applicants should address:

- appropriateness of services in addressing needs through the 12th grade, including the provision of scholarships, if appropriate
- how services reflect research and effective practice
- quality, intensity, and duration of staff development and its proposed effectiveness
- impact of services for its intended recipients
- how system reform will have an impact on program improvement and sustainability

SELECTION CRITERIA: Quality of Project Personnel (15 Points)

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.

SELECTION CRITERIA: Quality of the Management Plan (15 Points)

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

SELECTION CRITERIA: Quality of the Project Evaluation (20 Points)

Applicants should address:

- use of objective performance measures 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

SELECTION CRITERIA: Adequacy of Resources (15 Points)

Applicants should address:

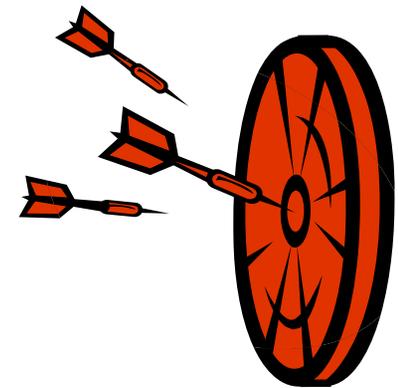
- relevance and commitment of each partner to the implementation and success of project
- evidence of carefully selected partners that have committed to accomplishing specific objectives and to work as a team
- the potential for continued support of the project after Federal funding ends

GEAR UP APPLICATION PROCESS

- Submit application on e-grants.ed.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



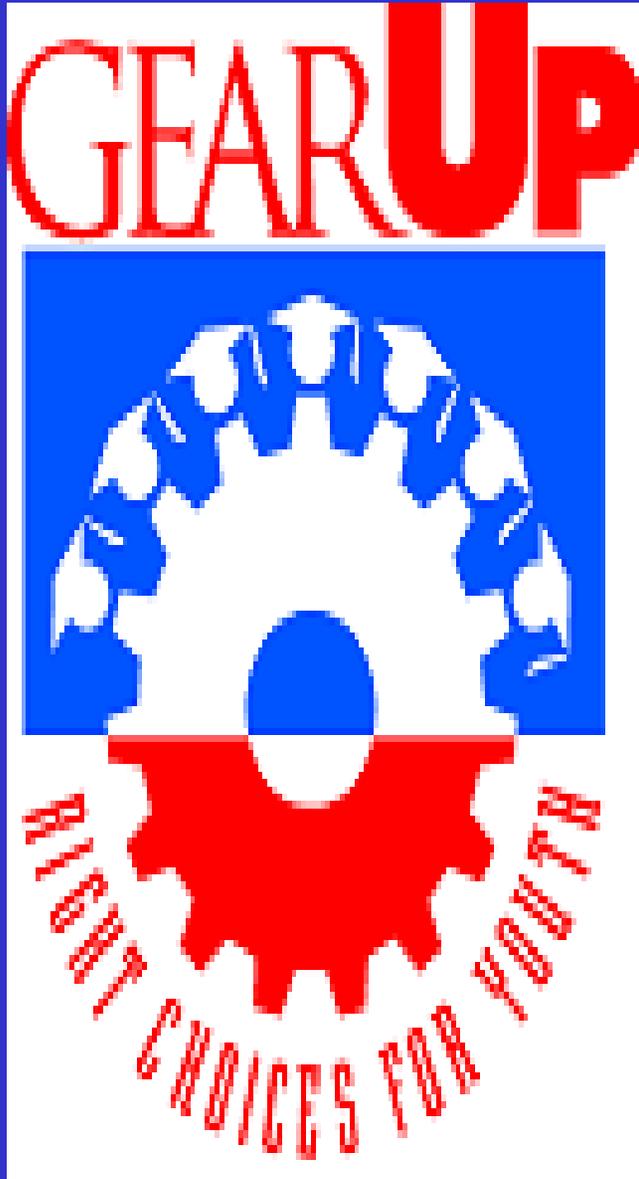
- Final scores are ranked in order, highest to lowest on a funding slate
- Applications are awarded down the funding slate until all funds are used
- All awards are funded for six years



GEAR UP FORMS, CERTIFICATIONS AND ASSURANCES

- 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 & Reduced –Price Lunch
- Letter from the Governor (States Only)
- Form ED 80-0013
- Standard Form 424B
- Standard Form LLL
- Form ED 80-0014
- Survey on Ensuring Equal Opportunity

QUESTIONS!!



GEAR UP CONTACT INFORMATION

www.ed.gov/programs/gearup

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