



**Application to Participate in  
Leveraging Educational Assistance Partnership (LEAP)  
Special Leveraging Educational Assistance Partnership (SLEAP)  
and Grants for Access and Persistence (GAP) Programs  
Instructions**

**START HERE**  
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**General Information about this Form and Instructions**

This form is in Adobe's Portable Document Format (PDF) and is an auto-populated interactive PDF form. To open the PDF file, you should have the latest version of the free [Adobe Reader](#). We recommend that you have Adobe Reader version 7.0 or higher installed on your computer as the form is best viewed by the latest version. To determine the version you have, open Adobe Reader, click on "help," and then "About Adobe Reader." To download the latest version of Adobe Reader, click the following link (note: this download is **FREE**). Adobe Reader Version 9 ([Download](#)).

This form allows you to complete your state's application to participate and submit the data securely via the internet utilizing your default E-mail client software. Please note that you will be submitting your state's data and not the completed form itself. The data will be transmitted directly in Exchange Markup Language or an XML data file. This file will then be loaded and read in Acrobat for review. You will not be able to save this form with your state's data; you can only save a copy of the blank form. Therefore, you may wish to print a copy of the completed form for your records when prompted to do so. It may be possible for you to print to a PDF format if you have this capability, allowing you to save an electronic copy of the completed form. Because you will be unable to save the form with data, you may wish to begin completing the form only when you know you'll be able to complete and submit it as you will not have the ability to save and come back to it.

Once you've completed the application and are ready to submit, select the submit button. This will generate a data file to be attached and forwarded directly to our program office. Once you've selected the submit button, you will see the Select Email Client window asking you to indicate the option which best describes how you send mail. Please choose one of the three options, a description follows each option. If you are unsure, please choose "Other."

If you choose Desktop Email Application (such as Microsoft Outlook or Express, Eudora, or Mail), you will be prompted to switch to your Email client software and send the data file. It will also ask you to print the file for your records. To proceed, click Send Data File. This will attach the data file to a pre-populated E-mail using your desktop Email client software. Send E-mail as you normally would.

If you choose the options, Internet Email (such as yahoo) or Other, you will be prompted to send the data file using three outlined steps, which are: Step 1) save the data file where you'll be able to retrieve it, Step 2) create a new Email message as you normally would addressing it to [LEAP@ed.gov](mailto:LEAP@ed.gov), and Step 3) attach the data file you saved in Step 1 to the message and send.

It is no longer necessary to mail hard copies to the Department. However, again, please be sure to print a copy of the completed and signed application for your records. Submit or forward an electronic copy of all signed materials to the Department at [LEAP@ed.gov](mailto:LEAP@ed.gov).

**Please submit your completed application to us by May 31, 2010.**

**Page 1, Part A: State Contact Information**

Instructions for Part A, Items 1 through 10

Self-explanatory. Please complete all items in Part A with complete information as indicated.

**Page 1, Part B: State Request for Federal Funds (Section 415C(a))**

Instructions for Item 11

Request for LEAP: Enter the total Federal funds you request for your state from the fiscal year 2010 appropriation to provide awards to students under the LEAP Program in award year 2010-2011. Include the amount of your state's initial allotment as well as the additional (reallotted) funds your state will be able to match and use for LEAP awards. Should reallotted funds become available for awards, your request for additional funds will then be reviewed, and you will be advised as to the amount of reallotted funds to be made available to your state. Allotments and reallotments are contingent upon the adequacy of available matching funds and maintenance-of-effort expenditures.

## Instructions for Item 12

In this initial year of the GAP Program, states have the option of applying for the SLEAP Program or the GAP Program. Please indicate whether your state is applying to participate in the SLEAP Program or the GAP Program.

**Request for SLEAP:** If you choose to apply for SLEAP funding, enter the TOTAL FEDERAL FUNDS you request for your state from the fiscal year 2010 appropriation to provide awards to students under the SLEAP Program in award year 2010-2011. Include the amount your state's initial allotment as well as the additional (reallotted) funds your state will be able to match and use for SLEAP awards. Should reallotted funds become available for awards, your request for additional funds will then be reviewed, and you will be advised as to the amount of reallotted funds to be made available to your state. Allotments and reallotments are contingent upon the adequacy of available matching funds (two-to-one), maintenance-of-effort expenditures, and meeting the SLEAP special (base) rule in section 415E(f) of the HEA.

*Special Rule is the same for both SLEAP and GAP: For purposes of determining a state's share of the cost of the authorized activities under SLEAP or GAP, a state shall consider only those expenditures from non-Federal sources that exceed the state's total expenditures for need-based grants, scholarships, and work-study assistance for fiscal year 1999, including state funds reported under LEAP.*

**Request for GAP:** If you choose to apply for GAP funding, enter the TOTAL FEDERAL FUNDS you request for your state from the fiscal year 2010 appropriation to provide LEAP Grants under GAP to students in award year 2010-2011. Basic allotments are contingent upon the adequacy of available matching funds\* (43% or 33 <sup>34</sup>/<sub>100</sub>%), maintenance-of-effort expenditures, and meeting the GAP special (base) rule in section 415E(f) of the HEA. States must use not less than ninety-eight percent (98%) of its Federal allotment under GAP to make LEAP Grant awards to students under its GAP Program. A State that receives an allotment under GAP may reserve not more than two percent (2%) of its Federal allotment annually for State administrative functions required for administering the partnership and other GAP Program activities.

*\*The state match of the Federal allotment must be forty-three percent of the total expenditures if a State applies for a GAP allotment in partnership with degree-granting institutions of higher education in the State whose combined full-time enrollment represents less than a majority of all students attending institutions of higher education in the State, or thirty-three and thirty-four onehundredths percent of the total expenditures if a State applies for a GAP allotment in partnership with degree-granting institutions of higher education in the State whose combined full-time enrollment represents a majority of all students attending institutions of higher education in the State.*

## **Page 1, Part C: State Matching Funds Available**

### Instructions for Part C Items 13 through 16

**NOTE: Amounts entered in this section signify the state's commitment to provide the state matching funds required by section 415C(b)(10) and 415E(b) of the LEAP and SLEAP program statutes.**

Section 415C(b)(10) requires that state funds for the LEAP and SLEAP programs be used for matching federal LEAP and SLEAP allotments. Item 13 must include the total state funds appropriated by the state for need-based (undergraduate and graduate) awards. Item 14 must include total state funds from Public Tuition Revenues from all public institutions within the State for need-based (undergraduate and graduate) awards. Item 15 must include total state funds from other sources (e.g., state lottery program) for need-based (undergraduate and graduate) awards. Item 16 must include all funds for non-need based (undergraduate and graduate) awards.

The total of item 13, 14, 15 and 16 includes all state expenditures, (appropriated funds and funds from other sources) for grants and work-study jobs for students projected for the 2010-2011 award year (need-based and non-need-based awards, both to undergraduates and graduates), but does not include the LEAP and SLEAP federal share you anticipate. Please note that including all state aid funds in Part C, does not indicate the level of expenditures your state will be required to match under LEAP and SLEAP programs. This section only indicates the availability of all known or projected state aid funds and used to determine a state's ability to meet its base, and matching requirements under the programs.

For a state to receive the full amount it requests in item 11 for the LEAP Program, the total of item 13 through 16 must be at least as large as the sum of: (1) the state's base-year amount, which is on file with the Department and derived from expenditure data when your state first entered the LEAP Program, (2) its award year 2010-2011 basic LEAP allotment, and (3) the amount of reallotment LEAP funds requested (if any).

For a state to receive the full amount it requests in item 12 for the SLEAP Program, the total of item 13 through 15 must be at least as large as the sum of: (1) the state's total expenditures for need-based grants, scholarships, and work-study assistance for the 1999-2000 award year, (2) double its award year 2010-2011 basic SLEAP allotment, and (3) double the amount of reallocation SLEAP funds requested (if any).

### **Page 1, Part D: Institutional Eligibility Within Your State**

#### Instructions for Items 17 and 18

Section 415C(b)(5) requires that all public and nonprofit institutions in a state must be eligible to participate in LEAP and SLEAP unless excluded by the state's constitution or a statute before October 1, 1978.

Please select all types of institutions that are eligible to participate in your state's LEAP and SLEAP programs. If any public or nonprofit institutions are not eligible, please indicate the reason and cite the appropriate state law.

### **Page 2, Part E: State Program names and Maximum**

#### Instructions for Section F

Enter the name of the state program(s) that make up the LEAP Program in your state. Also, if participating in SLEAP, enter the name of the state program(s) that make up this component. Please include the maximum grant amount for the program(s) listed in this section as well. *For example: State Program Name, \$3000.*

### **Page 2, Part F: State Determination of Substantial Financial Need of Students**

#### Instructions for Part F

This section is designated to enable the Secretary to review and approve your state's criteria for the selection of recipients under the LEAP and SLEAP programs on the basis of substantial financial need as provided by section 415C(b)(4). Use the space provided on the form to explain your answers to the questions in this section.

#### Instructions for Items 21-22

Please forward an electronic copy in Portable Document Format (PDF) of any state forms used by your state for determining student eligibility for your state LEAP and SLEAP programs. For the purposes of this question, a form includes any electronic data collection from the student.

#### Instructions for Item 23

The methodology used by your state to determine student financial need, if not the Federal Needs Analysis Methodology, must be explained in sufficient detail to allow the Secretary to determine its adequacy. Please forward an electronic copy in PDF of all descriptive materials produced by your state regarding your state's need analysis methodology.

#### Instructions for Item 24

If your answer to 24 is no, you must 1) provide the reason(s) why your state wishes to use a variant "independent student" definition in sufficient detail to allow the Secretary to determine whether its approvable; and 2) provide a detailed description of your state's "independent student" definition used in your LEAP and SLEAP programs. Please use the space provided on the form.

You must check "No" for item G4 if your state does not allow a financial aid administrator's professional judgment to document a student's independent status.

#### Instructions for Item 25

The criteria used for determining whether a student's need is substantial must be explained in sufficient detail to allow the Secretary to determine their adequacy. The following are examples of how a state may define substantial need:

- A minimum level of relative need as measured by the difference between a student's cost of attendance and the resources available to meet that cost.
- A measure of a family's ability to pay for a student's educational expenses, such as a maximum expected family contribution.

- A process of selecting recipients on the basis of a ranking of eligible applicants according to their financial need.

### **Page 2, Part G: LEAP State Maintenance of Effort (MOE) Requirement**

#### Instructions for Part G

Section 415C(b)(8) provides that state LEAP expenditures shall not be less than the average annual aggregate expenditures for the proceeding three award years or the average annual expenditures per full-time equivalent student for such years.

In this section show your state's LEAP expenditures used to match the federal LEAP allotment. Include only those state funds which the state uses to match the federal allotment and which are awarded in accordance with all the LEAP Program statutory and regulatory requirements. Do not include federal funds or other expenditures for state grants that are not considered part of your federal LEAP Program.

#### Instructions for Items 26

Use actual state matching expenditures under the LEAP Program. These figures should equal the total amount of state matching expenditures under the LEAP Program as reported on your performance report for the corresponding award years. Please verify your state's matching expenditures are accurately reported to the Secretary on your state's performance report under the LEAP Section(s). Any changes to what was previously reported on your state's performance report must be amended and resubmitted to the Department along with this application.

#### Instructions for Item 26d

Use best available state matching figures under your state's LEAP Program.

#### Instructions for Item 26e

Use best available state matching figures under your state's LEAP Program for the projected (application) award year.

#### Instructions for Item 27

If information is required for item 27, enter the total full-time equivalent enrollment of all institutions of higher education in your state that are eligible to participate in your state's LEAP Program.

### **Page 3, Part H: SLEAP or GAP Base Year Requirement**

#### Instructions for Item 28

Section 415E(i) requires states, for purposes of determining its share of the cost for SLEAP or GAP, to consider only those expenditures from nonfederal sources that exceed its total expenditures for need-based grants, scholarships, and work-study assistance for award year 1999-2000.

If your state has previously applied for SLEAP funding, the amount reported here would remain the same as previously reported on your state's application to participate and as approved by the Secretary. If your state has not applied for SLEAP funding in the past, the amount reported here should be equivalent to the need-based aid expenditures your state might have reported to the Secretary on its 1999-2000 performance report under Part I.

### **Page 3, Part I: SLEAP or GAP MOE Requirement**

#### Instructions for Items 29 and 30

The SLEAP or GAP Maintenance-of-Effort (MOE) for the 2010-2011 award year requires that a state's expenditures from non-federal funds for the SLEAP or GAP authorized activities, in the aggregate or per student, in the 2009-2010 award year must not be less than its expenditures for those same authorized activities, in the aggregate or per student, in the 2008-2009 award year.

#### ***The following instructions apply for state's applying for SLEAP funding:***

If your state received SLEAP funding in award year 2008-2009, the data you enter for Item 29a must represent your state's 2008-2009 award year total non-federal expenditures for the three SLEAP authorized postsecondary activities.

Further, the data you enter for Item 29a of this application must equal the data you provided in Part III, Section A, Item 1 on the performance report for the 2008-2009 award year. If the data provided on the 2008-2009 performance report is incorrect, you must amend that report and submit along with this application.

The data you enter for Item 29b must represent your reasonable projected 2009-2010 award year total non-federal expenditures for the three SLEAP authorized postsecondary activities.

Compare your state's projected 2009-2010 award year total non-federal expenditures for the three SLEAP authorized postsecondary activities reported in Item 29b with your state's final 2008-2009 award year non-federal expenditures for the same SLEAP postsecondary activities reported in Item 29a. The 2009-2010 award year figures, when finalized must equal or exceed the final data for the 2008-2009 award year for the same three authorized postsecondary activities. If not, you must complete Item 30.

If information is required in this item for the SLEAP MOE, enter the total number of students who received assistance for the three SLEAP authorized postsecondary activities for the 2008-2009 award year in Item 30a and for the 2009-2010 award year in Item 30b.

***The following instructions apply for state's applying for GAP funding:***

Because states can only participate in the GAP Program starting in the 2010-2011 award year, the total state expenditures for authorized GAP activities which include both grants and administrative costs for the 2008-2009 and 2009-2010 award years would be zero. Your state's GAP MOE would not be relevant to qualifying for an allotment until the 2012-2013 award year.

***Page 3, Part J: SLEAP Authorized Activities***

Instructions for Part J

The SLEAP Program for the 2010-2011 award year includes three authorized activities to assist states in providing financial assistance to eligible postsecondary students who demonstrate financial need. Under the SLEAP Program for the 2009-2010 award year a state may do the following:

If your state is applying for the SLEAP Program, please indicate each activity your state plans to fund using its SLEAP allotment for the 2010-2011 award year.

***Page 3, Part K: State Matching Funds Available Under the Grants for Access and Persistence (GAP) Program***

Instructions for Part K

**NOTE: Amounts entered in this section signify the state's commitment to provide the state matching funds required by section 415E(b)(2) under the GAP program statute.**

Section 415E(b)(2) of the HEA provides that the non-Federal matching funds for a State's GAP Program may be cash or a noncash, in-kind contribution that has monetary value and helps a student meet the cost of attendance at an institution of higher education. Matching funds do not include funds used to meet administrative costs.

*Cash that qualifies as matching funds may include, but is not limited to, State appropriated funds or other State funds such as funds from a State lottery or tuition revenue at public institutions of higher education. Matching cash may also be grants to students provided by private institutions or philanthropic organizations or private corporations.*

If your state applies for GAP funding, please complete Part K. Please include any matching funds directly provided by your state for LEAP Grants under GAP in item 32, such as a direct appropriation or State lottery program. Please indicate any matching funds by your state coming from institutions of higher education in items 33a – 33c. Please specify any matching funds coming from philanthropic organizations within your state's partnership in item 34. Please specify any funds coming from private corporation(s) within your state's partnership in item 35.

*An in-kind contribution is a noncash contribution that has monetary value, such as a tuition waiver, the provision of room and board, transportation passes, or other provisions that help a student meet the cost of attending an institution of higher education. In-kind contribution must be considered to be estimated financial assistance under 34 CFR 673.5(c). As in the case of matching cash, matching in-kind contributions may be provided by the State, institutions of higher education, or philanthropic organizations or private corporations.*

Please include any in-kind contribution in item 36.

*Regardless of whether the funds are cash or are an in-kind contribution, funds would qualify as matching funds only if awarded in accordance with the GAP Program requirements, and the matching funds would be considered title IV, HEA program assistance.*

Please indicate whether your state plans to use any of its Federal allotment for administrative costs in item 37. If your state chooses to do so, only up to 2% is allowable under the program statute.

### **Page 3, Part L: LEAP Grant Award Amounts Under GAP and Institutional Participation**

#### Instructions for Item 38

Please indicate established minimum and maximum range of awards under your state's GAP Program. The maximum amount must meet 34 CFR 692.111(b); there is no limitation on the maximum award. Also, please include the name of your state's GAP Program.

#### Instructions for Item 39 and 40

States may restrict the use of LEAP Grants under GAP only to students attending institutions of higher education that are participating in the partnership. Please indicate if your state is placing a restriction on its awards to students. If states provide LEAP Grants to students attending institutions of higher education located in another state, LEAP Grants under GAP may also be used at institutions of higher education located in another state. Please indicate if your state will allow for such portability of grant awards to students under your state's GAP Program.

### **Page 4, Part M: Identify Your State Partnership**

#### Instructions for Part M

**Section 415E(c)(3) provides that states applying for an allotment under GAP, must apply for the allotment in partnership with at least:**

- One public and one private degree-granting institution of higher education located in your state; and
- Two early intervention programs (includes early information, intervention, mentoring, or outreach) located in your state; and
- One philanthropic organization located in, or that provides funding in, your state; or one private corporation located in, or that does business in your state.

#### Instructions for Item 41 and 42

Please identify all public degree-granting institutions of higher education in your state's partnership. Please include name, official address, and OPE ID number in the space provided on the form.

Please identify all private degree-granting institutions of higher education in your state's partnership. Please include name, official address, and OPE ID number in the space provided on the form.

Section 415E(c)(2)(B)(ii) gives the Secretary the authority to give priority in making allotments to states under GAP if the state applies for an allotment in partnership with any number of degree-granting institutions of higher education in the state whose combined full-time enrollment represents a majority of all students attending institutions of higher education in the state.

Please indicate, by checking the box on the form proceeding Item 42, if the institutions identified meet this requirement. The Department will use the most recently available IPEDS data to determine matching requirement.

#### Instructions for Item 43

Please identify at least two early intervention programs in your state's partnership. Section 415E(c)(3) of the HEA, requires that a state partnership have more than one program that offers an early intervention component (includes early information, intervention, mentoring, or outreach). A State or private organization that has a single early intervention program that includes several components or programs within its structure would satisfy the requirement of having more than one early intervention program. Please include name of the programs and official address in the space provided on the form.

#### Instructions for Item 44

Please identify at least one philanthropic organization or Private Corporation in your state's partnership. Please include name and official address in the space provided on the form.

#### **Page 4, Part N: Your State's Plan for GAP**

#### Instructions for Item 45

Section 415E(c)(1)(B)(v) of the HEA provides that a State's application for a GAP allotment must include a description of the organizational structure that the State has in place to administer the activities in its GAP program, including a description of how the State will compile information on degree completion of students receiving grants under this section.

Please use the space provided on the form to complete this section of your state's written plan. *Please note that the field does allow for multiple lines and an unlimited number of characters.*

#### Instructions for Item 46

As the program rules state in section 692.100(a)(1), please describe your state's plan for using the Federal funds allotted under GAP and the non-Federal matching funds. Include the methods by which matching funds will be paid.

Please use the space provided on the form to complete this section of your state's written plan. *Please note that the field does allow for multiple lines and an unlimited number of characters.*

#### Instructions for Item 47

Section 415E(c)(1)(B)(vi) of the HEA provides that a State's application for a GAP allotment must include a description of the steps the State would take to ensure that students who receive LEAP Grants under GAP would persist to degree completion.

Please use the space provided on the form to complete this section of your state's written plan. *Please note that the field does allow for multiple lines and an unlimited number of characters.*

#### **Page 5, Part N: Your State's Plan for GAP**

#### Instructions for Item 48

Section 415E(c)(1)(B)(vii) of the HEA provides that a State would identify eligible low-income students and award such students LEAP grants under GAP.

Please use the space provided on the form to complete this section of your state's written plan. Please describe your state's method to identify eligible students. Include your state's policy that defines the term "eligible student" in your state. *Please note that the field does allow for multiple lines and an unlimited number of characters.*

#### Instructions for Item 49

Section 415E(c)(4)(A)(i)(III) of the HEA provides that a State shall encourage each institution of higher education in the State to participate in its partnership.

Please use the space provided on the form to complete this section of your state's written plan. *Please note that the field does allow for multiple lines and an unlimited number of characters.*

#### Instructions for Item 50

Section 415E(c)(4)(A)(i)(IV), 415E(d)(2) of the HEA provide that a State make determinations and notify low-income students in grades seven through 12 in the State, and their families, of their potential eligibility for student financial assistance, including a LEAP Grant under GAP award, to attend an institution of higher education. According to the GAP Program rules, a State may consider an "eligible student" to be all students submitting an application, thus including potentially eligible students. It is believed this approach minimizes the State's administrative burden. A State may consider an "eligible student" to be students awarded LEAP Grants, or, at a minimum, recipients of LEAP Grants.

Notifications must be to individual students rather than general notifications; a State may use electronic media; and a State may rely on institutions as the agent of the State to provide the notifications.

Please use the space provided on the form to complete this section of your state's written plan. *Please note that the field does allow for multiple lines and an unlimited number of characters.*

#### Instructions for Item 51

Section 415E(c)(4)(B) provides that degree-granting institutions of higher education that are in a State's partnership are required to:

- recruit and admit participating qualified students and provide such additional institutional grant aid to participating students as agreed to with the State agency;
- provide support services to students who receive LEAP Grants under GAP and are enrolled at such institution; and
- assist the State in the identification of eligible students and the dissemination of early notifications of assistance as agreed to with the State agency; and
- may provide funding for early information and intervention, mentoring, or outreach programs or provide such services directly.

Please use the space provided to describe, in detail, the agreement your state has with its partnering degree-granting institutions of higher education. Clearly describe the role the institutions have in the partnership. *Please note that the field does allow for multiple lines and an unlimited number of characters.*

#### Instructions for Item 52

Section 415E(c)(3) provides that a State apply for a GAP allotment with, among others, early intervention programs located in the State.

Your state must have at least two early intervention programs in your state's partnership. As mentioned earlier under Part M of these instructions, if your state or private organization has a single early intervention program but includes several components or programs within its structure, this would satisfy the requirement of having more than one early intervention program.

Section 415E(c)(4)(C) requires that an early intervention program in a partnership must provide direct services, support, and information (direct services) to participating students.

For this purpose, early intervention services include, but are not limited to, direct services such as after-school and summer-school tutoring, test preparation, assistance in obtaining summer jobs, career mentoring, a summer-bridge component, i.e., a precollege campus experience, and academic, personal and career counseling. These services may be provided through electronic media if the electronic media is appropriate to the direct service provided and interactively and directly engages individual students. Disseminating literature, or providing informational web sites, does not qualify as direct services.

Please use the space provided on the form to complete this section of your state's written plan. *Please note that the field does allow for multiple lines and an unlimited number of characters.*

### **Pages 6 and 7, Part O: Assurances and Signature Page**

#### Assurances

Please read the assurances on the last two pages of the application form and indicate you've read each assurance statement by checking the "I've read" box immediately following each statement.

#### Submission

Please indicate you've read the submission and certification box by checking the "I've read" box immediately following the submission statement.

Include the name and title of your state agency's Chief Executive Officer in the space provided. Also include the name and title of the designee submitting the application to the Department. Prior to submitting you may wish to review the **General Information about this Form** section on page 1 of these instructions.