U.S. DEPARTMENT OF EDUCATION
OFFICE OF POSTSECONDARY EDUCATION
WASHINGTON, D.C. 20006-8524

FY 20XX
APPLICATION FOR GRANTS
UNDER THE
GAINING EARLY AWARENESS & READINESS FOR
UNDERGRADUATE PROGRAMS (GEAR UP)
PARTNERSHIP GRANTS

CFDA Number 84.334A

FORM APPROVED

OMB No. 1840-0821, Expiration Date: 8/31/2015

DATED MATERIAL – OPEN IMMEDIATELY
CLOSING DATE: **TBD**

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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 package for the fiscal year (FY) 20XX GEAR UP Partnership grant competition. Included in this application package are the program statute and regulations, and the instructions and forms needed to submit a complete Partnership application package to the U.S. Department of Education (Department) through Grants.gov.

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- or seven-year grants to partnerships to provide services at high-poverty middle and high schools and through the first year of college. The services include: providing information regarding financial aid for postsecondary education to participating students in the cohort, encouraging student enrollment in rigorous and challenging curricula and coursework, and improving the number of participating students who obtain a secondary school diploma and complete applications for and enroll in a program of postsecondary education. GEAR UP funding can also be used to provide scholarships to students.

This letter highlights a few items in the FY 20XX 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 Department's Web site at:

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

[Information about priorities, which have not yet been determined for FY 20XX, will be inserted here.] For additional information about the FY 20XX priorities, refer to the Federal Register Notice Inviting Applications for New Awards (Notice) for FY 20XX in this application booklet.
Please be sure to review thoroughly this entire application booklet for information concerning the GEAR UP program. Applicants should pay particular attention to the section entitled "Competition Highlights" that outlines program and competition details.

The Department is requiring that applications for FY 20XX 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 this application package. Grants.gov is accessible through its portal page at: http://www.grants.gov.
We also urge you to consider the following 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 a number of factors, including the size of the files 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 on your application the DUNS number that was used when your organization registered with the System for Award Management (SAM).

Please carefully review the enclosed materials regarding eligibility and program requirements**.** Also, please note GEAR UP grantees are obligated to provide at least 50 percent of the total project cost (a dollar-for-dollar match) from State, local, institutional, or private funds in the form of cash or documented in-kind contributions.

The Notice published in the Federal Register is the official document describing the requirements for applying for a GEAR UP Partnership grant and provides application submission procedures. You should not rely upon any information that is inconsistent with the guidance contained within the official document.

We appreciate your interest in the GEAR UP program. For further information regarding the project, please contact James Davis, Director, GEAR UP and TRIO Talent Search Division, at (202) 502-7802 or at james.davis@ed.gov.

> Sincerely,
>
> /Signed/
>
>
> James T. Minor, Ph.D.
> Deputy Assistant Secretary for
> Higher Education Programs

1. **Purpose of the Program**
   The GEAR UP program is a discretionary grant program which encourages applicants to provide support and maintain a commitment to eligible low-income students, including students with disabilities, to assist the students in obtaining a secondary school diploma and preparing for and succeeding in postsecondary education.

2. **Eligible Applicants**
   A partnership consisting of one or more local educational agencies (LEA) and one or more degree granting institutions of higher education (IHE), which may include not less than two other community organizations or entities, such as businesses, professional organizations, State agencies, institutions or agencies sponsoring programs authorized under subpart 4, or other public or private agencies or organizations.

3. **Competitive Preference Priorities**
   FY 20XX priorities have not yet been determined. This information will be updated prior to the FY 20XX competition.

4. **Invitational Priority**
   FY 20XX priorities have not yet been determined. This information will be updated prior to the FY 20XX competition.

5. **Electronic Submission of Applications**
   GEAR UP applications submitted for the FY 20XX competition must be submitted electronically using Grants.gov, accessible through its portal page at:

   http://www.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. For technical support regarding Grants.gov, please email Grants.gov Contact Center at support@grants.gov or by telephone at 1-800-518-4726. Also, refer to "Grants.Gov Submission Procedures and Tips for Applicants" found in this application booklet.

   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. You must provide on your application the Data Universal Numbering System (DUNS) number that was used when your organization registered with the System for Award Management (SAM).

   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 20XX (the Notice) and qualify for one of the exceptions to the electronic submission requirements. If you think you may need an exception, you are urged to review the requirement promptly.

Please note that you must submit your application by 4:30:00 p.m. (Washington, D.C. time) on or before the application deadline date. Late applications <u>will not be accepted</u>. 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.

6.   **Format of Application**
Applicants must double space the application project narrative and use a font that is either 12-point or larger.   However, charts, tables, figures, graphs, footnotes, and endnotes may be single spaced but font must be 12-point or larger. The following fonts are required to be used: Times New Roman, Courier, Courier New, or Arial. **<u>Applications submitted in any other font, including Times Roman and Arial Narrow, will not be accepted</u>**.

All attachments must be in PDF format only. Other types of files will not be accepted.

7.   **GEAR UP Program-Specific Forms**
The following forms are specific to the GEAR UP program and should be reviewed carefully to ensure accuracy of information. Additional information on these documents is provided in this application package.

- ❑   Students To Be Served Form
- ❑   Project Budget Summary Form (and Detailed Budget Narrative)
- ❑   Applicant Organization Identification Form and Cost Share Worksheet
- ❑   Partner Identification Form and Cost Share Worksheet
- ❑   Documentation of Student Eligibility for Free or Reduced – Price 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.

8.   **Page Limit**
The "Notice Inviting Applications" for new awards for FY 20XX, published in the <u>Federal Register,</u> contains specific information governing page limits for each grant type and formatting instructions. **The total page limit for the project narrative portion of the application for the FY 20XX GEAR UP competition is 40 pages. The page limit for the project competitive preference priorities and invitational priority narrative portion only is [to be determined] pages.**

9.   **Project Abstract**
The project abstract is limited to one page, single spaced. The abstract should include: applicant name, 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 six- or seven-year performance period.

10. **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.

11. **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.

12. **Notice to Unsuccessful Applicants**
Unsuccessful applicants will be notified in writing following the notice to successful applicants.

13. **Annual Performance Report Requirements**
If you receive a FY 20XX new grant award, you will be required to submit annual and final performance reports during the six- or seven-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://www2.ed.gov/programs/gearup/index.html.

Partnership grantees providing scholarships must report, annually to the Secretary, information on Federal and non-Federal reserved funds held for GEAR UP scholarships and the disbursement of these funds to eligible students until these funds are fully expended or returned to the Secretary.

14. **Contact Information**
For GEAR UP program-related questions and assistance, please contact:
Program Officer: Monique Bolton
Address: Gaining Early Awareness and Readiness for Undergraduate Programs
                       U.S. Department of Education
                       1990 K Street, N.W., Room 7100
                       Washington, D.C. 20006-8524
Telephone: (202) 502-7673
Fax: (202) 219-7074
E-mail Address: Monique.Bolton@ed.gov

For technical support regarding Grants.gov, please contact:
Telephone: (800) 518-4726
Email: support@grants.gov
Grants.gov Contact Center is open 24 hours a day, 7 days a week.
Also, refer to "Grants.gov Submission Procedures and Tips for Applicants" found in this application booklet.

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

Grants.gov Organization Registration Instructions

The following instructions provide registration guidance for a company, academic or research institution, State, local or tribal government, not-for-profit, or other type of organization. Registration is a one-time process that is required before representatives of an organization can submit grant application packages electronically through Grants.gov. **The registration process can take up to four weeks** depending on your organization and whether all steps are taken in a timely manner. For more information, visit http://www07.grants.gov/applicants/get_registered.jsp.

Note: If you are an individual applying for a grant on your own behalf and not on behalf of a company, academic or research institution, state, local or tribal government, not-for-profit, or other type of organization, visit http://www.grants.gov/applicants/individual_registration.jsp. If you apply as an individual to a grant designated for organizations, your application will be rejected.

STEP 1: OBTAIN DATA UNIVERSAL NUMBER SYSTEM (DUNS) NUMBER

WHY?
- The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. DUNS numbers identify your organization.

HOW?
- Ask the grant administrator, chief financial officer, or authorizing official of your organization to identify your DUNS number.
- If your organization does not know its DUNS number or needs to register for one, visit Dun & Bradstreet at http://fedgov.dnb.com/webform/displayHomePage.do.

TIME REQUIRED?
- Same day. You will receive DUNS number information online.

STEP 2: REGISTER WITH SYSTEM FOR AWARD MANAGEMENT (SAM)

WHY?
- Registering with SAM is required for organizations to use Grants.gov.

HOW?
- Ask the grant administrator, chief financial officer, or authorizing official of your organization if your organization has registered with SAM.
- If your organization is not registered, apply online at http://www.sam.gov.
- When your organization registers with SAM, you must designate an E-Business Point of Contact (E-Biz POC). This person will identify a special password called an MPIN.
- This MPIN gives the E-Biz POC authority to designate which staff members from your organization are allowed to submit applications electronically through Grants.gov. These designated staff members are called Authorized Organization Representatives (AORs).

TIME REQUIRED?

- If your organization already has an Employment Identification Number (EIN) or Taxpayer Identification Number (TIN), allow one to three business days to complete the entire SAM registration.
- If your organization does not have an EIN or TIN, allow two weeks for obtaining the EIN or TIN from the Internal Revenue Service (IRS) if requested via phone or Internet.
- *Your organization needs to renew its SAM registration once a year, which may take up to five business days. You will not be able to move on to Step 3 until this step is completed.*

STEP 3: CREATE GRANTS.GOV USERNAME & PASSWORD

WHY?
- An AOR username and password serves as an "electronic signature" when submitting a Grants.gov application.

HOW?
- To create a username and password, AORs must complete a profile on Grants.gov (using their organization's DUNS number) at https://apply07.grants.gov/apply/OrcRegister.
- AORs must wait one business day after their organization registers with SAM before creating a profile.

TIME REQUIRED?
- Same day. After the AOR has completed their profile they will be prompted to create a username and password that will allow the user to log in and check their approval status immediately.

STEP 4: AOR AUTHORIZATION

WHY?
- Only the E-Biz POC can approve AORs, who then have the ability to submit applications on behalf of the organization.

HOW?
- When an AOR registers with Grants.gov, that organization's E-Biz POC is notified by email.
- The E-Biz POC must then log in to Grants.gov (using the organization's DUNS number for the username and the MPIN password obtained in Step 2) and approve the AOR, thereby giving him or her permission to submit applications.
- When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation e-mail.

TIME REQUIRED?
- This depends on how long it takes the E-Biz POC to log in and approve the AOR. Once the approval is completed, the AOR can immediately submit an application.

STEP 5: TRACK AOR STATUS

WHY?

- To verify that the organization's E-Biz POC has approved the AOR.

HOW?

- AORs can log in using their username and password (obtained in Step 3) to check if they have been approved by the E-Biz POC.

TIME REQUIRED?

- Logging in as an applicant is instantaneous. The approval process depends on how long it takes the E-Biz POC to log in and approve the AOR.

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 of Education.

ATTENTION – Browser Support

Grants.gov is a Custom Java Application that uses standard web-browsers as the client. Grants.gov leverages the latest web technologies such as Ajax which relies extensively on JavaScript, HTML, and CSS. Grants.gov recommends you use the most up-to-date web browser possible for the best User Experience. If you are unsure about which version of the browser you are using, please check the following places:

- **Microsoft IE** – the *About Internet Explorer* setting under Help on your toolbar
- **Firefox** – the *About Firefox* setting under Help on your toolbar
- **Chrome**- the *About Google Chrome* setting under the *Customize and Control Google Chrome* option (located on the far right ☰) in your toolbar options for your browsers.

The table below lists supported Web Browsers:

Web Browser	Support	Comments
Microsoft IE 9/10/11	Supported	
Mozilla Firefox	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Google Chrome	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Apple Safari	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.

For additional information of updates, please see the Grants.gov Browser Support Page.
http://www.grants.gov/web/grants/support/technical-support/software/browser-support.html

ATTENTION – Adobe Forms and PDF Files Required
Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader

10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: **compatibility table**. We strongly recommend that you review these details on **www.Grants.gov** before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under "Attaching Files – Additional Tips.") 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.

1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM (www.sam.gov) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. 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. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: http://www.grants.gov/web/grants/register.html [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR)).]

   Primary information about SAM is available at www.sam.gov . However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account the Department of Education has prepared a SAM.gov Tip Sheet which you can find at: http://www2.ed.gov/fund/grant/apply/sam-faqs.html

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 to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

   Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR - Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Vali-

dated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/ award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline 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/web/grants/applicants/grant-application-process/application-statuses.html. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html. 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 timely 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 http://www.grants.gov/web/grants/about/contact-us.html, or access the Grants.gov Self-Service web portal at: https://grants-portal.psc.gov/Welcome.aspx?pt=Grants

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 4:30:00 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 logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to http://www.grants.gov/web/grants/about/contact-us.html for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov http://www.grants.gov/web/grants/support/general-support/faqs.html.

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.)**

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MAC Users
</div>

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: http://www.grants.gov/web/grants/support/technical-support/recommended-software.html. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, 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.)

Attaching Files – Additional Tips
Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.*PDF files only*** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

<div align="right">2/2015</div>

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 by 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 Grants.gov portal site (http://www.grants.gov) by 4:30:00 p.m. (Washington, D.C. time) on or before the deadline date. Applications received by Grants.gov are date and time stamped.

Submission of Paper Applications by Mail:
If you qualify for an exception to the electronic submission requirement, you may submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, 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**)
LBJ Basement Level 1
400 Maryland Avenue, S.W.
Washington, DC 20202-4260

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.

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 paper application 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**)
550 12th Street, S.W.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 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.

NOTE: The FY 20XX Notice Inviting Applications has not yet been developed. The NIA from the previous competition has been inserted here as a placeholder. The FY 20XX NIA will be inserted here prior to the announcement of the competition.

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Gaining Early Awareness and Readiness for Undergraduate Programs (Partnership grants)

AGENCY: Office of Postsecondary Education, Department of Education

ACTION: Notice.

Overview Information:

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

Notice inviting applications for new awards for fiscal year (FY) 2014.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.334A.

Dates:

Applications Available: June 4, 2014.

Deadline for Transmittal of Applications: July 7, 2014.

Deadline for Intergovernmental Review: September 2, 2014.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The GEAR UP Program is a discretionary grant program that provides funding for academic and related support

services to eligible low-income students, including students with disabilities, to help them obtain a secondary school diploma and to prepare for and succeed in postsecondary education. Services must include providing financial aid information, encouraging enrollment in challenging coursework in order to reduce the need for remediation at the postsecondary level, and implementing activities to improve the number of students who obtain a high school diploma and complete applications for and enroll in a program of postsecondary education. GEAR UP funds may also be used to provide a number of additional support services such as mentoring, tutoring, academic and career counseling, and exposure to college campuses.

Priorities: This notice contains two competitive preference priorities and one invitational priority. Competitive Preference Priority 1 is from the notice of final supplemental priorities and definitions for discretionary grant programs, published in the Federal Register on December 15, 2010 (75 FR 78486), and corrected on May 12, 2011 (76 FR 27637) (Supplemental Priorities). Competitive Preference Priority 2 is from the notice of final priority published in the Federal Register on March 27, 2014 (79 FR 17035).

Competitive Preference Priorities: For FY 2014 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are competitive preference

priorities. Under 34 CFR 75.105(c)(2)(i), we award up to an additional 8 points to an application, depending on how well the application meets these priorities.

Competitive Preference Priority 1—Increasing Postsecondary Success (up to 5 additional points):

Background:

The Department is using Competitive Preference Priority 1 to focus on increasing readiness for success once students reach the postsecondary level. Postsecondary completion rates among students from low-income schools are unacceptably low. The Department believes that GEAR UP projects can play a strong role in improving the postsecondary outcomes of their participants by placing a greater emphasis in two areas: (1) college fit, and (2) college readiness at the postsecondary level. The Department is interested in receiving applications with strong plans designed to address one or both of these focus areas.

College Fit:

The concept of college fit combines traditional approaches to college advising, such as assistance with test preparation, research, admissions applications, and financial aid applications, with strategies to improve college selection so that students are more aware of and likely to seriously consider or choose institutions that are a good "fit" with their qualifications, academic and career interests, and financial, personal, and

social needs. College fit builds on the body of research on

"undermatching," which demonstrates that students are more likely

to complete college when they attend the most academically

demanding institution that will admit them. Research has also

found that academically prepared low-income students may not be

fully aware of the colleges accessible to them and may not be

evaluating a full range of college choice factors that could

influence the decision about whether to apply to and enroll in the

most selective colleges for which they are qualified.[1] Research

indicates that high-achieving, low-income students have greater

success at more appropriately matched institutions.[2] More

narrowly, research on very high-achieving, low-income students has

demonstrated that these students will apply to highly selective

institutions if it is communicated that they could be admitted to

selective institutions and if they understand that financial aid

is available.[3] Understanding that GEAR UP projects serve students

with widely varying levels of academic achievement, and college

selection is based on numerous factors, we are interested in

receiving applications for GEAR UP funds that propose strategies

around improving college guidance opportunities and successful fit

[1] Jonathan Smith, Matea Pender, Jessica Howell, "The Full Extent of Student-College Academic Undermatch," College Board Advocacy and Policy Center, January 2012, www.aefpweb.org/sites/default/files/webform/Extent%20of%20Undermatch.pdf.
[2] William G. Bowen, Matthew M. Chingos & Michael S. McPherson, Crossing the Finish Line: Completing College at America's Public Universities, Princeton University Press, 2011.
[3] Caroline Hoxby & Sarah Turner, "Expanding College Opportunities for High-Achieving, Low Income Students," Stanford Institute for Economic Policy Research, March 2013.

for a broad range of low-income students, not just the highest performers. In this regard, we believe that GEAR UP grantees can improve college fit by designing new ways to reach students with information about college options and improving counseling on college selection, such as--

- Exposing students to a wider array of college options including those that match with their academic qualifications;

- Using a variety of ways to communicate semi-customized information to students about the range of colleges for which they may be qualified, the availability and scale of financial aid, and the relationship of long term considerations (such as graduation rate and post-graduate opportunities) to college choice;[4]

- Using innovative methods to reach students, such as through text messaging, with information about college options and completing the application process, and using innovative resources and tools, including those available online, to assist students in researching college options and available financial aid;[5] and,

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[4] Caroline Hoxby & Sarah Turner, "Expanding College Opportunities for High-Achieving, Low Income Students," Stanford Institute for Economic Policy Research, March 2013, http://siepr.stanford.edu/?q=/system/files/shared/pubs/papers/12-014paper.pdf.

[5] Benjamin L. Castleman and Lindsay C. Page, "Summer Nudging: Can Personalized Text Messages and Peer Mentor Outreach Increase College Going Among Low-Income High School Graduates?," Center on Education Policy and Workforce Competitive-ness, updated October 2013, http://curry.virginia.edu/uploads/resourceLibrary/ 9_Castleman_SummerTextMessages.pdf

- Connecting students to "near peer" advisers to provide

  counseling to students about college choices.[6] Near peer

  advisers offer students unique opportunities for sharing college

  information, are easier for students to approach than adult

  advisers, and typically develop relationships that are longer

  lasting than those established with adults.

  <u>Ensuring College Readiness by Preventing Remediation</u>:

  GEAR UP grantees can improve college readiness by identifying

at an early age students likely to be referred to remediation at

the postsecondary level and by engaging in strategies to address

their needs at the secondary level to make taking such courses in

college unnecessary. Each year, rather than being able to enroll

in entry-level general education courses in subject areas such as

reading or math that are required as a part of almost any

postsecondary program of study, millions of beginning college

students are referred to noncredit-bearing "developmental" or

"remedial" courses based on their performance on a placement test

or academic reference. Remedial or developmental courses are

designed to bring academically underprepared students to expected

competency levels for college-level work. Remediation needs are

common at all types of colleges. The share of first year

undergraduate students at four-year institutions who reported

taking a remedial course in 2012 is approximately 29.5 percent at

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[6] See MDRC, "Make Me a Match," April 2012,
(http://www.mdrc.org/sites/default/files/policybrief_24.pdf).

public, 19.6 percent at private nonprofit, and 23.1 percent at

for-profit institutions. At two-year institutions, 40.3 percent

of first year undergraduate students at public and 17.3 percent at

for-profit institutions reported taking a remedial course in 2012.[7]

While participation rates vary widely across States and

institution types, African American and Hispanic students are

referred to remedial courses at higher rates. Further, low-income

students are more likely to be referred to remedial courses in

comparison to the overall percentage of students requiring

remediation.[8]

Remedial education is one of the leading barriers to

postsecondary persistence and completion.[9] While in remediation,

students spend time and money, accumulate debt, suffer the

opportunity cost of lost earnings, and in some cases, deplete all

or a significant portion of their eligibility for financial aid.

Further, available evidence suggests that participation in

remedial education, especially longer sequences of remedial

courses, does not improve outcomes.[10]

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[7] "National Postsecondary Student Aid Study 2011-12," National Center for Education Statistics, 2012.
(http://nces.ed.gov/datalab/tableslibrary/viewtable.aspx?tableid=9420)

[8] Complete College America. 2012. Remediation: Higher Education's Bridge to Nowhere (www.completecollege.org/docs/CCA-Remediation-final.pdf).—
[9] MDRC, Unlocking the Gate: What We Know About Improving Developmental Education, June 2011 (http://www.mdrc.org/sites/default/files/full_595.pdf).

[10] Attewell, P. A., Lavin, D. E., Domina, T., & Levey, T. 2006. *New Evidence on College Remediation*. The Journal of Higher Education.
(www.jstor.org/stable/3838791 (even after controlling for high school preparation and family background, taking developmental courses reduced the chances of graduation at four-year colleges and universities by 6 to 7 percent).
Thomas Bailey, Dong Wook Jeong, Sung-Woo Cho*. Referral, Enrollment, and

Because of its focus on low-income middle school and high school students, GEAR UP may be uniquely situated for early identification of students at risk of needing remediation. GEAR UP programs may also engage in coordinated and targeted interventions that provide academic and counseling services to at-risk students while still in high school to reduce the need for remediation before reaching college, through promising practices such as--

- Using results from State achievement tests from early grades to identify students likely to need remediation should they enroll in college;[11]

- Conducting early assessments for GEAR UP participants while they are in high school to identify academic weaknesses that may be predictive of future remediation needs and targeting supports such as tutoring and counseling to help ensure these students graduate from high school academically prepared for college;

- Offering a "bridge program" during the summer before college to help students better prepare for institutional course

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Completion in Developmental Education Sequences in Community Colleges.
Community College Research Center, Working Paper No. 15. November 2009
(http://ccrc.tc.columbia.edu/media/k2/attachments/referral-enrollment-completion-developmental.pdf).

[11] It is important to note that in some cases, depending on the identity of the grantee and structure of any partnership, access to student records such as test scores may be limited by the Family Educational Rights and Privacy Act (20 U.S.C. § 1232g; 34 CFR Part 99).

placement exams and the academic transition into college in the fall; or,

- In the project's 7th year (for applicants seeking a 7th year of funding), in which students would be in their first year of postsecondary study, focusing support services on students enrolled in remediation courses, such as by providing enhanced academic and career advising and targeted tutoring services.

Additionally, GEAR UP grantees can support coordination with State systems by building upon and complementing early remediation intervention strategies that are implemented by schools and local educational agencies in response to their status under State accountability systems.

Priority:

Projects that are designed to address one or more of the following priority areas: (a) Increasing the number and proportion of high-need students (as defined in this notice) who are academically prepared for and enroll in college or other postsecondary education and training, and (b) Increasing the number and proportion of high-need students who enroll in and complete high-quality programs of study (as defined in this notice) designed to lead to a postsecondary degree, credential, or certificate.

Competitive Preference Priority 2—Promise Zones (up to 3 additional points):

Background:

The Department is using Competitive Preference Priority 2 in order to combine the work of GEAR UP with other Federal anti-poverty programs in federally designated "Promise Zones." Since 2009, the Obama Administration has invested more than $350 million in 100 of the Nation's persistent pockets of poverty. Building on those efforts, the President has announced an initiative to designate, over the next 4 years, 20 high-poverty communities as Promise Zones where the Federal government will partner with, and invest in, communities to create jobs, leverage private investment, increase economic activity, improve educational opportunities, and improve public safety. Co-led by the U.S. Departments of Housing and Urban Development, Education, Agriculture, and Justice, Promise Zones are part of the President's Ladders of Opportunity plan to ensure that hard-working Americans make it to the middle class.

Promise Zones will align the work of multiple Federal programs in high-poverty urban, rural, and tribal communities that have both substantial needs and a strong, evidence-based plan to address them. The five primary goals of Promise Zones are creating jobs, increasing economic activity, improving educational opportunities, reducing violent crime, and leveraging private

investment. The initiative builds on lessons learned from existing place-based programs, such as the Department's Promise Neighborhoods program.

Priority:

Projects that are designed to serve and coordinate with a federally designated Promise Zone.

Note

Applicants should submit a letter from the lead entity of a designated Promise Zone attesting to the contribution that the proposed activities would make, and supporting the application. A list of designated Promise Zones and lead organizations can be found at www.hud.gov/promisezones.

Invitational Priority — Development of Non-Cognitive Skills: For FY 2014 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an invitational priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications. _

Background:

An emerging body of research suggests that non-cognitive skills and behaviors play an important role in students' academic, career, and life outcomes.[12] The development of these skills is

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[12] The University of Chicago Consortium of Chicago School Research (June 2012). Teaching Adolescents to Become Learners: The Role of Noncognitive Factors in Shaping School Performance. See http://raikesfoundation.org/Documents/Teaching%20Adolescents%20to%20Become%20Learners%20(CCSR%20Literature%20Review%20June

especially critical during the middle school years as students face new academic challenges, social comparisons, and stereotypes regarding their potential for success. How students negotiate these changes has major implications for their academic futures.

For example, interventions focused on academic mindset(e.g., a sense of belonging in the academic community, believing academic achievement improves with effort, and that challenges are inevitable for success) have been shown to have a measurable impact on grades and course persistence, high school graduation, and college enrollment among low-income and minority students. Strategies focused on strengthening perseverance (e.g., tenacity, self-discipline) and social and emotional skills (e.g., cooperation, empathy, adaptability, and executive functions) have also demonstrated positive outcomes.

For example, middle school students who participated in a series of "Possible Selves" workshops in which they imagined themselves as adults and the positive and negative factors that could help or hinder their goals had higher test scores and GPAs two years after the program than those who did not receive the intervention.[13] Likewise, students from an inner city school in New York who participated in an eight-week mentorship program that taught them how intelligence is malleable and that the brain can

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%202012).pdf.

[13] Oyserman, D., Bybee, D., & Terry, K. (2006). *Possible selves and academic outcomes: How and when possible selves impel action*. Journal of Personality and Social Psychology, 91, 188–204.

grow like a muscle exhibited increased motivation and improved

math grades compared to the control group.[14]

With this invitational priority, the Department intends to

encourage applicants to incorporate strategies and interventions

to strengthen traditionally underserved students' non-cognitive

skills, so that they are able to pursue a successful path to high

school graduation and college success.

Priority:

Development of Non-Cognitive Skills:

Projects that include strategies to improve students' non-

cognitive skills and behaviors, including academic mindset,

perseverance, motivation, and mastery of social and emotional

skills that improve student success.

Definitions: These definitions are from the Supplemental

Priorities and they apply to Competitive Preference Priority 1 in

this notice.

High-need children and high-need students means children and

students at risk of educational failure, such as children and

students who are living in poverty, who are English learners, who

are far below grade level or who are not on track to becoming

college-or career-ready by graduation, who have left school or

college before receiving, respectively, a regular high school

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[14] Blackwell, L. S., Trzesniewski, K. H. and Dweck, C. S. (2007), *Implicit Theories of Intelligence Predict Achievement Across an Adolescent Transition: A Longitudinal Study and an Intervention*. Child Development, 78: 246–263.

diploma or a college degree or certificate, who are at risk of not
graduating with a diploma on time, who are homeless, who are in
foster care, who are pregnant or parenting teenagers, who have
been incarcerated, who are new immigrants, who are migrant, or who
have disabilities.

Programs of study means career and technical education programs of
study, which may be offered as an option to
students (and their parents as appropriate) when planning for and
completing future coursework, for career and technical content
areas, that—(a) Incorporate secondary education and postsecondary
education elements; (b) Include coherent and rigorous content
aligned with challenging academic standards and relevant career
and technical content in a coordinated, non-duplicative
progression of courses that align secondary education with
postsecondary education to adequately prepare students to succeed
in postsecondary education; (c) May include the opportunity for
secondary education students to participate in dual or concurrent
enrollment programs or other ways to acquire postsecondary
education credits, and (d) Lead to an industry-recognized
credential or certificate at the postsecondary level, or an
associate or baccalaureate degree.

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

Applicable Regulations: (a) The Education Department General
Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79,

80, 81, 82, 84, 86, 97, 98, and 99. (b) The Education Department suspension and debarment regulations in 2 CFR part 3485. (c) The regulations for this program in 34 CFR part 694. (d) The notice of final supplemental priorities and definitions for discretionary grant programs, published in the <u>Federal Register</u> on December 15, 2010 (75 FR 78486) and corrected on May 12, 2011 (76 FR 27637). (e) The notice of final priority published in the <u>Federal Register</u> on March 27, 2014 (79 FR 17035).

<u>Note</u>: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

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

II. Award Information

<u>Type of Award</u>: Discretionary grants.

<u>Estimated Available Funds</u>: $37,762,760.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2015 from the list of unfunded applicants from this competition.

<u>Estimated Range of Awards</u>: $100,000-$7,000,000.

<u>Estimated Average Size of Awards</u>: $1,200,000.

<u>Maximum Award</u>: We will not fund any application for a partnership grant above the maximum award of $800 per student for a single budget period of 12 months. Additionally, no funding will be awarded for increases in 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: 31.

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

Project Period: Up to 84 months.

III. Eligibility Information

   1. Eligible Applicants: Partnerships consisting of (A) one or more local educational agencies (LEA), and (B) one or more degree granting institutions of higher education (IHE). Partnerships may also contain not less than two other community organizations or entities, such as businesses, professional organizations, State agencies, institutions or agencies sponsoring programs authorized under the Leveraging Educational Assistance Partnership (LEAP) Program authorized in part A, subpart 4, of title IV of the Higher Education Act of 1965, as amended (HEA) (20 U.S.C. 1070c et seq.), or other public or private agencies or organizations.

Note: The fiscal agent/applicant must be either an IHE or an LEA (see 34 CFR 694.10).

   2. a. Cost Sharing or Matching: Section 404C(b)(1) of the HEA requires partnership grantees under this program to provide from State, local, institutional, or private funds not less than

50 percent of the cost of the program (or $1 of non-Federal funds for $1 of Federal funds awarded), which may be provided in cash or in-kind. In-kind contributions may include equipment and supplies, cash contributions from non-Federal sources, discounted program services and facility usage. The provision also provides that the match may be accrued over the full duration of the grant award period, except that the grantee must make substantial progress towards meeting the matching requirement in each year of the grant award period.

Section 404C(b)(2) further provides that the Secretary may approve a partnership's request for a reduced match percentage at the time of application if the partnership demonstrates significant economic hardship that precludes the partnership from meeting the matching requirement, or if the partnership requests that contributions to the scholarship fund be matched on a two to one basis. In addition, a partnership that includes three or fewer institutions of higher education as members and meets the high-need criteria in 34 CFR 694.8(d)(2) may provide a reduced level of match as specified in that regulation.

b. <u>Supplement-Not-Supplant</u>: This program involves supplement-not-supplant funding requirements. Under section 404B(e) of the HEA, grant funds awarded under this program must be used to supplement, and not supplant, other Federal, State, and

local funds that would otherwise be expended to carry out activities assisted under this program (20 U.S.C. 1070a-22).

IV. Application and Submission Information

1. <u>Address to Request Application Package</u>: You can obtain an application package via the Internet by downloading the package from the program Web site at:

http://www2.ed.gov/programs/gearup/index.html.

You also can request a copy of the application package from the following: Nofertary Fofana, Gaining Early Awareness and Readiness for Undergraduate Programs, U.S. Department of Education, 1990 K Street, NW., room 7095, Washington, DC 20006-8524. Telephone: (202) 502-7533 or by e-mail: nofertary.fofana@ed.gov.

If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call, toll free: 1-877-576-7734.

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

2. <u>Content and Form of Application Submission</u>: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program. Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to

assess your application. There is a limit for the application narrative of 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.

Note: For purposes of determining compliance with the 40 page limit, each page on which there are words will be counted as one full page.

- Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, endnotes, quotations, references, and captions. Charts, tables, figures, and graphs in the application may be singe spaced.

- Use a font that is either 12-point or larger; or, no smaller than 10 pitch (characters per inch). However, you may use a 10 point font in charts, tables, figures, graphs, footnotes, and endnotes.

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The page limits do not apply to the cover sheet; the budget section, including the budget narrative and summary form; the assurances and certifications; or the one-page abstract. If you include any attachments or appendices not specifically requested and required for the application, these items will be counted as part of the narrative for the purposes of the page limit.

3.   <u>Submission Dates and Times</u>:

Applications Available: June 4, 2014.

Deadline for Transmittal of Applications: July 7, 2014.

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. 7. <u>Other Submission Requirements</u> of 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 <u>For Further Information Contact</u> in section VII of 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: September 2, 2014.

4.   <u>Intergovernmental Review</u>:   This program is 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 package for this program.

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

6. Data Universal Numbering System Number, Taxpayer Identification Number, and System for Award Management: To do business with the Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the System for Award Management (SAM) (formerly the Central Contractor Registry (CCR)), the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application; and

d. Maintain an active SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one-to-two business days.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration.

If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data entered into the SAM database by an entity. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

Note: Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov and before you can submit an application through Grants.gov.

If you are currently registered with SAM, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your registration annually. This may take three or more business days.

Information about SAM is available at www.SAM.gov. To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, we have prepared a SAM.gov Tip Sheet, which you can find at: http://www2.ed.gov/fund/grant/apply/sam-faqs.html.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page:

www.grants.gov/web/grants/register.html

7. <u>Other Submission Requirements</u>: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. <u>Electronic Submission of Applications</u>.

Applications for grants under the GEAR UP Partnership Grant Competition, CFDA number 84.334A, must be submitted electronically using the Governmentwide Grants.gov Apply site at 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 <u>and</u> 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 the GEAR UP Partnership Grant competition at www.Grants.gov. You must search for the downloadable application package for this competition 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).

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 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. 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 4:30:00 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 package for this competition 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 under News and Events on the Department's G5 system home page at www.G5.gov.

• 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: the 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.

• You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF 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 4:30:00 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 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of 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 4:30:00 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: Nofertary Fofana, U.S. Department of Education, 1990 K Street, NW., room 7095, Washington, DC 20006-8524. FAX: (202) 219-7074.

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 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 following address:

    U.S. Department of Education
    Application Control Center
    Attention: (CFDA Number 84.334A)
    LBJ Basement Level 1
    400 Maryland Avenue, SW.
    Washington, DC 20202-4260

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. <u>Submission of Paper Applications by Hand Delivery</u>.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application 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)
        550 12th Street, SW.
        Room 7039, Potomac Center Plaza

Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily

between 8:00 a.m. and 4:30:00 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

     1. Selection Criteria: The selection criteria for this

program are from 34 CFR 75.210 of EDGAR and are listed in the

application package. As described in more detail in the

application package, among other criteria, the Department will be

assessing applications on the extent to which their proposed

projects are supported by strong theory (34 CFR 75.210(c)(2)

(xxix)) and the extent to which their proposed evaluation designs

are likely to document evidence of promise (34 CFR 75.210(h)(2)(x)).

2. <u>Review and Selection Process</u>: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. <u>Special Conditions</u>: Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

VI. Award Administration Information

1. <u>Award Notices</u>: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

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

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

We reference the regulations outlining the terms and conditions of an award in the <u>Applicable Regulations</u> section of 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. <u>Reporting</u>: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) 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 www.ed.gov/fund/grant/apply/appforms/appforms.html.

4. <u>Performance Measures</u>: 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 increase 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. Under the Government Performance and Results Act of 1993 (GPRA), we developed the following performance measures to track progress toward achieving the program's goals:

1. The percentage of GEAR UP students who pass Pre-algebra by the end of 8th grade.

2. The percentage of GEAR UP students who pass Algebra 1 by the end of 9th grade.

3. The percentage of GEAR UP students who take two years of mathematics beyond Algebra 1 by the 12th grade.

4. The percentage of GEAR UP students who graduate from high school.

Note: For each GEAR UP project, the high school graduation rate is defined in the State's approved accountability plan under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA).

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

6. The percentage of GEAR UP students who place into college-level Math and English without need for remediation.

7. The percentage of current GEAR UP students and former GEAR UP students enrolled in college who are on track to graduate college.

8. The percentage of GEAR UP students who complete the Free Application for Federal Student Aid.

9. The percentage of GEAR UP students who are on track for graduation at the end of each grade.

10. The percentage of GEAR UP students who are on track to apply for college as measured by completion of the SAT or ACT by the end of 11th grade.

11. The percentage of parents of GEAR UP students who actively engage in activities associated with assisting students in their academic preparation for 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.

5. <u>Continuation Awards</u>: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation

grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Agency Contact

For Further Information Contact: Nofertary Fofana, Gaining Early Awareness and Readiness for Undergraduate Programs, U.S. Department of Education, 1990 K Street, NW., room 7095, Washington, DC 20006-8524. Telephone: (202) 502-7533 or by e-mail: nofertary.fofana@ed.gov

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

VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: 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 via the Federal

Digital System at: www.gpo.gov/fdsys. At this site you can view

this document, as well as all other documents of this Department

published in the Federal Register, text or Adobe Portable Document

Format (PDF). To use PDF you must have Adobe Acrobat Reader,

which is available free at the site.

You may also access documents of the Department published in

the Federal Register by using the article search feature at:

www.federalregister.gov. Specifically, through the advanced

search feature at this site, you can limit your search to

documents published by the Department.

Dated:

<div style="text-align:center">

_____
Lynn B. Mahaffie,
Senior Director, Policy Coordination,
Development, and Accreditation Service,
Delegated the authority to perform the
functions and duties of the Assistant
Secretary for Postsecondary Education.

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THE HIGHER EDUCATION ACT OF 1965, as amended

Subpart 2 – Federal Early Outreach and Student Services Programs

CHAPTER 2- GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS

SEC.404A. [20 U.S.C. 1070a-21] 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-

encourages eligible entities to provide support, and maintain a commitment, to eligible low-income students, including students with disabilities, to assist the students in obtaining a secondary school diploma (or its recognized equivalent), and to prepare for and succeed in postsecondary education, by providing-

(1) financial assistance, academic support, additional counseling, mentoring, outreach, and supportive services to elementary school students, including students with disabilities, to reduce —

      (A) the risk of such students dropping out of school; or

      (B) the need for remedial education for such students at the postsecondary level; and

(2) information to students and their families about the advantages of obtaining a postsecondary education and, college financing options for the students and their families.

(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) AWARD PERIOD.-The Secretary may award a grant under this chapter to an eligible entity described in paragraphs (1) and (2) of subsection (c) for-

      (A) six years; or

      (B) in the case of an eligible entity that applies for a grant under this chapter for seven years to enable to eligible entity to provide services to a student through the student's first year of attendance at an institution of higher education, seven years.

(3) PRIORITIES.-In making awards to eligible entities described in paragraph (c)(1), the Secretary shall-

      (A) give Priorities to eligible entities that-

          (i) on the day before the date of enactment of the Higher Education Opportunity Act, 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; and

      (B) ensure that students served under this chapter on the day before the date of enactment of the Higher Education Opportunity Act continue to receive assistance through the completion of secondary school.

(c) DEFINITION OF ELIGIBLE ENTITY.-For the purpose of this chapter, the term "eligible entity" means-

(1) a State; or

(2) a partnership-

      (A) consisting of –

          (i) one or more local educational agencies; and

          (ii) one or more degree granting institutions of higher education; and

      (B) which may include not less than two other community organizations or entities, such as businesses, professional organizations, state agencies, institutions or agencies sponsoring programs authorized under subpart 4, or other public or private agencies or organizations.

SEC. 404B. [20 U.S.C. 1070a-22] REQUIREMENTS.

(a) FUNDING RULES.-

In awarding grants from the amount appropriated under section 404H for a fiscal year, the Secretary shall-

make available-

(1) to eligible entities described in section 404A(c)(1), not less than 33 percent of such amount

(2) to eligible entities described in section 404A(c)(2), not less than 33 percent of such amount and

(3) to eligible entities described in paragraph (1) or (2) of section 404A(c), the remainder of such amount taking into consideration the number, quality, and promise of the applications for the grants, and to the extent practicable-

(A) the geographic distribution of such grant awards; and

(B) the distribution of such grant awards between urban and rural applicants.

(b) 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.

(c) 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.

(d) 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 Richard B. Russell National School Lunch Act (or, if an eligible entity determines that it would promote the effectiveness of a 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);

(B) ensure that the services are provided through the 12th grade to students in the participating grade level and provide the option of continued services through the student's first year of attendance at an institution of higher education to the extent the provision of such services was described in the eligible entity's application for assistance under this chapter and

(C) provide services under this chapter to students who have received services under a previous GEAR UP grant award but have not yet completed the 12th grade.

(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.

(e) SUPPLEMENT, NOT SUPPLANT.- Grant funds awarded under this chapter shall be used to supplement, and not supplant, other Federal, State, and local funds that would otherwise be expended to carry out activities assisted under this chapter.

SEC.404C. [20 U.S.C. 1070a-23] APPLICATIONS.

(a) APPLICATION 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 an application for carrying out the program under this chapter.

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

          (A) describe the activities for which assistance under this chapter is sought, including how the eligible entity will carry out the required activities described in section 404D(a);

          (B) describe, in the case of an eligible entity described in section 404A(c)(2) that chooses to provide scholarships, or an eligible entity described in section 404A(c)(1), how the eligible entity will meet the requirements of section 404E;

          (C) describe, in the case of an eligible entity described in section 404A(c)(2) that requests a reduced match percentage under subsection (b)(2), how such reduction will assist the entity to provide the scholarships described in subsection (b)(2)(A)(ii);

          (D) provide assurances that adequate administrative and support staff will be responsible for coordinating the activities described in section 404D;

          (E) provide assurances that 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;

          (F) described, in the case of an eligible entity described in section 404A(c)(1) that chooses to use a cohort approach, or an eligible entity described in section 404A(c)(2), how the eligible entity will define the cohorts of the students served by the eligible entity pursuant to section 404B(d), and how the eligible entity will serve the cohorts through grade 12, including-

               (i) how vacancies in the program under this chapter will be filled; and

               (ii) how the eligible entity will serve students attending different secondary schools;

          (G) describe how the eligible entity will coordinate programs under this chapter with other existing Federal, State, or local programs to avoid duplication and maximize the number of students served;

          (H) provide such additional assurances as the Secretary determines necessary to ensure compliance with the requirements of this chapter;

          (I) provide information about the activities that will be carried out by the eligible entity to support systemic changes from which future cohorts of students will benefit; and

          (J) described the sources of matching funds that will enable the eligible entity to meet the matching requirements described in subsection (b).

(b) MATCHING REQUIREMENT.-

      (1) IN GENERAL.-The Secretary shall not approve an application submitted under subsection (a) unless such application-

          (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 and may be accrued over the full duration of the grant

award period, except that the eligible entity shall make substantial progress towards meeting the matching requirement in each year of the grant award period;

        (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). The Secretary may approve an eligible entity's request for a reduced match percentage-

        (A) at the time of application-

            (i) if the eligible entity demonstrates significant economic hardship that precludes the eligible entity from meeting the matching requirement; or

            (ii) if the eligible entity is described in section 404A(c)(2) and requests that contributions to the eligible entity's scholarship fund established under section 404E be matched on a two to one basis; or

        (B) in response to a petition by an eligible entity subsequent to a grant award under this section if the eligible entity demonstrates that the matching funds described in its application are no longer available and the eligible entity has exhausted all revenues for replacing such matching funds.

(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 obligated to students from State, local, institutional, or private funds under this chapter, including pre-existing non-Federal financial assistance programs, including-

        (A) the amount contributed to a student scholarship fund established under section 404E; and

        (B) the amount of the costs of administering the scholarship program under section 404E;

    (2) the amount of tuition, fees, room or board waived or reduced for recipients of financial assistance under this chapter;

    (3) the amount expended on documented, targeted, long-term mentoring and counseling provided by volunteers or paid staff of non-school organizations, including businesses, religious organizations, community groups, postsecondary educational institutions, nonprofit and philanthropic organizations, and other organizations; and

    (4) other resources recognized by the Secretary, including equipment and supplies, cash contributions from non-Federal sources, transportation expenses, in-kind or discounted program services, indirect costs, and facility usage.

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

SEC.404D. [20 U.S.C. 1070a-24] ACTIVITIES.

(a) REQUIRED ACTIVITIES.- Each eligible entity receiving a grant under this chapter shall provide comprehensive mentoring, outreach, and supportive services to students participating in the programs under this chapter. Such activities shall include the following:

(1) providing information regarding financial aid for postsecondary education to participating students in the cohort described in section 404B(d)(1)(A) or to Priorities students described in subsection (d).

(2) encouraging student enrollment in rigorous and challenging curricula and coursework, in order to reduce the need for remedial coursework at the postsecondary level.

(3) improving the number of participating students who-

(A) obtain a secondary school diploma; and

(B) complete applications for and enroll in a program of postsecondary education.

(4) in the case of an eligible entity described in section 404A(c)(1), providing for the scholarships described in section 404E.

(b) PERMISSIBLE ACTIVITIES FOR STATES AND PARTNERSHIPS.- An eligible entity that receives a grant under this chapter may use grant funds to carry out one or more of the following activities:

(1) providing tutors and mentors, who may include adults or former participants of a program under this chapter, for eligible students.

(2) conducting outreach activities to recruit Priorities students described in subsection (d) to participate in program activities.

(3) providing supportive services to eligible students.

(4) supporting the development or implementation of rigorous academic curricula, which may include college preparatory, Advanced Placement, or International Baccalaureate programs, and providing participating students access to rigorous core academic courses that reflect challenging State academic standards.

(5) supporting dual or concurrent enrollment programs between the secondary school and institution of higher education partners of an eligible entity described in section 404A(c)(2), and other activities that support participating students in-

(A) meeting challenging State academic standards;

(B) successfully applying for postsecondary education;

(C) successfully applying for student financial aid; and

(D) developing graduation and career plans.

(6) providing special programs or tutoring in science, technology, engineering, or mathematics.

(7) in the case of an eligible entity described in section 404A(c)(2), providing support for scholarships described in section 404E.

(8) introducing eligible students to institutions of higher education, through trips and school-based sessions.

(9) providing an intensive extended school day, school year, or summer program that offers-

(A) additional academic classes; or

(B) assistance with college admission applications.

(10) providing other activities designed to ensure secondary school completion and postsecondary education enrollment of at-risk children, such as-

(A) the identification of at-risk children;

(B) after-school and summer tutoring;

(C) assistance to at-risk children in obtaining summer jobs;

(D) academic counseling;

(E) financial literacy and economic literacy education or counseling;

(F) volunteer and parent involvement;

(G) encouraging former or current participants of a program under this chapter to serve as peer counselors;

(H) skills assessments;

(I) personal and family counseling, and home visits;

(J) staff development; and

(K) programs and activities described in this subsection that are specially designed for students who are limited English proficient.

(11) enabling eligible students to enroll in Advanced Placement or International Baccalaureate courses, or college entrance examination preparation courses.

(12) providing services to eligible students in the participating cohort described in section 404B(d)(1)(A), through the first year of attendance at an institution of higher education.

(13) fostering and improving parent and family involvement in elementary and secondary education by promoting the advantages of a college education, and emphasizing academic admission requirements and the need to take college preparation courses, through parent engagement and leadership activities.

(14) disseminating information that promotes the importance of higher education, explains college preparation and admission requirements, and raises awareness of the resources and services provided by the eligible entities to eligible students, their families, and communities.

(15) in the event that matching funds described in the application are no longer available, engaging entities described in section 404A(c)(2) in a collaborative manner to provide matching resources and participate in other activities authorized under this section.

(c) ADDITIONAL PERMISSIBLE ACTIVITIES FOR STATES.- In addition to the required activities described in subsection (a) and the permissible activities described in subsection (b), an eligible entity described in section 404A(c)(1) receiving funds under this chapter may use grant funds to carry out one or more of the following activities:

(1) providing technical assistance to-

(A) secondary schools that are located within the State; or

(B) partnerships described in section 404A(c)(2) that are located within the State.

(2) providing professional development opportunities to individuals working with eligible cohorts of students described in section 404B(d)(1)(A).

(3) providing administrative support to help build the capacity of eligible entities described in section 404A(c)(2) to compete for and manage grants awarded under this chapter.

(4) providing strategies and activities that align efforts in the State to prepare eligible students to attend and succeed in postsecondary education, which may include the development of graduation and career plans.

(5) disseminating information on the use of scientifically valid research and best practices to improve services for eligible students.

(6)(A) disseminating information on effective coursework and support services that assist students in obtaining the goals described in subparagraph (B)(ii).

(B) identifying and disseminating information on best practices with respect to-

(i) increasing parental involvement; and

(ii) preparing students, including students with disabilities and students who are limited English proficient, to succeed academically in, and prepare financially for, postsecondary education.

(7) working to align State academic standards and curricula with the expectations of postsecondary institutions and employers.

(8) developing alternatives to traditional secondary school that give students a head start on attaining a recognized postsecondary credential (including an industry-recognized certificate, an apprenticeship, or an associate's or a bachelor's degree), including school designs that give students early exposure to college-level courses and experiences and allow students to earn transferable college credits or an associate's degree at the same time as a secondary school diploma.

(9) creating community college programs for drop-outs that are personalized drop-out recovery programs that allow drop-outs to complete a regular secondary school diploma and begin college-level work.

(d) PRIORITIES STUDENTS.- For eligible entities not using a cohort approach, the eligible entity shall treat as a Priorities student any student in secondary school who is:

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

(2) eligible for assistance under a state program funded under part A or E of title IV of the Social Security Act (42 U.S.C. 601 et seq., 670 et seq.);

(3) eligible for assistance under subtitle B of title VII of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11431 et seq.); or

(4) otherwise considered by the eligible entity to be a disconnected student.

(e) 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. [20 U.S.C. 1070a-25] 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) LIMITATION.-

(1) IN GENERAL.- Subject to paragraph (2), each eligible entity described in section 404A(c)(1) that receives a grant under this chapter shall use not less than 25 percent and not more than 50 percent of the grant funds for activities described in section 404D (except for the activity described in subsection (a)(4) of such section), with the remainder of such funds to be used for a scholarship program under this section in accordance with such subsection.

(2) EXCEPTION.- Notwithstanding paragraph (1), the Secretary may allow an eligible entity to use more than 50 percent of grant funds received under this chapter for such activities, if the eligible entity demonstrates that the eligible entity has another means of providing the students with the financial assistance described in this section and describes such means in the application submitted under section 404C.

(c) NOTIFICATION OF ELIGIBILITY.- Each eligible entity providing scholarships under this section shall provide information on the eligibility requirements for the scholarships to all participating students upon the students' entry into the programs assisted under this chapter.

(d) 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 minimum Federal Pell Grant award under section 401 for such award year.

(e) PORTABILITY OF ASSISTANCE.-

    (1) IN GENERAL.- Each eligible entity described in section 404A(c)(1) that receives a grant under this chapter shall hold in reserve, for the students served by such grant as described in section 404B(d)(1)(A) or 404D(d), an amount that is not less than the minimum scholarship amount described in subsection (d), multiplied by the number of students the eligible entity estimates will meet the requirements of paragraph (2).

    (2) REQUIREMENT FOR PORTABILITY.-Funds held in reserved under paragraph (1) shall be made available to an eligible student when the eligible student has-

        (A) completed a secondary school diploma, its recognized equivalent, or another recognized alternative standard for individuals with disabilities; and

        (B) enrolled in an institution of higher education.

    (3) QUALIFIED EDUCATIONAL EXPENSES.- Funds available to an eligible student under this subsection may be used for-

        (A) tuition, fees, books, supplies, and equipment required for the enrollment or attendance of the eligible student at an institution of higher education; and

        (B) in the case of eligible student with special needs, expenses for special needs services that are incurred in connection with such enrollment or attendance.

    (4) RETURN OF FUNDS.-

        (A) REDISTRIBUTION.-

            (i) IN GENERAL.-Funds held in reserve under paragraph (1) that are not used by an eligible student within six years of the student's scheduled completion of secondary school may be redistributed by the eligible entity to other eligible students.

            (ii) RETURN OF EXCESS TO THE SECRETARY.-If, after meeting the requirements of paragraph (1) and, if applicable, redistributing excess funds in accordance with clause (i) of this subparagraph, an eligible entity has funds held in reserve under paragraph (1) that remain available, the eligible entity shall return such remaining reserved funds to the Secretary for distribution to other grantees under this chapter in accordance with the funding rules described in section 404B(a).

        (B) NONPARTICIPATING ENTITY.- Notwithstanding subparagraph (A), in the case of an eligible entity that does not receive assistance under this subpart for six fiscal years, the eligible entity shall return any funds held in reserve under paragraph (1) that are not awarded or obligated to eligible students to the Secretary for distribution to other grantees under this chapter.

(f) RELATION TO OTHER ASSISTANCE.-Scholarships provided under this section shall not be 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.

(g) 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 instructions of higher education outside such State; and

     (4) who participated in the activities required under section 404D(a).

SEC. 404F. [20 U.S.C. 1070a-26] 21ST CENTURY SCHOLAR CERTIFICATES.

(a) IN GENERAL.-An eligible entity that receives a grant under this chapter shall provide certificates, to be known as 21st Century Scholar Certificates, to all students served by the eligible entity who are participating in a program under this chapter.

(b) INFORMATION REQUIRED.-A 21st Century Scholar Certificate shall be personalized for each student and indicate the amount of Federal financial aid for college and the estimated amount of any scholarship provided under section 404E, if applicable, that a student may be eligible to receive.

SEC.404G. [20 U.S.C. 1070a-27] 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 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. Such evaluation shall include a separate analysis of-

     (1) the implementation of the scholarship component described in section 404E; and

     (2) the use of methods for complying with matching requirements described in paragraphs (1) and (2) of section 404C(c).

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

SEC. 404H [20 U.S.C. 1070a-28] AUTHORIZATION OF APPROPRIATIONS.

There are authorized to be appropriated to carry out this chapter $400,000,000 for fiscal year 2009 and such sums as may be necessary for each of the five succeeding fiscal years.

GEAR UP PROGRAM REGULATIONS

PART 694--GAINING EARLY AWARENESS AND READINESS FOR UN-DERGRADUATE PROGRAMS (GEAR UP)

120. The authority citation for part 694 continues to read as follows:
Authority: 20 U.S.C. 1070a-21 to 1070a-28.
121. Section 694.1 is amended by revising paragraph (a), introductory text to read as follows:
§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 Secretary may establish the maximum amount that may be awarded each fiscal year for a GEAR UP Partnership grant in a notice published in the Federal Register. The maximum amount for which a Partnership may apply may not exceed the lesser of the maximum amount established by the Secretary, if applicable, or the amount calculated by multiplying--
* * * * *
122. Section 694.4 is amended by revising paragraph (b)(2) to read as follows:
§694.4 Which students must a State or Partnership serve when there are changes in the cohort?
* * * * *
(b) * * *
(2) Must continue to provide GEAR UP services to at least those students in the cohort who attend one or more participating schools that together enroll a substantial majority of the students in the cohort.
* * * * *
123. Section 694.7 is revised to read as follows:
§694.7 What are the matching requirements for a GEAR UP grant?
(a) In order to be eligible for GEAR UP funding--
(1) An applicant must state in its application the percentage of the cost of the GEAR UP project the applicant will provide for each year from non-Federal funds, subject to the requirements in paragraph (b) of this section; and
(2) A grantee must make substantial progress towards meeting the matching percentage stated in its approved application for each year of the project period.
(b) Except as provided in §§694.8 and 694.9, the non-Federal share of the cost of the GEAR UP project must be not less than 50 percent of the total cost of the project (i.e., one dollar of non-Federal contributions for every one dollar of Federal funds

obligated for the project) over the project period.

(c) 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)

124. Part 694 is amended by redesignating §§694.8, 694.9, 694.10, 694.11, 694.12, 694.13, and 694.15 as follows:

Old Section	New Section
§694.8	§694.10
§694.9	§694.11
§694.10	§694.13
§694.11	§694.15
§694.12	§694.17
§694.13	§694.18
§694.15	§694.19

125. New §694.8 is added to read as follows:

§694.8 Under what conditions may the Secretary approve a request from a Partnership applying for a GEAR UP grant to waive a portion of the matching requirement?

(a) The Secretary may approve a Partnership applicant's request for a waiver of up to 75 percent of the matching requirement for up to two years if the applicant demonstrates in its application a significant economic hardship that stems from a specific, exceptional, or uncontrollable event, such as a natural disaster, that has a devastating effect on the members of the Partnership and the community in which the project would operate.

(b)(1) The Secretary may approve a Partnership applicant's request to waive up to 50 percent of the matching requirement for up to two years if the applicant demonstrates in its application a pre-existing and an on-going significant economic hardship that precludes the applicant from meeting its matching requirement.

(2) In determining whether an applicant is experiencing an on-going economic hardship that is significant enough to justify a waiver under this paragraph, the Secretary considers documentation of such factors as:

(i) Severe distress in the local economy of the community to be served by the grant (e.g., there are few employers in the local area, large employers have left the local area, or significant reductions in employment in the local area).

(ii) Local unemployment rates that are higher than the national average.

(iii) Low or decreasing revenues for State and County governments in the area to be served by the grant.

(iv) Significant reductions in the budgets of institutions of higher education that are participating in the grant.

(v) Other data that reflect a significant economic hardship for the geographical area served by the applicant.

(3) At the time of application, the Secretary may provide

tentative approval of an applicant's request for a waiver under paragraph (b)(1) of this section for all remaining years of the project period. Grantees that receive tentative approval of a waiver for more than two years under this paragraph must submit to the Secretary every two years by such time as the Secretary may direct documentation that demonstrates that--

(i) The significant economic hardship upon which the waiver was granted still exists; and

(ii) The grantee tried diligently, but unsuccessfully, to obtain contributions needed to meet the matching requirement.

(c) The Secretary may approve a Partnership applicant's request in its application to match its contributions to its scholarship fund, established under section 404E of the HEA, on the basis of two non-Federal dollars for every one Federal dollar of GEAR UP funds.

(d) The Secretary may approve a request by a Partnership applicant that has three or fewer institutions of higher education as members to waive up to 70 percent of the matching requirement if the Partnership applicant includes--

(1) 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;

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

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

(Authority: 20 U.S.C. 1070a-23)

126. New §694.9 is added to read as follows:

§694.9 Under what conditions may the Secretary approve a request from a Partnership that has received a GEAR UP grant to waive a portion of the matching requirement?

(a) After a grant is awarded, the Secretary may approve a Partnership grantee's written request for a waiver of up to--

(1) 50 percent of the matching requirement for up to two years if the grantee demonstrates that--

(i) The matching contributions described for those two years in the grantee's approved application are no longer available; and

(ii) The grantee has exhausted all funds and sources of potential contributions for replacing the matching funds.

(2) 75 percent of the matching requirement for up to two years if the grantee demonstrates that matching contributions from the original application are no longer available due to an uncontrollable event, such as a natural disaster, that has a

devastating economic effect on members of the Partnership and the community in which the project would operate.

(b) In determining whether the grantee has exhausted all funds and sources of potential contributions for replacing matching funds, the Secretary considers the grantee's documentation of key factors such as the following and their direct impact on the grantee:

(1) A reduction of revenues from State government, County government, or the local educational agency (LEA).

(2) An increase in local unemployment rates.

(3) Significant reductions in the operating budgets of institutions of higher education that are participating in the grant.

(4) A reduction of business activity in the local area (e.g., large employers have left the local area).

(5) Other data that reflect a significant decrease in resources available to the grantee in the local geographical area served by the grantee.

(c) If a grantee has received one or more waivers under this section or under §694.8, the grantee may request an additional waiver of the matching requirement under this section no earlier than 60 days before the expiration of the grantee's existing waiver.

(d) The Secretary may grant an additional waiver request for up to 50 percent of the matching requirement for a period of up to two years beyond the expiration of any previous waiver.
(Authority: 20 U.S.C. 1070a-23)

127. New §694.12 is added to read as follows:
§694.12 Under what conditions do State and Partnership GEAR UP grantees make section 404E scholarship awards?

(a)(1) State Grantees. All State grantees must establish or maintain a financial assistance program that awards section 404E scholarships to students in accordance with the requirements of §694.13 or §694.14, as applicable.

(2) Partnership Grantees. Partnerships may, but are not required, to award scholarships to eligible students. If a Partnership awards scholarships to eligible students pursuant to section 404E of the HEA, it must comply with the requirements of §694.13 or §694.14, as applicable.

(b)(1) Section 404E scholarship awards for grantees whose initial GEAR UP grant awards were made prior to August 14, 2008. A State or Partnership grantee making section 404E scholarship awards using funds from GEAR UP grant awards that were made prior to August 14, 2008, must provide such scholarship awards in accordance with the requirements of §694.13 unless it elects to provide the scholarships in accordance with the requirements of §694.14 pursuant to paragraph (b)(2) of this section.

(2) Election to use §694.14 requirements. A State or Partnership grantee making section 404E scholarship awards using funds from GEAR UP grant awards that were made prior to August 14, 2008, may provide such scholarship awards in accordance with the requirements of §694.14 (rather than the requirements of §694.13) provided that the grantee--

(i) Informs the Secretary, in writing, of its election to make the section 404E scholarship awards in accordance with the requirements of §694.14; and

(ii) Such election does not decrease the amount of the scholarship promised to any individual student under the grant.

(c) Section 404E scholarship awards for grantees whose initial GEAR UP grant awards were made on or after August 14, 2008. A State or Partnership grantee making section 404E scholarship awards using funds from GEAR UP grant awards that were made on or after August 14, 2008, must provide such scholarship awards in accordance with the requirements of §694.14.

(Authority: 20 U.S.C. 1070a-25)

128. Newly redesignated §694.13 is revised to read as follows:

§694.13 What are the requirements concerning section 404E scholarship awards for grantees whose initial GEAR UP grant awards were made prior to August 14, 2008?

The following requirements apply to section 404E scholarship awards for grantees whose initial GEAR UP grant awards were made prior to August 14, 2008 unless the grantee elects to provide such scholarship awards in accordance with the requirements of §694.14 pursuant to §694.12(b)(2).

(a)(1) The maximum scholarship amount that an eligible student may receive under this section must be established by the grantee.

(2) The minimum scholarship amount that an eligible student receives in a fiscal year pursuant to this section must not be less than the lesser of--

(i) 75 percent of the average cost of attendance for an in-State student, in a four-year program of instruction, at public institutions of higher education in the student's State; or

(ii) The maximum Federal Pell Grant award funded under section 401 of the HEA for the award year in which the scholarship is awarded.

(3) If an eligible student who is awarded a GEAR UP scholarship attends an institution of higher education 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 may the percentage reduction in the scholarship be greater than the percentage reduction in tuition and fees charged to that student.

(b) Scholarships provided under this section may not be considered for the purpose of awarding Federal grant assistance under title IV of the HEA, except that in no case may the total amount of student financial assistance awarded to a student under title IV of the HEA exceed the student's total cost of attendance.

(c) Grantees providing section 404E scholarship awards in accordance with this section--

(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

(2) May, if GEAR UP scholarship funds remain after awarding scholarships to students under paragraph (c)(1) of this section, award GEAR UP scholarships to other eligible students (i.e., students who are not eligible to receive a Federal Pell Grant) after considering the need of those students for GEAR UP scholarships.

(d) For purposes of this section, an eligible student is a student who--

(1) Is less than 22 years old at the time of award of the student's first GEAR UP scholarship;

(2) Has received 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 grantee's option, a State or Partnership may offer scholarships to students who attend institutions of higher education outside the State; and

(4) Has participated in activities under §694.21 or §694.22.

(e) A State using a Priorities approach may award scholarships under paragraph (a) of this section to eligible students identified by Priorities at any time during the grant award period rather than reserving scholarship funds for use only in the seventh year of a project or after the grant award period.

(f) A State or a Partnership that makes scholarship awards from GEAR UP funds in accordance with this section must award continuation scholarships in successive award years to each student who received an initial scholarship and who is enrolled or accepted for enrollment in a program of undergraduate instruction at an institution of higher education.

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

129. New §694.14 is added to read as follows:

§694.14 What are the requirements concerning section 404E scholarship awards for grantees whose initial GEAR UP grant awards were made on or after August 14, 2008?

The following requirements apply to section 404E scholarship

awards provided by grantees whose initial GEAR UP grant awards were made on or after August 14, 2008 and any section 404E scholarship awards for grantees whose initial GEAR UP grant awards were issued prior to August 14, 2008, but who, pursuant to §694.12(b)(2), elected to use the §694.14 requirements (rather than the §694.13 requirements).

(a)(1) The maximum scholarship amount that an eligible student may receive under section 404E of the HEA must be established by the grantee.

(2) The minimum scholarship amount that an eligible student receives in a fiscal year must not be less than the minimum Federal Pell Grant award under section 401 of the HEA at the time of award.

(3) If an eligible student who is awarded a GEAR UP scholarship attends an institution of higher education 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 may the percentage reduction in the scholarship be greater than the percentage reduction in tuition and fees charged to that student.

(b) For purposes of this section, an eligible student is a student who--

(1) Is less than 22 years old at the time of award of the first GEAR UP scholarship;

(2) Has received 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 grantee's option, a State or Partnership may offer scholarships to students who attend institutions of higher education outside the State; and

(4) Has participated in the activities required under §694.21.

(c)(1) By the time students who have received services from a State grant have completed the twelfth grade, a State that has not received a waiver under section 404E(b)(2) of the HEA of the requirement to spend at least 50 percent of its GEAR UP funds on scholarships must have in reserve an amount that is not less than the minimum Federal Pell Grant multiplied by the number of students the State estimates will enroll in an institution of higher education.

(2) Consistent with paragraph (a) of this section and §694.16(a), States must use funds held in reserve to make scholarships to eligible students.

(3) Scholarships must be made to all students who are eligible under the definition in paragraph (b) of this section. A

grantee may not impose additional eligibility criteria that would have the effect of limiting or denying a scholarship to an eligible student.

(d) A State using a Priorities approach may award scholarships under paragraph (a) of this section to eligible students identified by Priorities at any time during the grant award period rather than reserving scholarship funds for use only in the seventh year of a project or after the grant award period.

(e) States providing scholarships must provide information on the eligibility requirements for the scholarships to all participating students upon the students' entry into the GEAR UP program.

(f) A State must provide scholarship funds as described in this section to all eligible students who attend an institution of higher education in the State, and may provide these scholarship funds to eligible students who attend institutions of higher education outside the State.

(g) A State or a Partnership that chooses to participate in the scholarship component in accordance with section 404E of the HEA may award continuation scholarships in successive award years to each student who received an initial scholarship and who is enrolled or accepted for enrollment in a program of undergraduate instruction at an institution of higher education.

(h) A GEAR UP scholarship, provided under section 404E of the HEA, may not be considered in the determination of a student's eligibility for other grant assistance provided under title IV of the HEA, except that in no case may the total amount of student financial assistance awarded to a student under title IV of the HEA exceed the student's total cost of attendance.
(Authority: 20 U.S.C. 1070a-25)

130. Newly redesignated §694.15 is revised to read as follows:
§694.15 May a Partnership that does not award scholarships under section 404E of the HEA provide, as part of a GEAR UP project, financial assistance for postsecondary education using non-Federal funds?

A GEAR UP Partnership that does not participate in the GEAR UP scholarship component may provide financial assistance for postsecondary education with non-Federal funds, and those funds may be used to satisfy the matching requirement.
(Authority: 20 U.S.C. 1070a-21 to 1070a-28)

131. Section 694.16 is added to read as follows:
§694.16 What are the requirements for redistribution or return of scholarship funds not awarded to a project's eligible students?

The following requirements apply only to section 404E scholarship awards for grantees whose initial GEAR UP grant awards were made on or after August 14, 2008, and to any section 404E

scholarship awards for grantees whose initial GEAR UP grant awards were made prior to August 14, 2008, but who, pursuant to §694.12(b)(2), elect to use the §694.14 requirements (rather than the §694.13 requirements):

(a) Scholarship funds held in reserve by States under §694.14(c) or by Partnerships under section 404D(b)(7) of the HEA that are not used by eligible students as defined in §694.14(b) within six years of the students' scheduled completion of secondary school may be redistributed by the grantee to other eligible students.

(b) Any Federal scholarship funds that are not used by eligible students within six years of the students' scheduled completion of secondary school, and are not redistributed by the grantee to other eligible students, must be returned to the Secretary within 45 days after the six-year period for expending the scholarship funds expires.

(c) Grantees that reserve funds for scholarships must annually furnish information, as the Secretary may require, on the amount of Federal and non-Federal funds reserved and held for GEAR UP scholarships and the disbursement of these scholarship funds to eligible students until these funds are fully expended or returned to the Secretary.

(d) A scholarship fund is subject to audit or monitoring by authorized representatives of the Secretary throughout the life of the fund.

(Authority: 20 U.S.C. 1070a-25(e))

132. Newly redesignated §694.18 is revised to read as follows:

§694.18 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 to each student participating in its GEAR UP project.

(b) 21st Century Scholarship Certificates must be personalized and indicate the amount of Federal financial aid for college and the estimated amount of any scholarship provided under section 404E of the HEA, if applicable, that a student may be eligible to receive.

(Authority: 20 U.S.C. 1070a-26)

133. Newly redesignated §694.19 is revised to read as follows:

§694.19 What Priorities does the Secretary establish for a GEAR UP grant?

The Secretary awards competitive preference Priorities points to an eligible applicant for a State grant that has both--

(a) Carried out a successful State GEAR UP grant prior to

August 14, 2008, determined on the basis of data (including outcome data) submitted by the applicant as part of its annual and final performance reports, and the applicant's history of compliance with applicable statutory and regulatory requirements; and

(b) A prior, demonstrated commitment to early intervention leading to college access through collaboration and replication of successful strategies.
(Authority: 20 U.S.C. 1070a-21(b))
134. New §694.20 is added to read as follows:
§694.20 When may a GEAR UP grantee provide services to students attending an institution of higher education?

(a) The Secretary authorizes an eligible State or Partnership to provide GEAR UP services to students attending an institution of higher education if the State or Partnership--

(1) Applies for and receives a new GEAR UP award after August 14, 2008, and

(2) In its application, requested a seventh year so that it may continue to provide services to students through their first year of attendance at an institution of higher education.

(b) A State grantee that uses a Priorities (rather than or in addition to a cohort) approach to identify participating students may, consistent with its approved application and at any time during the project period, provide services to students during their first year of attendance at an institution of higher education, provided that the grantee continues to provide all required services throughout the Federal budget period to GEAR UP students still enrolled in a local educational agency.

(c) If a grantee is awarded a seven year grant, consistent with the grantee's approved application, during the seventh year of the grant the grantee--

(1) Must provide services to students in their first year of attendance at an institution of higher education; and

(2) May choose to provide services to high school students who have yet to graduate.

(d) Grantees that continue to provide services under this part to students through their first year of attendance at an institution of higher education must, to the extent practicable, coordinate with other campus programs, including academic support services to enhance, not duplicate service.
(Authority: 20 U.S.C. 1070a-21(b)(2))
135. New §694.21 is added to read as follows:
§694.21 What are required activities for GEAR UP projects?

A grantee must provide comprehensive mentoring, outreach, and supportive services to students participating in the GEAR UP program. These services must include the following activities:

(a) Providing information regarding financial aid for

postsecondary education to eligible participating students.

(b) Encouraging student enrollment in rigorous and challenging curricula and coursework, in order to reduce the need for remedial coursework at the postsecondary level.

(c) Implementing activities to improve the number of participating students who--

(1) Obtain a secondary school diploma, and

(2) Complete applications for, and enroll in, a program of postsecondary education.

(d) In the case of a State grantee that has not received a 100-percent waiver under section 404E(b)(2) of the HEA, providing scholarships in accordance with section 404E of the HEA. (Authority: 20 U.S.C. 1070a-24(a))

136. New §694.22 is added to read as follows:

§694.22 What other activities may all GEAR UP projects provide?

A grantee may use grant funds to carry out one or more of the following services and activities:

(a) Providing tutors and mentors, who may include adults or former participants in a GEAR UP program, for eligible students.

(b) Conducting outreach activities to recruit Priorities students (identified in section 404D(d) of the HEA) to participate in program activities.

(c) Providing supportive services to eligible students.

(d) Supporting the development or implementation of rigorous academic curricula, which may include college preparatory, Advanced Placement, or International Baccalaureate programs, and providing participating students access to rigorous core academic courses that reflect challenging State academic standards.

(e) Supporting dual or concurrent enrollment programs between the secondary school and institution of higher education partners of a GEAR UP Partnership, and other activities that support participating students in--

(1) Meeting challenging State academic standards;

(2) Successfully applying for postsecondary education;

(3) Successfully applying for student financial aid; and

(4) Developing graduation and career plans, including career awareness and planning assistance as they relate to a rigorous academic curriculum.

(f) Providing special programs or tutoring in science, technology, engineering, or mathematics.

(g) For Partnerships, providing scholarships described in section 404E of the HEA, and for all grantees providing appropriate administrative support for GEAR UP scholarships.

(h) Introducing eligible students to institutions of higher education, through trips and school-based sessions.

(i) Providing an intensive extended school day, school year, or summer program that offers--

(1)   Additional academic classes; or

(2)   Assistance with college admission applications.

(j)   Providing other activities designed to ensure secondary school completion and postsecondary education enrollment of at-risk children, such as:

(1)   Identification of at-risk children.

(2)   After-school and summer tutoring.

(3)   Assistance to at-risk children in obtaining summer jobs.

(4)   Academic counseling.

(5)   Financial and economic literacy education or counseling.

(6)   Volunteer and parent involvement.

(7)   Encouraging former or current participants of a GEAR UP program to serve as peer counselors.

(8)   Skills assessments.

(9)   Personal and family counseling, and home visits.

(10) Staff development.

(11) Programs and activities that are specially designed for students who are limited English proficient.

(k)   Enabling eligible students to enroll in Advanced Placement or International Baccalaureate courses, or college entrance examination preparation courses.

(l)   Providing services to eligible students in the participating cohort described in §694.3 through the first year of attendance at an institution of higher education.

(m)   Fostering and improving parent and family involvement in elementary and secondary education by promoting the advantages of a college education, and emphasizing academic admission requirements and the need to take college preparation courses, through parent engagement and leadership activities.

(n)   Disseminating information that promotes the importance of higher education, explains college preparation and admission requirements, and raises awareness of the resources and services provided by the eligible entities to eligible students, their families, and communities.

(o)   For a GEAR UP Partnership grant, in the event that matching funds described in the approved application are no longer available, engaging other potential partners in a collaborative manner to provide matching resources and to participate in other activities authorized in §§ 694.21, 694.22, and 694.23.

(Authority: 20 U.S.C. 1070a-24(b))

137. New §694.23 is added to read as follows:

§694.23 What additional activities are allowable for State GEAR UP projects?

In addition to the required and permissible activities identified in §§694.21 and 694.22, a State may use grant funds to carry out one or more of the following services and activities:

(a) Providing technical assistance to--

(1) Secondary schools that are located within the State; or

(2) Partnerships that are eligible to apply for a GEAR UP grant and that are located within the State.

(b) Providing professional development opportunities to individuals working with eligible cohorts of students.

(c) Providing administrative support to help build the capacity of Partnerships to compete for and manage grants awarded under the GEAR UP program.

(d) Providing strategies and activities that align efforts in the State to prepare eligible students to attend and succeed in postsecondary education, which may include the development of graduation and career plans.

(e) Disseminating information on the use of scientifically valid research and best practices to improve services for eligible students.

(f)(1) Disseminating information on effective coursework and support services that assist students in achieving the goals described in paragraph (f)(2)(ii) of this section, and

(2) Identifying and disseminating information on best practices with respect to--

(i) Increasing parental involvement; and

(ii) Preparing students, including students with disabilities and students who are limited English proficient, to succeed academically in, and prepare financially for, postsecondary education.

(g) Working to align State academic standards and curricula with the expectations of postsecondary institutions and employers.

(h) Developing alternatives to traditional secondary school that give students a head start on attaining a recognized postsecondary credential (including an industry-recognized certificate, an apprenticeship, or an associate's or a bachelor's degree), including school designs that give students early exposure to college-level courses and experiences and allow students to earn transferable college credits or an associate's degree at the same time as a secondary school diploma.

(i) Creating community college programs for individuals who have dropped out of high school that are personalized drop-out recovery programs, and that allow drop-outs to complete a secondary school diploma and begin college-level work.
(Authority: 20 U.S.C. 1070a-24)

138. New §694.24 is added to read as follows:
§694.24 What services may a GEAR UP project provide to students in their first year at an institution of higher education?

Consistent with their approved applications and §694.20, a grantee may provide any services to students in their first year of attendance at an institution of higher education that will help those students succeed in school, and that do not duplicate

services otherwise available to them. Examples of services that may be provided include--
     (a) Orientation services including introduction to on-campus services and resources;
     (b) On-going counseling to students either in person or though electronic or other means of correspondence;
     (c) Assistance with course selection for the second year of postsecondary education;
     (d) Assistance with choosing and declaring an academic major;
     (e) Assistance regarding academic, social, and personal areas of need;
     (f) Referrals to providers of appropriate services;
     (g) Tutoring, mentoring, and supplemental academic support;
     (h) Assistance with financial planning;
     (i) Career counseling and advising services; or
     (j) Advising students about transferring to other schools.
(Authority: 20 U.S.C. 1070a-24)
     139. New §694.25 is added to read as follows:
§694.25 Are GEAR UP grantees required to provide services to students who were served under a previous GEAR UP grant?
     If a Partnership or State is awarded a GEAR UP grant on or after August 14, 2008 (i.e., initial grant), the grant ends before all students who received GEAR UP services under the grant have completed the twelfth grade, and the grantee receives a new award in a subsequent GEAR UP competition (i.e., new grant), the grantee must--
     (a) Continue to provide services required by or authorized under §§694.21, 694.22, and 694.23 to all students who received GEAR UP services under the initial grant and remain enrolled in secondary schools until they complete the twelfth grade; and
     (b) Provide the services specified in paragraph (a) of this section by using Federal GEAR UP funds awarded for the new grant or funds from the non-Federal matching contribution required under the new grant.
(Authority: 20 U.S.C. 1070a-21(b)(3)(B) and 1070a-22(d)(1)(C))

GEAR UP PARTNERSHIP 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 which encourages applicants to provide support and maintain a commitment to eligible low-income students, including students with disabilities, to assist the students in obtaining a secondary school diploma and preparing for and succeeding in postsecondary education.

Description of the GEAR UP Partnership Grant Program

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- or seven-year grants to partnerships to provide services at high-poverty middle and high schools and through the first year of college. The services include: providing information regarding financial aid for postsecondary education to participating students in the cohort, encouraging student enrollment in rigorous and challenging curricula and coursework, and improving the number of participating students who obtain a secondary school diploma and complete applications for and enroll in a program of postsecondary education. GEAR UP funding can also be used to provide scholarships to students. **The maximum annual Federal contribution to a partnership grant is $800 for each student directly served.**

Definitions

To assist applicants in preparing their GEAR UP application, we are providing commonly used definitions for the following terms: high-need children and high-need students, programs of study, college-ready curriculum, high school graduate, and college enrollment.

High-need children and high-need students means children and students at risk of educational failure, such as children and students who are living in poverty, who are English learners, who are far below grade level or who are not on track to becoming college- or career-ready by graduation, who have left school or college before receiving, respectively, a regular high school diploma or a college degree or certificate, who are at risk of not graduating with a diploma on time, who are homeless, who are in foster care, who are pregnant or parenting teenagers, who have been incarcerated, who are new immigrants, who are migrant, or who have disabilities.

Programs of study means career and technical education programs of study, which may be offered as an option to students (and their parents as appropriate) when planning for and completing future coursework, for career and technical content areas, that—(a) Incorporate secondary education and postsecondary education elements; (b) Include coherent and rigorous content aligned with challenging academic standards and relevant career and technical content in a coordinated, non-duplicative progression of courses that align secondary education with postsecondary education to

adequately prepare students to succeed in postsecondary education; (c) May include the opportunity for secondary education students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary education credits; and (d) Lead to an industry-recognized credential or certificate at the postsecondary level, or an associate or baccalaureate degree.

College-ready curriculum means a high school curriculum which requires students to earn passing grades in at least the following: four years of English; three years of mathematics (including algebra I and a higher level course such as algebra II, geometry, or data analysis and statistics); three years of science (including at least two courses chosen from biology, chemistry, or physics); three years of social studies; and one year of a language other than English.

High school graduate means students who receive a secondary credential that is fully aligned with each State's academic standards or its recognized equivalent.

College enrollment means students who are attending a 4-year or 2-year college or university in a program of study that may advance the students towards a recognized college or university degree.

Competitive Preference Priorities

To be determined.

Invitational Priority

To be determined.

Out-Year Costs

Partnership grants originally funded with FY 20XX 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 one of the grant and that amount is approved, the grantee will receive no more than $100,000 of Federal funding for years two through six, or seven, of the grant, as appropriate.

Eligibility

A partnership grant application must be submitted on behalf of a partnership between one or more local educational agencies (LEA) and one or more degree-granting institutions of higher education (IHE) and may include not less than two other community organizations or entities such as businesses, professional organizations, State agencies, or other public or private agencies or organizations. 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. In an appendix to the application, the Applicant must submit the "Applicant Organization Form and Cost Share Worksheet" and a "Partner Identification Form and Cost Share Worksheet" for each partner of the partnership.

Each partnership application must contain information or assurances that describe how the applicant will carry out the required activities component of the grant, and partnership applicants that choose to provide scholarships must also describe how they plan to meet the requirements of the scholarship component. Partnership applicants must provide assurances that adequate administrative and support staff will be responsible for coordinating the required activities component as well as assurances that the grant will not displace an employee or eliminate a position at a participating school. In addition, partnership applicants must define the cohort of students they will serve through grade 12, including how vacancies in the program will be filled and how the applicant will serve students attending different secondary schools. Partnership applicants must also provide information about the activities that will be carried out to support systemic changes from which future cohorts of students will benefit and describe the sources of matching funds that will enable the applicant to meet the matching requirement.

Required Elements of a GEAR UP Partnership Grant

1. Each eligible entity receiving a grant shall provide comprehensive mentoring, outreach, financial aid information and supportive services to students participating in the program. Such activities shall include the following:

   a. Financial aid information regarding postsecondary education to participating students in the cohort

   b. Encourage student enrollment in rigorous and challenging curricula and coursework, in order to reduce the need for remedial coursework at the postsecondary level

   c. Improve the number of participating students who a) obtain a secondary diploma and b) complete applications for and enroll in a program of postsecondary education

2. Provide services 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 Richard B. Russell National School Lunch Act. If an applicant determines that it would promote the effectiveness of a program, it may choose to serve 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. 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.

3. Ensure that the services are provided through the 12th grade to students in the participating grade level. Partnerships have the option of applying for a 7th year. Partnerships that apply for a seventh year of the grant **are required** to provide continued services through the students' first year of attendance at an institution of higher education.

4. Provide services to students who have received services under a previous GEAR UP grant award but have not yet completed the 12th grade.

21st Century Scholar Certificates

GEAR UP students must receive a one-time 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 grantee is responsible for supplying the 21st Century Scholar Certificates and the accompanying supplemental material to all GEAR UP students. The grantee should personalize the certificates by adding the students' names, and distributing the certificates to participating GEAR UP students. GEAR UP students receive only one certificate throughout the life of the grant. 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.

Permissible Activities for Partnerships

The following activities are permissible uses of Federal and matching funds:

1. Provide tutors and mentors, who may include adults or former participants of the GEAR UP program, for eligible students.

2. Provide supportive services to eligible students.

3. Support the development or implementation of rigorous academic curricula, which may include college preparatory, Advanced Placement, or International Baccalaureate programs, and provide participating students access to rigorous core academic courses that reflect challenging State academic standards.

4. Support dual or concurrent enrollment programs between the secondary school and institution of higher education partners and other activities that support participating students in:

    a. meeting challenging State academic standards;
    b. successfully applying for postsecondary education;
    c. successfully applying for student financial aid; and
    d. developing graduation and career plans.

5. Provide special programs or tutoring in science, technology, engineering or mathematics.

6. Provide support for scholarships.

7. Introduce eligible students to institutions of higher education, through trips and school-based sessions.

8. Provide an intensive extended school day, school year or summer program that offers:

a. additional academic classes; or

    b. assistance with college admission applications.

9. Provide activities designed to ensure secondary school completion and postsecondary education enrollment of at-risk children such as:

    a. the identification of at-risk children;

    b. after-school and summer tutoring;

    c. assistance to at-risk children in obtaining summer jobs;

    d. academic counseling;

    e. financial literacy and economic literacy education or counseling;

    f. volunteer and parent involvement;

    g. encouraging former or current participants to serve as peer counselors;

    h. skills assessments;

    i. personal and family counseling, and home visits;

    j. staff development; and

    k. programs and activities that are specially designed for students who are limited English
       proficient.

10. Enable eligible students to enroll in Advanced Placement or International Baccalaureate courses, or college entrance examination preparation courses.

11. Provide services to eligible students in the participating cohort through the first year of attendance at an institution of higher education.

12. Foster and improve parent and family involvement in elementary and secondary education by promoting the advantages of a college education, and emphasize academic admission requirements and the need to take college preparation courses, through parent engagement and leadership activities.

13. Disseminate information that promotes the importance of higher education, explains college preparation and admission requirements, and raises awareness of the resources and services provided to eligible students, their families, and communities.

14. In the event that matching funds are no longer available, engage partnerships in a collaborative manner to provide matching resources and participate in other authorized activities.

COORDINATION AND PROJECT MANAGEMENT

Coordination

Partnership projects must ensure that the activities proposed are, to the extent practicable, coordinated with and complement and enhance services provided by other eligible entities serving the same school district or State and related services under other Federal or non-Federal programs. GEAR UP grant funds shall be used to supplement and not supplant other Federal, State, and local funds.

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.

Participation in Conferences and Workshops

It is essential for grantees to collaborate with others on strategies for improving the academic experiences of low-income students. To achieve these objectives, applicants should plan and budget for required attendance at annual conferences and workshops, in the event that they are awarded a grant. Each trip will be for four days for a minimum of 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.*

MATCH REQUIREMENTS

Partnership applicants are required to provide, from State, local, institutional, or private funds, not less than 50 percent of the cost of the program (or $1 of non-Federal funds for every $1 of Federal funds awarded). Matching funds may be provided in cash or in kind and may be accrued over the full duration of the grant award period. Grantees are required to make substantial progress towards meeting the matching requirement in each year of the grant award period. Grantees must also specify the methods by which matching funds will be paid and include provisions designed to ensure that funds provided shall supplement and not supplant funds expended for existing programs.

Waiver of Matching Requirements

1. The Secretary may approve a partnership applicant's request for a waiver of up to 75 percent of the matching requirement for up to two years if the applicant demonstrates a significant economic hardship that stems from a specific, exceptional or uncontrollable event, such as a natural disaster, that has a devastating effect on the members of the partnership and the community in which the project would operate. After a two-year match waiver period, a grantee would be required to reapply for another waiver if needed.

2. The Secretary may approve a partnership applicant's request to waive up to 50 percent of the match requirement for up to two years if the applicant demonstrates in its application a pre-existing and an ongoing significant economic hardship that precludes the applicant from meeting the match requirement.

3. The Secretary may approve a request by a partnership applicant that has three or fewer institutions of higher education (IHE) as members to waive up to 70 percent of the matching requirement if the partnership demonstrates significant economic hardship that stems from a specific exceptional or uncontrollable event, such as a natural disaster, that has a devastating effect on the members of the partnership and the community in which the project will operate.

SCHOLARSHIPS

Partnerships may provide scholarships to students using Federal or matching GEAR UP funds. With Federal funds, scholarships must meet the following requirements:

Scholarship Eligibility

A student is eligible for a scholarship if the student:

1. is less than 22 years old at time of first scholarship award;
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 grantee's option, an eligible entity may offer scholarship program portability for recipients who attend institutions of higher education outside such State; and
4. participated in the required activities component.

Scholarships funded with non-Federal matching funds are not required to meet these requirements.

Notification of Eligibility

Grantees must provide information on the eligibility requirements for the scholarships to all participating students upon the students' entry into the program.

Scholarship Amounts

The maximum amount of a scholarship that a student is eligible to receive shall be established by the eligible entity. The minimum amount of the scholarship for each fiscal year shall not be less than the minimum Federal Pell Grant.

Trust Fund

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 benefit GEAR UP students upon their enrollment in college.

Reserve Scholarship Funds

Partnership grantees that choose to offer scholarships must hold in reserve scholarship funds of at least the minimum scholarship amount multiplied by the estimated number of eligible students.

Return of Funds

Partnerships must return to the Secretary any Federal scholarship funds that are not used by an eligible student within six years of the student's scheduled completion of secondary school or have not been redistributed by the other eligible students.

Reporting Requirements

   a. Partnership grantees must report annually to the Secretary information on Federal and non-Federal reserved funds held for GEAR UP scholarships and the disbursement of these funds to eligible students until these funds are fully expended or returned to the Secretary.

   b. Scholarship funds are subject to audit or monitoring by authorized representatives throughout the life of the fund.

Scholarship Portability

Funds held in reserve shall be made available to an eligible student when the eligible student has:

   a. Completed a secondary school diploma, its recognized equivalent, or another recognized alternative standard for individuals with disabilities; and

   b. Enrolled in an institution of higher education.

Qualified Educational Expenses

Scholarship funds available to an eligible student may be used for:

   a. Tuition, fees, books, supplies, and equipment required for the enrollment or attendance of the eligible student at an institution of higher education; and

   b. In the case of an eligible student with special needs, expenses for special needs services that are incurred in connection with such enrollment or attendance.

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 postsecondary education for GEAR UP students.

Objective 2: Increase the rate of high school graduation and enrollment in postsecondary education for GEAR UP students.

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

In addition, Public Law 100-315, Title IV, PART A, Sec. 404G requires each GEAR UP grant project to report biennially on the progress in implementing the proposed services and other provisions, achieving the objectives/expected outcomes (and overall impact on the affected project participants), as well as any warranted adjustments to components (e.g., type, frequency, duration) to the services not achieving their expected desired results or enhancing student learning.

Overall, GEAR UP projects, similar to other Federal projects, are required to provide documented evidence of their accountability for the expenditures of the obligated funds and the utilization of the accompanying matching contributions. 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 (measurable) 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 measurable 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 eighth 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' educational 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 five 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 or seven** 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 20XX-2017 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.

GEAR UP grantees must consistently collect and analyze student achievement, educational attainment (e.g., course completions), and other outcome data on an ongoing basis, especially data linked to the ten GPRA measures. The data also provide evidence that your grant project is meeting the GEAR UP mission of preparing students to graduate from high school and enter, persist, and succeed in postsecondary education. In order to show that your grant is in compliance, merits continuation of Federal funds in subsequent award years, and will eventually close in good standing, you must report the data requested in each Annual Performance Report (APR). Each year, when you submit your APR, Department of Education GEAR UP staff will compare the target you have established for each performance measure to the actual performance data. In your Final Performance Report (FPR), you must report on the numbers of cohort students who have graduated from high school with an official diploma and who have enrolled in postsecondary education.

Evaluation plan: A strong evaluation plan should shape the development of the project from the beginning to the end of the grant period. The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives and a summative evaluation approach

for assessing the likely contribution of the project to improving student outcomes, particularly those identified in Program performance reporting.

Applicants are encouraged to think carefully about summative evaluation approaches and choose one that is cost-effective and feasible, but will maximize how much confidence the Project or the Program can have in the study results (see definitions of evaluation designs, below). The strongest evaluation designs are experimental/randomized control studies. Other evaluation designs may be easier to implement but do not provide such rigorous results. Each applicant will have different State and local conditions for implementing the program and capacity for collecting and analyzing data which have to be taken into consideration when designing the evaluation. For example, larger districts with more than one middle school may be able to compare the change in outcomes for its GEAR UP schools to the change in outcomes for similar non-GEAR UP schools; small districts with only one middle school will not be able to use that evaluation approach. Applicants may refer to *A Guide to GEAR UP Program Evaluation: Optimal Research Design, Methodology, and Data Elements,* by CoBro Consulting (see https://edsurveys.rti.org/gearup/ls/ColeFinal.pdf) for more information on evaluation approaches.

The evaluation plan should clearly indicate: (1) what types of data will be collected; (2) when various types of data will be collected; (3) for which students data will be collected – participants only, participants and non-participants, which cohort (i.e., in what year did the students start); (4) what data collection methods will be used; (5) how the data will be analyzed; and (6) when reports and outcome data will be available. Applicants are encouraged to explain how they plan to gather data, such as by working with appropriate agencies to use State longitudinal data systems; schools; or other third-party verified data sources.

Definitions of Summative Evaluation Design Approaches

Experimental study means a study that employs random assignment of, for example, students, teachers, classrooms, schools, or districts to participate in a project being evaluated (treatment group) or not to participate in the project (control group). The effect of the project is the average difference in outcomes between the treatment and control groups.

Quasi-experimental study means an evaluation design that attempts to approximate an experimental design and can support causal conclusions (i.e., minimizes threats to internal validity, such as selection bias, or allows them to be modeled). Well-designed quasi-experimental studies include carefully matched comparison group designs (as defined in this notice), interrupted time series designs (as defined in this notice), or regression discontinuity designs (as defined in this notice).

Carefully matched comparison group design means a type of quasi-experimental study that attempts to approximate an experimental study. More specifically, it is a design in which project participants are matched with non-participants based on key characteristics that are thought to be related to the outcome. These characteristics may include, but are not limited to: (1) prior test scores and other measures of academic achievement (preferably, the same measures that the study will use to evaluate outcomes for the two groups); (2) demographic characteristics, such as age, disability status, gender, English proficiency, ethnicity, poverty level, parents' educational attainment, and single- or two-parent family background; (3) the time period in which the two groups are studied

(e.g., the two groups are children entering kindergarten in the same year as opposed to sequential years); and (4) methods used to collect outcome data (e.g., the same test of reading skills administered in the same way to both groups).

Interrupted time series design[15] means a type of quasi-experimental study in which the outcome of interest is measured multiple times before and after the treatment for program participants only. If the program had an impact, the outcomes after treatment will be significantly different from those before treatment. That is, the series should show an "interruption" of the prior situation at the time when the program was implemented. Adding a comparison group time series, such as schools not participating in the program or schools participating in the program in a different geographic area, substantially increases the reliability of the findings.

Regression discontinuity design study means, in part, a quasi-experimental study design that closely approximates an experimental study. In a classic regression discontinuity design, participants are assigned to a treatment or comparison group based on the basis of some assignment variable, such as their score on a pretest. Individuals above or below some pre-determined point will be assigned to treatment or control groups based on that variable (e.g., students scoring below 70 on an Algebra I pre-test receive specialized tutoring sessions and those at 70 and above do not). The impact of the intervention is measured by determining the difference in outcomes between individuals immediately above or below the cut point on the initial assignment variable (e.g. comparing the final test scores of students who got a 69 on the pretest and received tutoring with those who scored 70 on the pretest and did not). High-quality regression discontinuity designs require large numbers of individual cases at or near the cut point in order to increase statistical power.

Independent evaluation means that the evaluation is designed and carried out independent of, but in coordination with, any employees of the entities who develop a practice, strategy, or program and are implementing it. This independence helps ensure the objectivity of an evaluation and prevents even the appearance of a conflict of interest.

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[15] A single subject or single case design is an adaptation of an interrupted time series design that relies on the comparison of treatment effects on a single subject or group of single subjects. There is little confidence that findings based on this design would be the same for other members of the population. In some single subject designs, treatment reversal or multiple baseline designs are used to increase internal validity. In a treatment reversal design, after a pretreatment or baseline outcome measurement is compared with a post treatment measure, the treatment would then be stopped for a period of time; a second baseline measure of the outcome would be taken, followed by a second application of the treatment or a different treatment. A multiple baseline design addresses concerns about the effects of normal development, timing of the treatment, and amount of the treatment with treatment-reversal designs by using a varying time schedule for introduction of the treatment and/or treatments of different lengths or intensity.

Selection Criteria for Partnership Grants

The Secretary considers seven criteria drawn from the Education Department General Administrative Regulations (EDGAR): (1) the need for the project; (2) the quality of project design; (3) the quality of project services; (4) the quality of project personnel; (5) the quality of the management plan; (6) the quality of the project evaluation; and (7) the adequacy of project resources.

1. NEED FOR 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 DESIGN (15 POINTS):

In determining the quality of project design, the Secretary considers the following factors:
- The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;
- The extent to which the project design reflects up-to-date research and the replication of effective practices; and
- The extent to which the project supports systemic changes from which future cohorts of students will benefit.
- The extent to which the proposed project is supported by strong theory.

3. QUALITY OF PEROJECT SERVICES (15 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 project services are likely to increase the percentage of students taking rigorous courses that reflect challenging academic standards and reduce the need for remedial education at the postsecondary level; increase the percentage of secondary school completion; increase students' knowledge of and access to financial assistance for postsecondary education; increase the percentage of students enrolling and succeeding in postsecondary education; and appropriate to the needs of the intended recipients or beneficiaries of those services; and
- The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

4. QUALITY OF PROJECT PERSONNEL (10 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.

5. QUALITY OF THE MANAGEMENT PLAN (10 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.

6. 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 are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.
- 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.
- The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.
- The extent to which the methods of evaluation will, if well-implemented, produce evidence of promise.

7. 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 to 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.

8. COMPETITIVE PREFERENCE PRIORITY

To be determined.

9. INVITATIONAL PRIORITY

To be determined.

Notes

QUALITY OF PROJECT DESIGN
In demonstrating use of up-to-date research and the replication of effective practices, applicants are encouraged to consider using proven academic on-track indicators.

Examples of systemic change include increased coordination among secondary and postsecondary schools; school-, district-, or state-wide adoption of rigorous academic standards and course requirements; increased school, district or statewide capacity for data collection, tracking, and analysis.

QUALITY OF PROJECT PERSONNEL
Key personnel identified should include personnel responsible for data collection, tracking, analysis and reporting, and personnel responsible for evaluation.

QUALITY OF THE PROJECT EVALUATION
Logic model means a well-specified conceptual framework that identifies key components of the proposed process, product, strategy, or practice (i.e., the active "ingredients" that are hypothesized to be critical to achieving the relevant outcomes) and describes the relationships among the key components and outcomes, theoretically and operationally.

Evidence of promise means there is empirical evidence to support the theoretical linkage(s) between at least one critical component and at least one relevant outcome presented in the logic model for the proposed process, product, strategy, or practice.

Contact Information

GEAR UP Director
James Davis

Program Staff
Monique Bolton
Kanitra Cobbs
Nofertary Fofana
David Howe
Janet Mfon
Craig Pooler

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

U.S. Department of Education
1990 K Street N.W., Room 7100
Washington, DC 20006-8524
 (202) 502-7673
 Fax: (202) 219-7074
 Web Page: http://www2.ed.gov/programs/gearup/index.html

INSTRUCTIONS FOR

COMPLETING THE

GEAR UP

APPLICATION PACKAGE

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 – (SF 424)
   Department of Education Supplemental Information for SF 424

*Note:

   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 review only the materials/files attached to the forms listed below.

Part II: **Project Narrative**

- ED Abstract Form
- Project Narrative Attachment Form– includes the narrative sections addressing the program selection criteria and the project competitive preference priorities
- Other Attachment Forms (GEAR UP Program Specific Forms)

The **ED Abstract Form** is where you attach your one-page project abstract.

The abstract should include: applicant name, 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 six- or seven-year performance period.

   Formatting Requirements:

   Information provided in the one-page abstract may be single-spaced. However, the **font requirements in the Project Narrative Attachment Form also apply to the ED Abstract Form.**

   Note the following:
   1. A "page" is 8.5 inches by 11 inches, on one side only, with 1-inch margins at the top, bottom, and both sides. Page numbers and an identifier may be within 1-inch margin.
   2. Applicants may use one of the following fonts: *Times New Roman, Courier, Courier New, or Arial* <u>only</u>. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Do not use anything smaller than a 12-point font.

The **Project Narrative Attachment Form** includes the narrative sections addressing the program selection criteria that will be used to evaluate applications submitted for this competition. 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. However, if you choose to address the competitive preference priorities or invitational priority, you must limit your discussion on the priorities to only [to be determined] additional pages above the 40 page narrative limitation. A page is 8.5 inches by 11 inches, on one side only, with one-inch margins at the top, bottom, and both sides. Page numbers and an identifier may be within one-inch margin. Double space all text in the application narrative, except 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 Budget Narrative; other application forms uploaded 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.

Applicants may use one of the following fonts: Times New Roman, Courier, Courier New, or Arial only. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Do not use anything smaller than a 12-point font.

The **Other Attachments Form** is where you upload the following:

Upload the following **GEAR UP program specific forms (**found at the end of the application package):

- Students to be Served Form, Project Budget Summary Form, Detailed Budget Narrative (no specific form), Applicant Organization Identification Form and Cost Share Worksheet, Partner Identification Form and Cost Share Worksheet (please provide for each partner), Documentation of Student Eligibility for Free or Reduced-Price Lunch (no specific form) and Promise Zone Letter of Support (no specific form).
- Match Waiver Request (if applicable)

Please do not modify or change the contents of these forms in any way. Please also note there is no specific form or format for the Detailed Budget Narrative, the Documentation of Student Eligibility for Free or Reduced-Price Lunch, the match waiver request or the Promise Zone Letter of Support.

Applicants must complete these forms from this document (the application package). Once the forms have been completed and saved, the applicant must upload the documents (separate files) to the "**Other Attachments Form**" in the Grants.gov system. The documents must be in a PDF (Portable Document) format. Other types of files will not be accepted. Please note: Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.

Part III: Assurances and Certifications

- GEPA Section 427 Requirement
- Certification Regarding Lobbying (formerly ED form 80-0013)
- Assurances – Non-Construction Programs (SF 424B)
- Disclosure of Lobbying Activities (SF-LLL)

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 synopsized 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).

Offers 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 EXECUTIVE ORDER 12372

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

<div align="center">

http://www.whitehouse.gov/omb/grants/spoc.pdf

</div>

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments 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 7E200, 400 Maryland Avenue, S.W., 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. (Eastern Time) on the closing date indicated in this notice.

Important note: The above address is not the same address as the one to which the applicant submits its completed applications. ***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 2014-2018. This plan reflects the Department's Priorities goals, which will help measure the success of the Departments cradle-to-career education strategy, reflect the importance of teaching and learning at all levels of the education system. The Departments goals are:

Goal 1: Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.

Goal 2: Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.

Goal 3: Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.

Goal 4: Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.

Goal 5: Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology**.**

Goal 6: Improve the organizational capacities of the Department to implement this strategic plan.

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 enrollment 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.

Application Package Checklist

Before you submit the application package, please review the following list to ensure that you have attached all required materials/files.

Standard Departmental Application Forms, Assurances, and Certifications

- Application for Federal Assistance (SF-424)
- Department of Education Supplemental Information for SF-424
- GEPA Section 427 Requirement
- Grants.gov Lobbying (formerly ED form 80-0013)
- Assurances - Non-Construction Programs (SF 424B)
- Disclosure of Lobbying Activities (SF-LLL)

GEAR UP Program Specific Forms

- Students to be Served Form
- Project Budget Summary Form
- Applicant Organization Identification Form and Cost Share Worksheet
- Partner Identification Form and Cost Share Worksheet

Additional Documents

- ED Abstract Form (one page maximum)
- Project Narrative Attachment Form (40 page maximum)
- Project Competitive Preference Priorities/Invitational Priority ([to be determined] page maximum)
- Budget Narrative – Detailed
- Match Waiver Request (if applicable)
- Documentation of Student Eligibility for Free or Reduced – Price Lunch
- Promise Zone Letter of Support (if applicable)

INSTRUCTIONS FOR STANDARD FORMS

- Application for Federal Assistance (SF 424)

- Department of Education Supplemental Form for the SF 424

- Disclosure of Lobbying Activities (SF-LLL)

INSTRUCTIONS FOR THE SF 424

This is a standard form required for use as a cover sheet for submission of pre-applications 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 fields on the form are identified with an asterisk
(*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry	Item	Entry:
1.	**Type of Submission:** (Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form 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. • 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. A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration	12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number (FON) 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:** This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment 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 pre-applications, attach a summary description of the project.
4.	**Applicant Identifier:** Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.	16.	**Congressional Districts Of**: 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. 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. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of
5a.	**Federal Entity Identifier**: Enter the number assigned to your organization by the federal agency, if any.		
5b.	**Federal Award Identifier**: For new applications, enter NA. 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.		

			program/project congressional districts, if needed.
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:		
	a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the (SAM). Information on registering with SAM may be obtained by visiting www.Grants.gov.	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
	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.	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.
	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 www.Grants.gov.	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** (Waived) 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.
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	**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 federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	**Authorized Representative**: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. 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.)
	f. Name and contact information of person to be contacted on matters involving this application: Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.		
9.	**Type of Applicant:** (Required) Select up to three applicant type(s) in accordance with agency instructions.		
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession	M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic Serving		

| G. Independent School District
H. Public/State Controlled Institution of Higher Education
I. Indian/Native American Tribal Government (Federally Recognized)
J. Indian/Native American Tribal Government (Other than Federally Recognized)
K. Indian/Native American Tribally Designated Organization
L. Public/Indian Housing Authority | Institution
S. Historically Black Colleges and Universities (HBCUs)
T. Tribally Controlled Colleges and Universities (TCCUs)
U. Alaska Native and Native Hawaiian Serving Institutions
V. Non-US Entity
W. Other (specify) | | |

[**U.S Department of Education note**: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]

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. Items marked with an asterisk (*) are mandatory.

2. **Novice Applicant.** Check "Yes" if you meet the definition for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424"). By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the definition for novice applicants**.**

This novice applicant information will be used by ED to: 1) determine the amount and type of technical assistance that a novice might need, if funded, and 2) determine novice applicant eligibility in discretionary grant competitions that give special consideration to novice applications. Certain ED discretionary grant programs give special consideration to novice applications, either by establishing a special competition for novice applicants or by giving competitive preference to novice applicants under the procedures in 34 CFR 75.105(c)(2). If special consideration is being given to novice applications under a particular discretionary grant competition, the application notice for the competition published in the Federal Register will specify this information

3. Human Subjects Research. (See I. A. "Definitions" in attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424.")

3a. 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.

3a. 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 U.S. Department of Education Supplemental Information for SF-424.")

3b. 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. Check 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 U.S. Department of Education Supplemental Information for the SF-424."

3b. 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 attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424."

3b. Human Subjects Assurance Number. If the applicant has an approved Federal Wide Assurance (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. **(A list of current FWAs is available at: http://ohrp.cit.nih.gov/search/asearch.asp#ASUR)** 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.

3c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to your submission of the U.S Department of Education Supplemental Information for the SF-424 form as instructed in item II, "Instructions for

Exempt and Nonexempt Human Subjects Research Narratives" in the attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424."

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.

<u>No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.</u>

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 1894-0006. 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. 20202-0170. If you have comments or concerns regarding the status of your individual submission of this form write directly to: (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

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 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 U.S. Department of Education, Protection of Human Subjects Coordinator, Office of the Chief Financial Officer, LBJ Building, 400 Maryland Avenue, SW, Washington, D.C. 20202-4250, telephone: (202) 260-3353, 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).

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.

    (b) 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).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

GEAR UP PROGRAM-SPECIFIC FORMS

STUDENTS TO BE SERVED FORM

For all grants, indicate the number of students your project intends to serve in each grade level each year of the project period:

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7
Kindergarten							
1st							
2nd							
3rd							
4th							
5th							
6th							
7th							
8th							
9th							
10th							
11th							
12th							
First Year IHE*							
Total Students Served							

Target School(s)	Grade levels offered in the school(s)

For grants using a cohort approach:

Are 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-price lunch under the National School Lunch Act? ____Yes ____ No

*Institution of Higher Education

PROJECT BUDGET SUMMARY FORM

FEDERAL FUNDS REQUESTED FROM THE GEAR UP GRANT PROGRAM

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

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	YEAR 7	TOTAL
1. Salaries and Wages								
2. Employee Benefits								
3. Travel								
4. Materials and Supplies								
5. Consultants & Contracts								
6. Other								
A. Total Direct Costs: *(Sum of lines 1-6)*								
B. Total Indirect Costs: *(cannot be greater than 8% of Total Direct Costs)*								
C. Equipment								
D. Scholarships/ Tuition Assistance								
E. TOTAL MATCHING FUNDS FROM NON-FEDERAL SOURCES (A + B + C + D)								

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 Institution/Organization:

Are you a Local Educational Agency (LEA)?   Are you an Institution of Higher Education (IHE)?
____Yes ____ No   ____Yes ____ No

2. Matching Funds Provided by Applicant Organization

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	TOTAL
1. Salaries and Wages								
2. Employee Benefits								
3. Travel								
4. Materials and Supplies								
5. Consultants and Contracts								
6. Other								
A. Total Direct Costs *(Sum of lines 1-6)*								
B. Total Indirect Costs: *(cannot be greater than 8% of Total Direct Costs)*								
C. Equipment								
D. Scholarships/ Tuition Assistance								
E. TOTAL COMMITMENT (Lines A + B + C + D)								

3. Match Reduction:

Are you applying for a reduction in the cost matching requirement for this program? ____Yes ____ No ; If yes, what is the percentage reduction in the requirement you are requesting?_____

You will have to supply eligibility documentation and submit a budget reflecting the reduction in match.

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 a Local Educational 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 _____

PR Award No._____

3. Non-Federal Fund contribution provided by Partner

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	TOTAL
1. Salaries and Wages								
2. Employee Benefits								
3. Travel								
4. Materials and Supplies								
5. Consultants and Contracts								
6. Other								
A. Total Direct Costs *(Sum of lines 1-6)*								
B. Total Indirect Costs: *(Cannot be greater than 8% of Total Direct Costs)*								
C. Equipment								
D. Scholarships/Tuition Assistance								
E. TOTAL COMMITMENT (Lines A + B + C + D)								

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:_____

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

 We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

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 1894-0005 (Exp. 03/31/2017). The time required to complete this information collection is estimated to average 1.5 hours 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: U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

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. Public reporting burden for this collection of information is estimated to average 56 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is mandatory is required to obtain or retain benefit (Higher Education Opportunity Act (Public Law 110-315) (HEOA).Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to regulations.gov during the public comment period for this collection of information. If you have specific questions about the form, instrument or survey, please contact James Davis, 202-502-7802.