

**U.S. DEPARTMENT OF EDUCATION  
OFFICE OF POSTSECONDARY EDUCATION  
WASHINGTON, D.C. 20202-6450**  
<http://www2.ed.gov/programs/gearup/index.html>

**FY 2019  
APPLICATION FOR GRANTS  
UNDER THE GAINING EARLY AWARENESS  
AND READINESS FOR  
UNDERGRADUATE PROGRAMS (GEAR UP)  
STATE GRANTS**

**CFDA Number: 84.334S**

**FORM APPROVED**

**OMB No. 1840-0821, Expiration Date: June 30, 2022**



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

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UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF POSTSECONDARY EDUCATION

July 2019

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) 2019 GEAR UP State grant competition (CFDA 84.334S). Included in this application package are the program statute and regulations, and the instructions and forms needed for you to submit a State application to the U.S. Department of Education (Department).

Please be sure to thoroughly review the entire application package 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 Notice published in the Federal Register is the official document describing the requirements for applying for a GEAR UP State 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 program, please contact Craig Pooler, Director, GEAR UP and TRIO Talent Search Division at (202) 453-6195 or [Craig.Pooler@ed.gov](mailto:Craig.Pooler@ed.gov).

Sincerely,

/Signed/

Diane Auer Jones  
Principal Deputy Under Secretary  
Delegated to Perform the Duties of Under Secretary and  
Assistant Secretary for the Office of Postsecondary Education

## COMPETITION HIGHLIGHTS

### 1. Authorization

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

### 2. Program Website

GEAR UP statutory and regulatory requirements and additional information can be found on the Department's website at: <http://www2.ed.gov/programs/gearup/index.html>.

### 3. Purpose of the Program

GEAR UP 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.

### 4. Eligible Applicants

At the time of application, the Governor of the State must designate the eligible State entity that can apply for a GEAR UP State grant on behalf of the State. State applicants must include in the application an Applicant Eligibility Form.

**Note: The CFDA number for the State Program is 84.334<sup>S</sup>. Please do not mistakenly submit your application under the Partnership Program CFDA number - 84.334<sup>A</sup>.**

### 5. Invitational Priority

An applicant may address the invitational priority related to spurring investment in opportunity zones. Information on the invitational priority can be found in the Notice Inviting Applications (Notice) that was published in the *Federal Register*, which is included in this application package.

### 6. Competitive Preference Priority

An applicant may be eligible to receive additional points depending on how well a Competitive Preference Priority (CPP) is addressed. Applicable CPPs can be found in the Notice Inviting Applications (Notice) that was published in the *Federal Register*, which is included in this application package.

### 7. Required Activities

**GEAR UP State projects are required to implement the following activities:**

- Providing comprehensive mentoring, outreach, and supportive services to students participating in the programs;
- Providing information regarding financial aid for postsecondary education to participating students in the cohort;
- Encouraging student enrollment in rigorous and challenging curricula and coursework, in order to reduce the need for remedial coursework at the postsecondary level;
- 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; and
- Providing scholarships to students.

## 8. Allowable Implementation Model

Applicants can choose to implement two models: *cohort and/or priority students model*. Details regarding the two implementation models are provided later in the application.

## 9. Budgetary Information

- Maximum Amount - The maximum amount a State applicant can request each year of funding under the FY 2019 competition is \$5 million.
- Required Federal Allocation - State applicants must allocate no less than 25 percent and no more than 50 percent of Federal funds for activities and the remaining Federal funds for scholarships. However, there is an exception in the statute that allows applicants to allocate more for activities. Additional information on the exception is provided in the application package.
- Matching/Cost-Share - Applicants must clearly demonstrate in the application how the matching/cost-share requirement will be satisfied. GEAR UP projects are required to provide not less than 50 percent of project costs (or \$1 of non-Federal funds for every \$1 of Federal funds awarded), which may be cash or in-kind. Proposed Federal and non-Federal expenditures must be provided on the Budget Summary Form, and the 6- or 7-year total proposed matching contributions must be equal to or more than proposed Federal expenditures for the six- or seven-year performance period.
- Out-Year Funding - Applicants will not receive more Federal funding in out-years than the amount awarded in the first year of the grant; and therefore, the Budget Summary Form should not reflect budgetary increases in years two through six or seven.

## 10. Electronic Submission of Applications

GEAR UP applications must be submitted electronically using Grants.gov.

**Note: The CFDA number for the State Program is 84.334[S]. Please do not mistakenly submit your application under the Partnership Program CFDA number - 84.334[A].**

You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require five or more days to complete. A more thorough discus-

sion is included later in this application package. The requirements for obtaining an exception to the electronic submission requirement are included in the Notice. If you think you may need an exception, you are urged to review the requirements promptly. Please note that you must submit your application by 11:59:59 p.m., Eastern Time, on or before the application deadline date. Late applications will not be accepted. We suggest that you submit your application several days before the deadline. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time. We recommend that all attachments be in .PDF format.

You must provide the DUNS number that was used when your organization registered with the System for Award Management (SAM), formerly Central Contractor Registry (CCR). An applicant needs a DUNS number in order to submit an application. If you do not have one, or need to renew one, this process can take weeks. Additionally, the General Services Administration (GSA) has imposed a new requirement concerning the submission of a notarized letter appointing a designated entity administrator in order to register for SAM. Successful registration in SAM is a prerequisite to being able to register in Grants.gov and submit an application electronically. Please refer to the GEAR UP Website, <http://www2.ed.gov/programs/gearup/index.html>, under Applicant Information for additional details regarding the new SAM requirement.

## **11. Recommended Format of Application**

There are no formatting requirements for this competition. However, we recommend that applicants double space the application narrative and use a font that is either 12-point or larger. Charts, tables, figures, and graphs can be single spaced. The following fonts are suggested: Times New Roman, Courier, Courier New, or Arial.

## **12. GEAR UP Program Required Forms**

The following forms and documentation are required. Additional information on these documents is provided in this application package.

- Applicant Eligibility Form
- State Project Profile Sheet
- Project Budget Summary Form
- First-Year Budget Narrative Form

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

## **13. Project Abstract**

The project abstract in the application should be presented on one page, single spaced. The abstract should include:

- Applicant name (branch and/or campus, if applicable)
- City and State

- Contact information (contact person, email address, telephone number)
- Project goals and objectives
- Activities and services
- Number of students to be served
- Target schools
- Partners
- Performance period

#### 14. 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.

#### 14. 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 electronically shortly after the Congress is notified. No funding information will be released until after the Congress is notified.

#### 15. Notice to Unsuccessful Applicants

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

#### 16. Contact Information

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

Program Lead: Craig Pooler  
 Address: Gaining Early Awareness and Readiness for Undergraduate Programs  
 U.S. Department of Education  
 400 Maryland Avenue, S.W., Room 278-64  
 Washington, D.C. 20202  
 Telephone: (202) 453-6195  
 Fax: (202) 260-7464  
 E-mail Address: Craig.Pooler@ed.gov

**For technical support regarding Grants.gov, please contact:**

Telephone: (800) 518-4726  
 E-mail: [support@grants.gov](mailto:support@grants.gov)  
 Grants.gov Contact Center is open 24 hours a day, 7 days a week, except Federal holidays.

Also, refer to “Grants.gov Submission Procedures and Tips for Applicants” found in



this application booklet.

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

## 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.

#### **Browser Support**

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues.

For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html#browser>.

#### **ATTENTION – Workspace, Adobe Forms and PDF Files**

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

- 1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
  - a. Adobe Reader: If you decide not to apply by filling out web forms, you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.  
NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.
  - b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
  - c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.
- 3) Submit a Workspace: An application may be submitted through Workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

- 4) **Track a Workspace Submission:** After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to <https://www.grants.gov/web/grants/applicants/applicant-training.html>.

## Helpful Reminders

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://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.]

Primary information about SAM is available at [www.sam.gov](http://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 11:59:59 p.m. Eastern 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. 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, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m. Eastern Time on the deadline date, AND the application status should be: Validated, 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 11:59:59 p.m. Eastern 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/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.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 [support@grants.gov](mailto:support@grants.gov) or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>.

If electronic submission is required, you must submit an electronic application before 11:59:59 p.m. Eastern Time, 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. 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. (See the Federal Register notice for detailed instructions.)

### Helpful Hints When Working with Grants.gov

Please go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>, as well as additional information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace>.

### 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.)

### Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.
- 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.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

- 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 with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

## APPLICATION SUBMISSION PROCEDURES AND REQUIREMENTS

**This program requires the electronic submission of applications.**

**Important Note:** The CFDA number for the State Program is 84.334<sup>S</sup>. Please do not mistakenly submit your application under the Partnership Program CFDA number - 84.334<sup>A</sup>.

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 the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 11:59:59 p.m., Eastern Time, on or before the deadline date.**

If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgement when we receive your application.

For more information on using Grants.gov, please refer to the Grants.gov information found in this application package and visit <http://www.grants.gov>.

### **Submission of Paper Applications by Mail:**

If you qualify for an exemption to the electronic submission requirement and you 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 84.334S  
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.

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

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

### **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 84.334S  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260**

### **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.

### **Application Control Center Hours of Operation:**

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

## **Late Applications**

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



4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Gaining Early Awareness and Readiness for Undergraduate Programs (State Grants)

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing a notice inviting applications for new awards for fiscal year (FY) 2019 for the Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) State Grants, Catalog of Federal Domestic Assistance (CFDA) number 84.334S. This notice relates to the approved information collection under OMB control number 1840-0821, Application for GEAR UP State Grants.

DATES:

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

Deadline for Transmittal of Applications: [INSERT DATE \_\_\_ DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

ADDRESSES: For the addresses for obtaining and submitting an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 13, 2019 (83 FR 6003), and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf).

FOR FURTHER INFORMATION CONTACT: Craig Pooler, U.S. Department of Education, 400 Maryland Avenue, SW., room 278-64, Washington, DC 20202-6450. Telephone: (202) 453-6195. Email: Craig.Pooler@ed.gov.

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

SUPPLEMENTARY INFORMATION:

I. Funding Opportunity Description

Purpose of Program: The GEAR UP program is a discretionary grant 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. Under the GEAR UP program, the Department awards grants to two types of entities: (1) States and (2) eligible partnerships.

In this notice, the Department invites applications for State grants only. Required services under the GEAR UP program are specified in sections 404D(a) of the Higher Education Act of 1965, as amended (HEA) (20 U.S.C. 1070a-24(a)), and permissible services under the GEAR UP program are specified in section 404D(b) and (c) of the HEA (20 U.S.C. 1070a-24(b) and (c)). Grantee activities must include providing financial aid information for postsecondary education, encouraging enrollment

in rigorous and challenging coursework in order to reduce the need for remediation at the postsecondary level, implementing activities to improve the number of participating students who obtain a secondary school diploma and who complete applications for and enroll in a program of postsecondary education, and providing scholarships as specified in section 404E of the HEA. Additional permissible activities for State grantees are specified in sections 404D(b) and (c) of the HEA.

Background:

On March 2, 2018, the Secretary published in the *Federal Register* the Secretary's Final Supplemental Priorities and Definitions for Discretionary Grant Programs (83 FR 9096) (Supplemental Priorities). In order to advance the Secretary's priorities, this competition contains a competitive preference priority that focuses on improving student achievement or other educational outcomes in science, technology, engineering, or mathematics (STEM), including computer science. In addition, consistent with the Administration's interest in allocating funding to evidence-based practices, this competition includes a competitive preference priority that encourages applicants to propose strategies that are supported by promising evidence.

Priorities: This notice contains three competitive preference priorities and one invitational priority. Competitive Preference Priority 1 is from the Supplemental Priorities. In accordance with 34 CFR 75.105(b)(2)(ii) and (iv), Competitive Preference

Priority 2 is from section 404A(b)(3) of the HEA (20 U.S.C. 1070a-21(b)(3)) and the GEAR UP program regulations (34 CFR 694.19). Competitive Preference Priority 3 is from 34 CFR 75.226.

Competitive Preference Priorities: For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award up to an additional two points to an application, depending on how well the application meets each of these competitive preference priorities, for a maximum of six additional points.

These priorities are:

Competitive Preference Priority 1--Promoting STEM Education, With a Particular Focus on Computer Science (Up to two points).

Projects designed to improve student achievement or other educational outcomes in science, technology, engineering, math, or computer science (as defined in this notice). These projects must address creating or expanding partnerships between schools, local educational agencies, State educational agencies, businesses, not-for-profit organizations, or institutions of higher education (IHEs) to give students access to internships, apprenticeships, or other work-based learning experiences in STEM fields, including computer science.

Competitive Preference Priority 2 (Up to two points).

We give priority to an eligible applicant for a State GEAR UP grant that has: (a) carried out a successful State GEAR UP grant prior to August 14, 2008, determined on the basis of data (including outcomes data) submitted by the applicant as part of its annual and final performance reports from prior GEAR UP State grants administered by the applicant 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.

Competitive Preference Priority 3 (Up to two points).

Applications supported by evidence that meets the definition of "promising evidence" in 34 CFR 77.1(c).

Note 1: To address the priority, for up to two authorized activities, an applicant may submit one study or What Works Clearinghouse (WWC) publication that it believes supports the implementation of the proposed activity and that meets the promising evidence standard. Non-Federal peer reviewers will evaluate studies cited by the applicants to determine if they meet the requirements for promising evidence, as well as whether they are sufficiently aligned with (relevant to) the proposed activity. Applicants will be awarded one point for each activity supported by a relevant citation that meets the promising evidence standard, for a maximum number of two points.

Cited studies may include both those already listed in the Department's WWC Database of Individual Studies (see <https://ies.ed.gov/ncee/wwc/StudyFindings>) and those that have not yet been reviewed by the WWC. Studies listed in the WWC Database of Individual Studies do not necessarily satisfy any or all of the criteria needed to meet the promising evidence standard. Therefore, it is important that applicants themselves ascertain the suitability of the study for the evidence priority. Any proposed studies must be cited in the section of the application that addresses Competitive Preference Priority 3.

Note 2: As they consider the activities, they propose to implement in their GEAR UP projects and how to respond to this competitive preference priority, we encourage applicants to review research related to authorized GEAR UP activities to identify evidence that meets the promising evidence standard.

For State grantees, required GEAR UP services are specified in sections 404D(a) of the HEA (20 U.S.C. 1070a-24(a)), and permissible services under the GEAR UP program are specified in section 404D(b) and (c) of the HEA (20 U.S.C. 1070a-24(b) and (c)).

Invitational Priority: For FY 2019 and any subsequent year in which we make awards from the list of unfunded applications 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.

This priority is:

Spurring Investment in Qualified Opportunity Zones.

Under this priority, an applicant must demonstrate one or more of the following:

(a) The area in which the applicant proposes to serve individuals or otherwise provide services overlaps with a Qualified Opportunity Zone, as designated by the Secretary of the Treasury under section 1400Z-1 of the Internal Revenue Code, as amended by the Tax Cuts and Jobs Act (Pub. L. 115-97). An applicant must--

(i) Provide the census tract number of the Qualified Opportunity Zone(s) in which it proposes to serve individuals or otherwise provide services; and

(ii) Describe how the applicant will serve individuals or otherwise provide services in the Qualified Opportunity Zone(s).

(b) The applicant is located in a Qualified Opportunity Zone. The applicant must provide the census tract number of the Qualified Opportunity Zone in which it is located. If the applicant has multiple locations, or if the applicant's location overlaps with a Qualified Opportunity Zone, the applicant must demonstrate that its proximity to a Qualified Opportunity Zone is critical to the proposed project.

(c) The applicant has received, or will receive by 30 days after being awarded a grant, financial assistance from a Qualified Opportunity Fund under section 1400Z-2 of the Internal Revenue Code, as amended by the Tax Cuts and Jobs Act, for the acquisition, construction, or renovation of real or other tangible property directly related to its proposed project. An applicant must--

(i) Identify the Qualified Opportunity Fund from which it has received or will receive financial assistance; and

(ii) Describe how the applicant will use the financial assistance for its proposed project.

Definitions: These definitions are from the Supplemental Priorities and 34 CFR 77.1(c).

*Computer science* means the study of computers and algorithmic processes and includes the study of computing principles and theories, computational thinking, computer hardware, software design, coding, analytics, and computer applications.

Computer science often includes computer programming or coding as a tool to create software, including applications, games, websites, and tools to manage or manipulate data; or development and management of computer hardware and the other electronics related to sharing, securing, and using digital information.



In addition to coding, the expanding field of computer science emphasizes computational thinking and interdisciplinary problem-solving to equip students with the skills and abilities necessary to apply computation in our digital world.

Computer science does not include using a computer for everyday activities, such as browsing the internet; use of tools like word processing, spreadsheets, or presentation software; or using computers in the study and exploration of unrelated subjects.

*Demonstrates a rationale* means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

*Experimental study* means a study that is designed to compare outcomes between two groups of individuals (such as students) that are otherwise equivalent except for their assignment to either a treatment group receiving a project component or a control group that does not. Randomized controlled trials, regression discontinuity design studies, and single-case design studies are the specific types of experimental studies that, depending on their design and implementation (e.g., sample attrition in randomized controlled trials and regression discontinuity design studies), can meet What Works Clearinghouse (WWC) standards without reservations as described in the WWC Handbook:

(i) A randomized controlled trial employs random assignment of, for example, students, teachers, classrooms, or schools to receive the project component being evaluated (the treatment group) or not to receive the project component (the control group).

(ii) A regression discontinuity design study assigns the project component being evaluated using a measured variable (e.g., assigning students reading below a cutoff score to tutoring or developmental education classes) and controls for that variable in the analysis of outcomes.

(iii) A single-case design study uses observations of a single case (e.g., a student eligible for a behavioral intervention) over time in the absence and presence of a controlled treatment manipulation to determine whether the outcome is systematically related to the treatment.

*Logic model* (also referred to as a theory of action) means a framework that identifies key project components of the proposed project (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

*Project component* means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on

instructional practices for English learners and follow-on coaching for these teachers).

*Promising evidence* means that there is evidence of the effectiveness of a key project component in improving a relevant outcome, based on a relevant finding from one of the following:

(i) A practice guide prepared by WWC reporting a “strong evidence base” or “moderate evidence base” for the corresponding practice guide recommendation;

(ii) An intervention report prepared by the WWC reporting a “positive effect” or “potentially positive effect” on a relevant outcome with no reporting of a “negative effect” or “potentially negative effect” on a relevant outcome; or

(iii) A single study assessed by the Department, as appropriate, that--

(A) Is an experimental study, a quasi-experimental design study, or a well-designed and well-implemented correlational study with statistical controls for selection bias (e.g., a study using regression methods to account for differences between a treatment group and a comparison group); and

(B) Includes at least one statistically significant and positive (i.e., favorable) effect on a relevant outcome.

*Quasi-experimental design study* means a study using a design that attempts to approximate an experimental study by identifying a comparison group that is similar to the treatment group in important respects. This type of study, depending on design and

implementation (e.g., establishment of baseline equivalence of the groups being compared), can meet WWC standards with reservations, but cannot meet WWC standards without reservations, as described in the WWC Handbook.

*Relevant outcome* means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

*What Works Clearinghouse Handbook* (WWC Handbook) means the standards and procedures set forth in the WWC Procedures and Standards Handbook, Version 3.0 or Version 2.1 (incorporated by reference, see 34 CFR 77.2). Study findings eligible for review under WWC standards can meet WWC standards without reservations, meet WWC standards with reservations, or not meet WWC standards. WWC practice guides and intervention reports include findings from systematic reviews of evidence as described in the Handbook documentation.

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

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 81, 82, 84, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as

adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 694.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Department of Education Appropriations Act, 2019 provided \$360,000,000 for the GEAR UP program for FY 2019, of which we intend to use an estimated \$28,276,000 for new GEAR UP State awards.

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

Estimated Range of Awards: \$2,500,000-\$5,000,000.

Estimated Average Size of Awards: \$3,535,000.

Maximum Award: We will not make an award for a State grant exceeding \$5,000,000 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. As described in 34 CFR 694.1, the Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the *Federal Register*.

Estimated Number of Awards: 8.

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

Project Period: Either 72 months or 84 months.

Note: An applicant that wishes to seek funding for a seventh project year (i.e., for a project period of 84 months), in order to provide project services to GEAR UP students through their first year of attendance at an IHE, must propose to do so in the application provided in response to this notice.

### III. Eligibility Information

1. Eligible Applicants: States (as defined in section 103(20) of the HEA (20 U.S.C. 1003(20)), which includes the Commonwealth of Puerto Rico, the District of Columbia, Guam, American Samoa, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States. Per Congressional direction in the Explanatory Statement to the Department of Education Appropriations Act, 2019 (P.L. 115-245), only States without an active State GEAR UP grant, or States that have an active State GEAR UP grant that is scheduled to end prior to October 1, 2019, are eligible to receive a new State GEAR UP award in this competition.

2.a. Cost Sharing or Matching: Section 404C(b)(1) of the HEA (20 U.S.C. 1070a-23(b)(1)) requires 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 one dollar of non-Federal funds for every one dollar of Federal funds awarded), which may be provided in cash or in-kind. The

provision also specifies 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(c) of the HEA provides that in-kind contributions may include (1) the amount of the financial assistance obligated under GEAR UP to students from State, local, institutional, or private funds, (2) the amount of tuition, fees, room or board waived or reduced for recipients of financial assistance under GEAR UP, (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) equipment and supplies, cash contributions from non-Federal sources, transportation expenses, in-kind or discounted program services, indirect costs, and facility usage.

Grantees must include a budget detailing the source of the matching funds and must provide an outline of the types of matching contributions for at least the first year of the grant in their grant applications. Consistent with 2 CFR 200.306(b), any matching funds must be an allowable use of funds consistent with the GEAR UP program requirements and the cost principles

detailed in subpart E of 2 CFR part 200, and not included as a contribution for any other Federal award.

b. Supplement-Not-Supplant: This program involves supplement, not supplant funding requirements. Under section 404B(e) of the HEA (20 U.S.C. 1070a-22(e)), 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.

3. General Application Requirements: All applicants must meet the following application requirements in order to be considered for funding. The application requirements are from section 404C(a) of the HEA (20 U.S.C. 1070a-23(a)).

In order for an eligible entity to qualify for a grant under the GEAR UP program, the eligible entity shall submit to the Secretary an application for carrying out a GEAR UP program that--

(a) Describes the activities for which assistance under this program is sought, including how the eligible entity will carry out the required activities described in section 404D(a) of the HEA;

(b) Describes, in the case of an eligible entity described in section 404A(c)(1) of the HEA, how the eligible entity will meet the requirements of section 404E of the HEA;



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

(d) Provides assurances that activities assisted under this program will not displace an employee or eliminate a position at a school assisted under this program, including a partial displacement such as a reduction in hours, wages, or employment benefits;

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

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

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

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

(g) Provides such additional assurances as the Secretary determines necessary to ensure compliance with the requirements of this program;

(h) Provides 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

(i) Describes the sources of matching funds that will enable the eligible entity to meet the matching requirement described in section 404C(b).

4. Subgrantees: A grantee under this competition may not award subgrants to entities to directly carry out project activities described in its application.

#### IV. Application and Submission Information

1. Application Submission Instructions: Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on February 13, 2019 (83 FR 6003), and available at [www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf](http://www.govinfo.gov/content/pkg/FR-2019-02-13/pdf/2019-02206.pdf), which contain requirements and information on how to submit an application.

2. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. However, under 34 CFR 79.8(a), we waive intergovernmental review in order to make awards by the end of FY 2019.

3. Funding Restrictions: We specify unallowable costs in subpart E of 2 CFR part 200. We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

Under HEA section 404E(b)(1), a State must use not less than 25 percent and not more than 50 percent of the grant funds for GEAR UP project activities described in HEA section 404D,<sup>1</sup> with the remainder of grant funds spent on scholarships to eligible GEAR UP students described in HEA section 404E. However, HEA section 404E(b)(2) permits the Secretary to allow a State to use more than 50 percent of grant funds received under this program for GEAR UP project activities described in HEA section 404D if the State demonstrates that it has another means of providing eligible GEAR UP students with the financial assistance described in HEA section 404E and describes such means in the State's application.

4. Recommended Page Limit and Format: The application narrative is where you, the applicant, address the selection criteria that reviewers use to assess your application. There is no page limit for the application narrative; however, we recommend no more than 50 pages, and that you present your information clearly and concisely. Include your complete response to the selection criteria, the invitational priority, and Competitive Preference Priority 1 in the application narrative. Include your complete response to Competitive Preference Priority 2 on the Project Profile Form, which can be found in the information collection under OMB control number 1840-0821. Include your response to Competitive Preference

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<sup>1</sup>Excluding the provision of funds for postsecondary scholarships required by HEA section 404D(a)(4).

Priority 3 on the Evidence Form (OMB 1894-0001), which can also be found in the information collection under OMB control number 1840-0821.

Note: Applications that do not follow the formatting recommendations will not be penalized.

We recommend the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins.
- Double-space all text in the application narrative and single-space titles, headings, footnotes, quotations, references, and captions.
- Use a 12-point font.
- Use an easily readable font such as Times New Roman, Courier, Courier New, or Arial.

Other requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

## V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 and section 404D(a) of the HEA.

a. Need for the project (15 points).

(i) The Secretary considers the need for the proposed project.

(ii) In determining the need for the proposed project, the Secretary considers:

(A) The magnitude or severity of the problem to be addressed by the proposed project (up to 8 points); and

(B) 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 (up to 7 points).

b. Quality of project design (25 points).

(i) The Secretary considers the quality of the design of the proposed project.

(ii) In determining the quality of the design of the proposed project, the Secretary considers:

(A) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable (up to 10 points); and

(B) The extent to which the proposed project demonstrates a rationale (as defined in this notice)(up to 15).

c. Quality of project services (15 points).

(i) The Secretary considers the quality of the services to be provided by the proposed project.

(ii) In determining the quality of the services to be 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 (up to 5 points).

(iii) In addition, the Secretary considers:

(A) The extent to which the project services are likely to provide comprehensive mentoring, outreach, and supportive services to students, including the following activities: information regarding financial aid for postsecondary education to participating students, encouraging student enrollment in rigorous and challenging curricula and coursework in order to reduce the need for remedial coursework at the postsecondary level, 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 (up to 5 points); and

(B) 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 (up to 5 points).

d. Quality of project personnel (10 points).

(i) The Secretary considers the quality of the personnel who will carry out the proposed project.

(ii) 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 (up to 2 points).

(iii) In addition, the Secretary considers:

(A) The qualifications, including relevant training and experience, of the project director or principal investigator (up to 4 points); and

(B) The qualifications, including relevant training and experience, of key personnel (up to 4 points).

e. Quality of the management plan (10 points).

(i) The Secretary considers the quality of the management plan for the proposed project.

(ii) In determining the quality of the management plan for the proposed project, the Secretary considers:

(A) 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 (up to 4 points);

(B) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project (up to 2 points);

(C) The extent to which the time commitments of the project director and principal investigator and other key project

personnel are appropriate and adequate to meet the objectives of the proposed project (up to 2 points); and

(D) 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 (up to 2 points).

f. Quality of the project evaluation (10 points).

(i) The Secretary considers the quality of the evaluation to be conducted of the proposed project.

(ii) In determining the quality of the project evaluation, the Secretary considers:

(A) 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 (up to 4 points);

(B) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes (up to 4 points); and

(C) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings (up to 2 points).

g. Adequacy of resources (15 points).



(i) The Secretary considers the adequacy of resources for the proposed project.

(ii) In determining the adequacy of resources for the proposed project, the Secretary considers:

(A) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project (up to 5 points);

(B) 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 (up to 5 points); and

(C) The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support (up to 5 points).

2. Review and Selection Process: 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 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 (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

For this competition, a panel of non-Federal reviewers will review each application in accordance with the selection criteria in 34 CFR 75.217(d)(3), as required by 20 U.S.C. 1070-a23(d). The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the peer review score received in the review process.

If there are insufficient funds for all applications with the same total scores, the Secretary will, to the extent practicable, consider the distribution of grant awards based on the geographic distribution of such grant awards and the distribution between urban and rural applicants for the GEAR UP program consistent with 20 U.S.C. 1070a-22(a)(3).

3. Risk Assessment and Specific Conditions: Consistent with 2 CFR 200.205, before awarding grants under this competition the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose specific conditions and, in appropriate circumstances, high-risk 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 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$250,000), under 2 CFR 200.205(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds \$10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII, if this grant plus all the other Federal funds you receive exceed \$10,000,000.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award 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 will notify you.

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

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations 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. Open Licensing Requirements: Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works.

Additionally, a grantee or subgrantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20(c).

4. Reporting: (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 multiyear 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](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

(c) Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection analysis and reporting. In this case the Secretary establishes a data collection period.

5. Performance Measures: The objectives of the GEAR UP program are (1) to increase the academic performance and preparation for postsecondary education of participating students; (2) to increase the rate of high school graduation and participation in postsecondary education of participating students; and (3) to increase education 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 or its equivalent by the end of eighth grade.
2. The percentage of GEAR UP students who pass Algebra 1 or its equivalent by the end of ninth grade.
3. The percentage of GEAR UP students who graduate from high school.
4. The percentage of GEAR UP students who complete the Free Application for Federal Student Aid.
5. The percentage of GEAR UP students and former GEAR UP students who are enrolled at an IHE.

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 who enrolled at an IHE and persisted to the second year of postsecondary education at the initial or a subsequent IHE.

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 a program of undergraduate instruction at an IHE of GEAR UP students immediately after high school graduation. These performance measures constitute GEAR UP's indicators of the success of the program. Accordingly, we require that applicants include these performance measures in conceptualizing the design, implementation, and evaluation of their proposed projects.

6. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance measurement requirements, the performance targets in the grantee's approved application.

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. 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 one of the program contact persons listed under FOR FURTHER INFORMATION CONTACT.

Electronic Access to This Document: The official version of this document is the document published in the *Federal Register*. You may access the official edition of the *Federal Register* and the Code of Federal Regulations via [www.govinfo.gov](http://www.govinfo.gov). At this site you can view this document, as well as all other documents of this Department published in the *Federal Register*, in text or 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](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:



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Diane Auer Jones,  
*Principal Deputy Under Secretary Delegated to  
Perform the Duties of the Under Secretary and  
Assistant Secretary for the  
Office of Postsecondary Education.*

# **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) PRIORITY.-In making awards to eligible entities described in paragraph (c)(1), the Secretary shall-

(A) give priority to eligible entities that-

(i) on the day before the date of enactment of the Higher Education 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-

- 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 7<sup>th</sup> grade, in a participating school that has a 7<sup>th</sup> 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 7<sup>th</sup> 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 12<sup>th</sup> 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 12<sup>th</sup> 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 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 priority 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 priority 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) **PRIORITY STUDENTS.**- For eligible entities not using a cohort approach, the eligible entity shall treat as a priority 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)] 21<sup>ST</sup> CENTURY SCHOLAR CERTIFICATES.**

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

(b) INFORMATION REQUIRED.-A 21<sup>st</sup> 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 or 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

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[Title 34](#) → [Subtitle B](#) → [Chapter VI](#) → Part 694

Title 34: Education

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## **PART 694—GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS (GEAR UP)**

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

SOURCE: 65 FR 24760, Apr. 27, 2000, unless otherwise noted.

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

(a) *Partnership grants.* The 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—

(1) \$800; by

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

(b) *State grants.* The Secretary establishes the maximum amount that may be awarded each fiscal year for a GEAR UP State grant in a notice published in the FEDERAL REGISTER.

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

[65 FR 24760, Apr. 27, 2000, as amended at 75 FR 65798, Oct. 26, 2010]

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

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

(a) Provide services to at least one entire grade level (cohort) of students (subject to §694.3(b)) beginning not later than the 7th grade;

(b) Ensure that supplemental appropriate services are targeted to the students with the greatest needs; and

(c) Ensure that services are provided through the 12th grade to those students.

(Authority: 20 U.S.C. 1070a-22)

### **§694.3 - What are the requirements for a cohort?**

(a) *In general.* Each cohort to be served by a Partnership or State must be from a participating school—

(1) That has a 7th grade; and

(2) In which at least 50 percent of the students are eligible for free or reduced-price lunch under the National School Lunch Act; or

(b) *Public housing exception.* If the Partnership or State determines it would promote program effectiveness, a cohort may consist of all of the students in a particular grade level at one or more participating schools who reside in public housing, as defined in section 3(b)(1) of the United States Housing Act of 1937.

(Authority: 20 U.S.C. 1070a-22)

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

(a) *At the school where the cohort began.* A Partnership or State must serve, as part of the cohort, any additional students who—

(1) Are at the grade level of the students in the cohort; and

(2) Begin attending the participating school at which the cohort began to receive GEAR UP services.

(b) *At a subsequent participating school.* If not all of the students in the cohort attend the same school after the cohort completes the last grade level offered by the school at which the cohort began to receive GEAR UP services, a Partnership or a State—

(1) May continue to provide GEAR UP services to all students in the cohort; and

(2) Must continue to provide GEAR UP services to at least those students in the cohort who attend one or more participating schools that together enroll a substantial majority of the students in the cohort.

(Authority: 20 U.S.C. 1070-a22)

[65 FR 24760, Apr. 27, 2000, as amended at 75 FR 65798, Oct. 26, 2010]

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

(a) *Secular, neutral, and nonideological services or benefits.* Educational services or other benefits, including materials and equipment, provided under GEAR UP by a Partnership or State that chooses to provide those services or benefits to students attending private schools, must be secular, neutral, and nonideological.

(b) *Control of funds.* In the case of a Partnership or State that chooses to provide services under GEAR UP to students attending private schools, the fiscal agent (in the case of a Partnership) or a State agency (in the case of a State) must—

(1) Control the funds used to provide services under GEAR UP to those students;

(2) Hold title to materials, equipment, and property purchased with GEAR UP funds for GEAR UP program uses and purposes related to those students; and

(3) Administer those GEAR UP funds and property.

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

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

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

(1) By employees of a public agency; or

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

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

(c) Federal funds used to provide GEAR UP services to students attending private schools may not be commingled with non-Federal funds.

(Authority: 1070a-21 to 1070a-28)

**§694.7 - What are the matching requirements for a GEAR UP 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)

[75 FR 65798, Oct. 26, 2010]

**§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)

[75 FR 65798, Oct. 26, 2010]

**§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)

[75 FR 65799, Oct. 26, 2010]

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

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

(a) A local educational agency; or

(b) An institution of higher education that is not pervasively sectarian.

(Authority: 20 U.S.C. 1070a-22)



[65 FR 24760, Apr. 27, 2000. Redesignated at 75 FR 65798, Oct. 26, 2010]

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

Notwithstanding 34 CFR 75.560-75.562 and 2 CFR part 200, subpart E—Cost Principles, 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)

[65 FR 24760, Apr. 27, 2000. Redesignated at 75 FR 65798, Oct. 26, 2010, as amended at 79 FR 76105, Dec. 19, 2014]

**§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)

[75 FR 65799, Oct. 26, 2010]

**§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 priority approach may award scholarships under paragraph (a) of this section to eligible students identified by priority 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)

[75 FR 65799, Oct. 26, 2010]

**§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 priority approach may award scholarships under paragraph (a) of this section to eligible students identified by priority 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)

[75 FR 65800, Oct. 26, 2010]

**§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)

[75 FR 65800, Oct. 26, 2010]

**§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))

[75 FR 65800, Oct. 26, 2010]

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

The Governor of a State must designate which State agency applies for, and administers, a State grant under GEAR UP.

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

[65 FR 24760, Apr. 27, 2000. Redesignated at 75 FR 65798, Oct. 26, 2010]

**§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)

[75 FR 65801, Oct. 26, 2010]

**§694.19 - What priorities does the Secretary establish for a GEAR UP grant?**

The Secretary awards competitive preference priority 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))

[75 FR 65801, Oct. 26, 2010]

**§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 priority (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))

[75 FR 65801, Oct. 26, 2010]

#### **§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))

[75 FR 65801, Oct. 26, 2010]

## **§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 priority 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))

**§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)

[75 FR 65802, Oct. 26, 2010]

**§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 through 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)

[75 FR 65802, Oct. 26, 2010]

**§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))

[75 FR 65803, Oct. 26, 2010]

# GEAR UP STATE GRANTS PROGRAM OVERVIEW

## Legislative Authority

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

## Purpose

The GEAR UP program is a discretionary grant program, 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.

GEAR UP provides six- or seven-year grants to States 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.

## Eligibility

The governor of each State must designate one agency to apply for and administer a GEAR UP State grant. Applicants must submit the Applicant Eligibility Form.

## Size of Awards

The maximum Federal award for State grants awarded under the FY 2019 competition will be \$5 million. There is no minimum award.

## Out-Year Costs

State grants 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.

## Match Requirements

State applicants are required to provide from State, local, institutional, or private funds, not less than 50 percent of the cost of the program. **The requirement is not 50 percent of what the Federal government provides. For example, if the total cost to run the project for the 6- or 7-year performance period is \$300, the required match is \$150.** Matching funds may be provided in cash or in kind and may be accrued over the full duration of the grant award period. Projects are required to make substantial progress towards meeting the matching requirement in each year of the grant award period. Applicants 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.

**Note: Applicants will be held to the matching commitment proposed in the application for funding, even if the proposed match is higher than the percent required by statute. No points will be awarded for match exceeding the 50 percent level required by statute.**

### **Required Activities**

The following are required activities that eligible entities receiving a grant must implement:

- Providing comprehensive mentoring, outreach, and supportive services to students participating in the programs;
- Providing information regarding financial aid for postsecondary education to participating students in the cohort;
- Encouraging student enrollment in rigorous and challenging curricula and coursework, in order to reduce the need for remedial coursework at the postsecondary level;
- 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; and
- Providing scholarships to students.

### **Permissible Activities for States**

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

1. Providing tutors and mentors, who may include adults or former participants of the GEAR UP program, for eligible students.
2. Conducting outreach activities to recruit priority students 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 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, including career awareness and planning assistance as they relate to a rigorous academic curriculum.
6. Providing special programs or tutoring in science, technology, engineering, or mathematics.

7. Introducing eligible students to institutions of higher education, through trips and school-based sessions.
8. Providing an intensive extended school day, school year, or summer program that offers:
  - a. additional academic classes; or
  - b. assistance with college admission applications.
9. 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 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. Enabling eligible students to enroll in Advanced Placement or International Baccalaureate courses, or college entrance examination preparation courses.
11. Providing services to eligible students in the participating cohort through the first year of attendance at an institution of higher education.
12. 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.
13. Disseminating 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.

#### **Additional Permissible Activities for States**

1. Providing technical assistance to;
  - a. secondary schools that are located within the State; or
  - b. partnerships that are located within the State.
2. Providing professional development opportunities to individuals working with eligible cohorts of students.

3. Providing administrative support to help build the capacity of eligible partnerships to compete for and manage GEAR UP grants.
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. Identifying and disseminating information on best practices with respect to increasing parental involvement and 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 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.

### **Implementation Models**

*States may choose to:*

1. Serve priority students; and/or
2. Serve a cohort of students

#### Priority Students Model (§404D(d) of HEA)

States must serve students in secondary school who are eligible, as follows:

- To be counted under section 1124(c) of the Elementary and Secondary Education Act of 1965;
- For assistance under the Temporary Assistance for Needy Families (TANF) program or under Federal Payments for Foster Care and Adoption Assistance (FPFCAA), authorized by Title IV of the Social Security Act;
- For assistance under the McKinney-Vento Homeless Assistance Act; or
- Any student the applicant considers to be disconnected.

#### Cohort Model (§404B(d) of HEA)



States implementing a cohort model must provide services to an entire grade level of students. Applicants can elect to provide services to an entire grade level of students who reside in public housing. Public Housing is defined according to section 33(b)(1) of the United States Housing Act of 1937)

Cohort Model Services. Below are the parameters regarding services under the cohort model:

- Provide services to at least one grade level of students (e.g., all 7<sup>th</sup> graders);
- Begin services no later than 7th grade;
- Ensure services are provided through the 12th grade to students in the participating grade level;
- Ensure services are provided through the student's first year of attendance at an institution of higher education (with a 7-year grant award);
- After the students complete the last grade level at the originating school, the project must continue to provide services to the school that the substantial majority of students attend; and
- Provide services to students who have received services under a previous GEAR UP grant award but have not yet completed the 12th grade.

Eligible Schools under Cohort Model. An applicant implementing a cohort model must comply with the following requirements regarding the originating target school. Please note there are no originating school requirements if your focus is on students who reside in public housing. The originating target school is where the project will begin serving students. The following are requirements for the originating school:

- Must have a 7th grade class; and
- At least fifty percent of the students enrolled in the school must be eligible for free or reduced-price lunch.

**Important note: All originating target schools should be presented in your application. School eligibility is determined based on the information provided in the application. If an application is approved for funding, school changes will only be approved based on special or extenuating circumstances.**

### **Coordination**

State 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.

## **Scholarships**

State applicants are required to establish or maintain a financial assistance program that awards scholarships to eligible students. Applicants are encouraged to ensure that a scholarship is available to an eligible student for use at any institution of higher education.

### **a. Required Funding Allocation**

State applicants are required to spend not less than 25 percent and not more than 50 percent of the grant funds for required activities. The remainder of grant funds must be used to fund the scholarship program. There is one exception to the required funding allocation. An applicant is allowed to allocate more than 50 percent of grant funds for required activities if the applicant has another means of providing students with financial assistance and describes these means in its application. If you are requesting an exception, you have to fill out Question 10(d)(ii) of the *Project Profile Sheet*, which is located at the end of the application package under Program-Specific Forms. If your application is successful in this competition, we will assess whether you are eligible for an exception based on the information provided in your application. You will receive a determination notification after the grant is awarded. Please note that State projects will be required to report on scholarships that are provided to students through another means.

### **b. Scholarship Student 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 State'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.

### **c. Notification of Scholarship Eligibility**

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

### **d. Priority Students Model and Scholarships**

States using a priority students model may award scholarships to eligible students identified by priority at any time during the grant award period rather than reserving scholarship funds for use only in the seventh year of, or after, the grant award period. GEAR UP scholarships are designed to supplement, not supplant, other scholarship funding.

#### **e. Scholarship Portability**

States must provide scholarship funds to all eligible students who attend an institution of higher education in the State and may also provide scholarship funds to eligible students who attend institutions of higher education outside of the State.

#### **f. Scholarship Amount**

Individual States may determine the maximum amount of a scholarship that an eligible student shall receive. The *minimum* amount of the scholarship for each fiscal year *shall not* be less than the minimum Federal Pell Grant award.

#### **g. Reserve Scholarship Funds**

1. State grantees must hold in reserve scholarship funds of at least the minimum required scholarship amount multiplied by the estimated number of eligible students. However, this does not apply to grantees that were given an exception to the required funding allocation.
2. States using a priority model may award scholarships directly rather than holding funds in reserve.

#### **h. Return of Scholarship Funds**

States 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 to the other eligible students.

#### **i. Reporting Scholarship Funds**

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

#### **j. Educational Expenses Relative to Scholarships**

The scholarship funds available to an eligible student may be used for:

1. Tuition, fees, books, supplies, and equipment required for the enrollment or attendance of the eligible student at an institution of higher education; and
2. 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 outcome-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 approved for your project.

Each year, successful applicants will be required to submit to the Department an annual performance report that includes evidence of their progress in meeting the project's objectives and overall program goals 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) of the services not achieving their expected 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 or its equivalent by the end of eighth grade, students' completion of Algebra I or its equivalent 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 or its equivalent by the end of ninth grade by 10 percentage points each year of the project.”

2. Program measures 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 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 to “Increase the average percentile rank of GEAR UP students’ math scores by 5 points each year.”

In addition to reporting the specific performance measures for each of your objectives, your application must show the **targets** you have set for each of those measures. Targets must be set for each of the six 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 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.

# 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:

**Important Note: The CFDA number for the State Program is 84.334S. Please do not mistakenly submit your application under the Partnership Program CFDA number - 84.334A.**

## **Part I: 424 Forms**

Application for Federal Assistance – (SF 424)

Department of Education Supplemental Information for SF 424

### **\*Notes:**

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

## **Part II: Application Narrative**

- ED Abstract Form

**Note: please include the applicant name, state, contact information (*contact person, email address, telephone number*), project goals and objectives, activities and services, number of students to be served, target schools, partners, and performance period.**

- Project Narrative Attachment Form– includes the application narrative sections addressing the program selection criteria and Competitive Preference Priority 1
- Budget Narrative Attachment Form  
(Project Budget Summary Form - Federal and Non-Federal Sections)
- Other Attachments Form (GEAR UP Program Specific Forms)

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

The abstract should include: applicant name, state and city (campus and or branch, if applicable), 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.

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. We suggest applicants label each section in the narrative by its associated criterion. There are no formatting requirements; however, we suggest the application have 8.5 inches by 11-inch pages, on one side only, with 1-inch margins at the top, bottom, and both sides. We also

recommend that applicants double space the application narrative and use a font that is either 12-point or larger. Charts, tables, figures, and graphs may be, but are not required to be, double spaced; and footnotes, quotations, references, and captions may be single spaced. Applicants may use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The **Budget Narrative Attachment Form** includes the Project Budget Summary Form, which outlines Federal and Non-Federal expenditures.

**Note: Applicants must submit Part 1 (Federal) and Part 2 (Non-Federal) of Project Budget Summary Form.**

The **Other Attachments Form** includes program-specific forms. Applicants must complete and submit program-specific 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. We recommend that documents be in a PDF (Portable Document) format. 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.

Below are **GEAR UP program-specific forms** (found at the end of the application package):

- State Project Profile Sheet
- Applicant Eligibility Form
- First-Year Budget Narrative Form
- U.S. Department of Education Evidence Form (if applicable)
- Applicant Organization Identification Form and Cost Share Worksheet, Partner Identification Form and Cost Share Worksheet (please provide for each partner)

**Note: Please do not modify or change the contents of these forms in any way.**

### **Part III: Assurances and Certifications**

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

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## INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372

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**\*\*Intergovernmental review has been waived in order to make awards by the end of FY 2019.\*\***

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:

<https://www.whitehouse.gov/wp-content/uploads/2017/11/SPOC-Feb.-2018.pdf>

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, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (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. GPRA performance measures were developed to assist projects in tracking progress toward achieving the program's goals. These measures are outlined in the Notice.

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

As required by GPRA, the Department of Education prepared a strategic plan for 2018-2022. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**Goal 1:** Support state and local efforts to improve learning outcomes for all P-12 students in every community.

**Goal 2:** Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

**Goal 3:** Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

**Goal 4:** Reform the effectiveness, efficiency and accountability of the Department.

### 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 postsecondary education."

**Objective 1:** Increase the academic performance and preparation for postsecondary education of 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.

# APPLICATION PACKAGE CHECKLIST

Before you submit the application package on <https://www.Grants.gov>, please review the following list to ensure that you have attached all required materials/files.

**Important Note: The CFDA number for the State Program is 84.334S. Please do not mistakenly submit your application under the Partnership Program CFDA number - 84.334A.**

## **Departmental Standard Attachments (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 form (formerly ED form 80-0013)
- Assurance - Non-Construction Programs (SF 424B)
- Disclosure of Lobbying Activities (SF-LLL)

## **Attachments**

- ED Abstract Form (one-page maximum)

**Note: please include the applicant name, state, contact information (*contact person, email address, telephone number*), project goals and objectives, activities and services, number of students to be served, target schools, partners, and performance period.**

- Project Narrative Attachment Form (Selection Criteria and Competitive Preference Priority 1)

**Note: Competitive Preference Priority 2 must be addressed on the State Project Profile Sheet, Question 2b.**

- Budget Narrative Attachment Form (Project Budget Summary Form)

**Note: Applicants must submit Part 1 (Federal) and Part 2 (Non-Federal) of Project Budget Summary Form.**

- Other Attachments Form (Multiple forms in this section)
  - State Project Profile Sheet
  - Applicant Eligibility Form
  - First-Year Budget Narrative Form
  - U.S. Department of Education Evidence Form (if applicable)
  - Applicant Organization Identification Form and Cost Share Worksheet
  - Partner Identification Form and Cost Share Worksheet

## INSTRUCTIONS FOR PROGRAM-SPECIFIC AND STANDARD FORMS

### PROGRAM-SPECIFIC FORMS INSTRUCTIONS:

**APPLICANT ELIGIBILITY FORM:** This form must be submitted to verify if the entity has been designated by the Governor of the State to apply for and administer a GEAR UP grant.

**STATE PROJECT PROFILE SHEET:** This form represents an outline of the project's overall design and implementation strategy.

**BUDGET SUMMARY FORM:** This form presents a complete budget summary for each year of grant funding. Applicants are required to fill out and submit *both sections* (Federal and non-Federal) of this form.

The matching requirement is not 50 percent of what is requested in Federal funds. For instance, if an applicant requests a six- or seven-year total of \$3 million in Federal funds, the matching contribution required is not \$1.5 million. The required matching contribution is \$3 million. Proposed Federal (Part I) and non-Federal (Part II) expenditures must be provided on the Budget Summary Form, and the six- or seven-year total for non-Federal expenditures should be equal to or more than proposed six- or seven-year Federal expenditures.

**FIRST-YEAR BUDGET NARRATIVE FORM:** The budget narrative form for *the first year of implementation* should include a narrative for each budget line item, which explains: (1) the basis for estimating the costs of professional personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any projected expenditures; (2) how the major cost items relate to the proposed activities; and (3) the costs of evaluation.

Please include travel funds to attend annual conferences and workshops. At these meetings, each grant recipient will have an opportunity to strengthen its efforts by collaborating with other grantees funded in this program and receive technical assistance from U.S. Department of Education personnel. Applicants are reminded that GEAR UP funds must be used to supplement, not supplant, funds for existing programs.

**APPLICANT ORGANIZATION IDENTIFICATION FORM AND COST SHARE WORKSHEET:** The support, contribution, and commitment of the partner serving as the grant Applicant should be described clearly within the narrative. Additionally, the Applicant Organization Identification Form and Cost Share Worksheet, documents the role and contribution of the Partnership's Applicant Organization. This document does not represent the matching commitment for the entire project, only the commitment of the Applicant.

**PARTNER IDENTIFICATION FORM AND COST SHARE WORKSHEET:** The support, contributions, and commitment of each partner should be described clearly within the narrative. Additionally, a Partner Identification Form and Cost Share Worksheet for each

member of the partnership, other than the lead partner, document the role and contribution of each partner. The total of the contributions on each of the Cost Share Worksheets should equal the total matching dollars on the Project Budget Summary Form.

**STANDARD APPLICATION FORMS INSTRUCTIONS:**

**APPLICATION FOR FEDERAL EDUCATION ASSISTANCE (SF 424 FORM)**

**INSTRUCTIONS:** Applicants should read the accompanying directions before filling out this form.

**DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR**

**SF 424 INSTRUCTIONS:** Applicants should read the accompanying directions before filling out this form.

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

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

**STANDARD FORM 424B, ASSURANCES-NON-CONSTRUCTION**

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

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

## **GEAR UP PROGRAM-SPECIFIC FORMS**

# STATE APPLICANT ELIGIBILITY FORM

CFDA No. 84.334S

This form is required to verify if the entity applying for funding under the GEAR UP State grant competition is authorized by the Governor of the State. The Governor of a State must designate the State entity that can apply for, and administer, a State GEAR UP grant.

a. State:	
b. Legal Name of Authorized Applicant/Entity:	
c. Address of Entity:	d. Contact Person for the Entity:  Name:  Title:  Telephone:  E-Mail:
e. I authorize the entity above to submit an application for the GEAR UP State Grant competition on behalf of the State.	
Printed Name of Governor:	Telephone:  E-Mail:
Signature of Governor:	Date:

# STATE PROJECT PROFILE SHEET

Institution/Organization (Legal Name): \_\_\_\_\_

1. Applicant Eligibility – The Governor of each State must designate one entity that can apply for and administer the GEAR UP State grant.

a. Did you fill out and include the Applicant Eligibility Form in the application?  
\_\_\_\_ Yes \_\_\_\_ No

b. Did you submit your application in the Grants.gov system under the State CFDA #84.334[S]?  
\_\_\_\_ Yes \_\_\_\_ No

**Note: Please be careful not to submit your State application under the wrong CFDA #84.334[A], which is only applicable to Partnership applicants.**

2. Invitational Priority. An applicant may address the invitational priority related to opportunity zones. For more details, please refer to the *Federal Register* Notice Inviting Applications. Did you address this CPP in your application? \_\_\_\_ Yes \_\_\_\_ No

3. Competitive Preference Priorities (CPP)

a. **CPP 1** – Under CPP 1, an applicant may be eligible to receive up to 2 additional points for addressing STEM education, with a particular focus on computer science. For more details, please refer to the *Federal Register* Notice Inviting Applications. Did you address this CPP in your application? \_\_\_\_ Yes \_\_\_\_ No

**Note: Applicants addressing CPP 1 must provide details in the Project Narrative Section of the application.**

b. **CPP 2** – Under CPP 2, an applicant may be eligible to receive up to 2 additional points. For more details, please refer to the *Federal Register* Notice Inviting Applications. If you are applying for CPP 2, please provide the requested information below.

i. Provide the PR/Award Number below for any successful GEAR UP State grant that your organization implemented prior to August 14, 2008.

P334S \_\_\_\_\_

P334S \_\_\_\_\_

ii. Provide a brief description below of prior, demonstrated commitment to early intervention leading to college access through collaboration and replication of successful strategies.

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**This table can be expanded, if necessary.**

c. **CPP 3.**- Under CPP 3, an applicant may be eligible to receive up to 2 additional points related to promising evidence. For more details, please refer to the *Federal Register* Notice Inviting Applications.

- i. Did you address CPP 3 in your application? \_\_\_\_ Yes \_\_\_\_ No
- ii. Did you fill out the Evidence Form (OMB 1894-0001) located in the forms section of the application package? \_\_\_\_ Yes \_\_\_\_ No

3. In the table below, please list the name of the organization for each partner (**including the applicant organization**), the organizational code using the key below, the total amount each partner will contribute over the six or seven year performance period, and a brief description of the contribution

	Name of Certified Partner	Org Code	Contribution	Briefly describe the type of contribution (e.g., salary, fringe benefits, supplies, equipment, scholarships, travel, and contracts)
1			\$	
2			\$	
3			\$	
4			\$	

**This table can be expanded, if needed.**

**Organizational Code**

**CBO**=Community-Based Organization; **NPO**=Not-For-Profit Organization, non-CBO; **FBO**=Faith-based Organization; **HBCU**=Historically Black College or University; **TCCU**=American Indian Tribally Controlled Colleges and Universities; **HSI**=Hispanic Serving Institution; **IHE**=Institution of Higher Education; **SCH**=School; **LEA**=School District; **ACY**=State Agency; **BUS**=Business; **PO**=Professional Organization; **O**=Other Type of Organization

**Note: You can use more than one organizational code, if necessary (e.g., IHE/HSI).**

4. Implementation Model – Please check below which model you are proposing to implement.

- a. Cohort Model
- b. Priority Students Model
- c. Models a and b

5. **Priority Students Model**

a. If you are implementing the priority students model, please indicate below the number of students you propose to serve each year.

GRADE LEVEL	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7
First Year IHE							
12 <sup>th</sup>							
11 <sup>th</sup>							
10 <sup>th</sup>							



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

- b. List the grade level(s) you are planning to serve (e.g., 7<sup>th</sup> - 12th grades). \_\_\_\_\_
- c. List the type(s) of priority/disconnected students the project will serve (e.g., 12<sup>th</sup> graders, free and reduced-priced lunch, foster, homeless, and disabled). \_\_\_\_\_

**6. Cohort Model**

If you are implementing the cohort model, please answer the following questions:

- a. One Grade Level. Are you planning to serve at least one grade level of students in the target school(s) as your cohort? \_\_\_\_ Yes \_\_\_\_ No
- b. Continued Services. Are you planning to provide services to participating GEAR UP students **beginning no later than 7<sup>th</sup> grade** through the 12<sup>th</sup> grade? \_\_\_\_ Yes \_\_\_\_ No
- c. First Year of College. Are you planning to provide services to GEAR UP students through their first year of attendance at an institution of higher education?  
 \_\_\_\_ Yes \_\_\_\_ No

**Note: When selecting the starting grade level, please keep in mind that you must continue to provide services to students until they graduate from secondary school or until their first year of college, depending on the six- or seven-year performance period. Such services must be rendered to students who are left in the pipeline after Federal funds have been discontinued.**

- d. Target School Eligibility. Please provide information on the originating target schools in the table below. The originating school is the school or schools in which your GEAR UP project will start implementing services. Applicants with more than one school district must fill out a chart for each district. **Important note: All originating target schools must be presented in your application.**

School District:				
	Name of Originating	Grade Levels	% of Students	NCES School ID#

	Target School	(e.g., 6,7,8)	Eligible for Free & Reduced-Price Lunch	
1				
2				
3				
4				
5				

**This table can be expanded, if needed.**

**Notes:** 1) You can find the NCES ID for your school(s) by going to <https://nces.ed.gov/ccd/schoolsearch>. 2) All originating target schools should be presented in your application. School eligibility is determined based on the information provided in the application. If an application is approved for funding, school changes may be approved based on special or extenuating circumstances.

If your State/school district does not collect free and reduced-price lunch data for the originating target school(s), please **describe** below what method is used (e.g., percentage for Community Eligibility Provision) to determine high-poverty schools.

**This table can be expanded, if needed.**

e. Students to be Served - In the table below, please indicate the number of students your project intends to serve in each grade level per year of the six- or seven-year grant performance period.

Applicants should not include any proposed students in the shaded area of the table, unless your project is serving students from a previous GEAR UP grant. Please provide the project number for the previous grant: P334S\_\_\_\_\_.

GRADE LEVEL	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7
First Year IHE							
12 <sup>th</sup>							
11 <sup>th</sup>							
10 <sup>th</sup>							
9 <sup>th</sup>							
8 <sup>th</sup>							
7 <sup>th</sup>							
6 <sup>th</sup>							
5 <sup>th</sup>							
4 <sup>th</sup>							

3 <sup>rd</sup>							
2 <sup>nd</sup>							
1 <sup>st</sup>							
Kindergarten							
Total Students Served							

**Note: Projects can only serve students in the 7<sup>th</sup> year who are in high school or in their first year of postsecondary education. In addition, projects implementing a priority students model should not fill out the table above.**

f. Public Housing Focus - Please list below the name and address of the public-housing complex(es) or area(s) that you are planning to serve.

No.	Name of Public Housing Project	Address
1		
2		

**This table can be expanded, if necessary.**

7. Required Services – Please provide a brief outline in the table below of proposed outreach and supportive services that will be implemented to accomplish the activities that are required by statute. **Note: All objectives and services should be presented in the Project Narrative section of your application, under the Quality of Project Design selection criterion.**

<b>Required Activities</b>	<b>List proposed <u>outreach and supportive services</u> that will be implemented to accomplish required activities.</b>
Example: Increase the number of students who enroll in rigorous and challenging curricula and coursework	Example: Counseling, mentoring, curriculum enrichment
1. Increase student participation in comprehensive mentoring.	
2. Increase students' knowledge of financial aid for postsecondary education.	
3. Increase the number of students who enroll in rigorous and challenging curricula and coursework.	
4. Increase the number of students who graduate from high school.	
5. Increase the number of students who apply for college.	
6. Increase the number of students who enroll in postsecondary education.	
7. Increase the number of students who receive scholarships.	

**This table can be expanded, if necessary.**

8. Project Budget

a. Federal Funds Requested. The total amount of Federal funds a State project can receive each year is \$5 million. Did you request more than \$5 million each year in your Budget Summary Form? \_\_\_\_ Yes \_\_\_\_ No

b. Required Match. The non-Federal cost provided by a project must be no less than 50 percent of the total cost of the project at the end of the six- or seven-year project performance period. Are the total six- or seven-year matching contributions presented on the Budget Summary Form equal to or greater than the total six- or seven-year Federal funds requested? \_\_\_\_ Yes \_\_\_\_ No

**Note: The matching requirement is not 50 percent of what is requested in Federal funds. For instance, if an applicant requests a six- or seven-year total of \$3 million in Federal funds, the matching contribution required is not \$1.5 million. The required matching contribution is \$3 million.**

c. Please provide below the amount of Federal funds you are requesting and matching contributions for each year of the project period.

Source	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	*Total
Federal								
Match								
Total								

i. Did you allocate at least 25 percent and no more than 50 percent of Federal funds, as outlined on the Budget Summary Form, for activities?  Yes  No

ii. If you are planning to use more than 50 percent of the Federal funds for activities, please briefly describe below how eligible students will receive scholarships through another means.

**This table can be expanded, if necessary.**

**Note: If you propose to provide scholarships through another means, you will have to report the number of GEAR UP students who received scholarships and the average amount disbursed.**

iii. Please indicate below the dollar amount and percentage of the Federal funds requested that will be allocated for scholarships and activities.

Category	Federal Funds Requested	% of Funds Re- quested
Scholarships	\$	
Activities	\$	
Total	\$	

e. Indirect Cost Rate. GEAR UP projects a) can only charge indirect costs to the grant if the organization/agency has an approved indirect cost rate agreement; and b) the maximum amount of indirect costs must be no more than 8 percent of modified direct costs (direct costs excluding scholarships and equipment).

**Note: this requirement applies to Federal and matching funds.**

i. Do you have an Indirect Cost Rate Agreement approved by the Federal government?  
 Yes  No

ii. If yes, please provide below the period covered by the Indirect Cost Rate Agreement:

From: \_\_\_/\_\_\_/\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_ (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_

iii. For Restricted Rate Programs, 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)?

## PROJECT BUDGET SUMMARY FORM

This form presents the amount of Federal funding requested and non-Federal contributions for the entire 6- or 7-year project performance period. **Applicants must fill out and submit both sections (Federal and non-Federal) of the form.**

<b><u>PART I – FEDERAL FUNDS REQUESTED</u></b>								
Category	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								
<b>A. Total Direct Costs</b> <i>(Sum of lines 1-6)</i>								
<b>B. Total Indirect Costs</b> <i>(Cannot be greater than 8% of Total Direct Costs)</i>								
<b>C. Equipment</b>								
<b>D. Scholarships/ Tuition Assistance</b>								
<b>TOTAL COMMITMENT</b> <i>(Lines A+B+C+D)</i>								*

**Important Note: Please do not include a requested amount of Federal funds in years two through six or seven that is more than the amount that is requested in Year 1.**

## PROJECT BUDGET SUMMARY FORM (CONTINUED)

<b><u>PART II – NON-FEDERAL CONTRIBUTIONS</u></b>								
Category	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								
<b>A. Total Direct Costs</b> <i>(Sum of lines 1-6)</i>								
<b>B. Total Indirect Costs</b> <i>(Cannot be greater than 8% of Total Direct Costs)</i>								
<b>C. Equipment</b>								
<b>D. Scholarships/ Tuition Assistance</b>								
<b>TOTAL COMMITMENT</b> <i>(Lines A+B+C+D)</i>								*

—  
**\* The total proposed matching contributions in Part II of the Budget Summary Form for the six- or seven-year performance period should be at least equal to the proposed total for Federal expenditures in Part I of the Budget Summary Form. For example, if the total cost to run the project for the six- or seven-year performance period is \$300, the Federal contribution would be \$150 and the required matching contribution must be at least \$150.**

## 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. Please note this form does not represent the required match for the entire project – it only addresses the amount of matching contributions the applicant will provide.

**1. Type of Institution/Organization**

Are you a State Education Agency (SEA)?  
 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

**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								
<b>A. Total Direct Costs</b> <i>(Sum of lines 1-6)</i>								
<b>B. Total Indirect Costs</b> <i>(cannot be greater than 8% of Total Direct Costs)</i>								
<b>C. Equipment</b>								
<b>D. Scholarships/ Tuition Assistance</b>								
<b>TOTAL COMMITMENT</b> <i>(Lines A+B+C+D)</i>								



## 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								
<b>A. Total Direct Costs</b> <i>(Sum of lines 1-6)</i>								
<b>B. Total Indirect Costs</b> <i>(Cannot be greater than 8% of Total Direct Costs)</i>								
<b>C. Equipment</b>								
<b>D. Scholarships/Tuition Assistance</b>								
<b>TOTAL COMMITMENT</b> <i>(Lines A+B+C+D)</i>								

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

SIGNATURE OF AUTHORIZING OFFICIAL: \_\_\_\_\_

NAME OF AUTHORIZING OFFICIAL: \_\_\_\_\_

TITLE OF AUTHORIZING OFFICIAL: \_\_\_\_\_

## FIRST-YEAR BUDGET NARRATIVE FORM

Please provide a written narrative for each budget line item, which explains: (1) the basis for estimating the costs of professional personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any projected expenditures; (2) how the major cost items relate to the proposed activities; and (3) the costs of evaluation.

Direct Cost	Federal Funds Requested for Year 1	Non-Federal Contributions for Year 1
1. Salaries and Wages		
2. Employee Benefits		
3. Travel		
4. Materials and Supplies		
5. Consultants and Contracts		
6. Other		
<b>A. Total Direct Costs</b> <i>(Sum of lines 1-6)</i>		
<b>B. Total Indirect Costs</b> <i>(cannot be greater than 8% of Total Direct Costs)</i>		
<b>C. Equipment</b>		
<b>D. Scholarships/ Tuition Assistance</b>		
<b>TOTAL REQUESTED</b> <i>(A+B+C+D)</i>		

This table can be expanded, if necessary.



## U.S. Department of Education Evidence Form

OMB No. 1894-0001

Exp. 07/31/2019

### 1. Level of Evidence

Select the level of evidence of effectiveness for which you are applying. See the Notice Inviting Applications for the relevant definitions.

Promising Evidence

Moderate Evidence

Strong Evidence

### 2. Citation and Relevance

Fill in the chart below with the appropriate information about the studies that support your application.

A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and/or Settings

## Instructions for Evidence Form

1. **Level of Evidence.** Check the box next to the level of evidence for which you are applying. See the Notice Inviting Applications for the evidence definitions.
2. **Citation and Relevance.** Fill in the chart for each of the studies you are submitting to meet the evidence standards. If allowable under the program you are applying for, you may add additional rows to include more than four citations. (See below for an example citation.)
  - a. **Citation.** Provide the full citation for each study or WWC publication you are using as evidence. If the study has been reviewed by the WWC, please include the rating it received, the WWC review standards version, and the URL link to the description of that finding in the WWC reviewed studies database. Include a copy of the study or a URL link to the study, if available. Note that, to provide promising, moderate, or strong evidence, you must cite either a specific recommendation from a WWC practice guide, a WWC intervention report, or a publicly available, original study of the effectiveness of a component of your proposed project on a student outcome or other relevant outcome.
  - b. **Relevant Finding(s).** Describe: 1) the project component included in the study (or WWC practice guide or intervention report) that is also a component of your proposed project, 2) the student outcome(s) or other relevant outcome(s) that are included in both the study (or WWC practice guide or intervention report) and in the logic model (theory of action) for your proposed project, and 3) the study (or WWC intervention report) finding(s) or WWC practice guide recommendations supporting a favorable relationship between a project component and a relevant outcome. Cite page and table numbers from the study (or WWC practice guide or intervention report), where applicable.
  - c. **Overlap of Population and/or Settings.** Explain how the population and/or setting in your proposed project are similar to the populations and settings included in the relevant finding(s). Cite page numbers from the study or WWC publication, where applicable.

EXAMPLES: For Demonstration Purposes Only (the three examples are not assumed to be cited by the same applicant)

A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and Settings
<p>Graham, S., Bruch, J., Fitzgerald, J., Friedrich, L., Furgeson, J., Greene, K., Kim, J., Lyskawa, J., Olson, C.B., &amp; Smither Wulsin, C. (2016). <i>Teaching secondary students to write effectively</i> (NCEE 2017-4002). Washington, DC: National Center for Education Evaluation and Regional Assistance (NCEE), Institute of Education Sciences, U.S. Department of Education. Retrieved from the NCEE website: <a href="https://ies.ed.gov/ncee/wwc/PracticeGuide/22">https://ies.ed.gov/ncee/wwc/PracticeGuide/22</a>. This report was prepared under Version 3.0 of the WWC Handbook (p. 72).</p>	<p>(Table 1, p. 4) Recommendation 1 (“Explicitly teach appropriate strategies using a Model – Practice – Reflect instructional cycle”) is characterized as backed by “strong evidence.”</p> <p>(Appendix D, Table D.2, pp. 70-72) Studies contributing to the “strong evidence” supporting the effectiveness of Recommendation 1 reported statistically significant and positive impacts of this practice on genre elements, organization, writing output, and overall writing quality.</p>	<p>(Appendix D, Table D.2, pp. 70-72) Studies contributing to the “strong evidence” supporting the effectiveness of Recommendation 1 were conducted on students in grades 6 through 12 in urban and suburban school districts in California and in the Mid-Atlantic region of the U.S. These study samples overlap with both the populations and settings proposed for the project.</p>

A. Citation	B. Relevant Finding(s)	C. Overlap of Populations and Settings
<p>U.S. Department of Education, Institute of Education Sciences, What Works Clearinghouse. (2017, February). Transition to College intervention report: Dual Enrollment Programs. Retrieved from <a href="https://ies.ed.gov/ncee/wwc/Intervention/1043">https://ies.ed.gov/ncee/wwc/Intervention/1043</a>. This report was prepared under Version 3.0 of the WWC Handbook (p. 1).</p>	<p>(Table 1, p. 2) Dual enrollment programs were found to have positive effects on students' high school completion, general academic achievement in high school, college access and enrollment, credit accumulation in college, and degree attainment in college, and these findings were characterized by a "medium to large" extent of evidence.</p>	<p>(pp. 1, 19, 22) Studies contributing to the effectiveness rating of dual enrollment programs in the high school completion, general academic achievement in high school, college access and enrollment, credit accumulation in college, and degree attainment in college domains were conducted in high schools with minority students representing between 32 and 54 percent of the student population and first generation college students representing between 31 and 41 percent of the student population. These study samples overlap with both the populations and settings proposed for the project.</p>
<p>Bettinger, E.P., &amp; Baker, R. (2011). The effects of student coaching in college: An evaluation of a randomized experiment in student mentoring. Stanford, CA: Stanford University School of Education. Available at <a href="https://ed.stanford.edu/sites/default/files/bettinger_baker_030711.pdf">https://ed.stanford.edu/sites/default/files/bettinger_baker_030711.pdf</a></p> <p>Meets WWC Group Design Standards without Reservations under review standards 2.1 (<a href="http://ies.ed.gov/ncee/wwc/Study/72030">http://ies.ed.gov/ncee/wwc/Study/72030</a>).</p>	<p>The intervention in the study is a form of college mentoring called student coaching. Coaches helped with a number of issues, including prioritizing student activities and identifying barriers and ways to overcome them. Coaches were encouraged to contact their assignees by either phone, email, text messaging, or social networking sites (pp. 8-10). The proposed project for Alpha Beta Community College students will train professional staff and faculty coaches on the most effective way(s) to communicate with their mentees, suggest topics for mentors to talk to their mentees, and be aware of signals to prevent withdrawal or academic failure.</p> <p>The relevant outcomes in the study are student persistence and degree completion (Table 3, p. 27), which are also included in the logic model for the proposed project.</p> <p>This study found that students assigned to receive coaching and mentoring were significantly more likely than students in the comparison group to remain enrolled at their institutions (pp. 15-16, and Table 3, p. 27).</p>	<p>The full study sample consisted of "13,555 students across eight different higher education institutions, including two- and four-year schools and public, private not-for-profit, and proprietary colleges." (p. 10) The number of students examined for purposes of retention varied by outcome (Table 3, p. 27). The study sample overlaps with Alpha Beta Community College in terms of both postsecondary students and postsecondary settings.</p>

**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 1894-0001. The time required to complete this information collection is estimated to vary from 1 to 4 hours per response, with an average of 1.5 hours per response, including the time to review instructions, search existing data sources, 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, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to the Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202

# **STANDARD APPLICATION FORMS INSTRUCTIONS**

**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.	<p><b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• 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.</li> </ul>	10.	<p><b>Name of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
		11.	<p><b>Catalog of Federal Domestic Assistance Number/Title:</b> 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.</p>
2.	<p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• 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.</li> </ul> <p>A. Increase Award                      D. Decrease Duration B. Decrease Award                      E. Other (specify) C. Increase Duration</p>	12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p><b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p><b>Areas Affected by Project:</b> 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.</p>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p><b>Descriptive Title of Applicant's Project:</b> (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.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.</p>		
5a.	<p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.</p>	16.	<p><b>Congressional Districts of:</b> 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</p>
5b.	<p><b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the</p>		

	previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		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 program/project congressional districts, if needed.
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (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.	<b>Estimated Funding:</b> (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.
	<b>c. Organizational DUNS:</b> (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 <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) 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.
	<b>d. Address:</b> 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.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (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.
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> 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.)
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> 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	M. Nonprofit N. Private	



B. County Government	Institution of Higher Education		
C. City or Township Government	O. Individual		
D. Special District Government	P. For-Profit Organization (Other than Small Business)		
E. Regional Organization	Q. Small Business		
F. U.S. Territory or Possession	R. Hispanic-serving Institution		
G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)		
H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)		
I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions		
J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity		
K. Indian/Native American Tribally Designated Organization	W. Other (specify)		
L. Public/Indian Housing Authority			

**[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](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.

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

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

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

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

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

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

**3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information for SF 424

**3a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

**Paperwork Burden Statement.** *According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0007. 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, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.*

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

**Definitions:**

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

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

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

**PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

**I. Definitions and Exemptions**

**A. Definitions.**

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

**—Research**

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

**—Human Subject**

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

## **B. Exemptions.**

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of 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.

## 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.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

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. Public reporting burden for this collection of information is estimated to average 1.5 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 required to obtain or retain benefit (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.



## **INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether sub-awardee 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 sub-award recipient. Identify the tier of the sub-awardee, e.g., the first sub-awardee of the prime is the 1st tier. Sub-awards include but are not limited to subcontracts, sub-grants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Sub-awardee," 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.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 1840-0113. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

## **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 60 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 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](https://www.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 the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20202.