

GEAR UP SOUTHERN
WEST VIRGINIA

CONCORD • NEW RIVER CTC

Welcome to GEAR UP!

This starter kit provides information and resources to help your school district quickly establish procedures so that programming in your schools can begin as soon as possible. The kit includes:

- A subrecipient commitment form and data agreement (Tab 4 of binder)
- Job descriptions for the liaison and local coordinator positions
- A step-by-step plan for setting up and operating the Advisory Council
- A Suggested First-Year Work Plan and Work Plan Template (Appendix 1)
- Policies and procedures for submitting reimbursements (Appendix 6)
- Policies and procedures for submitting data in the Pi database (Appendix 7)

We have tried to anticipate all the questions that might arise as your district joins GEAR UP. However, if there are any additional questions, please do not hesitate to contact the GEAR UP central office. Contact information for central staff is as follows:

Principal Investigator: [Sarah Beasley](mailto:sbeasley@concord.edu) sbeasley@concord.edu or [304-384-6035](tel:304-384-6035)

Program Director:

Assistant Director: [Angela Young](mailto:adyoung@concord.edu) adyoung@concord.edu or [304-384-5262](tel:304-384-5262)

IHE Local Coordinator: [Kristen Williams](mailto:kwilliams@concord.edu) kwilliams@concord.edu or [304-384-5269](tel:304-384-5269)

Family Engagement Coordinator:

Finance and Contracts Associate: [Lesley Ashford](mailto:lashford@concord.edu) lashford@concord.edu or [304-384-5245](tel:304-384-5245)

Communications Manager:

Partnership Coordinator 1:

Partnership Coordinator 2:

**** Submit subrecipient commitment form to Denise Bell @ grants@concord.edu. ****

All forms and policies can be found online @ <https://www.concord.edu/gearup>.

Please remember, central staff are more than happy to visit your district and lend additional support should this be required.

Best wishes for the coming school year.

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

What is GEAR UP?

GEAR UP is a federal grant designed to increase the number of students who are prepared to enter and succeed in public and private colleges and universities and community colleges immediately after high school.

The US Department of Education provides six-year grants to states and partnerships to provide services at middle and high schools where more than 50% of the students qualify for free/reduced lunch.

GEAR UP grantees serve an entire cohort of students beginning no later than seventh grade and follow the cohort into high school.

GEAR UP offers state and partnership grants. Partnership grants consist of one or more local school districts, one or more higher education institutions and at least two community partners. GEAR UP partners are required to match federal dollars.

What does GEAR UP aim to accomplish?

GEAR UP is working to encourage students to graduate from high school and continue into college. Research suggests that integrating college access programs early in a student's education and maintaining them throughout high school boosts student achievement and overall graduation rates.

The GEAR UP objectives are:

1. Increase the academic performance and preparation for postsecondary education of GEAR UP students
2. Increase the rate of high school graduation and participation in postsecondary education of GEAR UP students
3. Increase GEAR UP students' and their families' knowledge of postsecondary education options, preparation, and financing
4. Increase the number of students who build and exhibit social, emotional, and academic resilience.

For more information on GEAR UP, please refer to the US Department of Education website: <http://www2.ed.gov/programs/gearup/index.html>

The GEAR UP Southern West Virginia (SWV) Partnership

Our partnership grant includes Concord University, New River CTC, community organizations, business partners, and schools in Southern WV.

The grant is a one-time award, beginning in September 2022 and will continue through August 2029.

GEAR UP provides funding and programming for professional development for teachers and administrators, academic and cultural enrichment for students, and assistance for parents and students in becoming familiar with college options, financial aid, and transition concerns.

What types of services does GEAR UP offer?

Services are provided in three main areas: student programming, parent education and professional development. Every attempt is made to tailor the programs offered to the specific needs of local schools as they relate to the objectives listed above.

GEAR UP Central

The GEAR UP SWV Partnership is managed through the GEAR UP central office located on the Concord campus. The central office includes the following staff:

- Project Director
- Assistant Director
- Assistant Finance and Contracts Associate
- Coordinator Team:
 - IHE Local Coordinator
 - Family Engagement Coordinator
 - Partnership Coordinators (2)
- Communications Manager

Project Director Responsibilities

1. Accountability for use of all U.S. Department of Education grant monies, budgets, purchases and requisitions, and primary liaison during the annual audit;
2. Final approval for local school district work plans;
3. Preparation of performance reports;
4. Supervision of all permanent grant personnel;
5. Membership of Public School Partnership Governing Board; and
6. Primary liaison to the external evaluator

Assistant Director Responsibilities

1. Act as primary liaison to project partners;
2. Function as a community relations representative creating press releases, newsletters, presenting at community organizations, and sitting on local UCAN councils;
3. Provide bi-annual evaluations of coordinator performance;
4. Present weekly data reports in staff meetings, and monthly reports in coordinator meetings; and
5. Oversee the database
 - a. Review Local Coordinators' data entry as a cross-reference for monthly reimbursements;
 - b. Use data to identify most successful teachers to be used as coaches;
 - c. Provide database training for school district staff to identify at-risk students;
 - d. Liaise with external evaluators;
 - e. Provide data reports for stakeholders and annual reports; and
 - f. Implement required family and student surveys

Finance/Contracts Associate Responsibilities

1. Monitor documentation, both grant expenditures and match;
2. Assist Project Director in budget oversight;
3. Process all purchase requests;
4. Train school administrators in finance documentation; and

5. Annually evaluate the finance management of GU funds in school districts

Communications Manager Responsibilities

1. Coordinate communication and programming between and among the GEAR UP SWV staff, the subcontractors (school districts) and partners, and other external parties such as WV colleges and universities, other schools, vendors, and state agencies;
2. Work with the Assistant Director and Program Coordinators to create student enrichment programs and professional development opportunities for GEAR UP teachers, coordinators, and administrators;
3. Create and maintain a system to coordinate travel among GEAR UP staff members and school district personnel who attend professional development opportunities;
4. Maintain a current and updated communications system for the GEAR UP SWV Partnership;
5. Maintain an accountability system for the program reports submitted by the subcontractors; and
6. Order and maintain an adequate supply of office materials

Coordinator Team Responsibilities

The three coordinators will each specialize in an area of programming designed to enhance preparation for postsecondary education, as well as serve on local Advisory Councils and other committees to ensure continuous feedback and provide coordination to partner school districts. The areas of specialty will include:

IHE Local Coordinator

1. Develop, coordinate, and implement academic year and summer programs on the CONCORD campus for students and teachers, including 2-3 campus visits/week and 10 weeks of concurrent summer programming
2. Coordinate all CONCORD resources including faculty and student tutors
3. Assist with visits to other college campuses

Family Engagement Coordinator

1. Implement family activities associated with the preparation for, application to, and financing of college both locally and on campus
2. Collaborate with community partners and collect family survey data
3. Support partner districts' creation, implementation, and amendment of work plans
4. Audit the internal reimbursement process by verifying all activities were on the pre-approved work plan prior to reimbursement

Partnership Coordinators (2)

5. Support the local LEAs to Implement GU services for students, families and educators associated with the preparation for, application to, and financing of college both locally and on campus
6. Collaborate with local LEA community partners

7. Implement annual student and family surveys
8. Support partner districts' creation, implementation, and amendment of work plans
9. Audit the internal reimbursement process by verifying all activities were on the pre-approved work plan prior to reimbursement

GEAR UP School Districts

The GEAR UP SWV Partnership includes the school districts of Mercer, Monroe, Raleigh, Summers, and Wyoming Counties. As members of the GEAR UP SWV Partnership, school districts have made the following commitment to fulfilling the goals of GEAR UP:

- To create a permanent, district-wide advisory council, the University and College Access Network (UCAN) Council
- To attend a leadership training (superintendent and principals) beginning in Grant Year Two
- To engage community partners
- To meet a match obligation
- To provide office space for the Local Coordinator
- To provide at least 30 minutes of weekly contact time for GEAR UP programming

The **District Liaison** and the **Local Coordinator** in each county will work to meet these commitments.

The Advisory Council

The University and College Access Network (UCAN) Council will meet monthly to establish college access goals, develop the annual GEAR UP work plan, and implement and monitor programming. Topics for regular discussion might include scholarship opportunities; family nights; surveys and results; progress towards meeting college access goals; job-shadowing opportunities.

The UCAN council will consist of the following personnel:

- District Superintendent
- Principals of participating schools
- Local GEAR UP Coordinator
- GEAR UP Liaison
- School Counselors of participating schools
- Community Partners
- GEAR UP SWV Central Staff
- Teachers
- Parents

GEAR UP District Liaison

Each school district will have a liaison, typically a curriculum specialist or associate superintendent, who will manage the project at a local level. The liaison role provides match to the project and oversight of the Local Coordinators and programming.

Responsibilities include:

- Providing local leadership for college access initiatives
- Primary district contact person for the GEAR UP Partnership staff
- Communicating both formally and informally with the GEAR UP Partnership office
- Developing the annual GEAR UP Partnership District budget and work plan in coordination with the GEAR UP Central Office Coordinators, target schools' principals, finance officer and planning/advisory committee
- Approving and monitoring expenditures and district matching contributions
- Chairing the planning committee and overseeing the establishment of a long-term advisory committee
- Preparation and submission of comprehensive evaluation reports as required
- Meeting regularly with the GEAR UP Central Office coordinators to monitor progress toward the goals and objectives
- Facilitating regular meetings with all key personnel
- Having a thorough understanding of the grant goals, objectives, and expectations
- Serving as the key contact and support person between the GEAR UP Central Office coordinators and the assigned schools
- Attending GEAR UP Partnership meetings, institutes, and conferences as requested

GEAR UP Local Coordinator

Role

School coordinators will be identified and hired by school districts to initiate programming, coordinate activities with central staff and are key members of the UCAN Council. GEAR UP SWV does request a seat on the interviewing committee and will make a member of staff available around each district's interviewing schedule. In the budget for each school district, GEAR UP SWV will allocate \$45,000 a year for coordinator salary and benefits. Each school district is expected to provide office space, telephone, Internet access, office supplies, copying and storage space for the Local Coordinator.

The GEAR UP SWV Assistant Director will perform a biannual evaluation (the MAP) of the Local Coordinator. The Assistant Director will work with the coordinator to determine appropriate areas of development, but the district maintains final authority on all human resources decisions.

Responsibilities, with support and guidance from GEAR UP SWV Partnership central staff:

- Orient parents, students, faculty, and staff to GEAR UP and raise awareness of the benefits of postsecondary education among school personnel, parents, and the community at large
- Serve as a college planning resource for teachers, educators, counselors, and parents
- Design and implement in-school and after-school tutoring and mentoring programs in coordination with other GEAR UP agencies
- Develop, implement and/or enhance parent workshops
- Coordinate academic year college visits for students
- Develop and implement comprehensive pre-college programs for middle and high school students that include career exploration, academic planning and preparation, and financial planning
- Work cooperatively with educators to provide summer enrichment activities that include job-shadowing, college visits, etc.
- Manage data collection and entry from schools and provide continuous feedback to the GEAR UP Partnership staff regarding project benchmarks and outcomes
- Collect rosters from each event listing students and families served for attachment to monthly reimbursement requests
- Sit on the local UCAN council; attend GEAR UP Partnership meetings, institutes, and conferences, providing continuous feedback and recommendations
- With GEAR UP SWV guidance, and in collaboration with the UCAN council, develop the annual work plan
- Serve as a mentor and positive role model for GEAR UP students; encourage students in the eligible cohorts to participate in GEAR UP activities

Qualifications and requirements

Bachelor's degree in education (Master's degree beneficial) or a related discipline. Experience

in or knowledge of the public-school setting is preferred. The successful candidate is flexible, adaptable, committed, and energetic. Many of the program services require travel, as well as evening, overnight and/or weekend hours. Strong public relations skills, demonstrated proficiency in written and oral communication, computer competency, and outstanding organizational skills are a MUST. The ability to establish rapport with adults and adolescents and serve as a positive role model are essential. Applications from candidates with backgrounds similar to the students served are encouraged.

Job description

The **LEA** seeks a creative and enthusiastic individual to serve as Local Coordinator for the GEAR UP SWV Partnership with Concord University. The GEAR UP (Gaining Early Awareness and Readiness for Undergraduate Programs) Partnership is funded by the US Department of Education to increase the college-going rate of low-income secondary school students in **LEA**. GEAR UP provides training and support for administrators and teachers at **school names** to enhance preparation for postsecondary education. Immediate supervision will be provided by the District Liaison, in coordination with the GEAR UP Partnership Assistant Director. This is a full-time position, contingent upon external funding, with an anticipated start date of **insert**.

GEAR UP Responsibilities of Other School District Personnel

Superintendent

- Serves as subcontract Principal Investigator
- Certifying official responsible for ensuring that the work and the reporting, as outlined in the subcontract, are performed satisfactorily

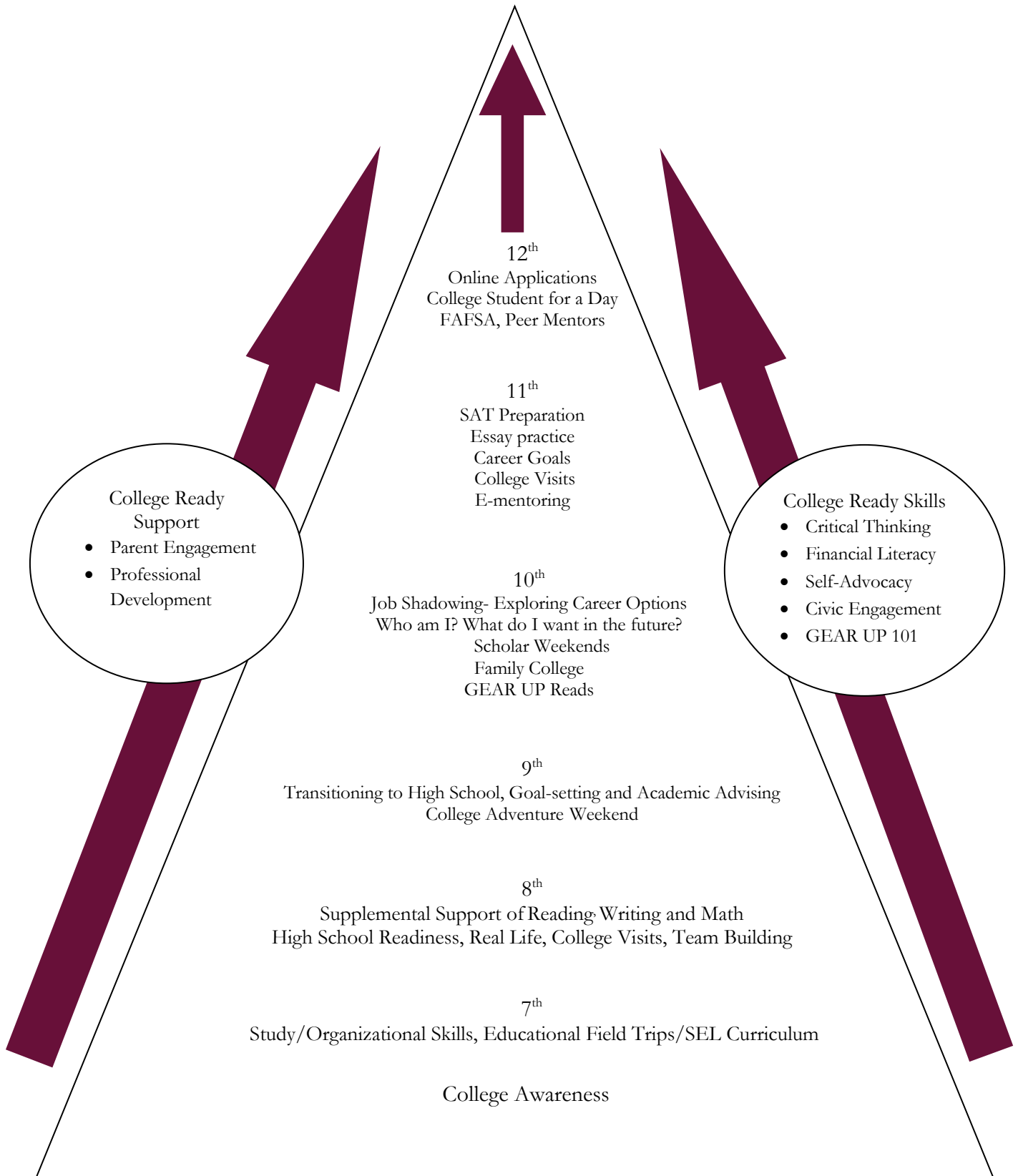
Finance Officer

- Superintendent's designee for financial reporting and administrative compliance documentation
- Maintains records of Matching support
- Completes monthly claim reimbursement process in conjunction with the GEAR UP Local Coordinators and District Liaison
- Works with District Liaison and Local Coordinators to complete the annual budget request
- Completes Matching reports as requested by GEAR UP Partnership

School Principal

- Provides day to day supervision of GEAR UP School Coordinators in coordination with the GEAR UP SWV Partnership Assistant Director
- Meets regularly with GEAR UP School Coordinator to monitor progress towards goals and objectives
- Participates in monthly UCAN Council meeting

Planning Pyramid: College Readiness



The Annual Work Plan

The District Liaison and the Local Coordinator, working in collaboration with the Advisory Council and GEAR UP central staff, develop a work plan (*Appendix 1: Suggested Work Plan*) for the coming school year aimed at achieving the objectives included in the awarded GEAR UP proposal. This work plan is translated into a budget (*Appendix 1: Work Plan Template*). Both documents are submitted to GEAR UP SWV for approval. Once GEAR UP SWV has approved the budget and work plan, a sub-contract will be created between the district and Concord University.

The work plan is informed by the overarching goals of the Federal GEAR UP program:

1. To increase the academic performance and preparation for post-secondary education of GEAR UP students
2. To increase the rate of high school graduation and participation in postsecondary education of GEAR UP students
3. To increase GEAR UP students' and their families' knowledge of postsecondary education options, preparation, and financing

Based upon these overall goals, the GEAR UP SWV Project has developed a range of more specific objectives. These objectives, together with performance indicators and methods of data collection, are detailed in *Appendix 2*. In formulating these objectives, the GEAR UP SWV Partnership recognizes that, in order to be successful in today's world, the GEAR UP student needs College Ready Academics, College Ready Skills and College Ready Support.

College Ready Academics:

The successful GEAR UP student will engage in rigorous coursework meeting the minimum requirements for college entry. Students will be effective communicators, demonstrate a proficiency in math and ultimately enroll in postsecondary education.

College Ready Skills:

The successful GEAR UP student will possess skills enabling them to succeed in college and the workplace. These skills include information management, critical thinking, diversity awareness, and life skills.

College Ready Support:

The successful GEAR UP student will be supported by parents and families educated about the process of excelling in high school and entering postsecondary education. Students will also be supported by faculty and staff that believe all students can attend postsecondary education.

Developing the Work Plan

In developing the work plan, districts should abide with the following spending formula:

College Ready Academics:	40~60% of funding
College Ready Skills:	20~30% of funding
College Ready Support:	20~30% of funding

The Planning Pyramid (p.15) will assist in creating the work plan. In the early years of the project, the focus is upon students and families gaining an awareness of the importance of attending college, and some of the benefits a college education provides. As students progress into and through high school, programming takes on a more preparatory role, with grade-level specific activities designed to prepare students for college.

The following is a list of programming that might be suitable for the early years of the grant. The list is not exhaustive. A full list of suitable programming (*GEAR UP Allowable & Required Services/Suitable Programming*) is given in *Appendix 3*.

Academics	Skills	Support
<ul style="list-style-type: none">• Tutoring• Math Night• EOG preparation• Afterschool homework labs• Reading and writing development	<ul style="list-style-type: none">• GEAR UP 101• SEL Curriculum• CFVW Accounts• Goal setting• GEAR UP Club• Afterschool enrichment• College Visits• Civic Engagement• Financial Literacy• Critical Thinking	<ul style="list-style-type: none">• Transition Programs• Movie Night• Parent evenings:<ul style="list-style-type: none">○ Why go to college○ Financing college○ CFVW○ Computer classes○ Academics and athletics• Professional development:<ul style="list-style-type: none">○ Middle School Conference○ Math Conference○ CONCORD-related professional development (<i>see grant on USB drive</i>)

Some points to consider when creating a work plan:

- Expenditures must be for the purpose of meeting GEAR UP objectives
- Funds budgeted for GEAR UP programming may not be redirected
- All expenditures must be in support of a program outlined in the work plan and budget

- Any changes to the work plan must be submitted as an amendment and approved by CONCORD prior to spending funds for the changes
- Funds may be used to supplement existing programs but not to supplant them
- Funds must be spent with the aim of benefiting the largest number of students possible

A Starter Work Plan for 2022-2023 is provided in *Appendix 1 (Suggested Work Plan and Work Plan Template)*. This is to help school districts begin programming promptly. This Starter Work Plan is not mandated however, school districts are welcome to develop their own work plan to address the needs of their students and families more closely. Points to consider when completing the starter work plan:

- The plan is not meant to restrict activities. Add as many extra rows as needed in each section.
- Include costs for substitute teachers if required because a teacher accompanies a group on a GEAR UP activity or takes part in GEAR UP sanctioned professional development.
- Consider taking just one or two classes at a time on campus visits. The students will get much more out of the visit. Use of parent chaperones is encouraged since this will lead to increased family knowledge and support for the aims of GEAR UP.
- For regularly scheduled after school activities meeting GEAR UP goals, such as enrichment and homework labs, consider providing a bus to get students home. Healthy snacks may also be provided for students attending these events. Include the projected cost for these in the work plan.

Appendix 4 (Work Plan Policy and Procedures) details the GEAR UP SWV Partnership policy and procedures regarding work plans.

Work Plan Amendments

From time to time, it becomes necessary to make changes to the work plan to take advantage of opportunities as they arrive, and to fine tune programming to best meet the needs of the students served. Amendments can be added to the work plan in the final section of the template. It is important to note the date of the amendment so that changes can be tracked during the reimbursement process. The amended work plan then needs to be submitted to GEAR UP SWV for approval **before** any funds are expended. The GEAR UP Project Director will initial and date the amendment once approved. It is important to note that any **amendments cannot take projected expenditures beyond the budget set for the year.**

Funding and Reimbursements

GEAR UP SWV will provide an estimate of available funds to the District Liaison in May each year. The Advisory council works to develop a work plan for the coming year. The work plan includes a GEAR UP budget for each district school participating in the program.

Schools/districts advance approved GEAR UP expenses through the month. Each month, the district finance officer submits a reimbursement claim for funds spent on GEAR UP programming. A reimbursement request form needs to be attached for **each activity or service** included in the month's reimbursement claim (See Appendix 5: *Reimbursement Form/Fillable form on USB*). The reimbursement request form should be attached to all documents relating to the particular activity, such as bus driver pay, mileage costs, meal purchases and any other costs. The GEAR UP finance officer will make every effort to process reimbursement claims promptly. The process will be speedier when all required documentation is submitted with the claim. This documentation includes:

- A reimbursement request form for each activity
- An agenda or schedule for the approved activity
- List of attendees in Performance Insights Data System
- A list of the names of staff participating
- Costs for registration and/or materials used in the activity
- Appropriate purchase orders

Note: Reimbursements will not be processed until the activities and services for which the reimbursement is requested have been entered into the Performance Insights Data Management System. It is the responsibility of the **Local Coordinator** to enter this data. The reimbursement request form has a box for the Local Coordinator to check indicating that the appropriate data has been entered into the database.

Matching requirements

School districts have agreed to provide matching contributions to the project. The GEAR UP Financial Resource Manual details this commitment. (Appendix 9: Matching Documents)

Appendix 6 (*Subrecipient Monitoring Policy and Subrecipient Monitoring Procedures*) details the GEAR UP SWV Partnership policy and procedures regarding reimbursements.


Appendix 1: Suggested Work Plan and Work Plan Template



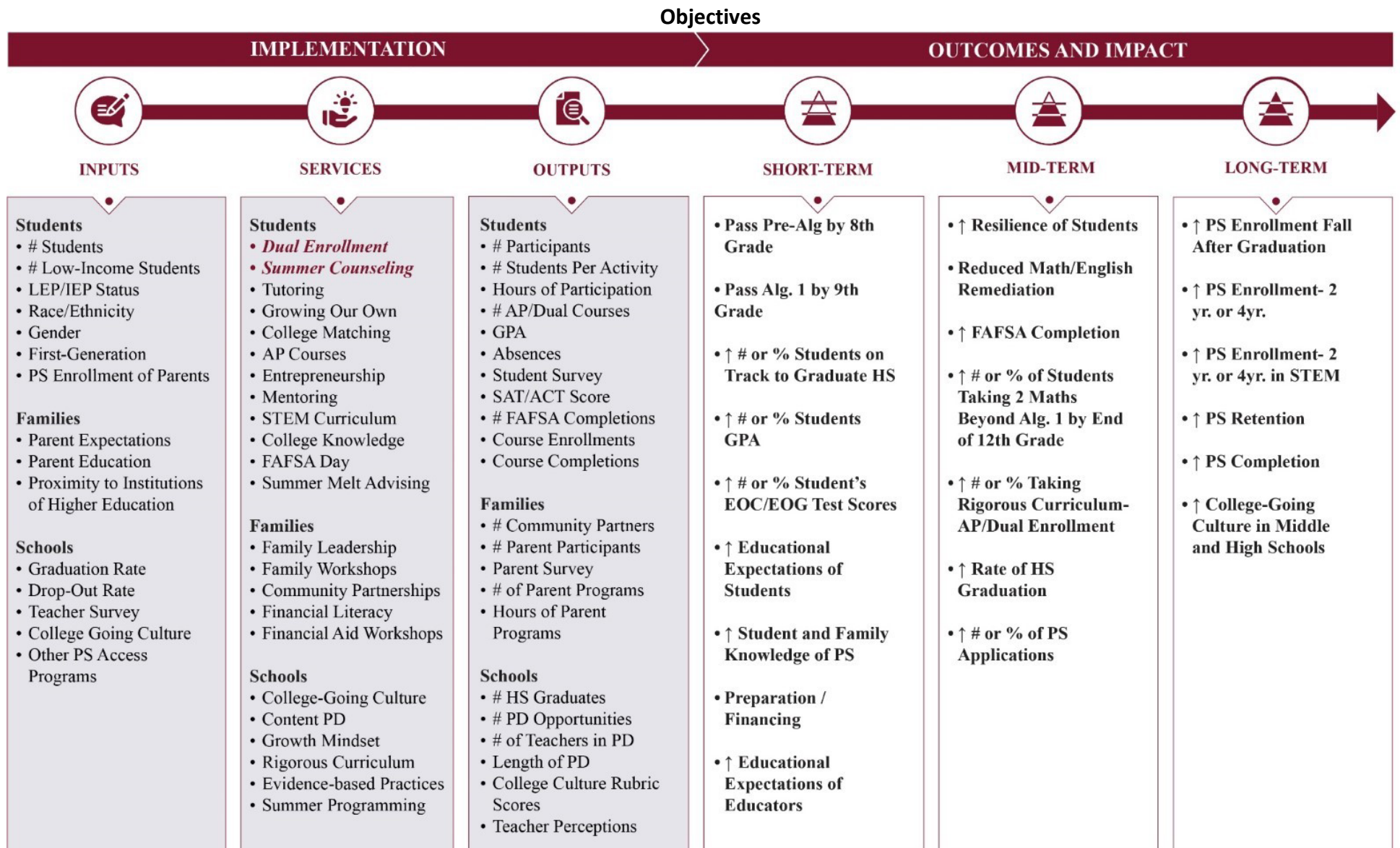
GEAR UP SWV WORK PLAN: CLASS OF 2028 & 2029 COHORTS	SUGGESTED ACTIVITIES	COHORT(S)	CENTRAL OFFICE COORDINATION	HOSPITALITY	MATERIALS AND SUPPLIES	DEADLINE	COMMENTS AND WORK PLAN CLARIFICATION
	Support						
	GEAR UP SWV Full School Launch Event	Cohort 1 Cohort 2	●	●	●	May 1, 2023	Host a full welcome to GEAR UP launch event. Event must include information about the federally funded GEAR UP grant and services for the 2022-23 academic year. Site coordinators are asked to utilize the GEAR UP launch toolkit developed by the central office. Resources in the form of informational hand-outs are also available.
	GEAR UP Coordinator		●		●	May 1, 2023	Each county will hire coordinator.
	CFWV Account Creation	Cohort 2			●	May 1, 2023	Site coordinators will work with students to create their account on CFWV.com, the state's one stop shop for planning, applying, and paying for college. During this in-class workshop, students should create their CFWV account and be provided information about the fundamentals of the site. Topics to be covered must include: an interest inventory, career pathways, and an introduction to financial aid and scholarships.
	Professional Development		●			February 13 th -15 th , 2023 July 16 th -19 th , 2023	Each county will select a team to attend the following conferences: NCCCEP Capacity Building Workshop February 13 th -15 th (virtual) NCCCEP/GEAR UP Annual Conference July 16 th -19 th (San Francisco)
	GEAR UP Awareness					May 1, 2023	The central office will provide informational brochures to send home to parents. The brochure will provide detailed information about the GEAR UP program.
	Academic Enrichment						
	STEM Programming	Cohort 1 Cohort 2			●	May 1, 2023	Middle grade students either in the classroom (physical or remote) and/or in out-of-school programming, will have access to immersive learning experiences that aim to increase students' integrated science, technology, engineering, and math literacy and thinking skills as an extension of current curriculum in place. Each school will identify relevant stem curriculum or activities to implement.
	Pre-Algebra and Literacy Support Program	Cohort 1 Cohort 2		●	●	May 1, 2023	This can include professional development for math and English teachers or additional support for students in the form of after school homework labs, evening workshops, or math nights.
	Educational Field Trips	Cohort 1 Cohort 2				May 1, 2023	Services during which students leave their school or travel to another location and include an academic component that is linked to classroom activities. Examples would include a science demonstration on a college campus (the purpose of the event was the science demonstration not a college visit), a class trip to attend a science or history museum linked to curriculum, academic competitions, cultural experiences such as performing arts, museums, or similar activity, and field trips that complement and enhance existing curriculum.
	Academic Enrichment: Online Tutoring 24/7 Access to Support	Cohort 1 Cohort 2	●		●	Ongoing	GEAR UP will provide 24/7 online tutoring access through a third-party vendor. Students will have access to utilize the tutoring during school, after school, and on the weekends. Site coordinators will encourage the usage of the tutoring services for those in need of additional support. GEAR UP central office will track on the back end.
	Skills						
	Study/Organizational and College Readiness Skill Workshops	Cohort 1 Cohort 2	●	●	●	May 1, 2023	Career readiness includes a set of skills extending beyond academics to critical thinking skills such as analysis, interpretation, problem solving, and reasoning. These skills provide a solid foundation for developing objectives and performance indicators designed to enhance students' college-ready academics, skills, and support, ensuring success both in college and career.
	College Identity Workshops	Cohort 1 Cohort 2	●	●	●	May 1, 2023	To support all students as they navigate difficult events and build their overall social and emotional resiliency so they are more prepared to navigate life's challenges, the GU SWV Partnership will provide supportive services to students , specifically social and emotional resiliency services by developing non-cognitive skills. Each school will devote time and space during the day for curriculum implementation, and teachers will receive professional development to increase their own understanding of social and emotional learning as well as increasing their own capacity to teach in ways that support this development.

Note: Food expenditures not to exceed \$10/head for school-level events.

Work Plan Template (See USB drive for fillable Excel sheet)

County / School District:						Date Approved by SWVGU:		
Coordinator:						Approved By:		
School Year:								
Liaison Name:								
Date Approved by Liaison:								
<p align="center">SWV GEAR UP School District Work Plan -- Year 01</p>								
#	Service Type	Program/Initiative Name	Anticipated Date of Event	Primary Performance Indicator	Grade(s) Served	Description and Justification Please include # served, a detailed description of the activity, and what you hope students will gain from this activity. Please include any details regarding the calculations you used to project your expenses.	Itemized Detail	Anticipated Cost Please Break Out Expenses
COLLEGE READY Academics						Total Cost for COLLEGE READY Academics:		\$0.00
A1.							Personnel	
							Employee Benefits	
							Student Travel	
							Education Materials/Supplies	
							Other Current Services	
A2.							Personnel	
							Employee Benefits	
							Student Travel	
							Education Materials/Supplies	
							Other Current Services	
A3.							Personnel	
							Employee Benefits	
							Student Travel	
							Education Materials/Supplies	
							Other Current Services	
A4.							Personnel	
							Employee Benefits	
							Student Travel	
							Education Materials/Supplies	
							Other Current Services	
A5.							Personnel	
							Employee Benefits	
							Student Travel	
							Education Materials/Supplies	

Appendix 2: Objectives and Performance Indicators



Evidence for **Dual Enrollment** comes from:

Giani, M., Alexander, C., & Reyes, P. (2014). Exploring variation the impact of dual-credit coursework on postsecondary outcomes: A quasi-experimental analysis of Texas students. *The High School*, 200-218.

Evidence for **Summer Counseling** comes from:

Castleman, B.L., Page, L.C., & Schooley, K. (2014). The forgotten summer: Does the offer of college counseling after high school mitigate summer melt among college-intending, low-income high school graduates.

Performance Indicators

Objective 1: Increase the academic performance and preparation for postsecondary education for students.		Baseline	Goal
1	The percentage of students completing Algebra 1 by the end of 9th grade will increase by 5% annually in years 3 and 4. (Federal Performance Measure 1)	TBD GY1	5% annual increase
2	The average daily attendance rate will increase to 95%	93.1%	95%
3	The percentage of GEAR UP students promoted on time to successive grade levels will be maintained. (Required Program Measure B)	99.7%	99.7%
4	Percentage of cohort students completing 2 or more Dual-Enrollment courses by 12th grade will increase by 5% in grant years 4,5,6, and 7 (Project Specific Performance Measure 1)	TBD GY1	5% annual increase GY4-GY7
Objective 2: Increase the rate of high school graduation and enrollment in postsecondary education for schools.		Baseline	Goal
3	Increase the high school graduation rate to 95% in GY 6 and 7 (Federal Performance Measure 2)	91.9%	95% increase GY6,7
4	The percentage of cohort students' postsecondary enrollment rate will increase by an average of 5% in grant years 6 and 7 (Federal Performance Measure 4)	49%	5% increase GY6,7
5	Percentage of cohort students who persistence into the 2nd year of college at the initial or a subsequent IHE will increase 5% in grant year 7 (Federal Performance Measure 5)	TBD GY1	5% in GY7
6	Teacher postsecondary enrollment expectations of their students will increase by 10% in grant years 2,4, and 6. (Project Specific Performance Measure 3)	TBD GY1	10% annual increase GY2,4,6
Objective 3: Increase students' and their families' knowledge of postsecondary education options, preparation, and financing.		Baseline	Goal
7	Seniors who complete the FAFSA will increase 10% annually in GY 6 and 7 (Federal Performance Measure 3)	33.6%	10% annual increase GY6,7
8	Students and their families will report increased knowledge and expectations for postsecondary education beyond high school in years 2, 4, and 6 by 5% each survey. (Project Specific Performance Measure 4) (Required Program Measure C)	TBD GY1	5% increase GY2,4,6
Objective 4: Increase Academic, Postsecondary and Social Emotional Resilience		Baseline	Goal
9	Resilience, as measured by the ARQ, will increase in cohort students as compared to the preceding grade used as a control group. (Project Specific Performance Measure 5)	TBD GY1	Increase Relative to Control
10	Schools will increase their college-going culture as measured by the College-Going Culture Rubric by 5% annually so that all schools report on each of the 9 items with a minimum of 3 (the scale is a 1-4 point scale).	TBD GY1	5% annual increase

Appendix 3: Allowable and Required Services/Suitable Programming

Suitable Programing

	Outcomes	Audience	A Shared Agenda Principles					
	Associated Performance Measure	F=Family S=Student E=Educator	1	2	3	4	5	6
Academic Planning/Monitoring/Advising	1,2,3,4,5,6,7	S	•	•	•	•	•	•
AP and Dual Enrollment increased access	4,5,6,7,9	S	•	•	•	•	•	•
College-Going Culture Development in Schools	7,8,9,10,11	E	•	•	•	•	•	•
College Coaching	6,7,8,10	S	•	•	•			
College Knowledge	6,7,8,10,12	S	•	•	•			
College Match Advising	6,7,8,10	S		•	•			
College Visits	6,7,8,10	S		•	•			•
Entrepreneurialism Programming	5,8,10,14	S	•		•		•	•
Evidence-Based Practices Professional Development	All	E	•	•	•	•	•	•
FAFSA Completion Nights/Weekends	8,12	S, F		•	•			
Financing Postsecondary Workshops	5,8	S, F	•	•	•			
Freshman Seminar/First Year Experience	10,14	S	•	•	•	•		
Growing Our Own	4,5,7,8,9,10	S	•	•	•			•
Job Site Visit/Job Shadowing	4,5,8,10	S		•	•			
Learning Communities in postsecondary	10,14	S		•	•	•		
Mentoring and Near Peer Mentoring	14	S	•	•	•	•		
Non-Cognitive Skill Development- Grit, Growth Mindset	14	S, E	•	•	•	•		
SAT/ACT Prep	5,8	S	•	•	•			
Scholarship Search and Application	5,8	S	•		•			•
STEM Programming,	5,6,7,8,9	S	•	•	•	•	•	•
Student Success Agency	5,7,8,10,14	S	•	•	•			
Summer Melt Hotline and Communication	8,10,14	S		•	•			•
Transition to High School Summer Support Services	8,10,14	S, F	•	•	•			•
Tutoring and Princeton Review's virtual Tutor.com	5,6,7,8,9	S	•	•	•	•		
Professional Development for Math Teachers/ Math Circles Students	1,2,3,9	S, E	•	•	•			



GEAR UP Allowable & Required Services

As part of the federally funded [U.S. Department of Education Gaining Early Awareness and Readiness Undergraduate Program \(GEAR UP\) program](#), the GEAR UP SWV Partnership can provide GEAR UP services to students in the eligible cohorts, their families, and corresponding educators in designated GEAR UP target schools. The eligible cohorts for GY01 are 6th and 7th grade students in the 2022-2023 academic year, and then the same cohort of students in the summer of 2023 as they are rising 7th and 8th grade students. Once GEAR UP services are provided and entered into the College and Career Entry and Success System (ACCESS), these services are reported annually to the U.S. Department of Education by Concord University along with progress towards grant goals and objectives. The following table lists the allowable GEAR UP services, as identified by the Higher Education Act and GEAR UP regulations, and required GEAR UP services, as determined by the U.S. Department of Education GEAR UP Annual Performance Report and noted below by the asterisk (*). These definitions are adapted from the College and Career Readiness Evaluation Consortium (CCREC) in partnership with the National Council on Community and Education Partnerships (NCCPEP): GEAR UP Student and Parent/Family Definitions: Guidelines for GEAR UP Program Services. Additionally, it is important to reach as many students and families as possible through GEAR UP services that are proven by research to have a strong impact on college enrollment, as outlined below.

GEAR UP Service Impact

Participated in at least 1 or more of the following GEAR UP service:	Increased likelihood of enrolling in postsecondary education compared to students who did not participate in the service:
Parents on the College Visit	Almost 3x
Counseling/Advising/Academic Planning/Career Counseling	2x
College Visit	More than 1 ½ x
Parents at a Workshop	More than 1 ½ x

GEAR UP Service Definitions

GEAR UP Service	Definition
Tutoring/Homework Assistance/Academic Enrichment	Provide additional academic instruction designed to increase the academic achievement of students. Tutoring can occur one-on-one or in small groups before school, during school, after school, during study or lunch breaks, or on weekends and be provided by GEAR UP staff, hired tutors, teachers, trained peers, and/or volunteers.
Comprehensive Mentoring*	Provided when GEAR UP staff, teachers, or other school staff identifies students who would benefit from an ongoing supportive relationship with a trained, caring adult or older student, i.e., "mentor." Typical issues addressed during mentoring meetings include academic, social, organization or life skill development. Per the 2008 HEOA, must provide students with financial aid information, encourage students to stay in school, enroll in rigorous coursework, and apply to postsecondary education.
Financial Aid Counseling/Advising*	Assist students understanding and navigating the complexities of financial aid, including providing hands-on assistance with the FAFSA and scholarship applications, presentations on financial aid, using financial aid or literacy curriculum, and the benefits of participation in college savings plans.

Counseling/Advising/Academic Planning/Career Counseling	<i>Counseling:</i> Discussing personal growth issues such as decision making, problem solving, goal setting, attendance, behavior concerns, or family issues. <i>Advising:</i> Assistance on course selection (secondary or postsecondary), college and/or career choices, or college and/or career planning. <i>Academic planning:</i> Assistance on coursework selection, course of study choices, college major selection, assessment advising or interpretation of scores, or assistance with placement tests. <i>Career counseling:</i> Assistance about career choices, career planning, internships, or career interests.
College Visit/College Student Shadowing	<i>College Visit:</i> A physical visit to a college campus by a student facilitated/supervised/led by GEAR UP staff, teachers, college representatives, or other school staff. College visits should include an official tour, presentation(s) by admissions, financial aid, academic departments, student affairs, residence life, multicultural affairs, or other college departments. <i>College Student Shadowing:</i> A one-on-one experience in which a student spends a day on a college campus with an undergraduate student seeing typical college life.
GEAR UP Service	Definition
Summer Programs	Includes an experience over one or multiple days during the summer (or other non-school year time, i.e., for year-round schools). Summer programs could be a local summer camp funded by GEAR UP, a residential GEAR UP program hosted by a college/university/community organization, or another camp attended by a GEAR UP student that supports the GEAR UP mission. These programs include academic enrichment, rigorous academic curriculum, college preparatory programs/camp experience, credit recovery, and/or remediation programs.
Educational Field Trips	Services during which students leave their school or travel to another location and include an academic component that is linked to classroom activities. Examples would include a science demonstration on a college campus (the purpose of the event was the science demonstration not a college visit), a class trip to attend a science or history museum linked to curriculum, academic competitions, cultural experiences such as performing arts, museums, or similar activity, and field trips that complement and enhance existing curriculum.
Student Workshops	Include interactive informational classroom-level or large- or small-group sessions that involve hands-on experience for each student in the workshop. Workshops are offered to groups of students on topics such as secondary school success and college awareness, and general elements of college readiness such as study skills, self-monitoring, goal setting, time management, and problem-solving. This includes guest speakers that motivate students and highlight careers. Workshops are informational in nature and are not intended to provide direct counseling or guidance to individual or small groups of students.
Parent/Family Workshops of College Prep/Financial Aid	Include a parent/guardian or adult family member's attendance with or without their child(ren) at a workshop that demonstrates how to assist their student with college preparation or financial aid information. These services include informational sessions for parents focusing on college entrance requirements and financial aid opportunities.
Parent/Family Counseling/Advising	Services span a spectrum of activities that can include one-on-one or small group advising for parents/guardians or adult family members designed to meet the specific needs of the individuals engaged in the activity. These services include when a parent/guardian or adult family member meets with the GEAR UP school staff or counselor, with or without a student, to discuss student's academic goals, college plans, school progress, etc. <i>Counseling:</i> Meeting with parents/guardians to discuss student's personal growth issues such as decision making, goal setting, behavior concerns, family issues, home visits, etc. <i>Advising:</i> Providing individual assistance to parents/guardians on their student's college choices, college planning, financial aid planning, etc.
Parent/Family College Visit	A physical visit to a college campus by a parent/guardian, with or without a student, facilitated/supervised/led by GEAR UP staff, teachers, college representatives, or other school staff. The primary objective of the event would be to conduct a college visit. Should include an official tour, presentation(s) by admissions, academic departments, athletics, student affairs, residence life, multicultural affairs, etc.
Family Events	Services in which parents or families participate. These services may or may not include GEAR UP students. Family events include GEAR UP activities that recognize the role of families in student success and are not defined under a previous category.
Professional Development	Services to educators, district/school administrators, and/or GEAR UP staff on GEAR UP implementation, rigorous academic curriculum, and/or areas connected directly to GEAR UP goals and objectives.

Appendix 4: Work Plan Policy and Procedures

GEAR UP SWV Partnership

Policies and Procedures

Title: **Work Plan**

Page: 1 of 2



A. PURPOSE

To plan and implement student, parent and faculty/administration programming that supports and advances the purposes of GEAR UP.

B. POLICY

School Coordinators, in conjunction with school administrators, will submit a work plan detailing the scope of intended activities and materials for the period of a school year and summer.

C. PROCEDURES

1. Programming needs are determined by talking with school staff and administration, reviewing successful past programming, data, long-term sustainability, budget, and available resources such as the *GEAR UP Allowable & Required Services/ Suitable Programming* document (Starter Kit: Appendix 3 or USB.) Services may include, but are not limited to mentoring, tutoring, after school programs, homework assistance, CFWV workshops, computer assisted labs, SAT or ACT prep, academic planning, career counseling, college visits, academic enrichment, parent organizations, job site visits, educational field trips, financial aid workshops, kick off events, cultural events, and summer camps.
2. School Coordinators will submit proper documentation requesting approval for all work plans **PRIOR** to implementing activities or purchasing of materials.
3. School Coordinators will utilize the *Suggested Work Plan GY01* and *Work Plan Template GY01* (Starter Kit: Appendix 1 or USB) documents to submit work plans.
 - a. School Coordinators will complete *Activities for College Ready Academics, Skills, and Support* along with detailed information to include number served, cost break-down and total cost.
 - b. School Coordinators will detail each program using a narrative format, to fully describe how the activity meets the GEAR UP goals and objectives.
 - c. School Coordinators will complete the *Budget* page.
 - d. UCAN will check the appropriate box and date, showing they have reviewed and approved the work plan.
4. School Coordinator will e-mail the proposed work plan to their appointed GEAR UP SWV coordinator.
5. Work plans will be reviewed by the GEAR UP SWV Staff.

6. The Assistant Director will communicate approvals by e-mailing a copy of the work plan marked *Approved and dated* to the School Coordinator, Liaison, Program Coordinator and Program Assistant. The Program Assistant will file a paper copy in the master county file with the subcontract. Unapproved requests will be filed in the county correspondence file.
7. If amendments are required for approved work plans, please refer to *Amended Work Plan*.

ATTACHMENTS/FORMS:


GEAR UP USB Drive

GEAR UP Allowable & Required Services/ Suitable Programming

Suggested Work Plan GY01

Work Plan Template GYO1

Appendix 5: Reimbursement Form

	LEA Name:	
	Subcontract No.:	
	Month:	
Claim Reimbursement Southern West Virginia Partnership	GEAR UP	Expenditure amount for reimbursement
PERSONNEL & BENEFITS		Objective Description
Personnel	\$ -	
Tutors		
School District Staff		
Other staff (bus driver, subs)		
Employee benefits	\$ -	
Tutors Benefits		
School District Staff Benefits		
Other staff (bus driver, subs)		
Subtotal Personnel	\$ -	
PROGRAMMING		
Travel	\$ -	
Travel-- Professional		
Travel -- Student		
Educational Materials & Supplies	\$ -	
Educational Materials/ Supplies		
Other Current Services	\$ -	
Meetings/Forums/ Student & Parent Food		
Staff Development - teachers, administrators, other school personnel for conferences, workshops, etc		
Other		
Subtotal Programming	\$ -	
Total Direct Program Cost	\$ -	
GRANT ACCOUNTANT CERTIFICATION		
Please Pay	\$0.00	
The undersigned certifies that costs reimbursed are not more than the costs incurred and/or paid as claimed (including the payment claimed herewith) and the terms and conditions of the contract have been complied with to the best of the Certifying Official's knowledge.		
Type Name of School Certifying Official		Signature of School Certifying Official
		Telephone Number
Certifying Official's Title		Date Certified
Concord Gear Up Approval Signature		Date Certified

Appendix 6: Subrecipient Monitoring Policy and Subrecipient Monitoring Policy

SUBRECIPIENT MONITORING POLICY CONCORD UNIVERSITY

BACKGROUND

On December 26, 2014, the federal government implemented new guidelines for the management of grants, referred to as Uniform Guidance (2 CFR 200), that replaced OMB Circulars A-21, A-110 and A-133. This document is applicable to grants awarded after December 26, 2014 and references the Uniform Guidance.

POLICY

In compliance with the Uniform Guidance, it is the policy of Concord University to maintain financial controls and procedures in place to ensure compliance with sponsor requirements for subrecipient monitoring. This policy provides guidance to ensure financial and programmatic responsibility for contractual subrecipient relationships.

This policy does not apply to consultant agreements or procurement of goods and services from vendors/contractors. This policy applies to subrecipients on federal awards as defined by 2 CFR 200.

Concord University must establish and maintain procedures for subrecipient risk assessment and monitoring on federal awards in compliance with 2 CFR 200 and applicable standards of other sponsors. Concord University procedures shall provide consideration for documentation of compliance with minimum requirements of 2 CFR 200 as it relates to subrecipient monitoring, giving consideration to high risk subrecipients as necessary.

Typically, other universities and colleges are considered “low risk” for subrecipient assessment in accordance with 2 CFR 200. Single Audit Reports are available on the Federal Audit Clearinghouse website.

SCOPE

This policy applies to federal Subrecipient Agreements issued under sponsored projects awarded to Concord University. The objectives are to:

- A. Monitor Subrecipient costs and activities to ensure that expenditures charged are allowable, allocable, and reasonable, and reflected in the budgets as well as in the scope of work.
- B. Ensure that the performance goals set forth in the scope of work are being met in a timely manner.
- C. Ensure that cost-share commitments made by Subrecipients are documented and adhere to all relevant regulations.
- D. Conduct a Subrecipient Risk Assessment Questionnaire (RAQ) for each proposed Subrecipient prior to initiating an Agreement in order to determine if a Subrecipient requires closer scrutiny.
- E. Ensure that Subrecipients expending \$750,00 or more in federal awards during Subrecipient's fiscal year have met the single audit requirements for that fiscal year.

- F. Issue management decisions on audit findings within six months after receipt of the Subrecipient's audit report and ensures that the Subrecipient takes appropriate and timely corrective action.
- G. Consider whether Subrecipient audits necessitate adjustment of Concord University's records, such as budget modifications, or re-allocation of cost-shared resources.

SUBRECIPIENT MONITORING PROCEDURE

CONCORD UNIVERSITY

Monitoring & Risk Assessment

Summary

This procedure applies to subrecipients funded and does not apply to contractors, vendors or consultants which are subject to Concord University procurement policies/procedures.

When Concord University issues a subaward to a subrecipient, the federal government requires monitoring. The purpose of subrecipient monitoring is to ensure that the subaward is used for authorized purposes, is implemented in compliance with applicable Federal law (statutes and regulations) and the terms and conditions set forth in the subaward, and the performance goals are achieved.

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a federal program. The determination of whether an individual or entity is a subrecipient or contractor/vendor is made during the proposal development phase per 2 CFR 200.331. In some instances, review may be done during the post-award management phase and when new subrecipients or contractors are requested by the Principal Investigator (PI) after the award is received.

The Office of Research & Sponsored Programs (ORSP) and the Office of Sponsored Programs Administration (SPA) are responsible for ensuring both that itself (when it is a subrecipient) and its subrecipients comply with Uniform Guidance ([2 CFR 200](#)) under federal awards. The process below details responsibilities for subawards to entities outside of the CSU.

Typically, subrecipient monitoring for universities and colleges is not required under federal or other awards and any additional monitoring is at the discretion of Concord University.

Process

Coordination is necessary between Office of Sponsored Programs and the PI to ensure appropriate determination is made, appropriate documentation is collected, and monitoring responsibilities are fulfilled.

All Subawards:

1. The Office of Sponsored Programs, or designee, is responsible for ensuring that a potential subrecipient is appropriately identified following the definitions set forth in policy on Subcontractor vs Consultant vs Vendor. OSP will ensure all necessary subrecipient documents are completed, reviewed, and filed. OSP with assistance and cooperation from the Principal Investigator (PI) will ensure that each subrecipient provide a scope of work and deliverables, subaward performance dates, and detailed budget.
2. When OSP receives a unilateral or fully executed external award ("Prime Award") containing a subrecipient an internal award set up is complete, they will request a PI complete a Request for Contract form to initiate the subaward process.

3. OSP, or designee will perform risk assessment for each subrecipient, as necessary and consistent with federal guidelines. The subaward will be prepared and issued by OSP. Among other things, the subaward will address audit requirements similar to those required under the Federal Demonstration Partnership (FDP) Subaward Agreement.

Subawards Under Federally Funded Agreements:

In addition to items 1 and 2 from above, during the proposal development process, OSP staff will also request a Subrecipient Commitment form designed to assist with subrecipient monitoring. When sponsor specific requirements apply, they will also request additional certifications.

Risk Assessment

For all new subawards subject to this procedure OSP, or designee will assess the risk by reviewing the Subrecipient Commitment Form prior to issuing a subaward:

- A review will be conducted of the subrecipient responses on the Subrecipient Commitment Form for compliance with federal and sponsor-specific requirements (e.g., IRB, IACUC, Conflict of Interest, Export Control). The review will also include a verification in SAM.gov that the subrecipient and PI(s) are not debarred, suspended, or otherwise restricted from receiving federal funds. A subaward may not be issued if the subrecipient cannot comply with federal and/or sponsor regulations.
- The Subrecipient Risk Assessment Questionnaire will be used to document the risk assessment and determine the risk level. Review of the documents and completion of the Subrecipient Risk Assessment Questionnaire should be done prior to issuing the subaward but may be done prior to issuing the first payment if a subrecipient is known to be medium or low risk. OSP will adhere to the following process based on the determination using the Risk Assessment Questionnaire:
 - Low Risk:
 - a) OSP or designee: Review most recent subrecipient Single Audit Report to determine there are no relevant audit findings and if there are relevant findings, review the Risk Assessment form to ensure that the risk level has not changed. No additional monitoring steps necessary.
 - Medium Risk:
 - a) OSP or designee: Review subrecipient financial statements and/or annual audit reports, accounting policies and procedures, Subrecipient Commitment Form and determine if additional language is needed in the subaward template to facilitate any necessary post-award monitoring. This may include additional backup documentation to support charges to be included with the invoices for reimbursement. If additional language is necessary, it will be incorporated on Attachment 4 of the Subaward. The subaward will be identified for post-award

monitoring. Random audits of certain expenditures from the subrecipient invoice may be necessary and OSP may request additional documentation.

- High Risk:
 - a) OSP or designees: Review subrecipient financial statements and/or annual audit reports, accounting policies and procedures, Subrecipient Commitment Form, and working with the PI, determine what additional language is needed in the subaward template to facilitate any necessary post-award monitoring. This will include requesting specific detailed backup documentation for all budgeted categories with invoices for reimbursement. Additional language will be incorporated on Attachment 4 of the Subaward and will be identified for post-award monitoring.

FFATA Compliance

OSP or designee will report subrecipient information in compliance with Federal Financial Accountability and Transparency Act (FFATA). FFATA requires prime recipients of federal grants or contracts to report specific information about their 1st tier sub-grants. OSP or designee will enter the required information on the FFATA Subaward Reporting System (FSRS.gov) – within the month following the execution of a 1st tier subaward. Refer to Guidelines section for links to regulations and web pages.

Annual Review

- OSP or designee will review audit documentation (from the Federal Audit Clearinghouse (FAC or the subrecipient) for all federally funded subrecipients. If no relevant findings, the review completion date will be noted on the Annual Subrecipient Review Log.
- If relevant findings are confirmed, OSP or designee will contact the subrecipient to review the corrective action plan (CAP). The agreed upon plan will be documented and subrecipient will be required to provide a copy for OSP records. Additionally, the finding will be indicated on the Subrecipient Review Log that findings exist and date of implementation of the CAP or the date for follow-up to determine if the CAP has not been implemented. Use of best judgement will be used when determining if a finding is relevant to the specific project.
 - If follow-up is necessary, the resolution will be noted on the Subrecipient Review Log and any additional paperwork that has resulted from the CAP will be Included in the appropriate Subaward file.
- If findings are not resolved or corrective actions have not taken place – OSP or designees will notify the PI to determine next steps, which may include withholding invoice payments and/or subaward termination.
- Once final review is complete OSP will note completion date on the Subrecipient Review Log.

Subrecipient Invoice Review

Summary

At the time the subaward is negotiated, it will be agreed that the subrecipient will be paid in accordance with a payment schedule incorporated into the subaward or will send invoices according to the invoicing terms in the subaward. For a cost-reimbursement subaward, invoicing typically can be monthly or quarterly (as specified), with the final invoice due within 30 to 60 days after the subaward end date depending on the sponsor's due date for submission of the final financial report.

Post Award Review

Invoices and supporting documentation will be reviewed by OSP to ensure that:

- Costs are allowable per preapproved budget as direct costs.
- Appropriate account codes are provided
- Any cost sharing or other requirements are met.

OSP will forward invoice to PI for review and signature approval. The approved invoice will be returned to OSP so that the invoice will be:

- Logged into the payment tracking log.
- Sent to /Accounts Payables for payment processing.

Principal Investigator (PI) review

The PI is responsible for reviewing the costs reported and/or deliverables received as well as all supporting documentation to verify that they are reasonable and appropriate for the progress completed on the subaward-

- If approved, the PI will sign and date the subrecipient invoice – and forward to OSP for approval.
- If not approved, the PI will contact OSP to discuss how to proceed.

Roles & Responsibilities

PI: Overall responsibility of management of subaward and ensuring completion of work. Responsibilities include:

- A. Provide OSP with scope of work, deliverables, timeline, and budget for incorporation into the proposal.
- B. Complete a Request for Contract form for each subrecipient at the time of acceptance of award.
- C. Work with OSP on issues regarding high risk subrecipients and annual subrecipient monitoring, as necessary.
- D. Review/approve subrecipient invoices timely to ensure work and effort committed is appropriate and align with the approved budget and scope of work.
- E. Review technical or performance reports submitted by the subrecipient.
- F. Notify OSP on if work not being completed on schedule or if there are any other concerns about performance.

OSP:

- A. Make determination on whether an entity is a subrecipient or contractor (vendor).
- B. Collaborate with PI to define and collect subrecipient scope of work, performance dates and budget at proposal stage.

- C. Request a Subrecipient Commitment form from each subrecipient at proposal stage.
- D. When sponsor specific requirements apply, request additional documentation and/or certifications from each subrecipient.
- E. Overall responsibility for subaward negotiation and risk management resolution, if applicable.
- F. Prepare initial risk assessment and/or ensure appropriate measures are put into place in the subaward to manage risk, when necessary.
- G. Incorporate additional terms and conditions into the subaward to manage risk, if necessary.

The following applies to federally funded subawards:

- A. In the rare instance of a subrecipient being designated “High Risk” – OSP and PI will determine next steps, which may include selection of a new subrecipient if risk cannot be minimized.
- B. Enter the required information on the FFATA Subaward Reporting System (FSRS.gov).
- C. Perform annual review of subrecipients in accordance with this procedure, working with the PI, as necessary.
- D. Update subrecipient review log to document compliance with federal subrecipient monitoring requirements.

Guidelines

Uniform Guidance ([2 CFR 200](#)) - Subrecipient Monitoring & Management

[§200.331 Subrecipient and contractor determinations.](#)

[§200.332 Requirements for pass-through entities.](#)

[§200.333 Fixed amount subawards](#)

[Public Law 109-282 – FFATA Federal Financial Accountability and Transparency Act](#)

[FSRS.gov](#)

[Subaward forms, templates and tools available on the Federal Demonstration Partnership \(FDP\)](#)

[Subaward page:](#)

<https://thefdp.org/default/subaward-forms/>

Other Notes: In some cases, a subaward may also be referred to as a subcontract; and subrecipient, as subcontractor.

Appendix 7: Data Policies



Policies for Data Collection, Storage, and Sharing

Evaluation Purpose: There are four reasons the GEAR UP SWV Partnership is collecting and evaluating information on the student level.

1. It is a required component of the Department of Education Annual Performance Report and is a condition for continued funding
2. To inform and influence GEAR UP programming decisions at the school and student level
3. To meet the requirements set forth in the grant application and corresponding performance indicators of the proposal
4. To contribute to the collective research on how to improve college enrollment, persistence, and completion rates of students

Consent and Confidentiality: All grant evaluative data are stored on a secure and protected server at Concord University. Files are transmitted through the secure and encrypted “FileLocker” program that allows files to be securely transmitted without using email. All GEAR UP SWV Partnership grant staff that have access to student data are required to sign the “Confidentiality Agreement.” Identifiable student information is never released or reported outside of the grant. Any reports, papers, or presentations cannot release identifiable student information. Evaluation results will be reported in aggregate for any sample less than five individuals.

Applicable policies and regulations: Additional guidance and support of collected data is referenced from:

- Human Subjects Review Board – The Human Subject Review Board (HSRB) serves as the federally recognized Institutional Review Board (IRB) for Concord University. The HSRB helps faculty, staff, and students comply with federal and institutional requirements and policies regarding the ethical treatment of human participants in research. HSRB strives to protect the rights, dignity, welfare, and privacy of human subjects in research conducted by any person affiliated with the university.
- 9(b)(2)(C)(iii) National School Lunch Act (42 USC 1758(b)(C)(iii))- authorizes the limited disclosure of children’s free and reduced-price meal or free milk eligibility information to specific programs or individuals, without prior parent/guardian consent which includes: Federal Education programs-authorized to receive eligibility status only; consent non required
- Family Educational Rights and Privacy Act (FERPA)- Under FERPA, a school may not generally disclose personally identifiable information from an eligible student’s education records to a third party unless the eligible student has provided written consent. One exception to the prior written consent requirement in FERPA allows “school officials,” including teachers, within a school to obtain access to personally identifiable information


contained in education records provided they have “legitimate educational interest” in the information. Additionally, a school may non-consensually disclose personally identifiable information from education records to authorized representatives of... State and local educational authorities for audit or evaluation of Federal or State supported education programs, or for the enforcement of or compliance with Federal legal requirements that relate to those programs. Specifically, GEAR UP is authorized to collect student information as outlined by FERPA and IDEA under 20 U.S.C. § 1232g(b) and (h) – (j) and CFR § 99.31.

Types of collected information:

- Demographic and Academic records for each student including, grades, absences, WVGSA test scores, address, birth dates and student state issued IDs
- Service Data- includes required and allowable services established by the US Department of Education, entered monthly based on student participation in GEAR UP activities.
- Student, Teacher, and Parent Surveys- collected responses to further investigate factors that influence academic success. Surveys are distributed electronically, and as local counties feel appropriate. Both the parent and student surveys are a required component of the US Department of Education. However, both include an option where individuals who do not feel comfortable can decide not to continue along with discontinuing the survey at any time.

Appendix 8: Matching Document

Matching Claim Form Template

 2022-2023 MATCH Claim Form GEAR UP SWV		LEA Name:	
		Subcontract No.:	
		MONTH:	
PERSONNEL & BENEFITS	BUDGET AMOUNTS	EXPENDITURE AMOUNTS FOR MATCH	NARRATIVE *A detailed narrative is required for all proposed expenses/match claims.
Personnel	\$ -	\$ -	
Coordinator			
Tutors			
School District Staff			
Other staff (bus driver, subs, volunteer)			
Employee benefits	\$ -	\$ -	
Coordinator Benefits			
Tutors Benefits			
School District Staff Benefits			
Other staff (bus driver, subs)			
Subtotal Personnel	\$ -	\$ -	
PROGRAMMING			
Travel	\$ -	\$ -	
Travel -- Student			
Educational Materials & Supplies	\$ -	\$ -	
Educational Materials/ Supplies			
Other Current Services	\$ -	\$ -	
Meetings/Forums/ Student & Parent Food			
Consultants/Speakers			
Staff Development - teachers, administrators, other school personnel for conferences, workshops, etc.			
Other			
Subtotal Programming	\$ -	\$ -	
Total Direct Program Cost	\$ -	\$ -	
GRANT ACCOUNTANT CERTIFICATION			
Match Total		\$0.00	The undersigned certifies that costs reimbursed are not more than the costs incurred and/or paid as claimed (including the payment claimed herewith) and the terms and conditions of the contract have been complied with to the best of the Certifying Official's knowledge.
Type Name of School Certifying Official		Signature of School Certifying Official	Telephone Number



GEAR UP SOUTHERN
WEST VIRGINIA
CONCORD • NEW RIVER CTC

GEAR UP SWV Partnership 2022-2023
Matching Documentation/Reimbursement Request

To document a matching activity or to request reimbursement, complete and print the following and submit *with appropriate documentation* in your monthly submission.

I. Name of Event/Activity/Material:

II. Choose type of documentation.

____ **Matching**

1. What is the matching value that will be contributed as a result of this activity?
2. How will the matching value be calculated and documented?

____ **Reimbursement: Date entered in database: _____ Amount requested _____**

III. Date(s) of Event/Purchase:

IV. School served:

Grades served: ____ 6th ____ 7th

V. Relation to the GEAR UP goals. Check all that apply:

- ____ 1. Increase the academic performance and preparation for postsecondary education of GEAR UP students.
____ 2. Increase the rate of high school graduation and enrollment in postsecondary education of GEAR UP students.
____ 3. Increase GEAR UP students' and their families' knowledge of postsecondary education options, preparation, and financing.

VI. If this is a Match submission, how does this event/activity/material

- Relate to GEAR UP objectives?
- Expand current efforts and provide services and activities that would not have otherwise been provided without the new federal GEAR UP funding?

VII. Indicate and attach necessary documents to validate this event/activity/material:

	Attached	Not required
Agenda/Schedule		
Rosters/Sign-In Sheets		
Names of staff participating		
List of materials with costs		
Registration materials/cost		
Purchase Order		
Invoice*		
Copy of check/payment voucher*		

***Invoice and copy of check or payment voucher/receipt must accompany matching documentation and reimbursement requests. Please scan necessary documentation and email to gearup@concord.edu. Electronic signatures are acceptable.**

Line items reimbursed through other federal funds or through GEAR UP federal funds cannot be counted as Match.

Signature of GEAR UP Coordinator

OR

Signature of Chief Financial Officer

Date

Date

GEAR UP SWV Partnership

Policies and Procedures

Title: **Submission of Matching Funds**

Page: 1 of 2

Date: October 2022



A. PURPOSE

To establish consistent, effective procedures for the submission of matching documentation.

B. POLICY

All funds and in-kind services used as Match must be accurately documented. Only funds or services directly benefiting GEAR UP cohort students will be counted as Match. All Matching contributions must be documented and verified.

C. PROCEDURE

1. Matching documentation will be submitted monthly along with the Claim Reimbursement. Email to gearup@concord.edu
2. Complete the *Matching Claim Form* and attach ALL required back up documentation to support the salary, Time and Effort or monetary value of materials. This form is designed to be completed electronically, printed, and signed. A brief narrative is required to detail all Match.
3. Match contribution report must include the *Matching Documentation/Reimbursement Request Form* per activity.
4. Match contribution report should consist of expenses encumbered within the period of performance for the federal, fiscal grant year.
5. Submit the signed originals email to gearup@concord.edu by the 15th of each month for the previous month.
6. Monthly match documentation that is incomplete, incorrect or late will delay payment and the processing of future claims submitted.
 - **Incomplete** is defined as: narrative data is missing, Student Services database not complete and updated, amounts not matching the narrative or other concerns as identified by the Director.
 - **Incorrect** is defined as: charges not being accurate, allowable, allocable, or reasonable.

D. ATTACHMENTS/FORMS: See Appendix and GEAR UP SWV USB Drive

Summary Forms: Matching Claim Form

Matching Documentation/Reimbursement Request Form.