USU STARS! GEAR UP
Utah State University

Site Coordinator Manual
2018 – 2019
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SECTION 1:

PROGRAM INFORMATION

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★ Community Partners Contact Information
★ National GEAR UP Overview
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  ★ Cohort 2
  ★ Cohort 3
## USU Administrative Team
### Cohort 1 Contact Information

<table>
<thead>
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<th>NAME</th>
<th>FOR</th>
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</table>
| Nicole Pyle             | ★ Project Research  
                          | ★ Contractual Issues                                               |
| Principal Investigator  |                                                                      |
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| Email: nicole.pyle@usu.edu |                                                            |
| Mary Ann Parlin         | ★ Legislative Issues  
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|                        | ★ Expenditure Allowability &amp; Documentation                           |</p>
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<thead>
<tr>
<th>NAME</th>
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</table>
| Jocelyn De La Rosa (WV2)  
American Preparatory Academy  
Phone: 801-839-3613  
Email: jdelarosa@apamail.org | ★ Site Coordinator |
| Lisa Burell  
Gunnison Valley High School  
Phone: 435-813-2853  
Email: lisa.burrell@ssanpete.org | ★ Site Coordinator |
| Amanda Johnson  
Innovations High School  
Phone: 801-481-4947  
Email: amanda.johnson@slcschools.org | ★ Site Coordinator |
| Jessica Henderson  
Logan High School  
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| Chris Jensen  
Manti High School  
Phone: 435-851-0133  
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## USU Administrative Team

### Cohort 2 Contact Information

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<thead>
<tr>
<th>NAME</th>
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</thead>
</table>
| Jim Dorward                 | ★ Legislative Issues  
<pre><code>                        | ★ Program Oversight and Evaluation                                    |
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| Phone: 435-797-1471         | ★ Professional Development                                         |
| Email: <a href="mailto:jim.dorward@usu.edu">jim.dorward@usu.edu</a> | ★ Budget &amp; Finance Oversight                                        |
| Heather Ericson             | ★ Workplan Review                                                  |
| Program Coordinator         | ★ Student &amp; Family Services                                         |
| Phone: 435-797-1464         | ★ Community Engagement                                             |
| Email: <a href="mailto:heather.ericson@usu.edu">heather.ericson@usu.edu</a>| ★ Quarterly GEAR UP Staff Follow-Up Meetings                       |
| James Vaterlaus             | ★ Quarterly GEAR UP Staff Follow-Up Meetings                       |
| Business Officer            | ★ Monthly Activity Reports Follow-Up                               |
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| Email: <a href="mailto:james.vaterlaus@usu.edu">james.vaterlaus@usu.edu</a>| ★ Match Guidelines &amp; Documentation for School Partners             |
| Lauren Resendes             | ★ Expenditure &amp; Match Training for School Partners                  |
| Program Assistant           | ★ Reimbursement Process for School Partners                         |
| Phone: 435-797-9840         | ★ Expenditure Allowability &amp; Documentation                         |
| Email: <a href="mailto:lauren.resendes@usu.edu">lauren.resendes@usu.edu</a>| ★ Workplan Review                                                  |
|                             | ★ USU Campus Visits                                                |
|                             | ★ Specialized School Visits                                         |
|                             | ★ Student and Family Services                                       |</p>
<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
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</table>
| Jennifer Collier (WV1)  
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Phone: 801-839-613 x0205  
Email: jcollier@apamail.org | Site Coordinator |
| Jocelyn De La Rosa (WV2)  
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Email: jdelarosa@apamail.org | Site Coordinator |
| Jenne Talbot  
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Phone: 801-481-4947  
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| Jessica Henderson  
Logan High School  
Phone: 435-886-2399 x6408  
Jessica.henderson@loganschools.org | Site Coordinator |
| Chris Jensen  
Manti High School  
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Email: chris.jensen@ssanpete.org | Site Coordinator |
| Heather Hafen  
North Sanpete High School  
Phone: 435-462-2485  
Email: heather.hafen@nsanpete.org | Site Coordinator |
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<tr>
<th>NAME</th>
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<tbody>
<tr>
<td>Kameron Murray</td>
<td>✪ Site Coordinator</td>
</tr>
<tr>
<td>Uintah River High School</td>
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<td>Alan Rowley</td>
<td>✪ Site Coordinator</td>
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<td>Wendover High School</td>
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<td>Email: <a href="mailto:arowley@tooeleschools.org">arowley@tooeleschools.org</a></td>
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<td>Lysette Perez</td>
<td>✪ Site Coordinator</td>
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<td>West Wendover High School</td>
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<td>Email: <a href="mailto:lperez2@ecsdnv.net">lperez2@ecsdnv.net</a></td>
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</table>
## USU Administrative Team
### Cohort 3 Contact Information

<table>
<thead>
<tr>
<th>NAME</th>
<th>FOR</th>
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</thead>
</table>
| Kristin Brubaker Program Director  
Phone: 435-797-0132  
Email: kristin.brubaker@usu.edu | ★ Legislative Issues  
★ Program Oversight and Evaluation  
★ Workplan & Budget Planning & Implementation  
★ Professional Development  
★ Budget & Finance Oversight |
| Heather Ericson Program Coordinator  
Phone: 435-797-1469  
Email: heather.ericson@usu.edu | ★ Workplan Review  
★ Student & Family Services  
★ Community Engagement  
★ Quarterly GEAR UP Staff Follow-Up Meetings  
★ Monthly Activity Reports Follow-Up |
| Landon Corbridge Business Officer  
Phone: 435-797-4277  
Email: landon.corbridge@usu.edu | ★ Match Guidelines & Documentation for School Partners  
★ Expenditure & Match Training for School Partners  
★ Reimbursement Process for School Partners  
★ Expenditure Allowability & Documentation |
| Lauren Resendes Program Assistant  
Phone: 435-797-9840  
Email: lauren.resendes@usu.edu | ★ Workplan Review  
★ USU Campus Visits  
★ Specialized School Visits  
★ Student and Family Services |
## Participating Schools
### Cohort 3 Contact Information

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
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</table>
| Jennifer Collier (WV1)    | ![Site Coordinator](
| American Preparatory Academy | ![Site Coordinator](
| Phone: 801-839-613 x0205  | ![Site Coordinator](
| Email: jcollier@apamail.org | ![Site Coordinator](
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| Phone: 385-351-3090 x1221 | ![Site Coordinator](
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| Rees Davidson             | ![Site Coordinator](
| Dual Immersion Academy    | ![Site Coordinator](
| Phone: 80-272-7450        | ![Site Coordinator](
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| Michelle Dyreng           | ![Site Coordinator](
| Ephraim Middle School     | ![Site Coordinator](
| Phone: 435-851-5455       | ![Site Coordinator](
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| Mount Logan Middle School | ![Site Coordinator](
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| Heather Hafen             | ![Site Coordinator](
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| Phone: 435-462-2485       | ![Site Coordinator](
| Email: heather.hafen@nsanpete.org | ![Site Coordinator](

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## Cross-Cohort Contact Information

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<th>NAME</th>
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<tbody>
<tr>
<td>Wendy Bair</td>
<td>★ Assist and Support Gear Up A-Team</td>
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<td>★ Update Manuals and Directories</td>
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<td>★ Review of Monthly Workplans</td>
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<td>Meg Boudrero</td>
<td>★ Contracts &amp; Interagency Agreements</td>
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<td></td>
<td>★ Reimbursement Process For Community Partners</td>
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<td></td>
<td>★ Expenditure Allowability &amp; Documentation for Community Partners</td>
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<td>★ Budget &amp; Financial Oversight</td>
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<tr>
<td>Jeannine Huenemann</td>
<td>★ Media Outreach/relation</td>
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<td>★ Content Development</td>
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<td>★ Website/social Media</td>
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<tr>
<td>Douglas Reiter</td>
<td>★ Database Assistance</td>
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<td>★ Data Collection</td>
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<td>Zachary Stocks</td>
<td>★ Form Questions</td>
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<td>★ Media</td>
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<td>★ Website</td>
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<tr>
<td>Taylor White</td>
<td>★ Quarterly Newsletter</td>
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<td>★ Weekly Updates</td>
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<td></td>
<td>★ Questions</td>
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<tr>
<td>Event Coordinator</td>
<td>★ ACT/College Prep</td>
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<td>★ USU Campus Visits/College Experience</td>
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<td>★ Financial Literacy</td>
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<td>★ Parent Education</td>
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<td>★ Social Responsibility</td>
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## Utah State University Partners Contact Information

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<tbody>
<tr>
<td>Kathy Trundle</td>
<td>★ Cultural Competence</td>
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<td>USU School of Teacher Ed. &amp; Leadership</td>
<td>★ Working with Struggling Readers</td>
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<td>Department Head</td>
<td>★ Common Core Curriculum</td>
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<td>★ Mentoring</td>
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<tr>
<td>Kurt Becker</td>
<td>★ Engineering Summer Camp for Students and Teachers</td>
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<td>USU College of Engineering</td>
<td>★ Engineering Education resources</td>
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<tr>
<td>Center for Engineering Ed. Research</td>
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<td>Phone: 435-797-2076</td>
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<td>Email: <a href="mailto:kurt.becker@usu.edu">kurt.becker@usu.edu</a></td>
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<td>Camille Odell, Director, School Counseling Program</td>
<td>★ School Counseling program and advising</td>
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<td>USU Department of Psychology</td>
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<td>Email: <a href="mailto:Camille.odell@usu.edu">Camille.odell@usu.edu</a></td>
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## Community Partners Contact Information

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| Stacy VanHercke  
AVID  
Program Manager  
Phone: 303-436-2205  
Email: svanhercke@avid.org  
Website: http://www.avid.org | ★ Teaches skills and behaviors for academic success  
★ Provides intensive support with tutorials and strong student/teacher relationships  
★ Creates a positive peer group for students  
★ Develops a sense of hope for personal achievement gained through hard work and determination |
| Frances Bradshaw  
Hill Air Force Base  
STEM Outreach Coordinator  
Phone: 801-586-7491  
Email: frances.bradshaw.ctr@us.af.mil  
Website: https://afstem.afcivi.incareers.com/hill-afb-ogden-ut.html | ★ Events include: Science Fairs, Expanding Your Horizons, Fly to Learn, FIRST Lego League, FIRST Tech Challenge, FIRST Robotics Challenge, VEX IQ, VEX, SeaPerch, Utah Career Days, and STEM Night at the Base Library |
| Hillary Searle  
Northrup Grumman Information Systems  
(previously Orbital ATK)  
Sr. Communications Lead  
Office: 801-251-4606  
Email: hillary.searle@orbitalatk.com | ★ Engineering job shadowing  
★ Expanding Your Horizons program  
★ School demonstrations |
| Kelsey Olson  
Shmoop  
Phone: 908-770-9570  
Email: kelsey@shmoop.com  
Website: www.shmoop.com | ★ Free Learning Guides, Online Courses, College Readiness Prep, and Test Prep |
| Eric Batten  
Texas Instruments  
Phone: 877-469-8462  
Email: mathforward@ti.com  
Website: TIMathForward.com | ★ Pre-algebra & Algebra Readiness Program  
★ TI Technology & Professional Development |
| Duane Merrell  
Utah Science Teachers Association  
Phone: 801-422-2255  
Cell: 801-717-6038  
Email: duane_merrill@byu.edu  
Website: http://www.utsta.org/ | ★ Provide information, support, hands-on events, and professional development to Utah science teachers and their students |
## Community Partners

Contact Information (con’t.)

<table>
<thead>
<tr>
<th>NAME</th>
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</table>
| John Vanderford  
Utah Space Grant Consortium  
Phone: 435-797-3666  
Email: j.v@usu.edu  
Website: www.utahspacegrant.com | ★ Activities related to Utah State Core Curriculum and STEM fields |
| Julie Hartley-Moore  
Utah System of Higher Education (USHE)  
Phone: 801-321-7101  
Email: jhartley@ushe.edu  
Website: http://higheredutah.org/ | ★ Liaison with College Access Network, Step-Up, and other statewide college access and career readiness programs |
| Ronee K Wopsock-Pawwinnee  
Ute Indian Tribe Education Department  
Phone: 435-722-2331  
Email: roneew@utetribe.com  
Website: https://www.uen.org/indianed/contacts/educationdirectors.shtml | ★ Liaison to Ute Tribe education and career readiness programs |
| Amanda McCann  
Matthew Casteel  
Virtual Job Shadow  
Phone: 888-908-4927, ext 7  
Website: https://www.virtualjobshadow.com | ★ Virtual Job Shadow Implementation |
| Jim Brown  
Xcaliber Inc.  
Phone: 703-896-5700  
Email: jbrown@xcaliber.com  
Website: xcaliber-solutions.com | ★ SCRIBE database system |
National GEAR UP Overview

Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) is a federally funded college access grant program, and was authorized by Title IV of the 1998 Amendments to the Higher Education Act of 1965. The purpose of GEAR UP is to increase the number of low-income and first generation students who are prepared to enroll in and succeed in college.

To meet this goal, the legislation enables GEAR UP to provide:

- Financial assistance, academic support, additional counseling, mentoring, outreach, and supportive services to secondary school students to reduce the risk of students dropping out of school or the need for remedial education at the postsecondary level.
- Information to students and their families about the advantages of postsecondary education and information about college financing options.

The U.S. Department of Education provides six or seven year GEAR UP grants to states and partnerships to provide college access services at high-poverty middle and high schools. Partnerships consisting of one or more local education agencies and one or more higher education institutions and community organizations may apply for GEAR UP partnership grants. The governor of each state may designate only one agency to apply for and administer a GEAR UP state grant.

USU STARS! GEAR UP is a grant administered by Utah State University and utilizes a cohort or whole-grade model, meaning that services are provided to all students in the participating grade level, rather than a selected group of students. This grant will provide college access and success services to all cohort students starting in the 7th grade and will continue to provide services through their first year of post-secondary education.
USU STARS!
GEAR UP Overview

Utah State University was awarded funding from the U.S. Department of Education in 2015 to implement USU STARS! GEAR UP over the next seven years. The grant will provide Utah State University with annual resources to devote to college access and success services.

USU STARS! GEAR UP works with Local Education Agencies (LEA) across the state in order to accomplish these goals. Through the LEAs, USU STARS! GEAR UP provides students with direct services, including mentoring, tutoring, college visits, and financial aid counseling. The program will serve over 3,000 students in the years 2015 through 2024.

Mission

1. USU STARS! GEAR UP aspires to expand the college bound culture in Utah. It is our mission to leverage local communities’ assets to enhance students’ academic achievement and college readiness in preparation for realizing their education and career goals.

National GEAR UP Goals

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

USU STARS! GEAR UP Objectives

1. Provide Financial Aid information for postsecondary education to students and parents.
2. Encourage student enrollment in rigorous and challenging curricula to reduce remedial coursework at the postsecondary level.
3. Improve the number of students who obtain a high school diploma and enroll in postsecondary education.
COHORT 1 Participating Schools

★ American Preparatory Academy
★ West Valley 2 Campus
★ Innovations High School
★ Gunnison Valley High School
★ Logan High School
★ Manti High School

COHORT 1 Partners

★ USU Division of Student Services
★ USU School of Teacher Education and Leadership
★ USU Space Dynamics Laboratory
★ Texas Instruments
★ Utah Space Grant Consortium
★ Utah Space Grant Consortium (also known as Rocky Mountain Space Grant Consortium)
★ Ute Tribe Education Department
★ Sure Score
★ Youth Discovery Inc.
USU STARS! GEAR UP Contacts
Cohort 1

1. American Preparatory Academy, West Valley City, UT
2. Gunnison Valley High School, Gunnison, UT
3. Innovations Early High School, Salt Lake City, UT
4. Logan High School, Logan, UT
5. Manti HS, Manti, UT
COHORT 2 Participating Schools

★ American Preparatory Academy
★ West Valley 1 Campus
★ West Valley 2 Campus
★ Clearfield High School
★ Cottonwood High School
★ Gunnison Valley High School
★ Innovations High School
★ Logan High School
★ Manti High School
★ North Sanpete High School
★ Uintah River High School
★ Wendover High School
★ West Wendover High School

COHORT 2 Partners

★ AVID
★ Hill Air Force Base
★ Orbital ATK Aerospace
★ Shmoop
★ Texas Instruments
★ USU College of Engineering
★ USU Division of Student Services
★ USU School of Teacher Education and Leadership
★ USU Space Dynamics Laboratory
★ Utah Science Teachers Association (USTA)
★ Utah Space Grant Consortium (also known as Rocky Mountain Space Grant Consortium)
★ Utah System of Higher Education (USHE)
★ Ute Tribe Education Department
★ Xcaliber Inc.
USU STARS! GEAR UP Contacts

Cohort 1

1 American Preparatory Academy (WV1 & WV2), West Valley City, UT
2 Clearfield HS, Clearfield, UT
3 Gunnison Valley High School, Gunnison, UT
4 Innovations Early High School, Salt Lake City, UT
5 Logan High School, Logan, UT
6 Manti HS, Manti, UT
7 North Sanpete High School, Moroni, UT
8 Uintah River High School, Ft. Duchesne, UT
9 Wendover High School, Wendover, UT
10 West Wendover High School, West Wendover, NV
COHORT 3 Participating Schools

★ American Preparatory Academy
★ West Valley 1 Campus
★ West Valley 2 Campus
★ Dual Immersion Academy
★ Ephraim Middle School
★ Granite Park Junior High
★ Gunnison Valley Middle School
★ Mount Logan Middle School
★ North Davis Junior High
★ North Sanpete Middle School

COHORT 3 Partners

★ AVID
★ Orbital ATK Aerospace
★ Shmoop
★ Siemens USA
★ Texas Instruments
★ USU Center for Women and Gender
★ USU College of Education
★ USU College of Engineering
★ USU College of Science
★ USU Extensions
★ USU Space Dynamics Laboratory
★ USU Student Service Division
★ Utah NASA Grant Consortium
★ Utah Science Teachers Association (USTA)
★ Utah System of Higher Education (USHE)
★ Xcaliber, Inc.
USU STARS!
GEAR UP OVERVIEW (Cont.)

USU Regional Campuses/ Campus Partnerships

Cohort 3 School

1 American Preparatory Academy (WV1), West Valley City, UT
2 American Preparatory Academy (WV2), West Valley City, UT
3 Dual Immersion Academy, Salt Lake City, UT
4 Ephraim Middle School, Ephraim, UT
5 Gunnison Valley Middle School, Gunnison, UT
6 Granite Park Jr. HS, South Salt Lake, UT
7 Mount Logan Middle School, Logan, UT
8 North Davis Jr. HS, Clearfield, UT
9 North Sanpete Middle School,Moroni, UT
SECTION 2:

ANNUAL WORKPLAN

In This Section

★ Annual Workplan Process
★ Annual Workplan Form
★ Scribe Service Naming Conventions
★ GEAR UP Annual Workplan
Annual Workplan Process

All USU STARS! GEAR UP activities implemented by a school district must follow an approved annual USU STARS! GEAR UP workplan and budget. A workplan for each school is due to the USU STARS! GEAR UP Administrative Team by May 5th each year. A single budget may be created for the entire LEA.

Schools that are able to plan effectively tend to have the best outcomes. The workplan is designed to assist school districts in clearly articulating their plans to serve USU STARS! GEAR UP students and meet USU STARS! GEAR UP goals and objectives. During implementation, the USU STARS! GEAR UP Administrative Team will provide procedures to amend the workplan.

Students Served

The grades of USU STARS! GEAR UP students that will be served, by academic year, are:

<table>
<thead>
<tr>
<th>Grant Year</th>
<th>Lead Cohort</th>
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<tbody>
<tr>
<td>1</td>
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<tr>
<td>2</td>
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<tr>
<td>7</td>
<td>College Freshman</td>
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Workplan Activities

A workplan template will be provided by the Administrative Team to assist site coordinators and key personnel in developing the annual workplan. The site coordinator and school principal are required to sign-off on workplans prior to submission for approval.

When developing school workplans, include activities that:

1. Are required in the Student/Family Activities listed below.
2. Will be sponsored by USU STARS! GEAR UP.
3. Will not be sponsored by USU STARS! GEAR UP but address the USU STARS! GEAR UP objectives.

Student/Family activities must include at least one service in the following areas:

1. Tutoring/homework assistance
2. Rigorous academic curricula
3. Comprehensive mentoring
4. Financial aid counseling/advising
5. Counseling/advising/academic planning/career counseling
6. College campus visits/college student shadowing
7. Job site visit/job shadowing
8. Summer programs
9. Educational field trips
10. Workshops supporting any of the USU STARS! GEAR UP objectives
11. Workshops on college preparation/financial aid  
12. Counseling/advising  
13. College visits  
14. Family events

Additional services may include Professional Developments for Educators

1. Conferences – Must be GEAR UP sponsored or have prior approval  
2. Trainings

Additional activities may include participating in events put on by USU STARS! GEAR UP partners, including:

1. GEAR UP Week  
2. Science/Math/English Teacher’s conference sessions  
3. Common Core Standards trainings

Collaboration

USU STARS! GEAR UP site coordinators are expected to collaborate with school counselors, teachers, the local community, collaboration partners, and the USU STARS! GEAR UP Administrative Team. USU STARS! GEAR UP site coordinators should leverage the expertise of others to ensure the most effective services are being provided to all students in eligible grades at USU STARS! GEAR UP schools.

“Once a concise plan of activities is developed, budget funds for each activity. With the work plan in place, determination can be made regarding which activities require funding, which activities are already covered by existing funds, and which activities can be funded by pooling resources”.
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<th>Activity Description</th>
<th>Req</th>
<th>Activity Details</th>
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<th>Parties Served</th>
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<th>SEPT</th>
<th>OCT</th>
<th>NOV</th>
<th>DEC</th>
<th>JAN</th>
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<td>Professional development for educators: USTA, UCTM, UCTE (GPD)</td>
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<td>NCCEP Capacity Building or GEAR UP West (GPD)</td>
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<tr>
<td>LEA implementation progress meeting (GPD)</td>
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<td>Site Coordinator to meet with Superintendent, Principals and School Counselors to discuss GEAR UP Plans and Initiatives</td>
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<tr>
<td>GEAR UP faculty orientation meeting (GPD)</td>
<td>x</td>
<td>Introduce GEAR UP to faculty. Explain opportunities, Sign in Sheets, Time and Effort, etc.</td>
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<td>Site Coordinator Face to Face meetings and weekly calls (GPD)</td>
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**Total**  
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SCRIBE Service Naming Conventions

Duration.servicetype.description.mmm yyyy.school

- Duration: OneT (once per month) or Rec (reoccurring ie: monthly)
- Service Type: TLA, TMT, MEN, etc. from the Service Taxonomy listed below
- Description: Additional information regarding the service. For example, the name of the campus, name of the tutoring program, time of day of the tutoring
- mmm: First 3 letters of the month
- yyyy: year
- School: School abbreviation

Examples:
OneT.CVS.USU.Sep2017.CHS
Rec.TMT.PeerLunchTutoring.Sep2017.MLMS

SERVICE TAXONOMY

Service Types

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<tr>
<th>Tutoring/homework assistance</th>
<th>Service Type</th>
<th>Person Types</th>
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<tr>
<td>TMT - Math Tutoring</td>
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</tr>
<tr>
<td>TSC - Science Tutoring</td>
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<td></td>
</tr>
<tr>
<td>TLA - English/Language Arts Tutoring</td>
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<td></td>
</tr>
<tr>
<td>TSS - Social Studies Tutoring</td>
<td>Student</td>
<td></td>
</tr>
<tr>
<td>TOT - Other Tutoring</td>
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<th>Support Services</th>
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<td>SUP - Support Services</td>
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<thead>
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<th>Rigorous academic curricula</th>
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<tbody>
<tr>
<td>MEN - Mentoring</td>
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</tr>
<tr>
<td>LDR - Leadership</td>
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<td>VCL - Volunteering</td>
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<th>Financial aid counseling/advising</th>
<th>Service Type</th>
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<tr>
<td>FAC - Financial Aid Counseling/Advising</td>
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<table>
<thead>
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<th>Counseling/advising/academic planning/career counseling</th>
<th>Service Type</th>
<th>Person Types</th>
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<td>CAP - Counseling/Advising/Academic Planning</td>
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<tr>
<td>FCA - Family Counseling/Advising</td>
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<th>College Exposure - College visit/college student shadowing</th>
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<th>Person Types</th>
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<tr>
<td>CVS - College Student Shadowing</td>
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<td>PCV - Parent/Family College Visit</td>
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<td>JOB - Job Site Visit</td>
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<td>SPR - Summer Program - Remedial</td>
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<td>ESC - Science</td>
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<td>ELA - English/Language Arts</td>
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<tr>
<td>ESS - Social Studies</td>
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<td>EOT - Other</td>
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<tr>
<td>PCE - Family Cultural Event</td>
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<td>PFE - Parent Family Events</td>
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SECTION 3:

MONTHLY DATA ENTRY

In This Section

★ Creating Service Activities
Creating Service Activities

The following subsections outline the monthly processes for pre-approval and documentation of services, as well as annual expectations and implementation policies.

Service Activities

As outlined in Section 2, each LEA will prepare an annual workplan designed to assist in clearly articulating your plans to serve USU STARS! GEAR UP students and meet USU STARS! GEAR UP goals and objectives.

Services are submitted every month into the USU STARS! GEAR UP SCRIBE database. The services should align with the approved workplan and budget for the school year. It should include all college and career readiness activities that you are doing, including daily activities.

USU STARS! GEAR UP Documentation File

Each site coordinator is asked to store documentation of services provided to students and their families each month. Documentation includes, but is not limited to, original sign-in sheets and copies of agendas. Additional documentation may be requested at any time. The file should be emptied at the end of the month as information is entered into SCRIBE. The documentation will be stored at the site and should be accessible in the event of an audit.

USU STARS! GEAR UP Administrative Team (A-Team) conducts regular site visits and will review the documentation process during those meetings. Each USU STARS! GEAR UP sponsored service requires a sign-in sheet. USU STARS! GEAR UP sign-in sheets are available in Section 8 and will be made available online. Completed sign-in sheets should be filed in the USU STARS! GEAR UP Documentation File and should also be used as the source for entering data into the USU STARS! GEAR UP SCRIBE data system. Documentation should be archived at the end of each program year and should be stored for seven years after the GEAR UP grant ends.

Steps to Enter Services

1. From SCRIBE log-in page, enter Username and Password then Log In

![Image of SCRIBE login page](https://mhs.xcaliburscribe.com/SCRIBE/SCRIBEInfo.aspx)

   mhs.xcaliburscribe.com

2. Choose the correct instance.
   - SCRIBE Home>Change Instance>From the drop down select (USU, USU 2, USU 3, etc.)
   - Schools> View all schools> Choose your school
3. On the tabs at the top of the page, hover mouse arrow over Services and select Add Service.

![Add Service](image)

4. Select school and click on Next

![Select School](image)

5. Select person type(s) the activity will serve and click on Next

![Select Person Type](image)
Creating Service Activities (con’t.)

6. The next page has a list of service templates that have been created that could be selected or a box to not use a template (usually, select the latter but also consider creating a service template particularly if a recurring event) then click on Next.

7. Enter Service Category and Delivery Method and click on Next
8. Select Service Type

![Image of Service Type selection]

9. Enter Service Details including Start and End dates.

![Image of Service Details form]

10. At the bottom of the Service Details form to the right of Service Summary, select Default Activity Summary and click on Save.

![Image of Service Summary selection]
Creating Service Activities (con’t.)

11. A new set of tabs will appear (Service Details (which was just filled out), Funding, Participation, Service Summary, Attachments).
12. From those tabs, click on Service Summary

![Service Summary Tab](image)

13. A form with text boxes will appear (the form came from choosing Default Activity Summary in step 9) and click Edit at either the top right or bottom right of the form

![Default Activity Summary Form](image)

14. In the top box (name), give the service a title that matches the item on your workplan, then the name of the person filling out the form on the next line.
15. Put relevant information in the other text boxes
16. In box #2 (strengths and weaknesses) when no billable expenses are expected, type in “No expected expenses” on the first line.
17. In box #2, if there are anticipated expense type in the category (Salaries, Benefits, Travel, Supplies, and/or Other _____________) and the dollar amount.
18. In box #2 on a line underneath the expense item(s) type in the anticipated number of persons that this activity will serve and who the type of persons (Students, Parents, Teacher).
19. Complete the remaining items on the form and click on Save.

![Completed Default Activity Summary Form](image)

If the person filling out the form knows who is attending the event, they may wish to put in Participants at this point. Otherwise, the Participants can be added after the event has occurred. After the event, document any changes in the Service Summary and Activity Summary form (ex., cancellation, change in number of participants, etc.). See pages 34 and 35 for more information.
Service Details Summary

Use the Service Details tab to check for completeness and correctness.

**School(s):** APA (WVC1) - School For New Americans  
**School Year:** 2018 - 2019  
**Service Name:** Rec.TMT.Peerlunchtutoring.Sept2018.APA1  
**Service Id:** 152396  
**External Id:**  
**Start Date:**  
**End Date:**  
**Service Provider(s):**  
**Service Summary:** Default Activity Summary  
**Is STEM?** No  
**Is ELL?** No  
**Person Type(s):** Student  
**Allow Not In Any Program?** Yes  
**Service Type Category:** Tutoring/homework assistance  
**Service Type:** TMT - Math Tutoring  
**Service Delivery Category:** Real (Not Virtual)  
**Service Delivery:** Real service delivery method  
**Service Timing Category:** N/A  
**Service Timing:** N/A  
**Service Notes:** Please include a brief description here to be added to our online calendar so students and their parents know what to expect. Also, include start time and finish time whenever possible for the same
Creating Service Activities (con’t.)

1. Required information such as participants, hours of participation, date of activity, etc. can be added into the database from this location (particularly if the number of participants is relatively small) or imported in a spreadsheet format (see Online Help in SCRIBE for spreadsheet requirements).

2. You may also wish to use the Attachment tab to place interesting or useful documentation (such as photos, fliers, newspaper articles, etc.) with the event.

The information in the Service Activity will be checked against information entered into SCRIBE to ensure completed activities were reported and entered into SCRIBE accurately in terms of Name, Description, Type, Students, Student Grade, # Days, Avg. Attend, Hours, and Minutes. Once the service has been verified, reimbursement requests will be processed.
Final Service Summary

Use the Service Summary page to check for completeness and correctness.

<service name=Really Creative and Interesting Title start date=11/17/2015 end date=11/18/2015>

The following is the service summary for this service.

**Default Activity Summary**

**ALL**
Name(s) of Person Completing Form
Doug Reiter

1 What is the purpose and description of the service? Be very specific and include any guest speakers.
I am relevant information

2 What are the strengths and weaknesses of the event?
No expected expenses
Anticipated number of students: 29 Parents: 5

3 Were prizes or honors given away?
Yes

4 Were program funds used?
No

5 Was transportation provided?
No

6 Were refreshments served?
Yes

Which Goals and Objectives did this service meet (select all that apply)?
- Student Services:
  Increase student school interest and involvement., Increase student academic achievement., Promote student college awareness.
- Parent Services:
  Increase parent school involvement and knowledge of college admissions and financial aid.
- Teacher Services:
  Provide on-going staff development and training.

**To be completed by Central Office staff:**
Backup Documentation:
Backup Documentation Date:
SECTION 4:

DATA COLLECTION & REPORTING PROCEDURES

In This Section

- Research and Evaluation Overview
- Data Collection Plan
- Site Coordinator Data Collection Check List
- Database Entries & Definitions
- Data Entry Time Line Checklist
- Course Data Building Guidelines
- Creating and Using Service Templates & Student Groups
Research and Evaluation Overview

The USU STARS! GEAR UP Administrative Team’s data and evaluation team provides guidance and oversight to each USU STARS! GEAR UP Local Education Agency (LEA) on data collection, analysis, and submission efforts. The Administrative Team monitors data entry to ensure data entered in the USU STARS! GEAR UP SCRIBE data system is complete, accurate, and non-duplicative. The Administrative Team reports annual progress on the project’s performance to the U.S. Department of Education in an annual performance report (APR) due April 15th each year. Diligent year-round work at the school and district level to consistently collect and submit data is vital to the USU STARS! GEAR UP Administrative Team’s ability to meet federal reporting requirements necessary for continued funding. In addition, the Administrative Team supports the implementation of data-driven decision making, ensuring that robust services and academic interventions are targeted to the individual students most in need of specific interventions. To assist schools and LEAs in the implementation of a data-driven program, the Administrative Team has staff that will assist in reviewing services and data outcomes.

The purpose of GEAR UP nationally is to support early college preparation and awareness activities for students in low-income schools. As defined by Congress in the Higher Education Act (HEA) and the reauthorized Higher Education Opportunity Act (HEOA), the overall GEAR UP goal is to significantly increase the number of students who are prepared to enter and succeed in postsecondary education.

USU STARS! GEAR UP developed project objectives and performance measures that are designed around HEA/HEOA. USU STARS! GEAR UP’s objectives drive the project at the state, LEA, and school level. The external evaluator, RGI Corporation, will provide annual formative evaluation reports to equip staff with information about project implementation and student academic outcomes. These reports allow for ongoing data-driven decisions to be made by the Administrative Team and LEAs as the cohort progresses towards high school graduation and postsecondary education.

At the end of the project, the evaluator will conduct a summative, or final, evaluation that will assess the project’s overall impact. The Administrative Team will submit the formative and summative evaluation reports to the U.S. Department of Education with the APR.

Activity Documentation

Data must be collected for all USU STARS! GEAR UP activities using activity sign-in sheets provided by the Administrative Team. Site coordinators must maintain all hard copy documentation in the USU STARS! GEAR UP Documentation File provided by the Administrative Team for seven years after the end of the grant. Regular data audits including, but not limited to:

Sign-in sheets, field trip forms, will be performed to ensure hard copy documentation matches the service participation data entered into the SCRIBE data system. Data collection and reporting procedures are further explained in this section.

The Administrative Team partners with SCRIBE (Xcalibur, Inc.) and RGI Corporation to maintain student-level demographic, service, and outcome data required for federal performance reporting and continued funding. SCRIBE is an online point-and-click and manual entry database and student tracking service where USU STARS! GEAR UP site coordinators will enter student, parent/family, and teacher/professional activity data after sign-in sheets are collected. The sign-in sheets used to enter data into SCRIBE will need to be filed by month and year. Uploading sign in sheets is also an option. Hard copies must also be kept.

Annual Performance Report (APR)

The USU STARS! GEAR UP Administrative Team is required to report annually to the U.S. Department of Education by April 15th. The APR is used to determine whether substantial progress has been made toward meeting objectives outlined by the project plan and determines continuation of funding at the state and local level. As required by the Government Performance and Results Act of 1993 (GPRA), the APR is also used to collect data on the performance of GEAR UP at the national level. Data elements may change annually.
These highlights are an opportunity for each LEA to showcase the great work they are accomplishing over the reporting period and to highlight their success through data. The information obtained through each LEA's APRs will be shared with the U.S. Department of Education in the federal APR completed by the USU STARS! GEAR UP Administrative Team. One component of the federal APR is a profile of each partner LEA that outlines the schools served and number of students served by grade. In addition, the profile will include a narrative component provided by the district-level staff in the LEA APR.
Data Collection Plan

This table is the USU STARS! GEAR UP’s data collection cycle. Data elements are critical to USU STARS! GEAR UP meeting program objectives and performance measures at the school and district levels. The table shows the data that must be collected and entered into the SCRIBE data system, and/or submitted to the Administration Team; when the data must be provided and how often; and who is responsible for ensuring data is submitted.

<table>
<thead>
<tr>
<th>Type of Data to be Collected</th>
<th>Frequency</th>
<th>Deadline</th>
<th>Data Source</th>
<th>Responsible Party (Primary)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Demographics</td>
<td>Twice per year</td>
<td>September/January</td>
<td>site coordinator entry in SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Tutoring Services</td>
<td>Weekly</td>
<td>Weekly</td>
<td>Sign in sheets &amp; Entry in SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Mentoring Services</td>
<td>Weekly</td>
<td>Weekly</td>
<td>Sign in sheets &amp; Entry in SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Student Activity Participation</td>
<td>Monthly</td>
<td>Submit services monthly by the 15th (or next business day)</td>
<td>Sign in sheets &amp; Entry in SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Family Activity Participation</td>
<td>Monthly</td>
<td>Submit services monthly by the 15th (or next business day)</td>
<td>Sign in sheets &amp; Entry in SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Teacher Professional Development Participation</td>
<td>Monthly</td>
<td>Submit services monthly by the 15th (or next business day)</td>
<td>Sign in sheets &amp; Entry in SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Student and Parent knowledge/aspirations for college</td>
<td>Yearly</td>
<td>October 15</td>
<td>SCRIBE Survey</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Course Enrollment &amp; Course Completion</td>
<td>End of Semester</td>
<td>January 15/June 1</td>
<td>School/District</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Course completion, data required for APR</td>
<td>Annual</td>
<td>July 1</td>
<td>School/District</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Student ACT Aspire (Middle school/early high school), Pre-ACT (10th graders), ACT (11th &amp; 12th graders)</td>
<td>Annual</td>
<td>School Determined</td>
<td>School/District</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>High School Graduation</td>
<td>Annual</td>
<td>June 15</td>
<td>SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>FAFSA Completion</td>
<td>Annual</td>
<td>June 15</td>
<td>SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Postsecondary Enrollment</td>
<td>Annual</td>
<td>June 15</td>
<td>SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Promotion to Next Grade Level</td>
<td>Annual</td>
<td>August 1</td>
<td>SCRIBE</td>
<td>SCRIBE</td>
</tr>
<tr>
<td>Remedial Course Enrollment</td>
<td>Year 7</td>
<td>August 31</td>
<td>SCRIBE</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>LEA-level Annual Performance Report (APR) due to Administrative Team</td>
<td>Annual</td>
<td>January 1</td>
<td>N/A</td>
<td>Site Coordinator with Program Coordinator signature</td>
</tr>
<tr>
<td>Type of Data to be Collected</td>
<td>Frequency</td>
<td>Deadline</td>
<td>Data Source</td>
<td>Responsible Party (Primary)</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
<td>-----------</td>
<td>---------------------------------</td>
<td>-------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>Program Level Annual Performance Report assistance as needed</td>
<td>Annual</td>
<td>Submission Deadline April 15</td>
<td>N/A</td>
<td>Site and Program Coordinator; LEA/District Data Manager</td>
</tr>
<tr>
<td>Scribe Database Training</td>
<td>Annual</td>
<td>September</td>
<td>N/A</td>
<td>Site Coordinator</td>
</tr>
<tr>
<td>Best practices and pictures submitted through Kissflow</td>
<td>Monthly</td>
<td>Submit monthly by the 15th (or next business day)</td>
<td>N/A</td>
<td>Site Coordinator</td>
</tr>
</tbody>
</table>
Site Coordinator
Data Collection Check List

Ongoing
1. Maintain accurate and up-to-date documentation of USU STARS! GEAR UP student, parent/family, and teacher professional development services and activities.
2. Ensure sign-in sheets are administered and collected at all USU STARS! GEAR UP student, parent, and educator professional development events, and correctly store even if you are not present.
3. Provide names and demographic information for any new USU STARS! GEAR UP students.
4. Monitor USU STARS! GEAR UP students’ withdrawals from and returns to school; update in Scribe data system.
5. Keep and file paper and/or electronic sign-in sheets.

Weekly
1. Enter all activities into the USU STARS! GEAR UP Scribe data system. Refer to the USU STARS! GEAR UP Student Service definitions when assigning activities to categories in the data system.

Monthly by the 15th of the Month
1. Review Scribe Activities data entry web page to compare with sign-in sheets before submission.
2. Submit your service activities in Scribe for approval from your program coordinator.
3. Submit your invoice for the previous month to USU STARS! GEAR UP Administrative Team.

End of School-Term
1. Submit end of school-term data including course enrollment, completion, and final grades in Scribe, at the conclusion of each school term. You may work with district/LEA data managers to gather this information.

Annual
1. Fall:
   ★ Participate in annual USU STARS! GEAR UP data system trainings.
   ★ Assist the USU STARS! GEAR UP external evaluator in distributing and collecting surveys and other data collection procedures.
2. LEA Annual Performance Report due to the USU STARS! GEAR UP Administrative Team.
3. Spring:
   ★ Assist A-Team in obtaining any additional data items needed to complete the Annual Performance Report due to the U.S. Department of Education by April 15th.
Database Entries and Definitions

The USU STARS! GEAR UP database, SCRIBE, is an online data tracking system designed to report student, parent/family, and teacher activities and services. Students are noted in SCRIBE in terms of their participation, academic, and outcomes data. You should use the following USU STARS! GEAR UP Student Service Definitions when determining the category to assign a particular student and/or parent/family activity. It is imperative that you follow these guidelines when entering data to ensure that services are correctly categorized, non-duplicated, and accurate. These guidelines are not only used to evaluate Utah’s GEAR UP program, but also that of many other states.

Activities that meet more than one category definition can be split into time blocks that are recorded as separate activities. For instance, an afterschool club with 2 hours total time with different activities (Tutoring and Chess Club, for example) can be listed in SCRIBE twice: 1) one hour Tutoring/Support Services and 2) one hour Rigorous Academic Curriculum.

GEAR UP Student Service Definitions

<table>
<thead>
<tr>
<th>Tutoring/Homework Assistance</th>
<th>Tutoring/homework assistance services provide additional academic instruction designed to increase the academic achievement of students.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>★ 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.</td>
</tr>
<tr>
<td></td>
<td>★ Tutoring should be recorded by subject area (Mathematics, English, Reading, Science, Other).</td>
</tr>
<tr>
<td></td>
<td>★ Virtual tutoring/homework assistance: Virtual tutoring services include services that are provided via remote access through the internet or other means.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Comprehensive Mentoring</th>
<th>Comprehensive mentoring services are 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.”</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>★ Per the 2008 HEOA, comprehensive mentoring must provide students with financial aid information, and encourage students to stay in school, enroll in rigorous and challenging coursework, apply for postsecondary education, and, if applicable, the GEAR UP scholarship.</td>
</tr>
<tr>
<td></td>
<td>★ Mentors meet regularly with their assigned student(s).</td>
</tr>
<tr>
<td></td>
<td>★ Meetings may be on or off campus and either during or outside of the school day.</td>
</tr>
<tr>
<td></td>
<td>★ Typical issues addressed during mentoring meetings include academic, social, organization or life skill development.</td>
</tr>
<tr>
<td></td>
<td>★ Virtual comprehensive mentoring: Virtual comprehensive mentoring includes services that are provided via remote access through the internet or other means. Mentoring programs may include:</td>
</tr>
<tr>
<td></td>
<td>★ Traditional mentoring programs that match one youth and one adult.</td>
</tr>
<tr>
<td></td>
<td>★ Group mentoring that links one adult with a small group of young people.</td>
</tr>
<tr>
<td></td>
<td>★ Team mentoring that involves several adults working with small groups of young people, ideally with a ratio of no more than four youth to one adult.</td>
</tr>
<tr>
<td></td>
<td>★ Peer mentoring that connects caring youth with other adolescents.</td>
</tr>
<tr>
<td></td>
<td>★ Typical issues addressed during mentoring meetings include academic, social, organization or life skill development.</td>
</tr>
<tr>
<td></td>
<td>★ Virtual comprehensive mentoring: includes services that are provided via remote access through the internet or other means.</td>
</tr>
</tbody>
</table>
### Comprehensive Mentoring (con’t.)

Mentoring programs may include:

- Traditional mentoring programs that match one youth and one adult.
- Group mentoring that links one adult with a small group of young people.
- Team mentoring that involves several adults working with small groups of young people, ideally with a ratio of no more than four youth to one adult.
- Peer mentoring that connects caring youth with other adolescents.

### Financial Aid Counseling/Advising

**Financial aid counseling/advising** services 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 or literacy.
- using financial aid or literacy curriculum, and
- benefits and how-tos of participation in college savings plans.

**Virtual financial aid/counseling/advising** includes services that are provided via remote access through the internet or other means.

### Counseling/Advising/Academic Planning/Career Counseling

**Counseling/advising/academic planning/career counseling** services span a spectrum of activities with individual students or small groups of students. Services are defined as follows:

- **Counseling** services discuss personal growth issues with students, such as decision making, problem solving, goal setting, attendance, behavior concerns, or family issues.
- **Advising** provides assistance on course selection (secondary or postsecondary), college and/or career choices, or college and/or career planning.
- **Academic planning** provides assistance on coursework selection, course of study choices, college major selection, assessment advising or interpretation of scores, or assistance with placement tests.
- **Career counseling** provides assistance about career choices, career planning, internships, or career interests.
- **Virtual counseling/advising/academic planning/career counseling** includes services that are provided via remote access through the internet or other means.

**NOTE:** Data entry needs to indicate whether counseling/advising/academic planning/career counseling services are “in-person” or “virtual.”
### College Visit/College Student Shadowing

College visit/college student shadowing services take place on college campuses. **College visit** is a physical visit to a college campus by a student facilitated/supervised/led by USU STARS! 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, athletics, student affairs, residence life, multicultural affairs, or other college departments.

**College student shadowing** is a one-on-one experience in which a middle or high school student spends a day on a college campus with an undergraduate student seeing typical college life.

**Virtual college visit** includes services that are provided via remote access through the internet or other means. Virtual college visits must be facilitated/supervised/led by USU STARS! GEAR UP staff, teachers, or other school staff and include the same elements as a physical college visit.

**NOTE:** Data entry needs to indicate whether college visit services are “in-person” or “virtual,” as well as the name and type of college visited, i.e., 2- or 4-year college.

**NOTE:** College fairs should be entered under the student workshop category.

### Job Site Visit/Job Shadowing

Job site visit/job shadowing services offer students exposure to the workplace in an occupational area of interest and reinforces the link between classroom learning, work requirements, and the need for postsecondary education. Students witness the work environment, employability and occupational skills in practice, the value of professional training, and potential career options.

**Job site visit** is a physical visit to a local business or work environment and facilitated/supervised/led by GEAR UP staff, teachers, or other school staff. Job site visits should include visits to local businesses, employers, and agencies to explore different professions or career selections and can be followed by job shadowing.

**Job shadowing** is one-on-one experience in which a middle or high school student spends a day at a business or work environment with an employee seeing typical job duties.

**Virtual job site visit** includes services that are provided via remote access through the internet or other means. Virtual job visits must be facilitated/supervised/led by GEAR UP staff, teachers, or other school staff and include the same elements as a physical job visit.

**NOTE:** Data entry needs to indicate whether job site visit services are “in-person” or “virtual.”
Database Entries and Definitions (con’t.)

| Summer Programs | Summer programs are services that include an experience over one or multiple days during the summer (or other non-school year time, i.e., for year round schools).

Note: Summer programs can also include non-school year services for year-round schools.

Here are some examples of summer programs:

★ A statewide USU STARS! GEAR UP summer camp.
★ A local summer camp funded by USU STARS! GEAR UP.
★ A residential USU STARS! GEAR UP program hosted by a college/university/community organization.
★ Another camp attended by a USU STARS! GEAR UP student that supports the USU STARS! GEAR UP mission.

These programs include academic enrichment, college preparatory programs/camp experience, credit recovery, and/or remediation programs.

NOTE: Data entry needs to indicate whether summer programs are providing services for “academic enrichment” or “remedial services.” In addition, summer programs may include other services that should be recorded as such, i.e., college visit.

| Educational Field Trips | Educational field trips are services during which students leave their school or travel to another location, and include an academic component that is linked to classroom activities. Here are some examples:

★ 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 activities.
★ Field trips that complement and enhance existing curriculum in key content areas.

Educational field trips should be recorded by subject area (Mathematics, English/Reading, Science, Cultural, etc.).

| Student Workshops | Student workshops are services that 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 like 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 high light careers.
★ Workshops are informational in nature and are not intended to provide direct counseling or guidance to individual or small groups of students. Workshops should be recorded by subject area.

Virtual student workshops include services that are provided via remote access through the internet or other means.

NOTE: Data entry needs to indicate whether workshops are “in-person” or “virtual.”

NOTE: Report college and career fairs in this section.
### Parent/Family Workshops Of College Prep/Financial Aid

Workshops of college prep/financial aid services 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. Virtual parent/family workshops include services that are provided via remote access through the internet or other means.

**NOTE:** Data entry needs to indicate whether workshops are “in-person” or “virtual.”

### Parent/Family Counseling/Advising

Counseling/advising services span a spectrum of activities that can include one-on-one or small group advising for parents/guardians/adult family member 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.

**Counseling** includes meeting with parents/guardians to discuss student's personal growth issues such as decision making, goal setting, behavior concerns, family issues, home visits, etc.

**Advising** provides individual assistance to parents/guardians on their student's college choices, college planning, financial aid planning, etc.

### Parent/Family College Visit

College visit services take place on college campuses. 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, or other college departments.

**Virtual college visit** services include services that are provided via remote access through the internet or other means. Virtual college visits must be facilitated/supervised/led by GEAR UP staff, teachers, or other school staff and include the same elements as a physical college visit.

**NOTE:** Data entry needs to indicate whether college visit services are “in-person” or “virtual,” as well as the name and/or type of college visited, i.e., 2- or 4-year college.

**NOTE:** Indicate to which student a parent/guardian is related.

### Family Events

Family events are services in which parents or families participate. These services involve USU STARS! GEAR UP students and their families/guardians or just their parents/guardians. Family events include USU STARS! GEAR UP activities that recognize the role of families in student success, and are not defined under a previous category.
Data Entry Timeline Check List

End of Spring Term (June 15)
⭐ Final APR Course Grades (including incompletes). The final grades are used in the APR to determine number enrolled in the course and the number passing the course.

End of Summer (July 31)
⭐ End of school year for APR reporting purposes
⭐ All summer service activities
⭐ Update student progress
   ⭐ Summer enrichment make-up grades
   ⭐ Students with 10 or more unexcused absences for school year (include summer)

Beginning of New School Year (August 1)
⭐ This is when SCRIBE promotes students to the next school year and new school (if applicable)

Second Week of August
⭐ Review student enrollment and make applicable changes
⭐ On-Line student and parent surveys accessible

On Going or As They Occur
⭐ Enroll new students
   ⭐ Include SSID, name, gender, grade, ESL, FRPL, IE, date of birth, enrollment date
⭐ Exiting students
   ⭐ Include exit code, exit date
⭐ Student, parent, teacher APR service activities
   ⭐ As soon after the event as possible
⭐ Update progress
   ⭐ Unexcused absences
   ⭐ Took Explore and/or Aspire (scores)
   ⭐ Took PSAT or PLAN (scores)
   ⭐ Took SAT or ACT (scores)
   ⭐ Completed FAFSA (date)

Beginning of Terms
⭐ Add Courses
   ⭐ Include course grading system

End of Terms
⭐ Course completion
   ⭐ Course grade
RGI Monthly Report

★ Review for data completion and accuracy. Report provided to LEA. Report provided to LEA. They also look at demographic data for completeness.

USU STARS GEAR UP Monthly Review

★ Service activities reviewed on the 18th of each month.

Standard Courses Reported in the APR

★ Pre-Algebra
★ Algebra I or equivalent (Secondary Math 1)
★ Geometry (Secondary Math 3)
★ Algebra II (Secondary Math 2)
★ Calculus
★ Chemistry
★ Physics
★ At least one advanced placement course
★ Trigonometry (Secondary Math 3)
★ Pre-Calculus
★ Biology
★ English & language arts
★ At least one international baccalaureate class
★ At least two years of math beyond Algebra I

For further instruction on data entry, please refer to the SCRIBE manual.
Course Data Building Guidelines

Course information: Prior to students being identified as taking a class, the course information needs to be entered into SCRIBE.

1. At the SCRIBE startup page enter valid Username and Password
2. Hover mouse over Schools tab at the top and select View All Schools
3. Find your school and click on View in the left column
4. Along the new set of tabs click on Courses
5. Click on the arrow to the left of Search and make sure you are adding a course to the right school year
6. On the right side click Add

7. Select your school and click Next
8. Put in the Course Name and click Next
9. Fill out the required boxes as well as Mapped to the following Standard Course and click Save.

You now have the course entered into the database ready to be populated with students. If you go back to the tab Courses, you should see the Course Name and other information you put in about the course. You can always edit the course information by clicking on View and using the Edit buttons.
Second, Student Course Enrollment: One can manually enroll students in courses once those courses are identified in SCRIBE. You click on the Student tab, click on View for the student you want to enroll, and click on Add Courses. A list of the courses will appear and you can click on the ones you want the students added to. This is rather cumbersome when the number of students in a course is greater than 15. The more efficient way is import a Comma Separated Values (CSV) for SCRIBE to upload into your database. [On most import files, four fields are required; School Number, School Year, Student ID, and Grade Level. When adding students to a course, additional fields are Course Number, Term, and Grade. Grade Level is not necessary.] See example below for Field Names and Information in those fields. (For import file naming conventions and other information about import files, see SCRIBE Online Help – Imports.)

<table>
<thead>
<tr>
<th>School Number</th>
<th>Student ID</th>
<th>School Year</th>
<th>Course Number</th>
<th>Term</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>95120</td>
<td>1699775</td>
<td>2018</td>
<td>LHS-2010000060</td>
<td>Q1</td>
<td>A+ or Blank</td>
</tr>
</tbody>
</table>

To create a master file with all students enrolled at school:

1. Hover mouse cursor over Reports and Export (With Sensitive Information) and select Student Enrollment Export.
2. Choose current school year, pick school, CSV file, and click Generate Report.
3. You now have a report that contains a lot of the information about the students.
4. Delete all columns except SSID, FirstName, LastName, Gender, ExitCode, SchoolNumber, School, SchoolYear, GradeLevel
5. Scan the list to see if any student has an Exit Code and remove that student from the spreadsheet.

You now have a master spreadsheet that is the backbone for most all import files. If there are multiple grade levels at your school, you can sort all fields by GradeLevel, copy all students in each grade, and paste into a new sheet or on a separate spreadsheet. Save these CSV masters in your files, using your conventional naming standards. You may need to modify or repeat the process if new students are enrolled or students exit the program.

Once the course enrollment is finalized and acquired, from the master file add CourseNumber, Term, and Grade fields. Type in the Course Number and Term once and copy for all students. Delete students that are not in the class and save as a new master course file. Prior to submitting the file as an import file to be uploaded by SCRIBE review the file naming convention in the SCRIBE Online Help articles and change as required Then:

1. Hover mouse cursor over Tools and select Import

2. Select New Import
3. Select Source and click on your district and click Next
4. Select Import Type and click Next

5. Select School Year and click Next
6. Select Choose File
7. Find your file, select it, click Open
8. Click Next and you will see a set of instructions and a list of Missing Required Fields
9. If there are not any Missing Required Fields click next and follow the instructions.

Third, Course Grades: If the enrollment list with the course (term) grades is in the form of an electronic spreadsheet, you may be able to sort both spreadsheets by a common field (ex. Last Name) and simply copy the grades from the enrollment spreadsheet to your master course file. If you receive a paper copy, the grades will have to be entered individually. Once the Grades, Correct Term, and File Name is changed to reflect file content, import file into SCRIBE as per steps above.
Creating and Using Service Templates and Student Groups

Creating service template and student groups in SCRIBE can prove to save data entry time over the course of a school year. They are particularly useful when workshop, student club, tutoring, and mentoring data is entered weekly or monthly. For one time events, it is expedient to create a Service Activity. The advantage of using templates and student groups saves several steps and time when the activity is ongoing over a period of several weeks or months. For example, there is a robotics club that meet 45 minutes twice a week for 18 weeks with the same students attending. USU Stars GEAR UP staff is required to assess program service activities on a monthly basis. The redundancy of creating a service activity and populating it five times over the span of the club’s life lends itself to errors in data entry. With service templates and students, some of the chance of data errors are negated by using some the same information each time.

Creating Service Template: Using the scenario above, the steps for creating a service template are:

1. Open SCRIBE with username and password
2. Hover cursor over Services and select Add Service Template
3. Select Person Types (Student) and click Next
4. Select Service Type Category (Workshop) and Delivery Method and click Next

<table>
<thead>
<tr>
<th>Service Type Category: *</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tutoring/homework assistance</td>
<td>Tutoring and homework assistance for students</td>
</tr>
<tr>
<td>Support Services</td>
<td>Activity that enhances student learning. Intervention classes, test prep, credit recovery, Odyssey, E2020, READ 180, ACHIEVE 3000, and other approved GUNM reading intervention curriculum. Sat., before, during or after school prep for SAT, ACT or other exams.</td>
</tr>
<tr>
<td>Rigorous academic curricula</td>
<td>Rigorous academic curricula</td>
</tr>
<tr>
<td>Comprehensive mentoring</td>
<td>One-on-one instructional, personal and/or professional activities with student</td>
</tr>
<tr>
<td>Financial aid counseling/advising</td>
<td>Financial aid counseling/advising</td>
</tr>
<tr>
<td>Counseling/advising/academic planning/career counseling</td>
<td>Personal, academic, college and career</td>
</tr>
<tr>
<td>College Exposure - College visit/college student shadowing</td>
<td>Student visits for academic information and/or student spends time with a college student and learns about college life.</td>
</tr>
<tr>
<td>Career Exposure - Job site visit/job shadowing</td>
<td>Student visits for information about a field of work and/or student spends time with a professional and learns about job activities and required skills.</td>
</tr>
<tr>
<td>Summer programs</td>
<td></td>
</tr>
<tr>
<td>Educational field trips</td>
<td></td>
</tr>
<tr>
<td>Workshops</td>
<td>College preparation, study skill, career, or other</td>
</tr>
<tr>
<td>Family/cultural events</td>
<td>Social activities for parents and students. Includes sporting events, picnics, award banquets and other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service Delivery Category: *</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Virtual</td>
<td>Virtual delivery remotely or by software service</td>
</tr>
<tr>
<td>Real (Not Virtual)</td>
<td>In person or Face-to-face delivery</td>
</tr>
<tr>
<td>Telephonic</td>
<td>Delivery of service remotely over the phone.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service Timing Category: *</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>
Creating and Using Service Templates and Student Groups (con’t.)

5. Select Student Workshop and type in Description

6. Give the template a unique name, answer the questions, and choose Default Activity Summary
7. Click Save
8. Click on School Mapping and click Edit
9. Choose School and Save.

A service template has been created that one can use multiple times to record student participation in the Eagle View 7th Grader Robotics Club.

Creating Student Group:
This involves identifying a student (or teacher or parent) group and populating it with members.

1. At the top of the page, hover the cursor over Schools and select View All Schools
2. Select School (Eagle View School) and click View in the left column
3. On the new set of tabs, click Student Groups and click Add

4. Type in a group name that will provide a clue as to its membership and purpose
5. Populate the group by clicking on Group Membership and click Add
6. A new page appears that has a list of all students
7. Since this club only has 7th graders, click the arrow next to Search and pick Grade Level 7 and click Search

![](image1)

8. Now the list is only 7th Graders
9. At the bottom of the list, for Page Size select All
10. Select the names of the students who are in the club and click Save and Close at the bottom of the page.

A student group has now been created that will be entered when the activity has occurred.

**Using Service Template and Student Group**

In the hypothetical scenario above, the Robotics Club meets twice a week for 45 minutes at each meeting. Prior to the month’s group meeting, pull up the Service Template and complete the requirements as per the Site Coordinators Manual.

1. Hover the cursor over Services and select Add Service

![](image2)

2. Select School and Next
3. Select Student and Next
4. The page contains a list of Service Templates and select the one created above and click Next.

```
<table>
<thead>
<tr>
<th>Service Template Name</th>
<th>Service Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Coach Mentoring</td>
<td>MEN - Mentoring</td>
</tr>
<tr>
<td>After School Tutoring</td>
<td>TOT - Other Tutoring</td>
</tr>
<tr>
<td>Bank - Do Not Use</td>
<td>MEN - Mentoring</td>
</tr>
<tr>
<td>English Tutoring</td>
<td>TLA - English/Language Arts Tutoring</td>
</tr>
<tr>
<td>Family History After School Club</td>
<td>CUR - Rigorous Curriculum</td>
</tr>
<tr>
<td>Greenpower - Engineering</td>
<td>CUR - Rigorous Curriculum</td>
</tr>
<tr>
<td>Math Counts</td>
<td>CUR - Rigorous Curriculum</td>
</tr>
<tr>
<td>Math Tutoring</td>
<td>TMT - Math Tutoring</td>
</tr>
<tr>
<td>Robotics Club</td>
<td>CUR - Rigorous Curriculum</td>
</tr>
<tr>
<td>Science Club</td>
<td>CUR - Rigorous Curriculum</td>
</tr>
<tr>
<td>Science Tutoring</td>
<td>TSC - Science Tutoring</td>
</tr>
<tr>
<td>Social Studies Tutoring</td>
<td>TSS - Social Studies Tutoring</td>
</tr>
<tr>
<td>Virtual Job Shadowing</td>
<td>JOB - Job Shadowing</td>
</tr>
</tbody>
</table>
```

5. Fill out the Service Name (ex. Oct 7th Grade Robotics Club, Service Notes, and click Save.

6. On the tab, click Service Summary and fill out for requirements.
What has occurred is the service template has been used to create a form to use for a specific event. The template has not been altered and can be used multiple times.

To complete the service activity by adding students, dates, time, etc.

1. Log into SCRIBE
2. Hover the cursor over Schools and select View All Schools
3. Click View on the right column
4. On the new set of tabs, select Services
5. Find the Service Name created above and click View

6. Click on Participation tab and click Add
7. Toward the bottom click on the arrow next to Search
8. Find the Student Group created above, click on it, and click Search
9. The students in that group will appear and click on the empty check box to select all
10. Put in the Date of Participation (usually the last day of the month activity took place)
11. Put in the hour - minutes per student (in the scenario above, 4 weeks x sessions/week x ¾ hr/session = 6 hours) and click Save and Close

12. Click on the Service Summary tab and complete as per Site Coordinators Manual

13. Click on the Service Details tab, click on Edit and put in the Start and End Dates, click Next and Save.
Building Data Structure

When building a SCRIBE database, distinct levels of information are added. Each level is built upon previous data structures. The sequential data levels are:

1. District (name, ID, address)
2. School (name, ID, address, term period, grades served)
3. Students and Teachers (name, ID, demographics, grade)
4. Activities and Courses (name, type, occurrence, duration)

Required data for each level must be in place prior to entering information for the next level. For instance, schools need to be populated with students and teachers, then when courses are added, students can then be placed in those courses. When the students are in the course, they can then be assigned a grade.

Once the data is in place and complete, SCRIBE has many features designed to help users extract information beneficial for meeting GEAR UP objectives:

- Provide post-secondary financial aid information for students & parents
- Reduce post-secondary remedial course by enrollment in rigorous/challenging curricula
- Increase number of students obtaining high school diploma and enroll in college.
SECTION 5:

EXPENDITURES & REIMBURSEMENT PROCEDURES

In This Section

★ Funding Regulations
★ Allowable and Unallowable Costs
  ★ Workshop Supply Allowances
  ★ Meal, Beverage, & Snack Allowances
  ★ Student Classes, Camps, & College Credit
★ Invoicing Guidelines
★ USU STARS! GEAR UP Conference Travel Guidelines
Funding Regulations

Introduction
The federal government provides billions of dollars in grants to over 30,000 organizations annually. This investment of taxpayer dollars means that the federal government must set up strong controls over grant projects to ensure the proper use of public funds. It can be complicated and does take time to learn. Your knowledge will grow with experience and training. There may also be experts in your school district to help you.

When Congress created the GEAR UP program, they wanted to create partnerships that would sustain themselves. The result is the dollar-for-dollar match requirement. The total project cost is shared between federal and non-federal sources. GEAR UP programs need to collect and accurately document in-kind contributions of goods and services. When developing match opportunities, an eye should be kept toward developing community relationships that will perpetuate the goals and objectives of GEAR UP long after direct funding ceases. Such match helps ensure that local partnerships are created and that GEAR UP grant resources are being directed to communities.

Regulations
The federal policies that govern GEAR UP are diverse and sometimes confusing. You may find inconsistencies that come from government and agency policies trying to accommodate many unique grant programs. In GEAR UP, you are subject to a number of regulatory sources. When you come across conflicts or inconsistencies between the sources, generally you should begin with the GEAR UP statute, and then move down the hierarchy for answers. The following list provides a brief description of each of the major policy sources.

Statute
A statute is the federal law that authorizes or governs a program. In the case of GEAR UP, the term statute refers to the program legislation found in Title IV of the 1998 Amendments to the Higher Education Act (HEA) of 1965 [P.L. 105-244]. The statute sits at the top of the hierarchy but affords the Secretary of Education the authority to set program-specific policies, which are commonly known as “program regulations.” The statute only broadly defines how the program should operate.

Program Regulations
Program regulations provide additional guidance when the statute is silent or vague on an issue. They provide details that govern the application competition, dictate how programs will be implemented, and other administrative details. There are three types of regulations that you should become familiar with: EDGAR, GEAR UP program regulations and OMB Circulars.

EDGAR
The Education Department General Administrative Regulations (EDGAR) set broad administrative policies that impact nearly all grant programs funded at the USDOE. The regulations are published in Title 34 of the Code of Federal Regulations (CFR). The pertinent sections of EDGAR to your grant administration are 34 CFR parts 75, 76, 77, 79, 81, 82, 84, 86, 97, 98, and 99. http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html

GEAR UP Program Regulations
Whereas EDGAR sets broad agency-wide policies, the GEAR UP program regulations address the very unique administrative matters associated with GEAR UP. GEAR UP program regulations are published in 34 CFR part 694. Other parts relevant to GEAR UP are 206, 642, 643 (http://www.ed.gov/policy/highered/leg/hea98/sec403.html)

OMB Omni Circular
The Omni Circular was approved by the Office of Management and Budget (OMB) on December 26, 2013, and provides 26 federal agencies with instructions and guidance on a wide variety of administrative issues of interest.
to the executive branch. The Circular is also referred to as Uniform Administrative Requirements or Uniform Guidance. The Omni Circular will affect your day-to-day decision-making because EDGAR cites the Circular as regulation. Thus, much of the discussions in the grant administration world will revolve around the circular, as it defines cost principles, administrative requirements, and audits. An additional circular relevant to administration of the GEAR UP grant is A-21, Educational Institutions.

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

Fiscal Agent Policy and Procedure

In addition to understanding federal requirements, you are expected to follow the policies of the fiscal agent of the grant (Utah State University, and the GEAR UP administrative team). The University and administrative team have additional policies they must follow to comply with state and federal law and USU policies. It is important to rely on the University and administrative team staff when the federal regulations aren’t clear on an issue. You also must follow University and administrative team reporting guidelines and budget categories.

Time & Effort Reporting

Develop a process for collecting time and effort sheets from teachers, staff and volunteers regularly and accurately. Federal regulations require that every GEAR UP staff whose salary is supported in full or in part need to document the time, effort and activities during any given pay period. When you use in-kind personnel contributions as match, they have to fulfill the same reporting obligations as if they were receiving federal funds, including signed time and effort forms.

Allowable Costs

Sound fiscal GEAR UP administration begins with understanding what types of expenses can be paid for with federal funds. Allowable costs are those expenses that are specifically permitted (or not explicitly prohibited) by the laws, regulations, principles and standards issued by the USDOE, USU, and other authoritative sources.

To help you decide if costs are allowable or not, ask these questions: Is the expense:

- Reasonable and necessary: reflecting an action that a prudent person would take and generally recognized as necessary for the school or partner to accomplish a workplan activity, guided by established institutional policies and practices.
- Allocable: applied in proportion to relative benefits, as approximated through reasonable methods.
- Allowable: connected to the required or permissible services of the USU STARS! GEAR UP program.
- Consistent: treating anything not allowed by the fiscal agent (USU), the school or partner organization as not allowed by GEAR UP.
- Compliant: follows reporting requirements, limitations and exclusions as stated in federal cost principles, these guidelines, and the annual subcontract/amendment.

Supplement But Not Supplant

GEAR UP regulations require that GEAR UP funds supplement-not-supplant school or district monies. GEAR UP funds are intended to build the capacity of school districts to create a college going culture. Therefore, GEAR UP funding may be used to enhance (supplement) what is already in place or to create new activities. GEAR UP funds cannot be used to replace (supplant) other federal, state, or local funding.

Below are some examples:
For the last five years, your school has paid for a career exploration software license. This year, the school needs new PE equipment so you have been asked to pay for the software license with GEAR UP funds to free up funding for PE equipment. This is supplanting - and is not allowed.

For the last several years, your school has annually purchased $500 of new library books. This year you have been asked to use GEAR UP funds to pay for the books. This is supplanting - and is not allowed.

For the last two years, your school has been unable to purchase any curriculum enhancement materials for math classes, including an essential software package, because of budget cuts. You have been asked to purchase this software with GEAR UP funds this year. This is supplementing - and is allowed because without GEAR UP funding, your school would not be able to make this purchase.

Utah State University STARS! GEAR UP Model

GEAR UP funds may be used to pay for activities that support the Utah State University STARS! GEAR UP Goals and Objectives, as outlined in the School Sub-Award Agreement, Scope of Work, and the Utah State University STARS! GEAR UP Career and College Ready Benchmarks.

When planning for activities and expenditures, schools must follow the guidelines below:

Funds may be used to support activities for all students in the GEAR UP Cohort. If you opt to include additional students in any GEAR UP sponsored activities, or share in using GEAR UP purchased supplies, equipment, etc., costs should be covered proportionately from other funds.

New Students: New, eligible students may be added at any time throughout the grant period. Once a student is deemed eligible, they remain eligible for the remainder of the grant period.

Audits

USU and subcontractors are subject to OMB Omni Circular (Uniform Administrative Requirements, or Super Circular) 2 CFR 200, Subpart F Audit Requirements. The Omni Circular contains guidance for obtaining consistency and uniformity among federal agencies for the audit of states, local governments and non-profit organizations expending federal funds. The circular also codifies in this subpart the requirements for states, local governments and non-profit organizations that expend greater than $750,000 per year in federal funds to have a “single audit” conducted in accordance with the Circular. In other words, there will be a GEAR UP audit for which you must be prepared.

The Omni Circular is especially important for GEAR UP recipients since it provides guidance regarding grantees responsibilities. These responsibilities include maintaining adequate internal controls for the expenditure of federal funds, expectations for financial reports and reporting systems as well as requirements for documentation and records management.

Sub-grantee responsibilities:

- Identification of federal awards received and expended in its accounts
- Maintenance of adequate internal controls over federal programs
- Compliance with applicable laws, regulations and provisions of grant programs
- Preparation of appropriate financial statements, including schedule of expenditures from federal awards
- Ensure audits are properly performed and reports submitted when due
- Follow up and corrective action on audit findings
- Prompt reporting of expenses and cost share
- Ensure your monitoring activities comply with your contract to ensure federal funds are used for authorized purposes and in accordance with laws/regulations/grant agreements
USU responsibilities:

★ Ensure sub-grantee monitoring complies with sub-grantee contracts to ensure federal funds are used for authorized purposes and in accordance with laws/regulations/grant agreements
★ Advise sub-recipients of applicable laws, regulations and provisions of grant agreements
★ Monitor sub-recipient activities to ensure sub-recipients subject to the Omni Circular have met audit requirements
★ Issue a management decision on audit findings within six months
★ Determine whether a sub-recipients audit necessitates adjustments to its own records
★ Require sub-recipients to grant USU and auditors necessary access to records and financial records

Recent areas of focus for federal audit:

★ Time and effort reporting
★ Financial and technical reporting
★ Sub-recipient monitoring
★ Cost sharing/matching documentation

As a sub-grant recipient you need to ensure compliance with federal regulations, laws and grant requirements. USU is constantly monitoring its systems and internal controls and encourages grant recipients to do the same. We recommend you:

★ Review your time and effort reporting systems and strengthen as needed
★ Review your written policies and procedures to ensure they are accurate and up-to-date
★ Review your cost sharing commitments and methods for tracking
★ Review your financial and programmatic reporting systems and work with agencies to establish reasonable deadlines

Sub-recipient Monitoring

The monitoring of contracts awarded to sub-recipients includes state and/or federal funds from state departments, agencies and commissions associated with GEAR UP. This is done to ensure financial records are being reported and maintained in a manner consistent with federal reporting requirements. The monitoring process includes the following areas:

★ Review of approval documentation for program activities and expenditures
★ Review for compliance with the monetary services outlined in the grant contract
★ Review of audit procedures and prior audit results
★ Personnel cost documentation and allocation methodology
★ Fiscal record reconciliation and documentation
★ Data reporting system usage and data retention
Allowable and Unallowable Costs

Common GEAR UP Costs
(Sources: GEAR UP Statute, EDGAR, OMB Circular A-21, OMB Omni Circular)
The following list may help you determine whether your program expenses are allowable or not. It includes costs that are commonly incurred in GEAR UP, or are the subject of frequent questions, or discussions about their permissibility.

Advertising and Public Relations Costs: Generally unallowable
The OMB cost principles define advertising costs as the expenses associated with the costs of advertising media (magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer communication) and associated administrative costs.
For GEAR UP, reasonable advertising costs are allowable when:

 Recruiting and advertising for vacant GEAR UP staff positions in a manner that is acceptable and standard for the hiring entity.

The term public relations is defined as activities dedicated to maintaining the image of the institution/governmental agency or maintaining or promoting understanding and favorable relations with the community or public at large or any segment of the public.
For GEAR UP, public relations costs are potentially allowable when:

 ★ The activity is part of your approved application.
★ You are communicating with the public and press pertaining to specific activities or accomplishments that result from your grant performance (these costs are considered necessary as part of the outreach effort for the sponsored agreement).
★ You are conducting general liaison with news media and government public relations officers, to the extent that such activities are limited to communication and liaison necessary to keep the public informed on matters of public concern.

Advisory Councils: generally unallowable
Costs incurred by advisory councils or committees are allowable as a direct cost when authorized by the awarding agency, or as an indirect cost where allocable to the GEAR UP award.

Alcoholic Beverages: unallowable

Commencement and Convocation Costs: unallowable
For education institutions, costs associated with commencement and convocations are disallowed, but costs associated with GEAR UP activities that take place during commencement events may be allowable under student activity costs if approved as part of your grant agreement.

Communication Costs: allowable

Costs incurred for telephone services, local and long distance telephone calls, postage, messenger, electronic or computer transmittal services and the like are allowable. However, you will need to check if these expenses are captured in your indirect costs.

Compensation (Salaries, Wages & Fringe Benefits): allowable
Personnel costs such as salaries, wages and fringe benefits are allowable to the extent that the total compensation to individual employees conforms to the established policies of the institution, consistently applied, and provided that the charges are for work performed directly on GEAR UP activities as outlined in the sub-grantee workplan.
Fringe benefits costs should be in line with institutional policies regarding: annual leave, sick leave, military leave, and employer contributions or expenses for social security, employee insurance, workmen’s compensation insurance, and tuition or remission of tuition for individual employees.

**Consultants & Contracts:** allowable

EDGAR states that costs associated with consultants are allowable if there is a need in the project for the services and the grantee cannot meet that need by using an employee rather than a consultant.

**Providing Donations and Contributions:** unallowable

Contributions or donations (including cash, property, and services) are unallowable costs.

This should be distinguished from the match. GEAR UP may receive donations, contributions, or services under the GEAR UP match guidelines.

**Entertainment Costs:** unallowable

Costs of entertainment, including amusement, diversion, and social activities and any costs directly associated with such activities (such as tickets to shows or sports events, recreational activities such as swimming, meals, lodging, rentals, transportation, and gratuities) are unallowable. Costs that might be otherwise considered entertainment which have a programmatic purpose and are authorized either in the approved budget for the Federal award or with prior written approval of the Federal awarding agency may be allowable.

Be sure to distinguish these unallowable expenses from similarly worded and allowable student activities, meetings, and conferences that are approved as part of your grant agreement.

**Equipment:** allowable, but not an expected GEAR UP expense

Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and for GEAR UP accounting purposes, has a per-unit cost equal to or greater than $5,000. Items less than $5,000 per unit, including computers, are classified as Supplies (see below).

The title (documented ownership) of the equipment vests in the grantee and may be used for other projects as long as that use does not interfere with the terms of the grant award.

**Fines and Penalties:** unallowable, with exceptions

Costs resulting from violations or failure of the fiscal agent to comply with federal, state, and local or foreign laws and regulations are unallowable, except when incurred as a result of compliance with specific provisions of the sponsored agreement, or instructions in writing from the authorized official of the sponsoring agency in advance of such payments.

Late fees, including late fees for registrations, and interest charges on credit cards are unallowable. Student fines are also unallowable.

**Fund Raising:** unallowable

Costs of organized fund raising are not allowed.

**Goods or services for personal use:** unallowable

Costs of goods or services for personal use of the governmental unit’s employees are unallowable regardless of whether the cost is reported as taxable income to the employees.

**Lobbying:** generally unallowable, with exceptions.
Allowable and Unallowable Costs (con’t.)

Federal funds cannot be used to:

- Influence the outcome of referendum, initiative, or similar procedure, through in-kind or cash contributions, endorsements, publicity, or similar activity.
- Support a political party, campaign, or political action committee.
- Influence the introduction, enactment or modification of state or federal legislation through direct or grassroots lobbying.

However there are a few exceptions, including:

- Technical and factual presentations on topics directly related to the performance of a grant, contract, or other agreement.
- Efforts to influence state legislation in order to directly reduce the cost, or to avoid material impairment of the institution’s authority to perform the grant, contract, or other agreement.
- Any activity specifically authorized by statute to be undertaken with funds from the grant, contract, or other agreement.

Memberships, Subscriptions and Professional Activity Costs: allowable, with exceptions.

Costs associated with memberships in business, technical, and professional organizations are allowable. In addition, subscriptions to business, professional, and technical periodicals are allowable.

Please note that the Omni Circular makes the following exceptions:

- State entities can use federal funds for membership in civic, community, and social organizations that are allowable as a direct cost with the approval of the USDOE.
- State entities cannot use federal funds for membership in organizations substantially engaged in lobbying.

Meetings and Conferences: allowable with exceptions

Costs of meetings and conferences approved by the GEAR UP Program Officer, the primary purposes of which are the dissemination of technical information, are allowable. This includes costs of meals, transportation, rental of facilities, speakers’ fees, and other items incidental to such meetings or conferences. Be aware of restrictions pertaining to entertainment costs.

Publications and Printing: allowable

Publication costs—including the costs of printing, distribution, promotion, mailing, and general handling—are allowable federal costs if they are allocable to project objectives. If not, any publications or printing should be paid for by institutional or indirect funds.

Rental Cost of Buildings and Equipment: allowable

With stipulations, rental costs are allowable to the extent that the rates are reasonable in light of such factors as: (1) rental costs of comparable property, if any; (2) market conditions in the area; (3) alternatives available; and, (4) the type, life expectancy, condition, and value of the property leased. Rental arrangements should be reviewed periodically to determine if circumstances have changed and other options are available.

Severance Pay: allowable

Costs of severance pay, for personnel whose services have been terminated are allowable only to the extent that
such payments are required by law, by employer-employee agreement, by established policy that constitutes in effect an implied agreement on the institution's part, or by circumstances of the particular employment.

**Student Activity Costs:** generally allowable, with exceptions

Costs incurred for intramural activities, student publications, student clubs, and other student activities, are unallowable, unless specifically provided for in the grant agreement.

**Supplies:** allowable

Costs incurred for supplies to carry out the grant are allowable. Supplies have a per-unit cost of less than $5,000. Computers, peripherals, etc. are considered supplies.

**Travel costs:** allowable

Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the institution. Travel outside of the United States requires prior approval.

Travel costs also may be incurred in relation to local events for students, parents or professionals participating in programs authorized by the GEAR UP statute. Please see the USU STARS! GEAR UP Travel Guidelines for additional guidance.

**NOTE:** Just because a cost is interpreted as being allowable under the OMB cost principles, it is not guaranteed that you will be able to make that expenditure. This may happen when, for example, a cost identified as allowable under the circular may be disallowed in program regulations or statute, or fail to pass the USDOE’s judgment that it is justified, allowable, or reasonable.

**Eligible budget transfers:**

Throughout the academic year, school districts may identify priorities and activities aligned with USU STARS! GEAR UP goals and objectives not originally included in the annual USU STARS! GEAR UP workplan and/or budget. In addition, some planned activities may come in under cost, making funds available for additional activities related to the program goals and objectives. As these budget transfer needs are identified, the school district must submit a formal request to the USU STARS! GEAR UP Administrative Team through e-mail to the Business Officer. Requests should include specific information regarding the amount of funding, by budget line, requested for transfer to identified budget lines. Budget transfer requests should be infrequent and are reviewed by the USU STARS! GEAR UP Administrative Team on a case-by-case basis. If approved, the USU STARS! GEAR UP Administrative Team will issue a formal approval via e-mail of the transfer.
## Workshop Supply Allowances

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>T-Shirt w/GEAR UP or college message.</td>
<td>Up to $10 each</td>
<td>Students, staff, chaperones to wear on field trips, school events, special programs, community service and other events to promote GEAR UP, teamwork, and safety (on field trips). Limited to 3 times per cohort duration (7 year period).</td>
</tr>
<tr>
<td>Pencils/Pens</td>
<td>Up to $1 each</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>Magnets</td>
<td>Up to $1 each</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>Stickers</td>
<td>Up to $1 each</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>School Supplies (binders, folders, paper, bookmarks, highlighters, lanyards, markers, calculators, and other school supplies)</td>
<td>Up to $20 per student per year</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>Bags w/GEAR UP or college message</td>
<td>Up to $5 each</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>Career or educational books</td>
<td>Up to $10 each</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>Educational CD’s</td>
<td>Up to $10 each</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>Educational DVD’s</td>
<td>Up to $10 each</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>Flash Drives</td>
<td>Up to $10 each</td>
<td>Student Activities/Workshops</td>
</tr>
<tr>
<td>Water Bottles</td>
<td>Up to $5 each</td>
<td>Student Activities/Workshops (for safety purposes only)</td>
</tr>
</tbody>
</table>

### NOTES:

1. Gift Cards are not allowable.
2. Student incentives and awards (treats, drinks, food, headphones, flashdrives, trophies, etc.) are not allowable.
Meal, Beverage, and Snack Allowances

Food and beverages may be offered to participants only in conjunction with GEAR UP training, workshops, and structured activities where the participants are receiving GEAR UP information. Use the following guidelines when planning to provide food for a GEAR UP event. A Food Request form is required for every food item to be purchased with GEAR UP funds.

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Refreshments</td>
<td>Up to $3 per student, parent, or staff</td>
<td>Family/parent night events, annual/kickoff and closing events.</td>
</tr>
<tr>
<td>Meals</td>
<td>Up to $8 per student/chaper-one per meal</td>
<td>Field trips or college visits (student should be considered in travel status i.e. away from school of enrollment)</td>
</tr>
<tr>
<td>Healthy and nutritious snacks (e.g. granola bars, string cheese, fruit, popcorn, trail mix, pretzels, crackers, milk, juice, yogurt, bagels, muffins)</td>
<td>Up to $1 per day per student</td>
<td>Field trips, college visits, pre-college tests, placement tests</td>
</tr>
</tbody>
</table>

NOTES:

1. A Food Purchase Request form must be submitted to the USU Business Officer and USU Program Coordinator at least 2 weeks prior to an event.
2. Food requests are not allowable for cooking classes or demonstrations, nor are meals for parent events.
Student Classes, Camps, and College Credit

GEAR UP allows expenses related to dual credit options, credit recovery, student camps, and placement tests. Use the following guidelines when planning for these expenses.

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>AP tests, Running Start books, College in the High School costs or similar expenses.</td>
<td>Allowable</td>
<td>Activities associated with academic college credit</td>
</tr>
<tr>
<td>Individual student camps, on a college campus.</td>
<td>Request Pre-Approval</td>
<td>Academic support or enrichment</td>
</tr>
<tr>
<td>SAT or ACT tests</td>
<td>Published amount and allowable only if student is not eligible for a waiver</td>
<td>Pre-college tests</td>
</tr>
<tr>
<td>College Placement Tests (ASSET, Compass, etc.)</td>
<td>Published amount when no waiver is available</td>
<td>Placement tests</td>
</tr>
</tbody>
</table>
Invoicing Guidelines

Collecting and documenting expenses on an ongoing basis is wise, efficient, and much less stressful than attempting to catch up or go back and document it. When collected as part of the day-to-day program, it is easier to record accurately and monitor regularly. Breaking down a grant's expenses on a monthly basis makes this task manageable and attainable. Be sure that you confer with your District Financial Officer and/or Building Administrators on all budgetary processes prior to submitting your invoice for reimbursement.

When considering whether or not goods or services qualify as an allowed expense, refer to the Common GEAR UP Costs section in Section 3: Expenditure & Reimbursement Procedures. Generally, to determine if a good or service qualifies as an allowed expense, you should ask yourself:

★ Could I pay for this item or service using my federal GEAR UP funds?
★★ Does it support the GEAR UP objectives?
★★★ Is it legal and ethical?
★★★★ Does it pass the “headline test”? (Would you want this to be reported in newspapers?)

Instructions for Reimbursement

There are five parts required each month in order for the district to be reimbursed for expenditures:

1. The Invoice Form
   ★ Invoices must be submitted monthly. Bi-monthly, quarterly or other submission schedules are not allowed.
   ★ Complete and submit an invoice by the 15th of each month for the preceding month's expenditures.
   ★ Each invoice should only include expenses for one calendar month (please do not mix months).
   ★ Include the USU Sub-award number on each invoice.
   ★ See Step 3 and sample Invoice.

2. The Expenditure Detail Form
   ★ The Expenditure Detail Form, or substitute Excel spreadsheet, must include a complete description of the purpose of the expenditures.
   ★ See STEP 1 and sample Expenditure Detail Form.

3. Back-up documentation and receipts of expenditures
   ★ See STEP 1 and sample back-up documentation.

4. The Monthly Match Summary
   ★ The Monthly Match Summary, or substitute Excel spreadsheet must include a complete description of the purpose of the cost share.
   ★ See STEP 2 and sample of Monthly Match Summary.

5. The required cost share documentation (including the In-Kind Contribution of Teacher or Staff Time and Effort Report, the Volunteer Match Certification Form, and the Match Contribution of Goods and Services Statement).
   ★ See STEP 2 and samples of In-Kind Contribution of Teacher or Staff Time and Effort Report, the Match Contribution of Goods, and the Volunteer Certification Match Form.
6. When submitting the Invoice packet to USU, please assemble the documents in the following order:
   - The Invoice
   - The Expenditure Detail Form
   - The back-up documentation for Expenditures
   - The Monthly Match Summary
   - Cost Share Documentation
   - Restricted Indirect Cost Rate – If in question contact the Business Officer at Utah State University

Mail, fax, or email invoice packets requesting reimbursements to:

<table>
<thead>
<tr>
<th>Cohort 1</th>
<th>Cohort 2</th>
<th>Cohort 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>ATTN: Brent Baum</td>
<td>ATTN: James Vaterlaus</td>
<td>ATTN: Landon Corbridge</td>
</tr>
<tr>
<td>Utah State University</td>
<td>Utah State University</td>
<td>Utah State University</td>
</tr>
<tr>
<td>USU STARS! GEAR UP</td>
<td>USU STARS! GEAR UP</td>
<td>USU STARS! GEAR UP</td>
</tr>
<tr>
<td>2805 Old Main Hill</td>
<td>2805 Old Main Hill</td>
<td>2805 Old Main Hill</td>
</tr>
<tr>
<td>Logan, UT 84322-2805</td>
<td>Logan, UT 84322-2805</td>
<td>Logan, UT 84322-2805</td>
</tr>
<tr>
<td><a href="mailto:brent.baum@usu.edu">brent.baum@usu.edu</a></td>
<td><a href="mailto:james.vaterlaus@usu.edu">james.vaterlaus@usu.edu</a></td>
<td><a href="mailto:landon.corbridge@usu.edu">landon.corbridge@usu.edu</a></td>
</tr>
</tbody>
</table>

Records Retention Requirement: The sub-contractor must retain itemized records of all expenditures for seven years after final payment is remitted. The records may be subject to program review or audit at any time.
Invoicing Life Cycle

**STEP 1: Collect Expenditure Backup Documentation and Complete the Expenditure Detail Form**

**EXPENDITURE DETAIL CATEGORIES:** When preparing the Expenditure Detail Form, please adhere to the following guidelines for categorizing all expenditures. The list also includes the backup documentation required to be maintained for seven years by the school/district. Each claimed expense must be accompanied by documentation.

**Direct Costs**

1. **Salaries & Wages**
   - Salaries or wages for staff paid from GEAR UP funds for the grant fiscal year.
   - **Backup Documentation Required:** Include a payroll report with detailed compensation and benefits information for GEAR UP-paid staff. Sort the report by payee.

2. **Benefits**
   - Staff benefits paid for with GEAR UP funds for the grant fiscal year.
   - Costs for mandatory employer deductions.
   - **Backup Documentation Required:** Include a payroll report with detailed compensation and benefits information for GEAR UP-paid staff. Sort the report by payee.
3. Travel and Professional Development
Review the GEAR UP Travel Guidelines prior to scheduling any travel and incurring any travel expenses. Submit all documentation for each trip in a single package, do not distribute across several months.

A. Staff travel.
★ Reimbursements for staff travel paid for GEAR UP sponsored events.
★ Reimbursement for approved professional development travel expenses, registration, and other fees.
★ Travel expenses will be paid in accordance with district policies. Costs may not exceed state per diem rates for mileage, lodging, and meals.
★ Please submit each instance of travel as a complete package, do not spread travel reimbursements across multiple invoices.

B. Student Transportation.
★ Costs for district vehicles, including driver time, for GEAR UP events.
★ Reimbursement rate at USU is currently $0.485 per mile for privately owned cars.
★ Reimbursement rate is per established district rates for other vehicles, including SUVs and buses. District must provide verification of rates to the management team to charge more than $0.485 per mile.

Backup Documentation Required: Backup documentation is required to be submitted to Utah State University. This may be in the form of copies of detailed travel vouchers, receipts, travel logs, or invoices. Original records must be kept by individual schools/districts for seven years after final payment is remitted.

4. Other Direct Costs
★ Cost of consumable supplies, including office supplies, photocopies, postage, and other materials required and necessary for GEAR UP operations.
★ Cost of instructional materials, guest speakers, and other related items as allowed by GEAR UP to ensure that students meet the College and Career Ready Benchmarks.
★ Costs for standardized tests when students do not qualify for waivers.
★ Costs for college visits, job shadows, and educational field trips, including meals for participants (approximately $8 per participant per meal), and fees for related educational activities. All trips must be pre-approved.
★ Entertainment, clothing, and souvenir expenses are NOT allowable.

Backup Documentation Required: Backup documentation is required to be submitted to Utah State University. These can be in the form of copies of detailed receipts or invoices. A credit card summary receipt is NOT acceptable. All records submitted for reimbursement must be kept by individual schools/districts as supporting documentation. Purchase orders, reservation confirmations, etc. are not sufficient documentation and will not be accepted without accompanying receipts.

5. Indirect Costs
★ Consistent with section 200.414 of the Omni Circular, all grant recipients are limited to a maximum indirect cost rate of ten percent of a modified total direct cost base or the amount permitted by its negotiated restricted indirect cost rate agreement, whichever is less. This rule applies to grantees under programs with a statutory requirement prohibiting the use of Federal funds to supplant non-Federal funds, and to the sub-grantees under these programs. GEAR UP legislation contains a requirement prohibiting the use of GEAR UP funds for supplanting. As outlined in section 200.414 of the Omni Circular, therefore, LEAs must use the negotiated restricted indirect cost rate when developing their budget.
Backup Documentation Required: The federally negotiated indirect cost rate agreement should be submitted to USU on an annual basis. The indirect cost rate agreement “Schedule M” can be found online at https://www.schools.utah.gov/financialoperations/reporting

NOTES:

Internet Purchases: When purchasing and/or paying for items online, it can be particularly challenging to get the correct backup documentation. It is important that you print the final invoice of your purchase showing what was purchased, the date the item was purchased, payment method used, and the detailed costs. Order confirmations, order summaries, etc. are not invoices and will not be accepted as backup documentation.

Pre-Payment: Per State of Utah regulations, GEAR UP will not reimburse for items or services that have not been received by the school district. You must have received all goods and services prior to submitting for reimbursement. The only exceptions are:

Conference registrations: Airfare or other transportation that must be pre-purchased.

Credit Card Statements and Receipts: All purchases require a detailed receipt as backup, therefore neither the summary receipt that is given when you make a credit card payment, nor the credit card statement, are accepted as backup.

Matching the Expenditure Detail Form with Receipts: Each purchase listed on the Expenditure Detail Form must be accompanied by a detailed receipt as backup. Review your form and receipts for a case-by-case match prior to submitting your invoice. Expenses without matching receipts, and receipts that are not detailed on the form, will not be approved. Receipts that are illegible, or which have portions obscured, will not be approved.

Alternative Expenditure Detail Form: The pdf version of the Expenditure Detail Form is often too short to include all the expenses for a month. You may submit an Excel spreadsheet that follows the same format as the Expenditure Detail Form as a substitute.
## Invoicing Guidelines (con’t.)

### Sample Expenditure Detail Form

<table>
<thead>
<tr>
<th>Vendor Name</th>
<th>Purpose/Reason For Expenditure</th>
<th>Date</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Salaries</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jane Doe</td>
<td>GEAR UP after school tutor</td>
<td>03/31/13</td>
<td>$ 745.00</td>
</tr>
<tr>
<td>Albert Brenneman</td>
<td>Site Coordinator</td>
<td>03/31/13</td>
<td>$ 1,785.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td></td>
<td></td>
<td>$ 2,530.00</td>
</tr>
<tr>
<td><strong>Benefits</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jane Doe</td>
<td>Benefits (SS, Insurance, Retirement)</td>
<td>03/31/13</td>
<td>$ 112.00</td>
</tr>
<tr>
<td>Albert Brenneman</td>
<td>Benefits (SS, Insurance, Retirement)</td>
<td>03/31/13</td>
<td>$ 645.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td></td>
<td></td>
<td>$ 757.00</td>
</tr>
<tr>
<td><strong>Travel &amp; Professional Development</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ABC School District</td>
<td>Buses to college campus visit</td>
<td>03/31/13</td>
<td>$ 1,065.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td></td>
<td></td>
<td>$ 1,065.00</td>
</tr>
<tr>
<td><strong>Other Direct Costs</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tasty Bites</td>
<td>1/2 the cost of food for GEAR UP parent night</td>
<td>03/27/13</td>
<td>$ 968.00</td>
</tr>
<tr>
<td>HP</td>
<td>Computer for site coordinator</td>
<td>03/15/13</td>
<td>$ 629.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td></td>
<td></td>
<td>$ 1,597.00</td>
</tr>
</tbody>
</table>

**Total of all Categories** | $ 5,949.00

Revised 01/2014
Sample Back-up Documentation for Expenditures

Invoicing Guidelines (cont.)

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Survey and analysis of the site's functional and operational requirements for the proposed project. This documentation should include:

1. Functional analysis:
   - Detailed description of the project's objectives and goals.
   - Identification of key stakeholders and their requirements.
   - Analysis of existing systems, processes, and technologies.

2. Operational requirements:
   - Definition of the project scope and deliverables.
   - Estimation of project duration and milestones.
   - Identification of potential risks and mitigation strategies.

3. Technical specifications:
   - Requirements for hardware, software, and communication infrastructure.
   - Specifications for equipment, tools, and materials.

4. Budget and funding:
   - Estimation of project costs and funding sources.
   - Incorporation of contingency reserves for unforeseen expenses.

5. Legal and administrative considerations:
   - Compliance with relevant laws, regulations, and standards.
   - Approval process and necessary permits.

6. Environmental impact:
   - Assessment of potential environmental effects.
   - Implementation of mitigating measures to minimize impact.

7. Sustainability:
   - Integration of sustainable practices and technologies.
   - Reporting and monitoring of environmental performance.

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Additional details on site management, coordination, and communication should be included in the back-up documentation to ensure smooth project execution. The documentation should also include a project timeline and a detailed description of the project's phases and milestones.
Invoicing
Guidelines (con't.)

Step 2: Collect Cost Share Documentation and Complete The Monthly Match Summary

All Site Coordinators and Authorized Financial Representatives are required to complete the Cost Share Training.

Remember that if a cost is unallowable as an expenditure, it is not an allowable match.

Match Documentation Process: Each month, LEAs must submit documentation of their effort to meet the USU STARS! GEAR UP matching requirement. Matching documentation must be mailed/ emailed along with the Invoice by the 15th of each month. Matching documentation includes four forms: Monthly Match Summary Form, Match Contribution of Goods, In-Kind Contribution of Teacher or Staff Time & Effort Report, and the Volunteer Effort Certification Match Form. A description of each form is provided below:

Monthly Match Summary Form: This form provides an overview of the match for the reporting month. Each line should be supported by an In-Kind Match Form. The pdf version of the Monthly Match Summary Form is often too short to include all the expenses for a month. You may submit an Excel spreadsheet that follows the same format as the Monthly Match Summary Form as a substitute.

Match Contribution of Goods Statement: This form should be filled out by any partner or donor providing goods as match to a school/district of the USU STARS! GEAR UP grant. The form must be completed and signed by both the donor and the Authorized School Representative.

In-Kind Contribution of Teacher or Staff Time & Effort Report: This form should be completed by school/district employees who contribute time to the USU STARS! GEAR UP project. Administrators and others who “flat rate” their time and effort as a match must also sign this form each month. Please refer to matching guidelines for qualified activities.

Volunteer Effort Certification Match Form: This form should be filled out by any person (other than teachers or district staff) providing in-kind services as match to a collaborator of the USU STARS! GEAR UP grant. The form must be completed and signed by both the donor and the Authorized School Representative. Volunteer matches will always be at the volunteer rate unless the donor is performing services in his/her official capacity.

Matching Receipts and Reports to the Monthly Match Summary Form: Just as with expenditures, each matching good or service listed on the match summary form must be accompanied by a detailed receipt or time and effort report as backup. Review your form and receipts for a case-by-case match prior to submitting your invoice. Goods and services without matching receipts, and receipts that are not detailed on the summary form will not be approved.
## Sample Monthly Match Summary

**MONTHLY MATCH SUMMARY FORM**

Complete this form each month. For each donor listed, a copy of each "Match Contribution of Goods Statement," "Volunteer Certification Match Form," or "In-Kind Contribution of Teacher or School Staff Time and Effort Report" must be attached and submitted. Schools should retain the originals of all forms.

**LEA:** Sample School District  
**School:** Sample Middle School  
**Month:** March  
**Year:** 2013

<table>
<thead>
<tr>
<th>Type</th>
<th>Contributor</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teacher</td>
<td>Jane Doe</td>
<td>$587.52</td>
</tr>
<tr>
<td>Volunteer</td>
<td>Bill Clinton</td>
<td>$215.04</td>
</tr>
<tr>
<td>Organization</td>
<td>Tasty Bites</td>
<td>$966.00</td>
</tr>
</tbody>
</table>

**Total:** $1,770.56

Revised 01/2014
Invoicing Guidelines (con’t.)

Sample Back-up Documentation for Cost Share

<table>
<thead>
<tr>
<th>Position</th>
<th>Code (See Table)</th>
<th>Number of Hours (Increments of 15 Minutes)</th>
<th>Hourly Rate ($)</th>
<th>Benefit Rate ($)</th>
<th>Total Value [(Hourly Rate + Benefit Rate) x # of Hours]</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
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<tr>
<td>2</td>
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<td>12</td>
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<tr>
<td>13</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Totals $ - $ - $ - 

Please enter salary and benefit rates → $ - $ - $ - 

Shaded cells auto calculate. Do not enter data.

Directions: School district staff members, who contribute time to GEAR UP, should complete and sign this form. (Refer to the guidelines in Section 6: In-Kind Match and Cost Share Training for qualifying activities). Include on the Monthly Match Summary Form and submit with monthly invoice.

IN-KIND MATCH FORM - SCHOOL STAFF

Employee Name: 

Month & Year: School Name: 

Date: 

I certify that all time and effort being claimed as in-kind match directly supported the GEAR UP project and GEAR UP students. I have not been compensated by any federal funds for these activities, nor has any of this time been donated as in-kind match for any other program. I hereby certify, UNDER PENALTY OF PERJURY under the laws of the State of Utah, that this information is true and correct.

For teachers/certificated staff:

The time donated to conduct these activities occurred outside my normal work duties, beyond my normal contract day.

For GEAR UP paid staff:

The time documented is beyond paid GEAR UP time.

Contributor’s Signature: 

Date: 

Site Coordinator / Supervisor’s Signature: 

Date: 

UTAH STATE UNIVERSITY
## Sample Match Contribution of Goods Statement

### MATCH CONTRIBUTION OF GOODS STATEMENT

When you receive an in-kind donation of goods this form must be completed and signed by the donor:

**LEA:** Sample School District  
**School:** Sample Middle School

**Contributor’s Name or Organization:** Tasty Bites

**Address:** 897 Main Street

**City:** Logan  
**State:** UT  
**Zip:** 84321

**Phone Number:** (435) 987-6543  
**Fax Number:**

<table>
<thead>
<tr>
<th>Type of Expense</th>
<th>Date</th>
<th>Description of Goods Contributed</th>
<th>Number of Items</th>
<th>Cost per Item</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other</td>
<td>03/27/13</td>
<td>Cover 1/2 the food for parent night</td>
<td>121.00</td>
<td>$8.00</td>
<td>$968.00</td>
</tr>
<tr>
<td>Travel</td>
<td></td>
<td>Total Miles Driven</td>
<td>$0.485</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**TOTAL:** $968.00

*The information provided on this form is an accurate estimate of the goods and/or services I have provided to USU STARS! GEAR UP.*

**Contributor’s Signature:** ___________________________  
**Date:** 03/31/2013

*I hereby certify, UNDER PENALTY OF PERJURY under the laws of the State of Utah, that the foregoing is true and correct.*

---

**Site Coordinator**  
**Site Coordinator’s Name:** ___________________________  
**Signature:** ___________________________  
**Date:** 03/31/2013

*Revised 01/2014*
Invoicing Guidelines (con’t.)

Step 3: Complete the Invoice

A sample of the invoice is provided on the next page. The following are the sections that must be completed by the school district:

- **LEA Name:** Name and address of the contracting school district. Use the address where you want the payment sent.
- **Subaward Number:** The assigned subaward number.
- **Vendor’s Certification:** Signature and title of the contractor’s authorized signatory. Each school district may determine the authorized signatory.
- **Date:** The date the invoice was prepared. (Note: This date may not be prior to the date any expenses on the invoice were incurred. If any revisions have taken place, you must enter the date that the invoice was updated and mark the invoice as “Revised”.)
- **Descriptions and Amounts of Expenditures and Cost Share:** The invoice should reflect only the five budget categories detailed on the invoice. Submit in the same order as on the sample. Each expense submitted for reimbursement must be included on the Expenditure Detail Form and accompanied by backup documentation. All backup documentation must also be maintained by the school/district.

Notes:

**Budget Balance Spreadsheet:** On a monthly basis, school districts will receive a budget balance spreadsheet from the USU STARS! GEAR UP central office that outlines approved expenditures to date and remaining USU STARS! GEAR UP funds.
Sample Invoice

**INVOICE**

<table>
<thead>
<tr>
<th>UT State University</th>
<th>Sample School District</th>
<th>Sample Middle School</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address: 456 Main Street</td>
<td>City: Logan</td>
<td>State: UT</td>
</tr>
<tr>
<td>Phone: (435) 765-4321</td>
<td>Fax: (435) 765-1234</td>
<td>Email: <a href="mailto:middleschool@schooldistrict.com">middleschool@schooldistrict.com</a></td>
</tr>
<tr>
<td>ATTN: Sponsored Programs Accounting</td>
<td>Utah State University Controller's Office</td>
<td>2400 Old Main Hill</td>
</tr>
</tbody>
</table>

**Invoice Number:** 01  
**Invoice Date:** 03/31/2013  
**USU Subaward Number:** 12005816

**Project Title:** USU STARS! GEAR UP FY 14

**Period of Invoice:** 03/01/13 - 03/31/13

**Subaward Expenditures**

<table>
<thead>
<tr>
<th>Description</th>
<th>Current</th>
<th>Cumulative</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>$ 2,530.00</td>
<td>$ 17,652.23</td>
</tr>
<tr>
<td>Benefits</td>
<td>$ 757.00</td>
<td>$ 4,562.65</td>
</tr>
<tr>
<td>Travel &amp; Prof. Dev.</td>
<td>$ 1,065.00</td>
<td>$ 5,625.35</td>
</tr>
<tr>
<td>Other Direct Costs</td>
<td>$ 1,597.00</td>
<td>$ 1,597.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$ 9,949.00</strong></td>
<td><strong>$ 29,437.23</strong></td>
</tr>
</tbody>
</table>

**Cost Share**

<table>
<thead>
<tr>
<th>Description</th>
<th>Current</th>
<th>Cumulative</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>$ 587.52</td>
<td>$ 16,832.59</td>
</tr>
<tr>
<td>Benefits</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel &amp; Prof. Dev.</td>
<td>$ 3,526.25</td>
<td>$ 3,526.25</td>
</tr>
<tr>
<td>Other Direct Costs</td>
<td>$ 1,183.04</td>
<td>$ 9,865.14</td>
</tr>
<tr>
<td>Indirect Costs</td>
<td>$ 153.61</td>
<td>$ 1,187.26</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$ 1,924.17</strong></td>
<td><strong>$ 31,411.25</strong></td>
</tr>
</tbody>
</table>

I certify to the best of my knowledge and belief that all expenditures reported are for appropriate purposes and in accordance with the agreement set forth in the proposal and subaward documents.

John Doe, District Accountant

**Name, Title**  

**Signature**  

**Date:** 03/31/2013  

**Revised:** 01/2014
USU STARS! GEAR UP
Conference Travel Guidelines

To provide adequate program supports, improve budgeting, allow additional travel funds to support student representatives, and increase exposure to the GEAR UP program, the following conference travel is allowed:

**Administrative Team**

Project Directors – National and Capacity Building annually

Program Coordinators – Capacity Building or National; GEAR UP West annually

Business Assistants – as approved by Project Director

Data Analysts – National or Capacity Building; GEAR UP West annually

Staff Assistants/Students – as approved by Project Director

Administrative teams also should consider attending other conferences that are a better fit for project needs (First Year Experience, Budget, etc.) instead of either the Capacity Building or national conference.

**Education Partners**

Site Coordinators – Capacity Building, National or GEAR UP West (Total of 7 conferences across all projects)

Administrators, Counselors, Teachers – Capacity Building, National or GEAR UP West (1 conference per person across all projects; individual can return to conference with approval of Project Director after 5 years and if covered by new grant)

Students – as needed (1 per person) accompanied by one chaperon that is either a parent of teacher who has not previously attended a GEAR UP conference.

While Site Coordinators and school administrators are encouraged to attend conferences to gain skills and awareness of GEAR UP, we do expect all schools to treat travel as with all GEAR UP expenditures and keep expenses necessary and appropriate. Schools are not to send representatives to multiple conferences in a year without approval of project coordinators. Conferences can be helpful in getting buy in from school administrators and learning best practices; approval for an administrator, teacher, or counselor to attend a conference more than once in the grant cycle must be approved by project directors. Schools should each consider if funds would be better used providing direct services to students, and administrators, counselors, and teachers should plan on attending regional or state professional development opportunities over the National conference or Capacity Building and should consider conferences that might be more fitting to school needs.

Regarding travel procedures, USU STARS! GEAR UP follows USU policy, but defers to district policy for all schools and coordinators. USU Travel Procedures may be found at: https://travel.usu.edu/travel_procedures
SECTION 6:
IN-KIND MATCH & COST SHARE TRAINING

In This Section

★ Cost Share Training
Cost Share Training

USU STARS! GEAR UP Cost Share Training

Understanding Match: GEAR UP grants require a dollar-for-dollar match, meaning that for every dollar of federal grant money spent on the project, the grantee must find an equal dollar amount of match in the form of state, local, or donated funds. The intent of the match is to build capacity within a community that supports and sustains the creation of a college-going culture, whether or not grant money is available. Matches should be developed as ongoing, sustainable efforts, not just isolated efforts. Generally, match is something you are already doing, such as tutoring, counseling, or engaging with parents and community partners, it just needs to be documented.

It is the grantee's job to generate and document this match with the same care and attention to accuracy, accountability, and timeliness as documenting the use of federal grant funds. For every dollar GEAR UP spends of the federal allotment, we need to contribute an equal state share. If we cannot identify sufficient matching funds to meet the program goals, we have to reduce our program expenditures by an equal amount. As a project as a whole, if the non-federal share (in-kind) is not met, we may have to cut back on the program. If a sub-grantee does not meet the match requirement, they could have their federal funds reduced, or their award could be terminated. Thus, meeting the in-kind match is critical to the success and sustainability of GEAR UP.

Definition of Match: “Match” is a general term that refers to goods, services or cash donated to the project, regardless of who paid for them. In the case of GEAR UP grants, it means the non-federal share of program costs. If your organization purchased the goods or services but did not request reimbursement from the grant, then the generic term “match” applies. If another person or organization donated the goods or services, then both the generic term “match” and the more specific term “in-kind” apply. Matching follows the same rules as the money you spend on GEAR UP. Your matched goods and services must be allocable, allowable, and reasonable.

Definition of In-kind: “In-Kind” refers to non-cash contributions of goods or services made by third party individuals or organizations to GEAR UP Projects. Examples of in-kind include work done by unpaid volunteers in support of GEAR UP, fee waivers, and donations of supplies, facilities, or equipment. Qualifying in-kind contributions must be necessary to accomplish program activities, verifiable, and only allowable if the grantee could legitimately pay for them.

In-kind match follows the same rules as the money you spend on GEAR UP. Your in-kind match must be allocable, allowable, and reasonable.

GEAR UP Match Requirement: GEAR UP grants require a $1.00 match for each $1.00 of grant funding, unless otherwise specified in your sub-award. The school district’s match requirement must be met during the fiscal year. You cannot “catch up” later. The district may also exceed the required match amount without penalty. Most do, which demonstrates a firm commitment to creating and sustaining a college-going culture within their communities. Match can be audited at any time, just the same as any other expenditure in your grant.

Match Qualifications:

How to Meet the Required Match: Collecting and documenting match on an ongoing basis is wise, efficient, and much less stressful than attempting to catch up or go back and document it. When collected as part of the day-to-day program, it is easier to record accurately and monitor regularly. Breaking down a grant’s match requirement on a monthly basis makes it manageable and attainable.

Grantees may choose to assign a staff person or team to coordinate the match. School staff must receive Match Allowability and Documentation Training to be eligible to document time as in-kind match. Some find it helpful to create match binders or folders for staff to keep with them as they do their GEAR UP work. Having the information and forms on hand makes it easier to collect match documentation as it occurs.

When considering whether or not goods or services qualify as allowed match, refer to the Common GEAR UP Costs section in Section 3: Expenditure & Reimbursement Procedures. If it is an allowable expenditure, it is
Also an allowable match item. Generally, to determine if a good or service qualifies as match, you should ask yourself,

- Could I pay for this item or service using my federal GEAR UP funds?
- Is it legal and ethical?
- Does it pass the "headline test"? (Would you want this to be reported in newspapers?)
- Remember that if an expense is unallowable for reimbursement, it is not allowable as match.

Other Federal Funds. Match cannot be claimed from other sources/programs that are federally funded. In other words, if you receive other federal grants, any good or service obtained with those funds cannot be used as match to the GEAR UP program.

Match can be counted only once. If you have more federal grants, you can only count a match contribution once. Additionally, if you partner with another federal program, and provide goods or services jointly, and both programs are collecting match, you must determine which program gets the match - you may split it out and share it, or one program may use it. If you have more than one grant that requires match, you cannot move match from one project to another. Each must be documented separately and the match must be used for the grant for which it was contributed.

Donations may be counted as match, but discounts cannot. Discounts cannot be counted towards match. For example, if you order student planners and they give you the planners at 25% off volume discount, you cannot count the 25% discount as match. However, if you purchase one hundred planners and they give you ten free, you can count the ten free planners' value as match.

Volunteer Services: Volunteer services are paid at the rates specified on the Volunteer Certification Match Form. Generally the lower volunteer rate will apply, unless the volunteer is functioning in his/her official capacity. For example, a parent who helps set up for the college fair will be matched at the lower volunteer rate. That same parent who makes a presentation regarding his work as a chemist for career days might be matched at the higher professional rate. Volunteer rates exceeding the two standard rates, e.g., other, need to be valued at what you would pay for the service not at the individuals' wages. When documenting a person's service, it should be valued at the rate of what someone would ordinarily be paid to do the work rather than the contributor's actual paid wage. If the organization has no one doing similar work, then the value needs to be consistent with what is paid for that type of work in the local area. Retain supporting documentation on how the rate was determined.

Teacher & Other Staff Time

All paid school district teachers and staff must use the "In-Kind Match Contribution of Teacher or School Staff Time and Effort Report" form to document their time as match.

Teacher and other school staff time may be counted as in-kind match IF it meets these criteria:

1. The in-kind match time must support the goals and objectives of GEAR UP and be in addition to the general tasks expected of a teacher or school staff. For example:
   - If a teacher is teaching Finance in the classroom curriculum or other college readiness curriculum, the total time spent preparing the curriculum outside of the regular contract day can be counted as match.
   - If a teacher volunteers time beyond their regular contract day to participate in a GEAR UP sponsored activity, that time can be counted as match. Staff time spent on GEAR UP activities during or outside of the contract day can be counted as match.
   - Teacher time attending GEAR UP sponsored professional development may be counted as match, regardless of whether or not it is during or outside of their regular contract day. Schools must
choose whether they want to match the teacher’s time or the substitute teacher’s time.  
Administration (building and district) and classified staff time in support of GEAR UP activities always 
count as match regardless of whether the time is on or off contract.

★ School Counselor time may be counted as match when engaged in GEAR UP activities if they are 
categorized by your district as an administrator and not as a certified staff member.

★ All persons providing teacher or staff match time must sign an In-kind Contribution of Teacher or 
Staff Time and Effort Report each month.

2. All time devoted to GEAR UP specific activities can be counted as match at the same rate that person is 
normally paid, including benefits, if they are doing work similar to their regular duties.

3. If staff (not teachers) are participating in activities directly related to GEAR UP during regular school 
hours for which they are being paid, this may count as match as long as these are activities they would 
not normally be doing if the GEAR UP program were not in place.

Field Trips: For teachers, all time spent supervising students outside of a teacher’s normal contract day can be 
counted as match, except that for overnight field trips GEAR UP will assume eight hours of sleep per chaperon 
which cannot be included in the total match hours.

All staff and volunteer time spent supervising students during a field trip may be counted as match, less the eight 
hours designated as sleep time during overnight field trips.

Other Match Items & Notes:

School District Physical Space and Equipment: Use depreciation and cost allowance to value space and equip- 
ment. Please see a copy of the Depreciation and Cost Allowance section from the OMB Omni Circular (2 CFR 200).

Rate Sheet: When documenting volunteer time, spaces, and services, develop a rate sheet to document how you 
determined the value. Many schools and organizations already have established rates. Sometimes you may need 
to do some research to find out the fair market value in your area. Submit your rate sheet at the beginning of 
each grant year to the USU Administrative Team.
SECTION 7:

COMMUNICATION GUIDELINES

In This Section

★ Style Guide
★ Photo Release Guidelines
★ Social Media Accounts
★ Media Outreach/Press Coverage
★ Sample Press Release
★ Sample Media Advisory
★ Talking Points
Style Guide

USU STARS! GEAR UP

The USU STARS! GEAR UP acronym is our official title and is what we want people to know us by. It should be used in communicating any activities—both internally and externally to students, parents and the public. It should always be written in uppercase letters with an exclamation point.

GEAR UP

The GEAR UP part of the above acronym refers to the Department of Education’s nationwide program and should always be written in uppercase letters.

Local Education Agency (LEA)

Districts and schools in the USU STARS! GEAR UP program are referred to internally by the Department of Education as a Local Education Agency, or Local Education Agencies (LEAs) in the plural form.

Site Coordinator

When referring to a specific site coordinator, his/her title should be listed as "[School Name] USU STARS! GEAR UP Site Coordinator." The title should be capitalized immediately preceding or following the regional coordinator’s full name.

Utah State University

The Utah State University (USU) Visual Identity Guide provides a process for ensuring that the university marks are properly used. In addition, it provides acceptable secondary mark uses, the official university color palette, typography, stationary system, and the approval process for all university related marketing and communication pieces.

Photo Release Guidelines

When using photographs of individuals in social media, press releases, promotional materials, and other visual media, it is important to consider if a release/consent form from the photograph’s subjects is required before the photograph is published or otherwise made publicly available.

When a Release is Typically Required

A release is required if students or others are:

- Minors (i.e., anyone under age 18). It is very important to obtain a release/consent form for minors.
- Students or parents, identifiable, and in a location for a specific purpose other than being photographed. For example, if a group of current students is in a camp on the USU campus.
- Subjects/models are the primary focus of a photograph taken in a non-public space, are recognizable, and have been recruited specifically to serve as subjects/models.

Photo release/consent forms should be obtained from subjects/models in instances where an individual can be identified and is the primary focus of a specific photograph.

Sample release/consent forms in English and Spanish are available at our website and in the forms section of this manual.

Photo Release

Photo Release - Spanish

Questions about the use of photographs for USU STARS! GEAR UP may be directed to Jeannine Huenemann, USU STARS! GEAR UP Marketing Manager, jeannine.huenemann@usu.edu or call 435-797-0234.
Social Media Accounts

Connect with us at:

★ Instagram @usugearup
★ Facebook @usugearup
★ Twitter @usugearup

When using social media (Instagram, Facebook, etc.) in your professional activities, it is important to observe general guidelines and remember basic social media etiquette. The suggestions below are meant to guide you. Broadly speaking, there are three things you need to pay attention to in social media:

★ How you conduct yourself
★ How you interact with others
★ The content you provide

Content: Tips on sharing your activities and successes with us

Social media offers an opportunity to connect and build your community and ours. The best way to use social media is show your students doing activities in the USU STARS! GEAR UP program. The easiest way to do this is to capture exciting learning activities, collaborative projects, and general fun through pictures. Here’s how to start:

★ Catch a picture of your students doing a GEAR UP activity.
★ Make sure to check your school policy about publishing the faces of your students. If that is a concern or a confusion, or if you have students who are camera shy, consider taking dynamic pictures from behind, not showing their faces but their hands doing an activity.
★ Caption the picture with a short description.
★ Add hashtags or handles from this page linking our program and your school.
★ Share Instagram posts directly to your linked Twitter and Facebook accounts.

Post comments and/or pictures on social media sites and use hashtags:

★ #USUGEARUP
★ #MyGEARUPStory #IAmGEARUP and #GEARUPWorks

Final thoughts on social media -- think before you post:

Sharing information with others online can mean that you lose control of it.

Remember the four characteristics of social media:

1. It’s searchable – anyone, anytime, anywhere can find it
2. It’s forever – anyone can find it today, tomorrow, or 30 years from now
3. It’s copy-able – once found it they can be copied, shared and changed
4. It has a global invisible audience – even if your page is private, you can’t tell which friend shares your information. You have no control over what your friends do with it.
Media Outreach/Press Coverage

Reaching out to local media is a great way to increase community awareness of and involvement in your LEA. Inviting the media to events featuring the great work of your students and teachers will allow the community to learn more about your school and the USU STARS! GEAR UP program.

Steps for reaching out to the media:

1. **Write a press release or media advisory:** Choose the format for announcing your event that best suits your needs. Press releases are usually a more general announcement while a media advisory invites the reporters to attend a specific event. In either format, make sure you cover the basic questions (when applicable) of: **Who?** **What?** **Why?** **How?** **Where?** **When?** (highlighting the date, time, and location of the event).

   Designate a spokesperson, someone closely involved with your LEA, such as the site coordinator, to be a media contact, and include a **name, telephone number, and email address**.

2. **Distribute the press release:** Send the press release or media advisory out two weeks prior to an event to area reporters from newspaper, television, and radio. Be sure send the email to a specific person, when available, and to include the press release or media advisory in the body of the email rather than as an attachment. This will help your email avoid spam filters and reach a person.

   **Tip:** If you or someone involved with your LEA has a relationship with the media or a specific reporter, have that person reach out and/or follow up. Also try reaching out to reporters who have covered your school(s) previously.

3. **Follow up a few days before the event:** Plan to email or call to remind a reporter of what your event is and where it is happening, and how to reach you. This will make it much more likely that your story will be covered. Before you talk to a reporter, prepare a brief recap of the event and why you think that they should interested in it.

4. **On the day of the event:** Prepare for an interview by choosing a few students and advisors that love to talk and are generally outgoing. Get their permission and make sure that you have a signed photo release form on file. Have them wear their school, USU, or GEAR UP shirts. Review talking points and rehearse with them, covering the **Who?** **What?** **When?** **Where?** and **How?** of the event.

   **Tip:** Make sure you have contact information for any journalists that you speak to and be available to answer questions or refer the reporter other contacts in the program, as well as future events/announcements.

5. **Send a thank you:** Writing thank you notes to members of the media that cover your story and/or attend your event helps you to build and maintain good relationships.

Questions about this process or for help, contact Jeannine Huenemann, USU STARS! GEAR UP Marketing Manager, jeannine.huenemann@usu.edu or call 435-797-0234.
Sample Press Release

FOR IMMEDIATE RELEASE
For more information, please contact:

Name
Phone number
E-mail Address

SCHOOL logo and/or USU STARS! logo

UTAH STUDENTS BUILD ELECTRIC CARS

CITY, UT (DATE) – Name of Your School is partnering with USU STARS! GEAR UP to build a Greenpower electric car. After building the race car, schools will then compete in the Greenpower Invitational for the title of best single seat electric car in Utah.

The process begins by having a good idea for a car and then turning that idea into a great design. Students involved in the Greenpower project will not only use Siemens 3D Solid Modeling software to design their car, but also learn the process of how to design something before building it. This experience allows students to see how engineering works using real-world applications.

After the design process is completed, it’s time to build the car. Students work as part of a team as they see how everything they designed comes together physically. Through trial and error, they will then learn how electric cars are built and see the car they imagined can become a reality.

Once race car is built, schools will come together at the USU STARS! GEAR UP Greenpower Invitational where teams compete to see whose cars perform the best. This allows students from all over the state a chance to see an application of all their hard work.

The Greenpower education initiative event site coordinator for Name of Your School expects more than Insert Number students to participate with the help of Insert Number volunteers and other partners from the USU STARS! GEAR UP community.

The Utah State University Science Technology Arithmetic Reading Students Gaining Early Awareness and Readiness for Undergraduate Programs (USU STARS! GEAR UP) is a federally funded program with a local focus. By partnering with under-resourced schools in Utah, the program prepares students to attend and succeed in college.

Save the date, Thursday, April 25, 2019, at the Utah Motorsports Campus in Tooele UT and join us for the fastest STEM event around! For more information about the Name of Your School Greenpower education initiative, please contact Name of Site Coordinator and contact info.

Information can be found online at:

http://utahstars.usu.edu/

http://utahstars.usu.edu/greenpower/greenpower-home

####
Sample Media Advisory

SCHOOL logo and/or USU STARS! logo

MEDIA ADVISORY FOR:
ELECTRIC CAR TO RACE ON THURSDAY
Date

For more information contact:
[Name, phone number, email address]

WHAT: We invite you to attend the “fastest” STEM event around! Using the Greenpower education initiative, USU STARS! GEAR UP is bringing together 17 schools together to compete for the title of best single seat, electric car in Utah. This event provides students with real world applications for the concepts they learn in the classroom.

Students from around the state have worked hard throughout the year designing, building, and testing their Greenpower electric cars. The program helps students:

★ Learn real-world design applications such Siemens 3D Solid Modeling software
★ See their designs become reality by building what they created
★ Experience the satisfaction of racing what they built

WHO: Name of Your School USU STARS! GEAR UP program
WHERE: Utah Motorsports Campus, Tooele UT
WHEN: Thursday, April 25, 2019, 9:00 a.m. – 3:00 p.m.

USU STARS! GEAR UP stands for Utah State University Science Technology Arithmetic Reading Students Gaining Early Awareness and Readiness for Undergraduate Programs. The program works with local communities across the state to provide fun and exciting projects that help inspire students to learn math and engineering concepts while preparing them for the global workforce. The ultimate goal of the project is to enhance student readiness for college and create a college-going culture in Utah.

For more information about the Name of Your School USU STARS! GEAR UP Greenpower education initiative, please contact Name of Site Coordinator and contact information.

Information about the program can be found online at:
http://utahstars.usu.edu/
http://utahstars.usu.edu/greenpower/greenpower-home

####
Talking Points

When talking to media and others, consider weaving your local story, experience, and numbers into one or more of the following talking points. This helps connect USU STARS! to the national GEAR UP effort.

**GEAR UP is a competitive grant program of the U.S. Department of Education**
GEAR UP increases the number of low-income, minority, and first-generation students who are prepared to enter and succeed in postsecondary education.

**GEAR UP Is Community-Based**
GEAR UP provides services at high-poverty middle and high schools. The program unites the entire community in a responsive, creative and research-based effort to get entire classrooms of low-income, minority and disadvantaged children and their families, ready for higher education.

**GEAR UP Leverages Local Resources**
Because GEAR UP is built around public-private partnerships, it enlists resources of government, industry, business, labor, community groups and places of worship alike, in the cause of helping low-income students prepare, enter and succeed in college.

**GEAR UP Is Cohort-Based**
GEAR UP works with entire grade levels, and whole schools, supporting low-income students and their families, starting no later than the 7th grade, through 12th grade, and into first-year college.

**GEAR UP Is Research-Based**
GEAR UP helps local school systems improve student achievement by providing them with resources, training and expertise to use the most effective and evidence-based interventions.

**GEAR UP Provides Critical Early College Awareness and Support Activities**
The program includes interventions such as tutoring, mentoring, rigorous academic preparation, financial education and college scholarships to improve access to higher education for low income, minority and disadvantaged first-generation students and their families.

**GEAR UP Works**
The program now serves more than 580,000 low-income, minority and disadvantaged students nationwide in 42 states, the District of Columbia, and three U.S. Territories.

**USU STARS! GEAR UP**
Utah State University Science Technology Arithmetic Reading Students (USU STARS!) received its first GEAR UP seven-year grant in 2012, and has since been awarded two additional seven-year grants in 2015 and 2017. The program partners with schools having higher percentages of low-income, minority or disadvantaged students, having helped over 10,417 students in 25 schools to date. Currently 7,400 middle and high school students are benefiting from services across Utah.

Funding for USU STARS! GEAR UP is around $6.8 MM annually across all three grants, totaling $47.2 MM over seven years with an equal amount of matching funds provided by the local Utah community. This works to leverage local communities’ assets to enhance students’ academic achievement and college readiness in preparation for realizing their education and career goals.
SECTION 8:

ADDITIONAL FORMS & RESOURCES

In This Section

★ Match Contribution of Goods Statement
★ Monthly Match Summary Form
★ Volunteer Certification Match Form
★ In-Kind Match Form – School Staff
★ Expenditure Detail Form
★ Invoice
★ Parent/Guardian Activity Sign-In Sheet
★ Professional Development Sign-In Sheet
★ Student Activity Sign-In Sheet
★ Student & Parent/Guardian Activity Sign-In Sheet
★ Medical Release Form
★ Media Release Form (Spanish)
★ Risk Assessment
MATCH CONTRIBUTION OF GOODS STATEMENT

When you receive an in-kind donation of goods this form must be completed and signed by the donor.

LEA: __________________________ School: __________________________

Contributor’s Name or Organization: ______________________________________

Address: __________________________________________

City: __________________________ State: _____ Zip: __________

Phone Number: __________________________ Fax Number: __________________________

<table>
<thead>
<tr>
<th>Type of Expense</th>
<th>Date</th>
<th>Description of Goods Contributed</th>
<th>Number of Items</th>
<th>Cost per Item</th>
<th>Value</th>
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<td>Travel</td>
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| TOTAL |       |                                   |                |              |       |

The information provided on this form is an accurate estimate of the goods and/or services I have provided to USU STARS! GEAR UP.

Contributor’s Signature: __________________________ Date: __________________________

I hereby certify, UNDER PENALTY OF PERJURY under the laws of the State of Utah, that the foregoing is true and correct.

______________________________  __________________________  __________________________
Site Coordinator’s Name  Signature  Date
MONTHLY MATCH SUMMARY FORM

Complete this form each month. For each donor listed, a copy of each “Match Contribution of Goods Statement,” “Volunteer Certification Match Form,” or “In-Kind Contribution of Teacher or School Staff Time and Effort Report” must be attached and submitted. Schools should retain the originals of all forms.

LEA: ___________________________ School: ___________________________

Month: ________________ Year: __________

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<tr>
<th>Type</th>
<th>Contributor</th>
<th>Amount</th>
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TOTAL
VOLUNTEER CERTIFICATION MATCH FORM

The value of volunteer services may be considered as part of the GEAR UP cost sharing commitment. Please fill out this form as it relates to activities performed by a volunteer to assist in the work associated with USU STARS! GEAR UP. Volunteer and Site Coordinator signatures are required.

Section 1: To be completed by the volunteer

Name of Volunteer: ___________________________ Hours of Volunteer Service: ________
Address: __________________ City: __________________ State: ______ Zip: ____________
Phone: __________________ Fax: __________________ Email: __________________

Description of Volunteer Activities: ________________________________________________
________________________________________________

The information provided on this form is an accurate estimate of the services I have provided to USU STARS! GEAR UP.

Volunteer’s Signature: ___________________________ Date: ____________

Section 2. To be completed by the Site Coordinator

LEA: __________________ School: __________________
Address: __________________ City: __________________ State: ______ Zip: ____________
Phone: __________________ Fax: __________________ Email: __________________

Rate used to determine the total value of the Volunteer Services (Please only check one):

☐ $24.39 – Normal Rate
☐ $35.00 – Professional Services Rate. Please provide justification for using this rate: __________________

☐ Other $ _________ Please provide justification for using this rate: __________________

Total Value of Volunteer Services (# of Hours x Rate): $ ________________

I hereby certify, UNDER PENALTY OF PERJURY under the laws of the State of Utah, that the forgoing is true and correct.

_________________________________________ ___________________________ ____________
Site Coordinator’s Name Signature Date

When submitting time to be counted as match, please consider the following:

1. The time must be allocable to GEAR UP
   a. It should be necessary for project success
   b. It should be specific to GEAR UP
   c. For teachers, the time must be outside of any contract or paid hours

2. The time must be allowable
   a. If you couldn’t do it with program funds, you can’t count it as match

3. The time must be reasonable
   a. The kind of time that a prudent person would incur for GEAR UP

If your time meets the above criteria, please submit the following information along with timesheets or other documentation to USU STARS! GEAR UP for inclusion in the match report. USU STARS! GEAR UP will make the final determination on whether the match is allowable.

Revised 7/01/16
## IN-KIND MATCH FORM - SCHOOL STAFF

Directions: School district staff members, who contribute time to GEAR UP, should complete and sign this form. (Refer to the guidelines in Section 6: In-Kind Match and Cost Share Training for qualifying activities). Include on the Monthly Match Summary Form and submit with monthly invoice.

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Position</th>
</tr>
</thead>
</table>

| School Name: | Month & Year: |

<table>
<thead>
<tr>
<th>Day of the Month</th>
<th>Code (See Table)</th>
<th>Number of Hours (Increments of 15 Minutes)</th>
<th>Hourly Rate ($)</th>
<th>Benefit Rate ($)</th>
<th>Total Value (Hourly Rate + Benefit Rate) x # of Hours</th>
<th>Notes</th>
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</table>

**Please enter salary and benefit rates → $ - $ - $ - Shaded cells auto calculate. Do not enter data.**

|                  |                 |                                           |                |                |                                                      |       |
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|                  |                 |                                           |                |                |                                                      |       |
|                  |                 |                                           |                |                |                                                      |       |

I certify that all time and effort being claimed as in-kind match directly supported the GEAR UP project and GEAR UP students. I have not been compensated by any federal funds for these activities, nor has any of this time been donated as in-kind match for any other program. I hereby certify, UNDER PENALTY OF PERJURY under the laws of the State of Utah, that this information is true and correct.

**For teachers/certificated staff:**

The time donated to conduct these activities occurred outside my normal work duties, beyond my normal contract day.

**For GEAR UP paid staff:**

The time documented is beyond paid GEAR UP time.

<table>
<thead>
<tr>
<th>Contributor’s Signature:</th>
<th>Date:</th>
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</table>

<table>
<thead>
<tr>
<th>Site Coordinator / Supervisor’s Signature:</th>
<th>Date:</th>
</tr>
</thead>
</table>
## IN-KIND MATCH FORM – SCHOOL STAFF

<table>
<thead>
<tr>
<th>Code #</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Provided information to students and/or families to help students learn about college and/or career opportunities, preparation, and information. May include class activity, job shadow, guest speakers, etc.</td>
</tr>
<tr>
<td>2</td>
<td>Prepared class activity outside of the contracted workday to help underachieving students and/or promote rigor.</td>
</tr>
<tr>
<td>3</td>
<td>Implemented effective prevention strategies to decrease dropout rate.</td>
</tr>
<tr>
<td>4</td>
<td>Chaperoned and/or facilitated a GEAR UP field trip.</td>
</tr>
<tr>
<td>5</td>
<td>Provided job shadow or career opportunity for students.</td>
</tr>
<tr>
<td>6</td>
<td>Tutored or mentored students outside of classroom time.</td>
</tr>
<tr>
<td>7</td>
<td>Prepared students for standardized testing, including SAGE, NAEP, UTIPS, PSAT, SAT, PLAN, EXPLORE, ACT, ASVAB, COMPASS, ACCUPLACER, WIDA, etc.</td>
</tr>
<tr>
<td>8</td>
<td>Provided information about financial aid, including FAFSA and scholarships.</td>
</tr>
<tr>
<td>9</td>
<td>Provided information to students and/or families about the college application process.</td>
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<tr>
<td>10</td>
<td>Prepared students for careers in Math, Science, Engineering, and Technology with specific classroom based activities or career information.</td>
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<tr>
<td>11</td>
<td>Developed family and community partnerships to increase parent engagement.</td>
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<tr>
<td>12</td>
<td>Planned and/or participated in a GEAR UP-sponsored event or meeting.</td>
</tr>
<tr>
<td>13</td>
<td>Participated in professional development which will benefit GEAR UP students.</td>
</tr>
<tr>
<td>14</td>
<td>Provided services for invoicing, in-kind match, budgeting, data collection, or other administrative functions of the GEAR UP grant.</td>
</tr>
</tbody>
</table>
If additional lines are needed use additional sheets, or expenses may be submitted on a spreadsheet that follows the format of this form. Each expense must have a matching, detailed receipt, time card, or other documentation.

<table>
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<tr>
<th>Vendor Name</th>
<th>Purpose/Reason For Expenditure</th>
<th>Date</th>
<th>Amount</th>
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INVOICE

LEA: ___________________________ School: ___________________________

Address: ____________________ City: ____________________ State: _____ Zip: __________

Phone: _______________ Fax: _______________ Email: __________________

ATTN: Sponsored Programs Accounting
Utah State University Controller’s Office
2400 Old Main Hill
Logan, UT 84322-2400

Project Title: ___________________________

Period of Invoice: __________ - __________

Start Date: __________ End Date: __________

Subaward Expenditures

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<th>Current</th>
<th>Cumulative</th>
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<td>Salaries</td>
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<td>Benefits</td>
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<td>Travel &amp; Prof. Dev.</td>
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<td>Other Direct Costs</td>
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<td>Indirect Costs</td>
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Total __________________

Cost Share

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<td>Benefits</td>
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<td>Travel &amp; Prof. Dev.</td>
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<td>Other Direct Costs</td>
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<td>Indirect Costs</td>
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Total __________________

I certify to the best of my knowledge and belief that all expenditures reported are for appropriate purposes and in accordance with the agreement set forth in the proposal and subaward documents.

Name, Title

__________________________

Signature

__________________________

Date
Write legibly your full name, student’s name, and their grade level. If you have more than one student enrolled, list each student on a separate line. If more than one parent is in attendance, include names for both parents.

Activity: ________________________________ Date: __________

<table>
<thead>
<tr>
<th>Parent/Guardian Name</th>
<th>Student Name</th>
<th>Grade</th>
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Attach additional sheets if necessary.
PROFESSIONAL DEVELOPMENT SIGN IN SHEET

Write legibly your full name, school, and subject(s) & grade(s) taught, or position held.

Activity: ____________________________ Date: ____________

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<tr>
<th>Name</th>
<th>School</th>
<th>Subject(s) &amp; Grade(s)/Position</th>
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**STUDENT ACTIVITY SIGN-IN SHEET**

Write legibly your full name and grade level.

<table>
<thead>
<tr>
<th>Student Name</th>
<th>Grade</th>
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**Activity:**

Date:
STUDENT & PARENT/GUARDIAN ACTIVITY SIGN-IN SHEET

Write legibly your full name, student's name, and student's grade level. If more than one student is accompanied by a
parent/guardian list each student on a separate line. If two parents are with one student, include both parent names.

<table>
<thead>
<tr>
<th>Activity:</th>
<th>Date:</th>
<th>Parent/Guardian Name</th>
<th>Student Name</th>
<th>Grade</th>
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I hereby release to USU STARS! GEAR UP, its agents, and employees all rights to exhibit this work publicly or privately, including postings to program web pages and to market and sell copies. I waive any rights, claims, or interests I may have to control the use of my identity or likeness in the photographs, digital images, video or film and agree that any uses described herein may be made without compensation.

Name: ____________________________________________ (please print)

Address: _________________________________________ Phone: _________________

City: ___________________________ State: _____ Zip: ________________

Email: ____________________________

Signature: ____________________________ Date: ________________

Parent/Guardian Name: ____________________________________________ (please print)

Signature: ____________________________ Date: ________________

Parent/Guardian signature is required if under the age of 18
Publicación de Fotografías

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**Nombre:** ____________________________________________  
* (por favor imprime)

**Dirección:** _____________________________ Teléfono:__________

**Ciudad:** _____________________________ Estado: _____ Código Postal: ______

**Correo Electrónico:**____________________________

**Firma:** _____________________________ Fecha:__________

**Nombre de Padre/Guardián:** ____________________________  
* (por favor imprime)

**Firma:** _____________________________ Fecha:__________

*Firma de Padre/Guardián es necesario si menor de 18 años*
USU GEAR UP A-Team Risk Assessment Guide (Step by Step)

Effective risk management is becomingly increasingly important in today’s regulatory environment. Federal and state agencies expect that grantees have a good understanding of their risk profiles and have implemented the appropriate governance structure to mitigate their risks.

Conducting an annual risk assessment can allow an organization to obtain a holistic view of the risks it faces, allowing management to identify these risks and capitalize on opportunities.

As the recipient of a federal grant, Utah State University GEAR UP Administrative Team (USU GEAR UP) conducts annual risk assessments of its GEAR UP sub-awardees and vendors. Below is the process for how USU GEAR UP conducts the annual risk assessments.

1. **Identify a Sub-awardee’s Risks**

   Consider what you define risk to be. A common definition of risk is any event that negatively influences an organization’s ability to achieve GEAR UP goals.

   Risks affect an organization’s ability to survive, successfully meet federal and state regulations, and maintain its financial strength and positive public image as well as the overall quality of GEAR UP products, services and people.

   USU GEAR UP evaluates the following components in the Annual Risk Assessment.

   - 1. Program Activities as outlined in the Annual Workplan
   - 2. Finance/Budget
   - 3. Data Submission/Data Quality

2. **Identify Risk Owners**

   For each of the risks categories listed above, USU GEAR UP identifies the most appropriate person to monitor and manage those risks - in other words, the risk owner(s). The risk owner is responsible for assessing risks and identifying associated controls. This role is also responsible for implementing and maintaining appropriate controls within its associated area of responsibility, and for reporting breaches of controls or risk appetite. This person is most often the GEAR UP Site Coordinator.

3. **Identify the Controls to Mitigate & Reduce Risks**

   Working with the risk owners, USU GEAR UP will identify current controls that are in place to mitigate and/or reduce risk. Each control should also be assigned an owner or responsible party. This can be a functional responsibility, instead of an individual or specific person.

4. **Assess Risk Potential and Impact**

   An organization’s risk appetite is based on its own evaluation of the tradeoff between risk and return. Assessing the overall impact and likelihood of risk can aid USU GEAR UP in determining whether the sub awardee/vendor is operating within its stated risk appetite and should accept, reject or reduce risk. Working with the risk owners, USU GEAR UP evaluate each of the risks in the risk library, based on:

   - Overall Impact or Significance - How big of an impact would this risk have if it were to occur? This impact should be considered, taking into account the mitigating impact of the risk controls and monitoring of risk controls.
**Risk Assessment (Con’t.)**

- **Likelihood** - Consider how likely it is that this risk would actually occur after the mitigating effects of the risk controls. The evaluation of each risk can be on either a quantitative or qualitative basis, dependent on the availability of information or the confidence in approach.

5. **Administrative Follow-up**

   USU GEAR UP will develop a unique follow-up plan for each sub-awardee/vendor based on risk rankings. If necessary, USU GEAR UP will devote resources where needed.

6. **Assessments will be Revisited Annually**

   Assessments will be completed on an annual basis for each subawardee/vendor.

The risk assessment is a living process and should be conducted on at least an annual basis, and certainly more frequently if there has been a substantial change in the sub-grantees/vendors risk profile. Additionally, it is a valuable exercise to re-visit the sub-grantees/vendors risk library annually, as risks and definitions may develop and change from year to year.

Risk assessment allows USU GEAR UP A-Team to assess the sub-grantees/vendors risks and controls and devote resources where needed. Evaluating the financial impact and likelihood of each risk can be helpful when prioritizing the sub-grantees/vendors risks. Identifying risk and control owners helps to clarify roles and responsibilities in the company and promotes accountability.

The risk assessment process is ongoing and should be revised over time. It can take several iterations before you have a complete picture of the sub-grantees/vendors risks and truly understand the controls and processes that mitigate them. The outcome of the process gives USU A-Team and grant collaborators a better understanding of the sub-awardees/vendors risk profile and the importance of the control environment in mitigating risk.
Risk Analysis Performance Plan Rubric

<table>
<thead>
<tr>
<th>RISK FACTOR</th>
<th>RISK LEVEL</th>
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<tbody>
<tr>
<td><strong>Risk Level</strong></td>
<td><strong>Low</strong></td>
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<tr>
<td><strong>Timeliness of Invoice Submission</strong></td>
<td>1. Maintain status quo, invoices are due and submitted monthly.</td>
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<td>2. Maintain status quo, invoices are due by the 15\textsuperscript{th} of each month.</td>
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<tr>
<td><strong>Invoice Adjustments/Response Rate</strong></td>
<td>1. Maintain status quo of responding to inquiries or questions within 1 week of first notice.</td>
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<td>2. Maintain status quo of zero missing or unallowable items.</td>
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<td>3. May utilize reduced documentation standard on review and approval by A team.</td>
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<tr>
<td>Risk Assessment Performance Plan Rubric - Finance (1)</td>
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<td><strong>Expenditures are part of approved budget</strong></td>
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<tr>
<td>1. Maintain status quo of requesting approval for unusual or non-budgeted expenses above $3,000.</td>
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<tr>
<td>2. May adjust up to 10% of any budgeted line item with e-mail notification of GEAR UP A team.</td>
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<tr>
<th><strong>Rate of Spending and Match</strong></th>
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<tbody>
<tr>
<td>1. Maintain status quo spending rate of 25% per quarter ±10%.</td>
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<tr>
<td>2. Maintain or exceed rate of match at 25% per quarter.</td>
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<tr>
<th><strong>Risk Assessment Performance Plan Rubric - Finance (1)</strong></th>
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<tbody>
<tr>
<td>1. Any expense over $1000 whether for a single item or in aggregate must have preapproval of the GEAR UP office. Reconsider raising the threshold to $2,000 after 6 months acceptable performance.</td>
</tr>
<tr>
<td>2. Any total expense variance greater than 5% for any budget line item must have approval of the GEAR UP office. Reconsider raising the threshold to 10% per line item after 6 months acceptable performance.</td>
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<th><strong>Risk Assessment Performance Plan Rubric - Finance (1)</strong></th>
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<tr>
<td>1. Any expense over $500 whether for a single item or in aggregate must have preapproval of the GEAR UP office. Reconsider raising the threshold to $1,000 after 6 months acceptable performance.</td>
</tr>
<tr>
<td>2. Any total expense variance greater than 5% for any budget line item must have approval of the GEAR UP office. Reconsider raising the threshold to 10% per line item after 6 months acceptable performance.</td>
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<tr>
<td>3. No GEAR UP funded out of state student travel, either entirely or in part, for at least one year.</td>
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<tr>
<td>4. As much as possible, the 2017-18 (Grant Year 6) budget must detail every salary, benefit, expense, trip, and professional development cost as a separate line item.</td>
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<tr>
<th><strong>Rate of Spending and Match</strong></th>
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<tr>
<td>1. Bring quarterly rate of spending closer to 25% (±1%) of allocated sub-award. Reconsider expanding leeway at ±2% after 1 year’s acceptable performance.</td>
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<tr>
<td>2. Quarterly conference calls with GEAR UP, Partner School, and District Finance to review and track spending and match. Reconsider to quarterly conference calls after 6 months of meeting performance goal.</td>
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<th><strong>Rate of Spending and Match</strong></th>
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<tr>
<td>1. Bring quarterly rate of spending and match to 25% (±5%) of allocated sub-award. Reconsider expanding leeway to ±10% after 1 year’s acceptable performance.</td>
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<tr>
<td>2. Monthly conference calls with GEAR UP, Partner School, and District Finance to review and track spending and match. Reconsider to quarterly conference calls after 6 months of meeting performance goal.</td>
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Risk Assessment Performance Plan Rubric - Finance (1)