

WEST VIRGINIA HIGHER EDUCATION POLICY COMMISSION

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REQUEST FOR PROPOSALS RFP NO. 22079

GEAR UP EVALUATION SERVICES

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Exhibits:

Exhibit A	Title Page
Exhibit B	Agreement Addendum (Form WV-96)
Exhibit C	Request for Taxpayer Identification Number and Certification (IRS Form W-9)
Exhibit D	Purchasing Affidavit

Appendices:

Appendix 1	WV GEAR UP Grant Narrative, Abridged Version
Appendix 2	GEAR UP Annual Performance Report
Appendix 3	List of WV GEAR UP Schools

Questions will be received until October 14, 2021 at 5:00PM EDST

Proposals will be received until October 27, 2021 at 3:00PM EDST

REQUEST FOR PROPOSALS

RFP #22079

SECTION 1: GENERAL INFORMATION AND STANDARD TERMS AND CONDITIONS

1.1 Purpose:

The purpose of this RFP is to retain the services of an external evaluation service provider to establish a framework or model to evaluate the impact of West Virginia's GEAR UP (WVGU) program on students, families, teachers and other relevant persons.

1.2 Schedule of Events:

Release of RFP: October 1, 2021
Question Deadline: October 14, 2021
Addendum/Response to Questions: October 18, 2021
Proposal Due Date: October 27, 2021 by 3:00pm EDST
Target Award Date: November 12, 2021

1.3 Bidder's Point of Contact: The sole point of contact for questions, clarification and inquiries concerning this Request for Proposal (RFP) is:

Mary Blashford
Director of Procurement
1018 Kanawha Blvd., E
Suite 700
Charleston, WV 25301
E-mail: mary.blashford@wvhepc.edu
Phone: 304-553-1813

A Bidder, or anyone acting on the Bidder's behalf, may not make any contact whatsoever with any member of the Evaluation Committee concerning the requested services, terms or conditions set forth in the in the RFP. Violation of this clause may result in the rejection of the bid.

1.4 Posting of Information: This RFP and any addenda, including answers to questions, will be posted to the website below. It is the vendor's responsibility to check this webpage for current information regarding this RFP.

<http://www.wvhepc.edu/resources/purchasing-and-finance/>

1.5 Questions and Answers: Questions concerning this RFP will be received in writing, via e-mail, by the point of contact, until the deadline identified in Section 1.2. When submitting questions, please reference RFP 22079 in the subject line. Questions, if any, will be answered by addendum and posted to the webpage identified in Section 1.4 above.

1.6 This RFP may contain mandatory provisions identified by the use of the words “must, will and shall”. Failure to comply with a mandatory term in the RFP will result in bid disqualification.

1.7 Proposal Format: Vendor should provide responses in the format listed below:

1.7.1 Two-Part Submission: Vendors should submit proposals in two distinct parts: Technical and Cost. Technical proposals should not contain any cost information relating to this project. Cost proposals must contain all cost information and should be sealed in a separate envelope from the technical proposal.

1.7.2 Title Page: The Title Page includes the RFP Number, Addenda Received check boxes, the Bidder’s business name, business address and telephone number, a contact name and e-mail address, and includes a signature line and date for the individual authorized to obligate the business. See Exhibit A.

1.7.3 Table of Contents: Clearly identify the material by section and page number.

1.7.4 Response Reference: Vendor’s response should clearly reference how the information provided applies to the RFP request. Vendor should reference the section of the RFP that the information provided in the bid is referencing.

1.8 Proposal Submission: Deliver one (1) original and four (4) copies of the proposal on or before the date required in Section 1.2. The outside of the envelope should be clearly marked with the RFP number, the bid opening date/time, and the Director of Procurement’s name and address.

NOTE: ALL PRICES SHOULD BE PROVIDED IN A SEPARATE SEALED ENVELOPE LABELED AS PRICING INFORMATION.

In addition, a digital copy of the proposal should be submitted; the preferred method for submission of the digital copy is by flash/thumb drive which should be included with the original bid.

PROPOSALS RECEIVED AFTER THE DUE TIME AND DATE WILL NOT BE CONSIDERED. IT IS THE BIDDER’S SOLE RESPONSIBILITY TO ENSURE TIMELY DELIVERY OF THE PROPOSAL.

1.9 Proposals shall remain in effect ninety (90) days from the submission date.

1.10 Conflict of Interest: By signing the proposal, the bidder affirms that it and its’ officers, members and employees have no actual or potential conflict of interest, beyond the conflicts disclosed in its’ proposal. Bidder will not acquire any interest, direct or indirect, that would conflict or compromise in any manner or degree with the performance of its services under this contract. If any potential conflict is later discovered or if one arises, the bidder must disclose it to the West Virginia Higher Education Policy Commission (WVHEPC) promptly.

1.11 Independent Proposal: A proposal will not be considered for award if the price in the proposal was not arrived at independently, without collusion, consultation, communication or agreement as to any matter relating to such prices with any other offer or with any competitor.

1.12 Exceptions and Clarifications: By submitting a proposal in response to this RFP, a firm shall be deemed to have accepted all the terms, conditions, and requirements set forth in herein unless otherwise clearly noted and explained in writing. Any exception(s) or additional terms and conditions a firm wishes to offer for consideration should be clearly itemized and explained. Otherwise, the RFP in total shall be incorporated into the contract by reference. The state may accept or reject the Firm's proposed exceptions as it deems appropriate and in the best interests of the Systems.

The State's Agreement Addendum (WV-96) is attached to demonstrate the State law and guidelines which must be adhered to in any contracts presented to the Systems for execution See Exhibit B.

1.13 Rejection of Proposals: WVHEPC shall select the best value solution according to the evaluation criteria. However, the Director of Procurement reserves the right to accept or reject any or all proposals, in part or in whole at his discretion. The Director reserves the right to withdraw this RFP at any time and for any reason. Submission of, or receipt by the Director confers no rights upon the Bidder nor obligates WVHEPC in any manner.

1.14 Expenses: Neither WVHEPC nor any of its employees or officers shall be held liable for any expenses incurred by any bidder responding to this RFP, including expenses to prepare or deliver the proposal or attend any oral presentation.

1.15 Interviews: Discussions and interviews may be held with Bidders under final consideration prior to making a selection for award; however, the RFP may be awarded without such discussions or interviews. In the event that mutually acceptable terms cannot be reached within a reasonable period with the most advantageous firm, WVHEPC reserves the right to undertake negotiations with the next most advantageous firm, etc., without starting a new procurement process.

1.16 Oral Statements and Commitments: Any oral representations made or assumed to be made during discussions held between the Bidder's representatives and WVHEPC personnel are not binding. Only the information issued in writing and added to the RFP specifications file by an official written addendum are binding.

1.17 Award: It is anticipated that a single contract will be awarded for all services. However, WVHEPC reserves the right to configure the contract in whatever manner is in its' best interests. The price quoted in the bidder's proposal will not be subject to any increase and will be considered firm for the life of the contract unless specific provisions have been provided for adjustment in the original contract.

1.18 Public Record: All documents submitted in response to the RFP and any documents created as a result of this RFP are considered public record. All bids, proposals or offers submitted shall become public information and will be available for inspection during normal business hours at WVHEPC.

The only exception for public record is disclosure information listed in WV Code § 29B-1-4. Primarily, only trade secrets are considered exempt from public disclosure. **We request that you not submit material considered to be confidential, a trade secret or otherwise not subject to public disclosure.**

1.19 Contract: The RFP and the Bidder's response will be incorporated into the contract by reference. The order of precedence is the contract, the RFP and any addendum and the Bidder's proposal in the response to the RFP.

1.20 Contract Release Order (Purchase Order). WVHEPC will provide the Successful Bidder with a formal contract release order as notification to proceed with services. The Successful Bidder may not proceed until it is in receipt of an approved signed contract release order/purchase order.

1.21 Contractor Relationship. The relationship of the Contractor to WVHEPC shall be that of an independent contractor, and no principal-agent or employer-employee relationship is contemplated or created by the parties to this contract. The Contractor, as an independent contractor, is solely liable for the acts and omissions of its employees and agents.

- (a) The Contractor shall be exclusively responsible for selecting, supervising, and compensating all individuals employed pursuant to the terms of this RFP and resulting contract. Neither the Contractor nor any employees or contractors of the Contractor may be deemed to be employees of WVHEPC for any purpose whatsoever.
- (b) The Contractor shall be exclusively responsible for the payment of employees and contractors, including wages and salaries, taxes, withholding payments, penalties, fees, fringe benefits, professional liability insurance premiums, contributions to insurance and pension or other deferred compensation plans, including but not limited to Workers' Compensation and Social Security obligations, and licensing fees, etc. and the filing of all necessary documents, forms and returns pertinent to all of the foregoing.

1.22 Subcontracts and Joint Ventures. The Contractor is solely responsible for all work performed under the contract and shall assume prime contractor responsibility for all services offered and products to be delivered under the terms of this contract. WVHEPC will consider the Contractor to be the sole point of contact with regard to all contractual matters. The Contractor may, with the prior written consent of WVHEPC, enter into written subcontracts for performance of work under this contract; however, the Contractor is responsible for payment of the subcontractor.

1.23 Contract Term: This contract will be effective upon award and shall extend for a period of seven (7) years. By mutual consent of the vendor, the WVHEPC and the Attorney General's Office, the contract may be renewed for an additional one (1) year. The Attorney General's approval is "as to form" only.

1.24 Contract Changes: Any changes to the original contract will be made via a Change Order issued by WVHEPC. No change is official until a signed Change Order is produced.

1.25 Contract Termination for Unavailability of Funds. If funds are not appropriated or allocated for the services provided under this contract, WVHEPC may terminate the contract at the end of the affected current fiscal period without charge or penalty. The Commission shall give the vendor written notice of such non-appropriation or non-allocation of funds as soon as possible after WVHEPC receives notice.

1.26 Contract Termination for Failure to Perform: WVHEPC may terminate the contract resulting from this RFP immediately at any time the vendor fails to meet the terms of the contract.

1.27 Payment of fees will be made upon successful completion of the required services. Progress payments for services satisfactorily completed may be made pursuant to a payment schedule which is deemed satisfactory to WVHEPC and is included in the Bidder's response to this RFP.

1.28 Invoices: The vendor shall submit invoices, in arrears. State law prohibits payment of invoices prior to receipt of services. State law does not provide for interest payments on late payments. Invoices properly prepared and submitted in accordance with the terms and conditions of the contract are usually paid within thirty (30) days.

1.29 Taxes: The State of WV is exempt from federal and state taxes and will not pay or reimburse such taxes.

1.30 Governing Law: This contract shall be governed by the laws of the State of West Virginia.

1.31 Arbitration: Any references made to arbitration contained in the contract or other documents pertaining to this contract are hereby deleted, void and of no effect.

1.32 Subsequent Forms: The terms and conditions contained in the contract shall supersede any and all subsequent terms and conditions which may appear on any form documents submitted by the vendor including price lists, order forms, invoices, sales agreements, or maintenance agreements, and includes internet websites or other electronic documents. Acceptance or use of a vendor's forms does not constitute acceptance of the terms and conditions contained thereon.

1.33 Assignment: Neither this contract, nor any monies due, or to become due hereunder, may be assigned by the vendor without the express written consent of the state and the Attorney General's Office (as to form only).

1.34 Privacy, Security, and Confidentiality: The vendor agrees that it will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the state, unless the individual who is the subject of the information consents to the disclosure in writing.

1.35 Indemnification: The vendor agrees to indemnify, defend, and hold harmless the State, its officers and employees from and against: (1) Any claims or losses for services rendered by any subcontractor, person, or firm performing or supplying services, materials, or supplies in connection with the performance of the contract; (2) Any claims or losses resulting to any person or entity injured or damaged by the vendor, its officers, employees, or subcontractors by the

publication, translation, reproduction, delivery, performance, use, or disposition of any data used under the contract in a manner not authorized by the contract, or by federal or state statutes or regulations; and (3) Any failure of the vendor, its officers, employees or subcontractors to observe state and federal laws including, but not limited to, labor and wage and hour laws.

1.36 Licensing: In accordance with WV Code of State Rules §148-1-6.1.e, vendor must be licensed and in good standing in accordance with any and all state laws and requirements including, but not limited to, the WV Secretary of State Office, the WV Tax Department, West Virginia Insurance Commission, and any other state agency.

1.37 Compliance with Laws and Regulations: The Contractor agrees to comply with the Civil Rights Act of 1964 and all other applicable federal, state, and local laws, ordinances, and regulations.

- (a) The Contractor shall procure all necessary permits and licenses to comply with all applicable laws, ordinances and regulations.
- (b) The Contractor shall pay any applicable sales, use, personal property, and other taxes arising out of this contract and the transactions contemplated therein. Any other taxes levied upon this contract, the transaction, equipment or services shall be borne by the Contractor. It is clearly understood that WVHEPC is exempt from any taxes regarding performance of the scope of work of this contract.

SECTION 2: ELIGIBILITY REQUIREMENTS

2.1 Vendor Registration: WV Code § 5A-3-12. The West Virginia Code requires that all vendors be registered with the WV Department of Administration, Purchasing Division, prior to receiving a purchase order for competitive products and/or services exceeding \$25,000. See <http://www.state.wv.us/admin/purchase/vrc/default.html> for additional vendor registration information.

2.2 Debarment: WV Code §5A-3-33 through §5A-3-33F. Vendors that have been debarred by the federal government are not eligible to offer on or receive contracts to supply goods or services to the state and its subdivision for a specified period of time.

2.3 West Virginia Secretary of State: The vendor must be in compliance with the Secretary of State and should provide a copy of their business license with the proposal. For more information, contact the WV Secretary of State.

2.4 Taxpayer Identification Information: The Internal Revenue Service (IRS) requires the Commission to request a taxpayer identification number (TIN) for tax reporting purposes. IRS Form W9 is used to obtain this information. See Exhibit C.

2.5 Purchasing Affidavit: WV State Code §5A-3-10a. WV State Code requires all vendors to submit an affidavit regarding any debt owed to the State. The Affidavit (Exhibit D) should be completed, signed, notarized, and returned with the bidder's proposal.

2.6 Interested Party Disclosure: WV Code §6D-1-2 requires that a vendor submit a disclosure of interested parties for any contract that is estimated to have a value of \$1 million. That disclosure

must occur on the form prescribed and approved by the WV Ethics Commission prior to contact award.

2.7 In order to assure the integrity of the evaluation and unbiased commentary, no employees of WVHEPC or the West Virginia Council for Community and Technical Education will be considered for award of this contract. Employees of the following West Virginia GEAR UP regional sites will be excluded from consideration: Glenville State College (Central region), Marshall University (Southwestern region), and Southern WV CTC (Southern region). Employees of any other State or Partnership GEAR UP grants will also be excluded from consideration.

2.8 The evaluator must have extensive knowledge of research principles and methodologies as well as experience with data collection and analysis. The evaluator must have experience in collecting, analyzing, and reporting large amounts of data longitudinally.

2.9 The evaluator must demonstrate knowledge of PK-12 education (specifically grades 7-12), knowledge of post-secondary education, and knowledge of how to assess student academic success.

2.10 The evaluator must have experience in evaluating large educational grants and in working with large cohort groups in establishing data collection procedures and protocols.

2.11 WVHEPC requires that all partners ensure equal access and treatment for students, families, and educators in compliance with U.S. Department of Education's General Education Provisions Act (GEPA), Section 427, which requires each federally funded project to ensure equitable access to all program beneficiaries. WVHEPC does not discriminate in access to educational programs and activities on the basis of race, color, national origin, religion, creed, sex, gender identity and expression, political affiliation, age, disability, veteran status, and/or sexual orientation and requires the same of all program partners.

SECTION 3: BACKGROUND INFORMATION

3.1 WVHEPC has been awarded \$24.5 million in federal funding for a seven-year program to help middle and high school students prepare for and pursue a college education. The GEAR UP (Gaining Early Awareness and Readiness for Undergraduate Programs) grant from the U.S. Department of Education will fund programs and services for low-income West Virginia students who have been identified as being at risk of not pursuing an education past high school. Approximately 17,195 students will participate in the project at 50 schools in 11 counties, including Boone, Clay, Lincoln, Logan, Mason, Mingo, Nicholas, Roane, Wayne, Webster and Wirt.

3.2 The WV GEAR UP (WVGU) grant will be implemented through a 7-year hybrid model which will include: 1) services to two cohorts of students, the first cohort beginning in 7th grade in Year 1 and bringing in another cohort of 7th grade students in Year 2; 2) services to priority students provided to 12th grade students each year; and 3) statewide services (additional permissible activities) across the state of WV. WVGU will serve an estimated total of 5,300 cohort students who will receive targeted serves, along with an estimated 11,895 12th grade priority students receiving just-in-time services, such as financial aid counseling, college match

advising, summer bridge programming, and college transition assistance along with assistance in their first year of college. In Years 1 through 5, priority services will be offered to high-need 12th grade students in target high schools in the same local education agencies (LEA) as cohort students. In Year 6, the 12th graders will be cohort students. This hybrid model will allow WVU to build a strong, supportive infrastructure at the postsecondary level in preparation for the cohort student’s entry into higher education, thus strengthening partnership between WVU high schools and postsecondary institutions.

Table 3.2: WVU Hybrid Model – Number of Cohort (C) and Priority (P) Students to be Served

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
7 th Grade	C 2,725	C 2,575					
8 th Grade		C 2,725	C 2,575				
9 th Grade			C 2,725	C 2,575			
10 th Grade				C 2,725	C 2,575		
11 th Grade					C 2,725	C 2,575	
12 th Grade	P 2,420	P 2,400	P 2,375	P 2,350	P 2,350	C 2,725	C 2,575
1 st Yr. of College		P 1,331	P 1,320	P 1,306	P 1,293	P 1,293	C 1,499
Total Served	5,145	9,031	8,995	8,956	8,943	6,593	4,074

3.3 Three postsecondary institutions (Glennville State College in the Central region, Marshall University in the Southwestern region, and Southern WV Community and Technical College in the Southern region) will serve as college partners by hosting on-campus events and by providing technical assistance. A full-time Commission employee known as a GEAR UP Regional Program Director will be housed at each college partner site to assist in program implementation.

3.4 The WVU project will support the rural identities of students and their families so as to cultivate hope through GEAR UP college readiness services that are designed to lead to better life outcomes through increases in three core tenants: 1) academic outcomes, 2) social emotional learning (SEL), and 3) postsecondary education and financial aid outcomes. As such, WVU will implement scaffolded, developmentally appropriate services to cohort and priority students and their families in middle school, high school, and postsecondary education as a part of a comprehensive plan for postsecondary success. This comprehensive plan includes required and allowable services for students, their families, and educators in the identified schools. The innovative services highlight the overall comprehensive plan to support students and their families to achieve postsecondary success, including financial aid for postsecondary education, encouraging student enrollment in rigorous and challenging curricula and coursework to reduce the need for remedial coursework at the postsecondary level, and improving the number of participating students who obtain a secondary school diploma and complete applications for and enroll in a program of postsecondary education, among others. Professional development opportunities will be provided to participating educators, including those focused on students’ social emotional learning and hope, or the belief that a dream is possible and the ability to take steps towards that dream.

SECTION 4: SCOPE OF SERVICES

4.1 The external evaluation service provider shall establish a framework or model to evaluate the impact of the WVGU program on students, families, teachers and other relevant persons. This evaluation model must address the following GEAR UP goals and objectives:

Table 4.1: WV GEAR UP Goals, Objectives, and Outcomes

Goal 1 (National): Increase the academic performance and preparation for postsecondary education for GEAR UP students.			
WV GEAR UP Objectives	Baseline	Goal	Outcome Attained By:
1a: The percentage of GEAR UP students who pass Algebra 1 or its equivalent by the end of ninth grade. [GPRA 1]	84.6%	90%	Year 4
1b: The average daily attendance of cohort students will increase. [Required Program Measure A]	93.1%	95%	Year 4
1c: The rate of students taking at least one Dual Enrollment course will increase. [Project-Specific Measure]	Year 1	5% from baseline	Year 5
Goal 2 (National): Increase the rate of high school graduation and participation in postsecondary education for GEAR UP students.			
2a: The percentage of GEAR UP students who graduate from high school. [GPRA 2]	90.7%	96%	Year 6
2b: The percentage of GEAR UP students and former GEAR UP students who are enrolled at an IHE. [GPRA 4]	47.5%	55%	Year 6
2c: The percentage of current GEAR UP students and former GEAR UP students who enrolled at an IHE and persisted to the second year of postsecondary education at the initial or a subsequent IHE. [GPRA 5]	68.4%	75%	Year 7
2d: The percentage of GEAR UP students promoted on time to successive grade levels. [Required Program Measure B]	99.7%	99.7%	Annually
Goal 3 (National): Increase educational expectations and knowledge of postsecondary options, preparation and financing among GEAR UP students and their families.			
3a: The percentage of GEAR UP students who complete the Free Application for Federal Student Aid. [GPRA 3]	60.7%	67%	Year 6
Objective 4 (WVGU): Increase students' and educators' hope and expectations for students' future postsecondary plans.			
4a: WVGU students will increase hope as reported by the Child Hope Scale. [Project-Specific Measure]	Year 1	5% from baseline	Year 6
4b: WVGU educators, counselors, and administrators will increase students' educational aspirations/expectations of postsecondary options annually. [Required Program Measure C]	Year 1	5% from baseline	Year 6
4c: WVGU middle and high schools will increase their College-Going Culture. [Project-Specific Measure]	Year 1	10% from baseline	Year 7

4.2 The proposed evaluation should take into consideration Table 4.2, which provides an overview of the minimum services to occur throughout the grant and are aligned with the aforementioned objectives and outcomes.

Table 4.2: Services Provided, When, and to Whom to Achieve the Outlined Performance Measures

Minimum Project Services	Cohort Students Year of Service							Priority Students	S - Student F - Family E - Educator	Performance Measures
	1	2	3	4	5	6	7	Annual Services	Audience	
Academic Rigor and High School Graduation										
Academic Planning/Career Advising			•	•	•	•	•	•	S, F	1a, 2a, 2b, 2c
Credit Recovery, Advanced Placement, and Dual Credit Opportunities					•	•		•	S	2a, 2b, 2c
STEM Programming: Computer Science, Coding, and Robotics	•	•	•	•	•				S, E	2a, 2b
Pre-Algebra/Algebra I Support Programming	•	•	•						S	1a
Statewide Student Success Summit, College-Going Culture PD	•	•	•	•	•	•	•	•	S, F, E	1a, 2a, 4c
Tutoring Support	•	•	•	•	•	•	•		S	1a, 2a, 2b
Financial Aid and College Knowledge										
College Access/Success Counseling and College Match			•	•	•	•		•	S, F	2a, 2b, 2c, 3a
College Application and Exploration Week	•	•	•	•	•	•		•	S	2a, 2b, 4c
College Campus Visits and College Decision Days	•	•	•	•	•	•		•	S, F	2a, 4c
College Foundation of WV Workshops for Students, Families, and Educators	•	•	•	•	•	•	•	•	S, F, E	2b, 4c
FAFSA Completion Workshops						•	•	•	S, F	3a
Financial Literacy: Net Worth	•	•	•	•					S	3a
Parent Peer Network		•	•	•	•	•			F	2a, 2b, 2c, 4a, 4c
Parent/Family College Prep Advising and Financial Aid/Literacy Workshops		•	•	•	•	•	•	•	S, F	2a, 2b, 3a, 4a
Postsecondary Enrollment and Success										
ACT/SAT Preparation					•	•		•	S	2a
Bridge, Transition to College, and Retention Programs					•	•	•	•	S, F	2a, 2b, 2c
Spring Career Academy			•	•	•				S	2a, 2b, 4a, 4c
Student Leadership Academy/ Summer Academic/College Prep Academy			•	•	•	•			S	2a, 2b, 4a, 4c
Text 4 Success College Counseling Intervention						•	•	•	S, F	2b, 2c
Hope and Social and Emotional Learning										
HEROs Student Leadership Network (Higher Education Readiness Officers)			•	•	•	•			S, E	2a, 2b, 4a, 4c
Student Success Society: Comprehensive Mentoring		•	•	•	•	•	•		S, F	2c, 4a, 4c
Cultivating Hope and SEL Professional Development	•	•	•	•	•	•	•		S, E	4a, 4b

4.3 In addition to assuring the aforementioned objectives are measured and reported appropriately during the GEAR UP grant period, the evaluation framework should also engage in an evaluation process that is grounded in research questions framed to address both project implementation (the quality and quantity of the project activities and interventions) and impact – the degree to which project impact objectives and goals are achieved. To effectively support both formative and summative purposes, this research-based evaluation should be responsive to change in the project and its context. The evaluation will be grounded in analytics using qualitative and quantitative analytics to measure formative and summative outcomes, including short-, mid-, and long-term outcomes. The logic model that delineates all inputs, services, outputs and outcomes can be found in Table 4.3.1.

The following research questions will address formative evaluation, summative evaluation, and an embedded research study. This, combined with WVGU’s plan to implement targeted, data-driven services, will aim to increase student’s grade point average (GPA) as well as their social emotional learning.

WVGU Research Questions:

1. **Formative Evaluation:** What is the effect of targeted services on increasing academic success as measured by GPA, as a predictor of postsecondary success?
2. **Formative Evaluation:** What is the effect of targeted services on increasing social emotional learning as measured by the evidence-based reading and writing intervention?
3. **Formative Evaluation:** What is the effect of targeted services on increasing social emotional learning as measured by the Hope Scale?
4. **Summative Evaluation:** What is the relationship between students’ Hope Scale score and postsecondary enrollment and persistence?
5. **Summative Evaluation:** What is the relationship between the number of hours spent in GEAR UP activities and postsecondary enrollment and persistence?
6. **Research Study:** What is the effect of an intervention to offer career-pathways for in-demand jobs compared to students who do not receive the intervention?

Table 4.3.2 provides an overview of the elements of the data plan that is meant to operationalize the six research questions.

Figure 4.3.1. WVGU Logic Model

		Inputs	Services	Outputs	Outcomes		
					Short-Term	Mid-Term	Long-Term
Data Sources: Student Information System, Longitudinal GEAR UP Database, Surveys, College Entrance Exams, FAFSA	Students	<ul style="list-style-type: none"> # Students # Low-Income Students Race/Ethnicity Gender First-Generation PS Completion of Parent Student Behavior 	<ul style="list-style-type: none"> Required and Allowable Services Academic Services SEL Services College and Financial Aid Knowledge Services College Transition Serv. Cultivating Hope Student Leadership Reading and Writing Intervention Activity (Borman Evidence) In-Demand College Pathways Intervention (Anderson Evidence) 	<ul style="list-style-type: none"> # Participants # Students Per Activity Hours of Participation # AP/Dual Courses GPA Absences Student Surveys Hope Scale Survey SAT/ACT Score # FAFSA Completions Course Enrollments and Completion 	<ul style="list-style-type: none"> Pass Alg. 1 by 9th Grade ↑ # or % Students GPA ↑ Educational Aspirations of Students ↑ Student and Family Knowledge of PS Preparation/Financing ↑ Educational Expectations of Educators ↑ Middle School GPA (Borman Evidence) ↑ Social Belonging (Borman Evidence) 	<ul style="list-style-type: none"> ↑ Hope of Students ↑ # or % Promoted to Next Grade on Time ↑ # or % Taking Rigorous Curriculum-AP/Dual Enrollment ↑ FAFSA Completion ↑ Rate of HS Graduation ↑ # or % of PS Applications 	<ul style="list-style-type: none"> ↑ PS Enrollment Fall After Graduation ↑ PS Enrollment- 2 yr. or 4yr. ↑ PS Persistence ↑ PS Completion ↑ College-Going Culture in Middle and High Schools ↑ # or % Earning a Postsecondary Credential (Anderson Evidence)
	Schools	<ul style="list-style-type: none"> Graduation Rate Drop-Out Rate Teacher Survey College Going Culture Other PS Access Programs 	<ul style="list-style-type: none"> College-Going Culture Teaching Hope Growth Mindset Expanded Rigorous Academic Programs Student Success Summit 	<ul style="list-style-type: none"> # HS Graduates # PD Opportunities # of Teachers in PD Length of PD College Culture Rubric Teacher Perceptions 			
	Families/Communities	<ul style="list-style-type: none"> Parent Expectations Parent Education Proximity to Institutions of Higher Education 	<ul style="list-style-type: none"> Parent Peer Network Family Workshops Community Partnerships Financial Literacy/Financial Aid Workshops 	<ul style="list-style-type: none"> # Community Partners # Parent Participants Parent Survey # of Parent Programs Hours of Parent Programs 			

Evidence for Social Belonging and In-Demand Career Pathways interventions comes from the What Works Clearinghouse, Institute of Education Sciences, U.S. Department of Education.

Borman et al. (2019). Retrieved from: <https://ies.ed.gov/ncee/wwc/Study/88768>

Anderson et al. (2017). Retrieved from: <https://ies.ed.gov/ncee/wwc/Study/89343>

Table 4.3.2: Elements of the Evaluation Plan

Purpose	Data Types	Timeline	Sample	Data Collection	Analyses	Reporting
Federal GEAR UP Reporting	<u>GPRA Data</u> , Program Measures, Project-Specific Measures, Courses, GPA, ACT/SAT, Promotion, Graduation, FAFSA, Postsecondary (quant.)	Annual	WVGU students, family, staff	SIS, Transcripts, Surveys, NSC	Descriptive statistics	—Annual Performance Report —Final Performance Report
Invitational Priority	Remote Learning and SEL Services	Annual	WVGU students	WVGU students and schools	Descriptive statistics	—Annual Performance Report —Final Performance Report
Competitive Priority (moderate evidence) Includes the Research Study (Research Quest. 5)	—Reading and Writing Intervention for Social Belonging and Academic Readiness (Year 2) —Obtaining College Credentials for In-Demand Jobs (Year 7)	Year 2= Belonging; Year 7= Comm. College/In-Demand Jobs	WVGU students	SIS, Belonging Survey, Services, Student Survey, NSC	Descriptive statistics, Propensity score match, statistical tests, effect size	—Annual Performance Report (Belonging and Academic Readiness) —Final Performance Report (Obtaining College Credentials) —Publications (Both)
Formative Evaluation (Research Quest. 1 & 2)	Services, Demographic, Academic, Postsecondary aspirations/plans, Hope data, Surveys, Hope Scale, Student Voice (quant. and qual.)	Quarterly	WVGU students, family, staff	SIS, Transcripts, Surveys, Services, Student Voice Data, NSC	Descriptive statistics, statistical tests, case study	—Ongoing; Quarterly and annual reports —Publications
Summative Evaluation (Research Quest. 3 & 4)	Services, Demographic, Academic, Hope Scale, Postsecondary (quant.)	Year 1= Baseline; Year 7= Reporting	WVGU students; comparison group	SIS, Transcripts, Services, NSC	Propensity score match, logistic regression, effect size	—Final Performance Report —Publication

The focus of the evaluation will be three-pronged. One focus of the evaluation will be how well the project performs in relation to the grant's stated Government Performance and Result Act (GPRA) performance measures, required program measures, and project-specific measures, including remote learning and SEL services as provided to address invitational priorities. These data guide the Annual Performance Report (APR) and WVGU will provide annual reports to partner school districts on progress towards meeting goals. This reporting will allow school district personnel to work closely with the WVGU staff to tailor service frameworks and programs to best meet ongoing needs.

The second focus will be the program evaluation which encompasses formative (short- and mid-term continuous) and summative (long-term impact) outcomes. As mapped out in the logic model, GPA and SEL will be core components of the short-term outcomes, while postsecondary enrollment and persistence outcomes comprise the long-term outcomes. The abovementioned data plan illustrates each research activity, the sources of data used for each and the frequency with which data should be analyzed and reported. WVGU has a peer-reviewed publication plan, coupled with presentations, dissemination, and keynotes at national conferences. The aim of the evaluation is to first and foremost use data to assist in providing services to students and their families in WVGU to improve postsecondary educational outcomes, and second is sharing replicable research and evaluation results to other college access professionals to scale effective practices across WV and the national college access community.

To answer the questions of the formative assessment, analysis of various data sources including service engagement, demographic, academic, postsecondary aspirations/plans, and survey data will be conducted. Student and family surveys will be administered annually to obtain important information about perceptions and expectations of current experiences within GEAR UP, the students' future academic goals, and where they are on their path toward achieving their postsecondary goals. Embedded in the annual student surveys is the administration of the Hope Scale to measure students' perceptions and how their goals can be met. In addition to student and family surveys, an annual school staff survey, embedded with the college-going culture rubric, will be administered to all staff in GEAR UP schools to obtain information about their perceptions regarding the teacher's role in supporting students' postsecondary educational goals.

WVGU will examine the outcomes of middle school GPA (cognitive outcome) and social belonging in school (non-cognitive outcome) through an early middle school intervention¹ with the key component being a reading and writing activity (Borman, et. al, 2019) administered two times early in middle school, with the first time being at baseline in the seventh grade and then again in the eighth grade. Each administration will include two activities; the first activity will focus on student perceptions of academic performance (cognitive) and the second activity will focus on social belonging (non-cognitive). The administration of these measures provide data to answer the formative question assessing the effect of targeted services on increasing social emotional learning. Students will provide written responses to concerns they might have about

¹ Borman, G. D., Rozek, C. S., Pyne, J., & Hanselman, P. (2019). Reappraising Academic and Social Adversity Improves Middle-School Students' Academic Achievement, Behavior, and Well-Being. *Proceedings of the National Academy of Sciences*. Retrieved from: <https://ies.ed.gov/ncee/wwc/Study/88768> (WWC review) and <https://files.eric.ed.gov/fulltext/ED600814.pdf> (full article)

their academic performance and social belonging in seventh grade, as well as how they rate how much they felt middle school students worry about their academic performance and social belonging. Examples of how to assess the effect of targeted services on these domains could be to administer the intervention and accompanying assessments to a sample of WVGU students and compare them to a sample of non- WVGU students from one or more similar middle schools that are not participating in the program, or to provide the intervention and assessments to all WVGU students and analyze results by the level of student participation in program activities. If a non-WVGU sample is proposed, a plan for how to ensure participation from schools not participating in WVGU should be provided. This project component will be part of WVGU's formative evaluation to examine middle school academic readiness and social belonging as they prepare for high school.

To ensure the student voice is part of decisions made by WVGU, the formative evaluation also includes a qualitative assessment of the HEROs program, a peer-to-peer outreach program, led by students within WVGU. The evaluation will include a case study on the student voice as it pertains to hope and college going culture in WV. This study will provide regular and anonymous feedback to use to make continuous improvements throughout the 7-year grant period.

The summative evaluation focuses on longer-term outcomes of the program, specifically those tied to postsecondary enrollment and persistence. Student participation in program services, demographics, academic outcomes and Hope Scale responses should be explored in terms of these postsecondary outcomes obtained through our statewide database. Data will be compared from baseline in year 1 to final reporting in year 7. The primary summative impact analysis will employ logistic regression to evaluate the differential results between the students who enrolled and those who did not enroll in college. Propensity score matching will be used to find a comparable matched sample of non-GEAR UP students to use as a comparison to WVGU students. Standardized effect sizes will be calculated to determine the magnitude of the effects. The study will be constructed, implemented, and published so the broader GEAR UP and college access community can replicate it. The rationale for the research study is grounded in the gaps in infrastructure with an aim to use the research to bolster academic readiness and postsecondary success.

The third focus will be a quasi-experimental research study to evaluate an intervention tailored to career-pathways for in-demand jobs. The research study will focus on earning college credentials focused on career-pathways for in-demand jobs to assist postsecondary students in college with the skills they need to navigate their way to a job. The study will examine the cohort students and their ability to prepare for in-demand careers using integrated instruction and additional student services, including advising, navigational, and financial supports, to help students as they earn a college credential. Non-GEAR UP students will be statistically matched to the WV sample using propensity score matching to examine postsecondary credential completion. This study will be published and disseminated and will be designed so that it can be replicated in other settings.

4.4 Data collection methods should be tailored to support implementation and impact perspectives in line with attributes of activities and interventions, as well as specific project measures associated with defined objectives.

4.5 The successful evaluator will also work with the WVGU staff to establish baseline data and annual benchmarks to be measured. These baseline data and benchmarks must be established no later than March 1, 2022. These baseline data and benchmarks must align with the required GEAR UP APR. Required baseline surveys of students and parents must be completed by February 2022. Student and educator response rates must be at least 80% and parent response rates must be at least 50%. Table 4.5 details the grant’s survey schedule.

Table 4.5: Student and Parent Survey Schedule

Class of	School Year						
	2021-2022	2022-2023	2023-2024	2024-2025	2025-2026	2026-2027	2027-2028
2022 Students	12 th grade priority	College freshman priority					
2023 Students							
2024 Students			12 th grade priority	College freshman priority			
2025 Students							
2026 Students & Parents	8 th grade retrospective comparison		10 th grade retrospective comparison		12 th grade retrospective comparison	College freshman retrospective comparison	
2027 Students & Parents	Cohort 1 7 th grade	Cohort 1 8 th grade	Cohort 1 9 th grade	Cohort 1 10 th grade	Cohort 1 11 th grade	Cohort 1 12 th grade	Cohort 1 College Freshmen
2028 Students & Parents			Cohort 2 8 th grade comparison		Cohort 2 10 th grade comparison		Cohort 2 12 th grade comparison
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7

4.6 The successful evaluator will continue to use SCRIBE, developed by Xcalibur, the “ready to use” secure web-based data warehouse to import data from primary (e.g., surveys) and secondary (e.g., APR required data elements such as student tutoring contact hours, student academic achievement data, etc.) sources, organized to allow cross-referencing by project goal and objective, or by student identifier. The evaluator or subcontractor will provide appropriate training to WVGU staff in data entry, if necessary. All data stored within the data warehouse will remain the property of the WVHEPC and must be transferred annually in a format that can be utilized should the WVHEPC choose to conduct additional research studies. To learn more about SCRIBE, WVGU’s current data web portal, please visit <https://www.xcaliburscribe.com/scribe/>

4.7 The evaluation team’s data that is not included in the APR must be reported on the schedule delineated in Table 4.3.2 to provide timely feedback to project, district and school staff and stakeholders. These data must include a) description of methods; b) summaries of implementation data; c) summaries of outcome data; d) discussions of policies and practices; and e) recommendations for adjustments to the project and school/district systems.

4.8 The evaluation team is expected to significantly assist in preparing the Federal Annual APR which is due annually on April 15th. See Appendix 2

4.9 To foster collaboration and evaluation relevance, the vendor evaluation team should hold quarterly face-to-face meetings with WVGU project staff and key stakeholders, including the WV Department of Education to manage the evaluation and communicated periodic data summaries, as appropriate.

4.10 Data collection methods (i.e., surveys) developed for the purpose of conducting this evaluation will be retained as property of WVHEPC.

4.11 The public schools to receive direct GEAR UP services and the total number of students are included in Appendix 3 of this form. Please note that the annual external evaluation contract must not exceed \$255,000 or 7.2% of the annual \$3.5 million dollar grant. This includes indirect costs.

SECTION 5: VENDOR INFORMATION AND QUALIFICATIONS

Provide a statement/response to each of the following:

5.1 Identify and provide a statement of qualifications of individuals to be assigned direct responsibility for the services.

5.2 Describe the experience that key personnel have, their length of service with the firm, as well as other relevant skills.

5.3 Describe any related experience.

5.4 Provide a complete description of how the work will be conducted including all quality assurances that are provided in the firm's process for this type of work and detail the amount of time and effort that will be required of the entities' personnel. Include in this description an explanation of the tools/technology used to collect/coordinates requested items.

5.5 Provide a proposed schedule that ensures completion of the services by the timeframes as stated in Section 4.

5.6 Provide the names, telephone numbers and mailing addresses of at least three higher education clients and the contact person from whom references may be obtained for both the firm and the key personnel assigned to the engagement. References should be from clients comparable to the type and scope of services solicited in this RFP.

SECTION 6: BIDDER RESPONSE AND EVALUATION CRITERIA

6.1 Economy of Preparation: Proposals should be prepared simply and economically, providing a straightforward, concise description of the Bidder's ability to satisfy the requirements of the

RFP. Emphasis should be placed on completeness and clarity of content.

NOTE: ALL PRICES ARE TO BE PROVIDED IN A SEPARATE SEALED ENVELOPE LABELED AS PRICING INFORMATION.

6.2 Proposals should be limited to forty (40) pages. Additional material may be presented as exhibits to the main proposal.

6.3 A Title Page (Exhibit A) should be provided. The Title Page is the preferred method of providing the Bidder's information. If the Bidder does not utilize the Title Page, the bid must provide a cover letter with, at a minimum, the signature of an individual authorized to obligate the company and a date.

6.4 A proposal response to this RFP should contain the four components as outlined below. Please note that proposals will be scored on each of the sections (excluding the conflicts section) with a maximum of 100 points.

Vendors failing to score at least 70% or 49 points for Sections 6.4.1 and 6.4.2 will not be considered to have met the minimum acceptable score. Any vendor not meeting the minimum acceptable score will NOT have their prices opened and will NOT be considered for award of the bid.

6.4.1 Conflicts – 0 points.

- Affirm that you or your firm and all individuals who will be assigned to this evaluation are free from obligations and interests that might conflict with the WVHEPC, the State of West Virginia, and the US Department of Education.
- Disclose any information about you or your firm which presently or in the future could impair you or your firm's ability to provide the level of services outlined in the RFP.

6.4.2 Services – 50 points maximum. A 7-year (October 15, 2021 – September 30, 2028) evaluation/research plan that is clear, grounded in research, addresses the services required as outlined in Section 4 of this RFP and addresses each of the following:

- A rationale addressing evaluation of project services that is grounded in research principles and methodologies
- Data collection procedures (including surveys, procurement of secondary data, use of incentives to improve response rates, etc., as well as Institutional Review Board practices. Please note that WVGU strongly prefers that the external evaluator utilizes and “opt-out” student/parent consent for this evaluation project.)
- Measures and variables
- Data analysis procedures
- Indication of how measures and analysis are related to project services
- A detailed timeline (that includes monthly benchmarks) for conducting and completing the evaluation project
- Description and dates of deliverables throughout the evaluation process

- Description of a secure web-based data warehouse and appropriate training

6.4.3 Qualifications - 20 points maximum. Provide a description of the experience and qualifications of the principal investigator and other investigators.

6.4.4 Price – 30 points maximum. The low bid will receive the full 30 points. Each higher bid will receive a percentage of the 30 points on a ratio basis compared to the low bid cost.

Vendor is to provide a 7-year fee proposal (both chart and detailed narrative) that addresses costs such as, but not limited to:

- Salary/wages
- Employee benefits
- Travel
- Materials and supplies
- Consultants and contracts
- Other
- Indirect costs (may not exceed 8% on eligible expenses)
- Cost-share/match (WVGU requires that its external evaluator provide some form of cost-share/match.

Please note that the annual external evaluation contract must not exceed \$255,000 or 7.2% of the annual \$3.5 million dollar grant. This includes indirect costs.

6.5 Award will be made to the bidder receiving the highest point total.

6.6 In the event that mutually acceptable terms cannot be reached within a reasonable period of time, with the highest ranked bidder, WVHEPC reserves the right to undertake negotiations with the next highest ranked bidder and so on until mutually acceptable terms can be reached.

SECTION 7: OTHER INFORMATION

7.1 Record Retention. The Contractor shall comply with applicable federal and state record retention laws, rules and regulations, and requirements governing the maintenance of documentation to verify any cost of services or commodities rendered under this contract. The Contractor shall maintain such records a minimum of five (5) years after creation or three (3) years after the end of the U.S. Department of Education grant performance period, whichever is later, and make such records to U.S. Department of Education or WVHEPC personnel promptly upon written request. This provision does not apply to confidential information and PII.

7.2 Appendices. The following Appendices as referenced in this RFP are a binding part of this RFP and are attached to the RFP.

- Appendix 1 – WV GEAR UP Grant Narrative, Abridged Version
- Appendix 2 – GEAR UP Annual Performance Report
- Appendix 3 – List of WV GEAR UP Schools

TITLE PAGE

The undersigned declares that he/she has read the RFP and that the following BID is submitted as a good faith response.

The undersigned declares that he/she has the authority to obligate the company.

The undersigned acknowledges receipt of the following addenda, if released. If no addenda are released, this section is to be left blank:

Addendum 1 _____ (initial receipt)

Addendum 2 _____ (initial receipt)

Addendum 3 _____ (initial receipt)

(Signature of Signee)

(Name of Signee)

(Title)

(Company Name)

(Street Address)

(City, State, Zip)

(Telephone Number)

(E-mail)

WV-96
1/1/2019

**STATE OF WEST VIRGINIA
ADDENDUM TO VENDOR'S STANDARD CONTRACTUAL FORMS**

State Agency, Board, or Commission (the "State"): WV Higher Education Policy Commission

Vendor:

Contract/Lease Number ("Contract"): 22079

Commodity/Service: GEAR UP Evaluation Services

The State and the Vendor are entering into the Contract identified above. The Vendor desires to incorporate one or more forms it created into the Contract. Vendor's form(s), however, include(s) one or more contractual terms and conditions that the State cannot or will not accept. In consideration for the State's incorporating Vendor's form(s) into the Contract, the Vendor enters into this Addendum which specifically eliminates or alters the legal enforceability of certain terms and conditions contained in Vendor's form(s). Therefore, on the date shown below each signature line, the parties agree to the following contractual terms and conditions in this Addendum are dominate over any competing terms made a part of the Contract:

1. **ORDER OF PRECEDENCE:** This Addendum modifies and supersedes anything contained on Vendor's form(s) whether or not they are submitted before or after the signing of this Addendum. **IN THE EVENT OF ANY CONFLICT BETWEEN VENDOR'S FORM(S) AND THIS ADDENDUM, THIS ADDENDUM SHALL CONTROL.**

2. **PAYMENT** – Payments for goods/services will be made in arrears only upon receipt of a proper invoice, detailing the goods/services provided or receipt of the goods/services, whichever is later. Notwithstanding the foregoing, payments for software licenses, subscriptions, or maintenance may be paid annually in advance.

Any language imposing any interest or charges due to late payment is deleted.

3. **FISCAL YEAR FUNDING** – Performance of this Contract is contingent upon funds being appropriated by the WV Legislature or otherwise being available for this Contract. In the event funds are not appropriated or otherwise available, the Contract becomes of no effect and is null and void after June 30 of the current fiscal year. If that occurs, the State may notify the Vendor that an alternative source of funding has been obtained and thereby avoid the automatic termination. Non-appropriation or non-funding shall not be considered an event of default.

4. **RIGHT TO TERMINATE** – The State reserves the right to terminate this Contract upon thirty (30) days written notice to the Vendor. If this right is exercised, the State agrees to pay the Vendor only for all undisputed services rendered or goods received before the termination's effective date. All provisions are deleted that seek to require the State to (1) compensate Vendor, in whole or in part, for lost profit, (2) pay a termination fee, or (3) pay liquidated damages if the Contract is terminated early.

Any language seeking to accelerate payments in the event of Contract termination, default, or non-funding is hereby deleted.

5. **DISPUTES** – Any language binding the State to any arbitration or to the decision of any arbitration board, commission, panel or other entity is deleted; as is any requirement to waive a jury trial.

Any language requiring or permitting disputes under this Contract to be resolved in the courts of any state other than the State of West Virginia is deleted. All legal actions for damages brought by Vendor against the State shall be brought in the West Virginia Claims Commission. Other causes of action must be brought in the West Virginia court authorized by statute to exercise jurisdiction over it.

Any language requiring the State to agree to, or be subject to, any form of equitable relief not authorized by the Constitution or laws of State of West Virginia is deleted.

6. **FEES OR COSTS:** Any language obligating the State to pay costs of collection, court costs, or attorney's fees, unless ordered by a court of competent jurisdiction is deleted.

7. **GOVERNING LAW** – Any language requiring the application of the law of any state other than the State of West Virginia in interpreting or enforcing the Contract is deleted. The Contract shall be governed by the laws of the State of West Virginia.

8. **RISK SHIFTING** – Any provision requiring the State to bear the costs of all or a majority of business/legal risks associated with this Contract, to indemnify the Vendor, or hold the Vendor or a third party harmless for any act or omission is hereby deleted.

9. **LIMITING LIABILITY** – Any language limiting the Vendor's liability for direct damages to person or property is deleted.

10. **TAXES** – Any provisions requiring the State to pay Federal, State or local taxes or file tax returns or reports on behalf of Vendor are deleted. The State will, upon request, provide a tax exempt certificate to confirm its tax exempt status.

11. **NO WAIVER** – Any provision requiring the State to waive any rights, claims or defenses is hereby deleted.

- 12. **STATUTE OF LIMITATIONS** – Any clauses limiting the time in which the State may bring suit against the Vendor or any other third party are deleted.
- 13. **ASSIGNMENT** – The Vendor agrees not to assign the Contract to any person or entity without the State’s prior written consent, which will not be unreasonably delayed or denied. The State reserves the right to assign this Contract to another State agency, board or commission upon thirty (30) days written notice to the Vendor. These restrictions do not apply to the payments made by the State. Any assignment will not become effective and binding upon the State until the State is notified of the assignment, and the State and Vendor execute a change order to the Contract.
- 14. **RENEWAL** – Any language that seeks to automatically renew, modify, or extend the Contract beyond the initial term or automatically continue the Contract period from term to term is deleted. The Contract may be renewed or continued only upon mutual written agreement of the Parties.
- 15. **INSURANCE** – Any provision requiring the State to maintain any type of insurance for either its or the Vendor’s benefit is deleted.
- 16. **RIGHT TO REPOSSESSION NOTICE** – Any provision for repossession of equipment without notice is hereby deleted. However, the State does recognize a right of repossession with notice.
- 17. **DELIVERY** – All deliveries under the Contract will be FOB destination unless the State expressly and knowingly agrees otherwise. Any contrary delivery terms are hereby deleted.
- 18. **CONFIDENTIALITY** – Any provisions regarding confidential treatment or non-disclosure of the terms and conditions of the Contract are hereby deleted. State contracts are public records under the West Virginia Freedom of Information Act (“FOIA”) (W. Va. Code §29B-a-1, et seq.) and public procurement laws. This Contract and other public records may be disclosed without notice to the vendor at the State’s sole discretion.

Any provisions regarding confidentiality or non-disclosure related to contract performance are only effective to the extent they are consistent with FOIA and incorporated into the Contract through a separately approved and signed non-disclosure agreement.

- 19. **THIRD-PARTY SOFTWARE** – If this Contract contemplates or requires the use of third-party software, the vendor represents that none of the mandatory click-through, unsigned, or web-linked terms and conditions presented or required before using such third-party software conflict with any term of this Addendum or that it has the authority to modify such third-party software’s terms and conditions to be subordinate to this Addendum. The Vendor shall indemnify and defend the State against all claims resulting from an assertion that such third-party terms and conditions are not in accord with, or subordinate to, this Addendum.
- 20. **AMENDMENTS** – The parties agree that all amendments, modifications, alterations or changes to the Contract shall be by mutual agreement, in writing, and signed by both parties. Any language to the contrary is deleted.

Notwithstanding the foregoing, this Addendum can only be amended by (1) identifying the alterations to this form by using *Italics* to identify language being added and ~~strikethrough~~ for language being deleted (do not use track-changes) and (2) having the Office of the West Virginia Attorney General’s authorized representative expressly agree to and knowingly approve those alterations.

State: WV Higher Education Policy Commission

Vendor: _____

By: _____

By: _____

Printed Name: Mary Blashford

Printed Name: _____

Title: Director of Procurement

Title: _____

Date: _____

Date: _____

Request for Taxpayer Identification Number and Certification

▶ Go to www.irs.gov/FormW9 for instructions and the latest information.

Give Form to the requester. Do not send to the IRS.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

Individual/sole proprietor or single-member LLC

C Corporation

S Corporation

Partnership

Trust/estate

Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

Other (see instructions) ▶ _____

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) _____

Exemption from FATCA reporting code (if any) _____

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions. Requester's name and address (optional)

6 City, state, and ZIP code

7 List account number(s) here (optional)

Print or type.
See Specific Instructions on page 3.

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

				-			-				
--	--	--	--	---	--	--	---	--	--	--	--

or

Employer identification number

		-									
--	--	---	--	--	--	--	--	--	--	--	--

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here **Signature of U.S. person ▶** _____ **Date ▶** _____

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
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- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

CONSTRUCTION CONTRACTS: Under W. Va. Code § 5-22-1(i), the contracting public entity shall not award a construction contract to any bidder that is known to be in default on any monetary obligation owed to the state or a political subdivision of the state, including, but not limited to, obligations related to payroll taxes, property taxes, sales and use taxes, fire service fees, or other fines or fees.

ALL CONTRACTS: Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

EXCEPTION: The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Employer default" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (*W. Va. Code §61-5-3*) that: (1) for construction contracts, the vendor is not in default on any monetary obligation owed to the state or a political subdivision of the state, and (2) for all other contracts, that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

WITNESS THE FOLLOWING SIGNATURE:

Vendor's Name: _____

Authorized Signature: _____ Date: _____

State of _____

County of _____, to-wit:

Taken, subscribed, and sworn to before me this ____ day of _____, 20__.

My Commission expires _____, 20__.

AFFIX SEAL HERE

NOTARY PUBLIC _____

Appendix 1

West Virginia GEAR UP (WVGU), charged by Governor Jim Justice, will serve students through a hybrid model that includes 17,595 cohort and priority students in 50 of West Virginia's neediest schools located in small rural communities across the state. WVGU is housed within the West Virginia Higher Education Policy Commission, identified as the applicant agency, to provide services to students attending Boone, Clay, Lincoln, Logan, Mason, Mingo, Nicholas, Roane, Wayne, Webster, and Wirt school districts.

Services: WVGU activities and services, delivered over a 7-year project period (2021-28), are designed to increase hope in a future that higher education holds for rural students and their families. The WVGU project will support the rural identities of students and their families to cultivate hope through GEAR UP college readiness services that are designed to lead to better life outcomes through increases in three core tenants: 1) academic outcomes, 2) social emotional learning, and 3) postsecondary education outcomes. For each of these research-based tenants, services have been identified to produce multiple pathways to enrollment, persistence, and completion of postsecondary education for students. Services include academic mentoring, outreach, financial aid information, rigorous and challenging curricula, professional development, career exploration, college visits, parental involvement, student workshops, Science Technology Engineering and Math enrichment, summer programs, transition programs, and tutoring and test preparation.

Partners: WVGU is informed by emerging research on best educational practices, rigorous evaluation, and productive, strategic collaborations with National partners: NCCEP, ACAC, College Board, and XAP; State Partners: WV Department of Education, WV Council for Community and Technical College Education, WVACRAO, WV Association of Student Financial Aid Administrators, WV Treasurer's Office, and WV Education Alliance; and Local Partners: LEAs and 2 and 4-year colleges and universities.

Outcomes: Through the identified services, WVGU will achieve the objectives of the GEAR UP program: (1) to increase the academic performance and preparation for postsecondary education of participating students; (2) to increase the rate of high school graduation and participation in postsecondary education of participating students; and (3) to increase education expectations for participating students and increase student and family knowledge of postsecondary education options, preparation, and financing.

Evaluation: The methods of the WVGU evaluation offer an opportunity for partner school districts, the state of WV, and the U. S. Department of Education to better understand postsecondary enrollment and success, as well as the GEAR UP services associated with these outcomes. Distinct to this project is the opportunity to determine the impact of formative, data-driven services delivered under a model of hope. These data will enable continuous assessment of GEAR UP services and how they influence project outcomes related to academic growth, high school graduation, and postsecondary enrollment, persistence, and completion.



U.S. DEPARTMENT OF EDUCATION

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

**Annual Performance Report for Partnership
and State Projects**

COVER SHEET

1. PR/Award Number: _____
(Located in block 5 of your grant award notification) (Funding Year)

2. Name of Grantee: _____

3. Address: _____

4. Name of Project Director/Contact Person: _____

Telephone Number: _____ Fax: _____

E-mail Address: _____

5. Name of Authorized Representative: _____

Telephone Number: _____ E-mail Address: _____

6. Report Period: _____ to _____
Month/Day/Year Month/Day/Year

We certify that to the best of our knowledge, the information reported herein is accurate and complete.

Name of Project Director (Print)

Name of Authorizing Representative (Print)

Signature and Date

Signature and Date

By signing this application, you certify that the statements herein are true, complete and accurate to the best of your knowledge. You are aware that any false, fictitious, or fraudulent statements or claims may subject you to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

INSTRUCTIONS:

Section 75.720 of Education Department General Administrative Regulations (EDGAR) requires Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) State and Partnership grantees to submit an Annual Performance Report (APR). The U.S. Department of Education (Department) uses APRs to help determine if projects are making substantial progress in accomplishing the goals and objectives of the project. Continuation funding is based on, in part, grantees making annual substantial progress. The Government Performance and Results Act of 1993 also requires that APR data is used to assess the GEAR UP program as a whole.

The APR consists of a cover sheet and six sections. The cover sheet must be completed and signed by the project director and the authorized representative and returned to the Department along with the six sections on or before the due date. A separate announcement including these instructions and the due date will be emailed to each grantee annually. Grantees are expected to complete all questions in the APR except when otherwise stated. Please define all terms specific to your program and spell out all acronyms the first time they are used.

<u>Reporting Period</u>		Relevant Sections
<p><u>New Grantee (Year 1)</u> From start date of performance period to March 31</p>	<p>If you are reporting on your first year of implementation, the reporting period includes the time period from the beginning of the grant through March 31st of the current calendar year.</p> <p>Example: For new awards issued in FY 2019, the reporting period will be from October 2019 to March 31, 2020.</p>	<p>Sections I, II, IV, V, and VI</p>
<p><u>Continuing Grantee (Years 2 thru 6 or 7)</u> From the beginning to end of the previous academic school year</p>	<p>If you are reporting on years two through six or seven, your reporting period is the prior academic school year, which would traditionally include the fall, spring, and summer term of the prior academic school year.</p>	<p>Sections I, II, IV, V, and VI</p>

<u>Budget Period</u>		Relevant Section
<p><u>New and Continuing Grantee (Years 1 thru 6/7)</u> From the beginning to the end of the budget reporting period</p>	<p>The budget reporting period is consistent with the annual budget periods established by your new and continuation Grant Award Notification (GAN). New and continuing grantees must report on actual and anticipated expenditures, as well as anticipated carryover.</p>	<p>Section III</p>

SECTION I: EXECUTIVE SUMMARY

The mission of the GEAR UP program is to significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education. Please provide a brief description (no more than 1350 words, or approximately three pages) of the current status of your project. Describe the extent to which you have implemented all program activities and components planned for this reporting period, highlighting your major outcomes, successes, and challenges as they pertain to:

- (a) Improving the academic performance of GEAR UP students;
- (b) Increasing educational expectations of participating students and their parents, guardians, or family members;
- (c) Improving knowledge regarding postsecondary education preparation and financing for students and their parents, guardians, or family members; and
- (d) Working to improve high school graduation and postsecondary enrollment rates.
- (e) What aspects of your program do you think are most successful (have the greatest impact)? Why?

SECTION II: ADMINISTRATIVE INFORMATION

1. Describe any significant changes in your project design since the approval of your grant application that did not require prior approval from the Department- e.g., changing from individual tutoring to group tutoring or placing more emphasis on enrichment activities rather than remediation (no more than 1,000 words, or approximately two pages.)

Note: Changes that require prior approval from the Department should be submitted directly to your program specialist and not through your APR.

2. Describe the most significant barriers or challenges that were encountered while implementing and/or administering your project. Please describe what steps you have taken to address these barriers and challenges (no more than 1,000 words, or approximately two pages).

3. Please provide any additional information about your project that you think would be helpful to the Department in evaluating your performance or understanding the contents of your annual report (no more than 500 words, or approximately one page).

4. Please list the names and titles of key personnel, mark the source of payment (GEAR UP Federal funds or non-Federal funds), and the percentage of time each individual spends working on the grant. (If the percentage of time is not available, you may indicate the number of hours that individual was paid with GEAR UP funds instead.)

Personnel Names	Titles	% of Time	Federal (Mark x)	Non-Federal (Mark x)

5. Describe any changes to key personnel of this grant that have come about over the past year, including changes in titles, changes in percentage of time that a person is devoting to the project, hiring of a key staff person, departure of a key staff person, or addition or elimination of a position (no more than 500 words, or approximately one page).

Note: Do not request changes of key personnel or the addition/elimination of position(s) here. As required by the Uniform Guidance (200.308(c)(ii)), that type of request is a change that requires prior approval by the Department before the personnel action is taken and must be addressed separately from this report. Your response here should be a summary of approved and completed changes that have taken place during this reporting period.

6. Please complete the following table. List all partners and indicate with an “X” whether they are original partners listed in the application or new partners added during implementation. If any of these partners have become inactive and are no longer participating in the grant, please indicate this with an “X” in the column provided. If a partner is new, indicate with an “X” if you have provided the program office with a Partner Identification Form and Cost Share Worksheet to update the application. Rows can be added to this table if you have more partners.

Note: Do not request changes of grant partners here. As required by the Uniform Guidance (200.308(c)(i) and (c)(vii)), that type of request is a change that requires prior approval by the Department and must be addressed separately from this report. Your response here should be a summary of approved and completed changes that have taken place during this reporting period.

	Partner Name	Original	New	Inactive	Submitted Partner Identification Form and Cost Share Worksheet	Type of Partner (IHE)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						

Please indicate the type of partner from the following options and enter the letter(s) in the column provided:

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

SECTION III: FISCAL MANAGEMENT

1. In the following table, please provide information about your actual and anticipated Federal expenditures for the **current budget period**. The current budget period can be found in Section 6 of your current Grant Award Notification (GAN). You do not need to fill in the shaded boxes, but please indicate total amounts in line E for all columns. **If this is the first award year of your grant, the reporting period includes the time period from the beginning of your grant through March 31st of the current calendar year.**

Federal Budget Summary

	Total Federal Funds Awarded for Current Budget Period (See Current GAN)	Carryover Funds Available (Include Funds Carried Over from Previous Budget Period(s))	Actual Federal Expenditures for Current Budget Period from GAN Start Date thru March of APR Submission Year	Anticipated Federal Expenditures from April to Current Budget Period End Date	Anticipated Carryover to Next Budget Period (if applicable)
1. Salaries and Wages					
2. Employee Benefits					
3. Travel					
4. Materials & Supplies					
5. Consultants & Contracts					
6. Other					
A. Total Direct Costs (Lines 1-6)					
B. Total Indirect Costs					
C. Equipment					
D. Scholarships/ Tuition Assistance					
E. Total Costs (A+B+C+D)					

2. Budgetary Modifications. If you are not expending Federal or non-Federal funds as originally planned for the current budget period, please provide an explanation. Describe how you plan to expend any carryover funds and/or how you plan to meet your matching requirements (no more than 500 words, or approximately one page).

3. Matching Contributions. In the following table, provide information about your actual and anticipated non-Federal matching contributions for the **current budget period**. The current budget period can be found in Section 6 of your current Grant Award Notification (GAN). **If this is the first award year of your grant, the reporting period includes the time period from the beginning of your grant through March 31st of the current calendar year.**

Non-Federal Matching Budget Summary

	Matching Contributions Proposed for Current Budget Period (See Current GAN)	Actual Matching Contributions for Current Budget Period from GAN Start Date thru March of APR Submission Year	Anticipated Matching Contributions from April to Current Budget Period End Date
1. Salaries and Wages			
2. Employee Benefits			
3. Travel			
4. Materials & Supplies			
5. Consultants & Contracts			
6. Other			
A. Total Direct Costs (Lines 1-6)			
B. Total Indirect Costs			
C. Equipment			
D. Scholarships/Tuition Assistance			
E. Total Costs (A+B+C+D)			

If you requested a match reduction in your original application, please check the box.

4. Previous Budget Periods. In the following table, please provide information regarding: a) the actual total Federal expenditures and b) the actual total non-Federal contributions for **completed budget periods**. Actual expenditures are a final account of all funds obligated for previous budget periods.

Note: First year grantees do not need to fill out this table.

Budget Period	(a) <u>Actual Total</u> Federal Expenditures	(b) <u>Actual Total</u> Matching Contributions
Year 1		
Year 2		
Year 3		
Year 4		
Year 5		
Year 6		
Year 7		
Total		

5. Indirect Cost Agreement. Indirect cost reimbursement on a training grant is limited to the recipient's actual indirect costs (see EDGAR section 75.562), as determined by its negotiated indirect cost agreement, or eight percent of the modified total cost base, whichever amount is less. In order to claim an indirect cost on next year's budget, the grantee must provide information on their current agreement.

Check one of the three options.

(a) Current Indirect Cost Agreement: Effective date of agreement: Beginning date: _____, Ending date: _____, Current rate: _____

(b) Requesting Indirect Cost Agreement: If you have requested an indirect cost agreement but have not received one, you should provide your program officer with evidence of your contact with the cognizant agency and their response. If a negotiated indirect cost agreement was not awarded, a grantee using the training rate of eight percent is required to have documentation available for audit that shows that its indirect rate equals or exceeds the eight percent. Please indicate whether your program officer has documentation of your attempt to secure an indirect cost agreement: Yes No

(c) Do not claim indirect cost.

6. Scholarship Component. If you have a GEAR UP scholarship component, as defined by Section 404E of the Higher Education Act of 1965, as amended (HEA), please fill out 6a-6c. If you are a State that was granted an exception under Section 404E(b)(2), please fill out only 6d. All other grantees can move on to Section IV.

a. Scholarship Funds. Please report on all Federal and non-Federal funds reserved and held for GEAR UP scholarships and the disbursement of those scholarship funds to eligible students. This data should be reflective of scholarship activity during this reporting period. States must report, annually to the Secretary, information on Federal and non-Federal reserved funds held for GEAR UP scholarships and the disbursement of these funds to eligible students until these funds are fully expended or returned to the Secretary. Scholarship funds are subject to audit or monitoring by authorized representatives throughout

the life of the fund. When entering the numbers of students in the “Total” column, please provide an unduplicated number.

	Federal Scholarships	Non-Federal Scholarships	Total
1. Amount of funds reserved for students			
2. Number of students for whom funds were reserved			
3. Amount of funds disbursed to students			
4. Number of students receiving disbursements			

Note: Grantees must hold in reserve scholarship funds of at least the minimum required scholarship amount multiplied by the estimated number of eligible students. However, this does not apply to grantees that were given an exception to the required funding allocation. States must return to the Secretary any Federal scholarship funds that are not used by an eligible student within six years of the student’s scheduled completion of secondary school or have not been redistributed to the other eligible students.

b. Funding Allocation. Please outline in the table below the amount and percentage of Federal funds that were expended on scholarships (either reserved or disbursed) and activities during the reporting period.

	Amount	Percentage
Activities	\$	
Scholarships	\$	

c. Location of Scholarship Funds. If you have not yet disbursed scholarship awards, please provide in the table below (1) the organization’s information relative to where scholarship funds are held pending distribution to former GEAR UP students (e.g., are the funds in an interest-bearing account?) and (2) how the funds will be disbursed.

Organization Name	Address (Street, City, State, Zip Code)	Contact Person’s Name, Phone Number and Email
Do you have a contractual agreement with the organization? _____ Yes or _____ No		
How will the funds be disbursed?		

d. **OPTIONAL: States Granted Exceptions to the Scholarship Component**. Did your State disburse non-Federal scholarship funding to students during the reporting year and if so, to how many students?

SECTION IV: STUDENTS' DEMOGRAPHIC DATA

Number of Participating Students

1. Does your state or partnership grant serve students under the GEAR UP **cohort** approach? If yes, complete the table below. If no, skip to question #2.

Participant Distribution by Grade and Status (Cohort Students)

Grade Level	(a) # of GEAR UP Students Proposed	(b) # of Continuing GEAR UP Students	(c) # of New GEAR UP Students	(d) # of GEAR UP Students who Withdrew	(e) # of GEAR UP Students who Dropped Out	(f) # of Active GEAR UP Students [(b)+(c)]	(g) # of Total GEAR UP Students [(b)+(c)+(d)+(e)]
K-4							
5							
6							
7							
8							
9							
10							
11							
12							
1st Year of PSE							
Total							

- (a) The total number of unduplicated students proposed to participate in the GEAR UP cohort(s) during the reporting period, as expressed in your approved GEAR UP application, or as amended with the approval of the Department of Education.
- (b) The total number of unduplicated students participating in the GEAR UP cohort(s) during the reporting period, who also previously participated in GEAR UP during any prior reporting period. For cohort students who were promoted ahead of their expected grade level, repeated their grade level, or were demoted to a lower grade level, please count them as continuing students.
- (c) The total number of unduplicated students participating in the GEAR UP cohort(s) during the reporting period who did not participate in any prior reporting period, i.e., new students.
- (d) The total number of unduplicated students who withdrew from the GEAR UP cohort(s) during the reporting period for any school-recognized reason, but will not be defined as a “dropout.” This may include students who transferred to a school not served by GEAR UP, students who left to be homeschooled, other educational transfers, students who passed away, or a temporary school-recognized absence.
- (e) The total number of unduplicated students who withdrew from the GEAR UP cohort(s) during the reporting period and are recognized as “drop-outs,” as they are no longer enrolled in school and

have not graduated from high school or completed a state or district-approved educational program.

- (f) The total number of unduplicated students who participated in the GEAR UP cohort(s) who are considered “active” as of the end of the reporting period [the sum of columns (b) and (c)].
- (g) The total number of unduplicated students who participated in the GEAR UP cohort(s), regardless of their status as of the end of the reporting period [the sum of columns (b) through (e)].

2. Does your state grant serve **priority** students under the GEAR UP priority student approach? If yes, complete the table below. If no, skip to section 3.

Participant Distribution by Grade and Status (Priority Students)

Grade Level	(a) # of GEAR UP Students Proposed	(b) # of Continuing GEAR UP Students	(c) # of New GEAR UP Students	(d) # of GEAR UP Students who Withdrew	(e) # of GEAR UP Students who Dropped Out	(f) # of Active GEAR UP Students [(b)+(c)]	(g) # of Total GEAR UP Students [(b)+(c)+(d)+(e)]
K-4							
5							
6							
7							
8							
9							
10							
11							
12							
1st Year of PSE							
Total							

- (a) The total number of unduplicated students proposed to participate in the GEAR UP cohort(s) during the reporting period, as expressed in your approved GEAR UP application, or as amended with the approval of the Department of Education.
- (b) The total number of unduplicated students participating in the GEAR UP cohort(s) during the reporting period, who also previously participated in GEAR UP during any prior reporting period. For priority students who were promoted ahead of their expected grade level, repeated their grade level, or were demoted to a lower grade level, please count them as continuing students.
- (c) The total number of unduplicated students participating in the GEAR UP cohort(s) during the reporting period who did not participate in any prior reporting period, i.e., new students.
- (d) The total number of unduplicated students who withdrew from the GEAR UP cohort(s) during the reporting period for any school-recognized reason, but will not be defined as a “dropout.” This may include students who transferred to a school not served by GEAR UP, students who left to be homeschooled, other educational transfers, students who passed away, or a temporary school-recognized absence.

- (e) The total number of unduplicated students who withdrew from the GEAR UP cohort(s) during the reporting period and are recognized as “drop-outs,” as they are no longer enrolled in school and have not graduated from high school or completed a state or district-approved educational program.
- (f) The total number of unduplicated students who participated in the GEAR UP cohort(s) who are considered “active” as of the end of the reporting period [the sum of columns (b) and (c)].
- (g) The total number of unduplicated students who participated in the GEAR UP cohort(s), regardless of their status as of the end of the reporting period [the sum of columns (b) through (e)].

Participant Distribution by Ethnic Background

3. The following table regarding the ethnicity/race background of GEAR UP students is mandatory and will be used by the Department in reporting on the ethnicity/race characteristics of students participating in the program. The ethnicity/race categories used in this section are consistent with the Department’s policy on the collection of racial and ethnic information. These categories are defined as follows:

Ethnicity

Hispanic or Latino – A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

Race

American Indian or Alaska Native – A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliations or community recognition.

Asian – A person having origins in any of the original peoples of the Far East, Southeast Asia, and the Indian subcontinent. This area includes, for example, China, India, Japan, Korea, and the Philippine Islands.

Black or African American – A person having origins in any of the black racial groups of Africa.

Native Hawaiian or Other Pacific Islander – A person having origins in any of the original peoples of Hawaii or other Pacific islands such as Samoa and Guam.

White – A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Two or more races

Ethnicity and/or race unknown

Race and Ethnicity	Number of Students
Hispanic or Latino of any race	
American Indian or Alaska Native, non-Hispanic/Latino	
Asian, non-Hispanic/Latino	
Black or African American, non-Hispanic/Latino	
Native Hawaiian or Other Pacific Islander, non-Hispanic/Latino	
White, non-Hispanic/Latino	
Two or more races, non-Hispanic/Latino	
Race and/or ethnicity unknown	
Total	

Participation by Gender

4. Please complete the following table regarding the gender of GEAR UP students.

Gender	Unduplicated Number of GEAR UP Students
Male	
Female	
Total	

Participants with Limited English Proficiency

5. Please complete the following table indicating the unduplicated number of GEAR UP students with Limited English Proficiency served by your project during the reporting period.

For the purposes of this table, Limited English Proficiency means a person whose native language is other than English and who has sufficient difficulty speaking, reading, writing, or understanding the English language to deny that individual the opportunity to learn successfully in classrooms in which English is the language of instruction.

If this information is unavailable, please explain (no more than 500 words, or approximately one page):

	Unduplicated Number of GEAR UP Students
GEAR UP Students with Limited English Proficiency	

Participants with Individualized Education Programs (IEPs) as Required by the Individuals with Disabilities in Education Act, as amended (IDEA)

6. Please complete the following table indicating the unduplicated number of GEAR UP students with Individualized Education Programs.

If this information is unavailable, please explain (no more than 500 words, or approximately one page):

	Unduplicated Number of GEAR UP Students
GEAR UP Students with Individualized Education Programs	

Participants Who Meet Unique Priority Student Designations

7. If you are implementing a State project with a priority students model, please mark in the table below the type(s) of priority or disconnected students the project served during the reporting period.

Mark (x)	Type of Priority/Disconnected Student
	Free or reduced-priced lunch
	State program funded in part by the Temporary Assistance for Needy Families (TANF) program
	State program funded in part by foster care
	Homeless
	Students with disabilities
	Otherwise considered to be a disconnected student (please specify the type of student below):

Homeless and Foster Care Students

8. Please complete the following table indicating the unduplicated number of GEAR UP students who have been identified as homeless (as defined by the McKinney-Vento Homeless Assistance Act) or were in foster care (as defined by Title IV of the Social Security Act).

If this information is unavailable, please explain (no more than 500 words, or approximately one page):

Homeless and Foster Care Students	Unduplicated Number of GEAR UP Students
GEAR UP Students who were identified as homeless	
GEAR UP Students who were in foster care	

SECTION V: OBJECTIVES AND SERVICES

Objectives

1. Please complete the table below: a) list approved objectives from your grant application and/or approved modified objectives and provide baseline data where applicable; b) list the activities, outreach, and support services that were conducted to accomplish objectives; c) indicate if objectives have been met (e.g., yes/no/partially); and d) describe your progress in achieving objectives or the required action(s) necessary to improve results.

(A) Objectives:	(B) Activities, Outreach and Support Services:	(C) Results:	(D) Progress/Required Action:
<p>Example: 1. Enrollment in 7th grade pre-algebra, 8th grade algebra, and 8th grade advanced science classes will increase by 5% by next year. Baseline: Pre-algebra 7th grade -- 10% Algebra 8th grade -- 5% Adv. Sci. 8th grade -- 20%</p>	<p>Example: Instructional support services, staff development to improve instruction, and articulation with elementary schools</p>		<p>Examples: <u>Progress.</u> Enrollment changes from 2008/09 to 2009/10: 1) 7th grade pre-algebra: +65% <u>Required Action.</u> Add science component to after school tutoring program.</p>

Activities/Services

2. What is the total, unduplicated number of students that actively participated in one or more GEAR UP activities during the reporting period? _____
3. What is the total, unduplicated number of educators that actively participated in one or more GEAR UP activities during the reporting period? _____
4. What is total, unduplicated number of students with parents, guardians, or other family members that actively participated in one or more GEAR UP activities during the reporting period? _____
5. What is the total number of GEAR UP participants served during the reporting period by another federally funded program?

Federally Funded Program	Number of GEAR UP Participants
Upward Bound (UB) <i>(OPTIONAL)</i>	
Upward Bound Math-Science (UBMS) <i>(OPTIONAL)</i>	
Veterans Upward Bound (VUB) <i>(OPTIONAL)</i>	
Talent Search (TS) <i>(OPTIONAL)</i>	
Served by more than one other federally funded program	
Other:	

6. In the following table, please list the activities/services that were implemented during the reporting period by your project in accordance with required activities under the GEAR UP statute.

Required Statutory Activities/Services	Summarize the Primary Activities/Services Provided During the Reporting Period
Provided information regarding financial aid for postsecondary education	
Encouraged student enrollment in rigorous or challenging curricula and coursework	
Improved the number of participating students who obtain a secondary school diploma	
Improved the number of participating students who complete applications for and enroll in a program of postsecondary education	

7. **OPTIONAL:** Mark the activities/services in the table below that your project implemented for students who were enrolled in secondary education.

Mark (x)	Secondary Education Activities/Services	Unduplicated Number of GEAR UP Students who Participated in the Activity	Sum Total of Hours that GEAR UP Students Participated in the Activity
	FAFSA completion		
	College visit/college student shadowing		
	Tutoring/homework assistance		
	Job site visit/job shadowing		
	Summer programs		
	Educational field trips		
	Workshops		
	Dual or concurrent enrollment programs		
	Supporting the development or implementation of rigorous academic curricula, which may include college preparatory, Advanced Placement (AP), or International Baccalaureate (IB) programs, and providing participating students access to rigorous core academic courses that reflect challenging State academic standards		
	Special programs or tutoring in science, technology, engineering, or math		
	Intensive extended school day or school year		
	Activities focused on career and technical education or apprenticeships		
	Other (please specify)		

8. **OPTIONAL:** Mark the activities/services in the table below that your project implemented for students who were enrolled in their first academic year of postsecondary education.

Mark (x)	Postsecondary Education Activities/Services	Unduplicated Number of GEAR UP Students who Participated in the Activity	Sum Total of Hours that GEAR UP Students Participated in the Activity
	Orientation services, including an introduction to on-campus services and resources		
	On-going counseling to students either in person or through electronic or other means of correspondence		
	Assistance with postsecondary education course selection		
	Assistance with choosing and declaring an academic major		
	Assistance with academic, social, and personal areas of need		
	Referrals to providers of appropriate services		
	Tutoring, mentoring, and supplemental academic support		
	Assistance with financial career counseling and advising services planning		
	Advice about transferring to other schools		
	Other (please specify)		

9. Please complete the following table by identifying (a) the total unduplicated number of 12th Grade GEAR UP students from the reporting period; (b) the total unduplicated number of 12th grade students who completed the Free Application for Federal Student Aid (FAFSA) by June 30th of the reporting period; and (c) if applicable, the total unduplicated number of GEAR UP students for whom data were not available.

(a) Total Unduplicated Number of 12 th Grade GEAR UP Students Served During the Reporting Period	(b) Total Unduplicated Number of 12 th Grade GEAR UP Students who Completed the FAFSA by June 30 th	(c) Total Unduplicated Number of GEAR UP Students, FAFSA Data Not Available

Target Schools Served

10. Please list all of the schools participating in your GEAR UP project. A participating school is a partner school identified in your GEAR UP application or a school in which GEAR UP activities are provided. Please include all schools you identified in your application, including their NCES school ID codes, even if they do not yet have students participating in GEAR UP (e.g., if the GEAR UP

cohort consists of 7th graders, please list the GEAR UP high school(s) that the students will attend). In appropriate boxes, indicate all relevant grade levels separated by commas (e.g., 6, 7, and 8).

Name of School	City	State	Zip Code	Type of School (e.g., middle school)	Grade Levels Served	NCES ID #

Public Housing Projects Served

11. If your project is serving a public housing authority, please provide the name(s) of the public housing project(s). Indicate grade levels separated by commas (e.g., 6, 7, and 8).

Name of Public Housing Project	Grade Levels Served	City	State	Zip Code

Core Activities Provided to Parents, Guardians, and Family Members

12. In the following table, place an “X” in the first column next to the types of activities provided by your project with GEAR UP Federal or matching funds during the reporting period. For each type of activity provided, indicate (a) the unduplicated number of students whose parents, guardians, or family members participated in the activity during the reporting period; and (b) the sum total of hours that parents, guardians, and family members participated in the activity.

Mark (x)	Type of Activity	(a) Unduplicated Number of GEAR UP Students whose Parents, Guardians, or Family Members Participated in the Activity	(b) Sum Total of Hours that GEAR UP Parents, Guardians, or Family Members Participated in the Activity
	Workshops on college preparation/ financial aid		
	Counseling/advising		
	College visits		
	Family events		
	Other (please specify)		

Professional Development Activities Provided to Educators

13. **OPTIONAL:** Please complete the following table indicating professional development provided to educators as part of your approved project design during the reporting period. Indicate the unduplicated number of educators who participated in GEAR UP-sponsored professional development, and include all educators who directly benefited from GEAR UP-sponsored professional development.

Type of Activity	Unduplicated Number of Educators

The following activities are for State Grantees only:

14. In the following table, place an “X” in the first column next to the types of activities provided by your State project with GEAR UP Federal or matching funds during the reporting period.

Mark (x)	Activities/Services
	Provided technical assistance to secondary schools and GEAR UP partnership grantees
	Provided professional development for GEAR UP partnership grantees
	Disseminated information on the use of scientifically valid research and best practices to improve services for eligible students
	Aligned efforts in the State to prepare eligible students to attend and succeed in postsecondary education
	Disseminated information on effective coursework and support services
	Worked to align State academic standards and curricula with the expectations of postsecondary institutions and employers
	Developed alternatives to traditional secondary school
	Other (please specify)

15. In the following table, please list the types of state-wide initiatives implemented by your State project with GEAR UP Federal or matching funds during the reporting period.

State-wide Initiatives

Please indicate the amount of funding allocated to State-wide initiatives in the reporting year. _____

SECTION VI: GEAR UP STUDENT OUTCOMES

1. Secondary Course Enrollment: Please complete the following table indicating the number of GEAR UP students who have successfully enrolled in the courses identified, for the prior academic year. The names for math classes can vary among schools. Classify courses based on the content of the course. “Advanced Placement” classes are courses designed to prepare students for the Advanced Placement Exams. Some examples of a Rigorous Class can be an AP or IB Class, an Honors Class or one of the required Secondary Classes needed for entrance into Postsecondary Education. This list is not all inclusive. Grantees in their first year do not need to complete this question. Enter the numbers in the grade level the cohort was in when the student enrolled in the course.

Grade student was in when course was taken	Pre-algebra or equivalent	Algebra I or equivalent	At least one rigorous class (e.g., Advanced Placement, International Baccalaureate Class, Honors Class...etc.)
6			
7			
8			
9			
10			
11			
12			
Total			

2. Secondary Course Completion: Please complete the following table indicating the number of GEAR UP students who have successfully completed the courses identified, for the prior academic year. The names for math classes can vary among schools. Classify courses based on the content of the course. “Advanced Placement” classes are courses designed to prepare students for the Advanced Placement Exams. Some examples of a Rigorous Class can be an AP or IB Class, an Honors Class or one of the required Secondary Classes needed for entrance into Postsecondary Education. This list is not all inclusive. Grantees in their first year do not need to complete this question. Enter the numbers in the grade level the cohort was in when the course was completed.

Grade student was in when course was completed	Pre-algebra or equivalent	Algebra I or equivalent	At least one rigorous class (e.g., Advanced Placement, International Baccalaureate Class, Honors Class...etc.)
6			
7			
8			
9			
10			
11			
12			
Total			

3. **OPTIONAL:** Postsecondary Course Enrollment. Please complete the following table indicating the number of GEAR UP students who enrolled in postsecondary institutions that are listed as Partners to your GEAR UP project. How many GEAR UP students from your project that enrolled in a Partnering postsecondary institution(s) completed non-credit bearing remedial courses relative to first academic year of postsecondary education.

Number of postsecondary students	
Number of postsecondary students enrolled in non-credit bearing remedial courses	

4. Educational Progress by GEAR UP Students: Please complete the table below indicating educational progress of current GEAR UP students. Where available, use standardized test scores to determine whether a student is performing at or above grade level. New grantees in their first year of implementation should not complete the two columns on performance. Enter the numbers in the row that coincides with the grade the students were in during the prior school year.

Current Grade	Number of Students Proficient or Above on State Assessment for English/Language Arts <i>(OPTIONAL)</i>	Number of Students Proficient or Above on State Assessment for Mathematics <i>(OPTIONAL)</i>	Number of Students Taking the PSAT or PLAN by the end of 10 th Grade	Number of Students Taking ACT or SAT Exam by the end of 11 th Grade
6				
7				
8				
9				
10				
11				
12				
Total				

Note: Grantees will have to report on high school graduation and college enrollment data in the Financial Status and Program Performance Final Report.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 10 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 2). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to regulations.gov during the public comment period for this collection of information. If you have specific questions about the form, instrument or survey, please contact the GEAR UP Program, U.S. Department of Education, 400 Maryland Avenue, S.W., Mail Stop LBJ 2-261-05, Washington, DC 20202.