

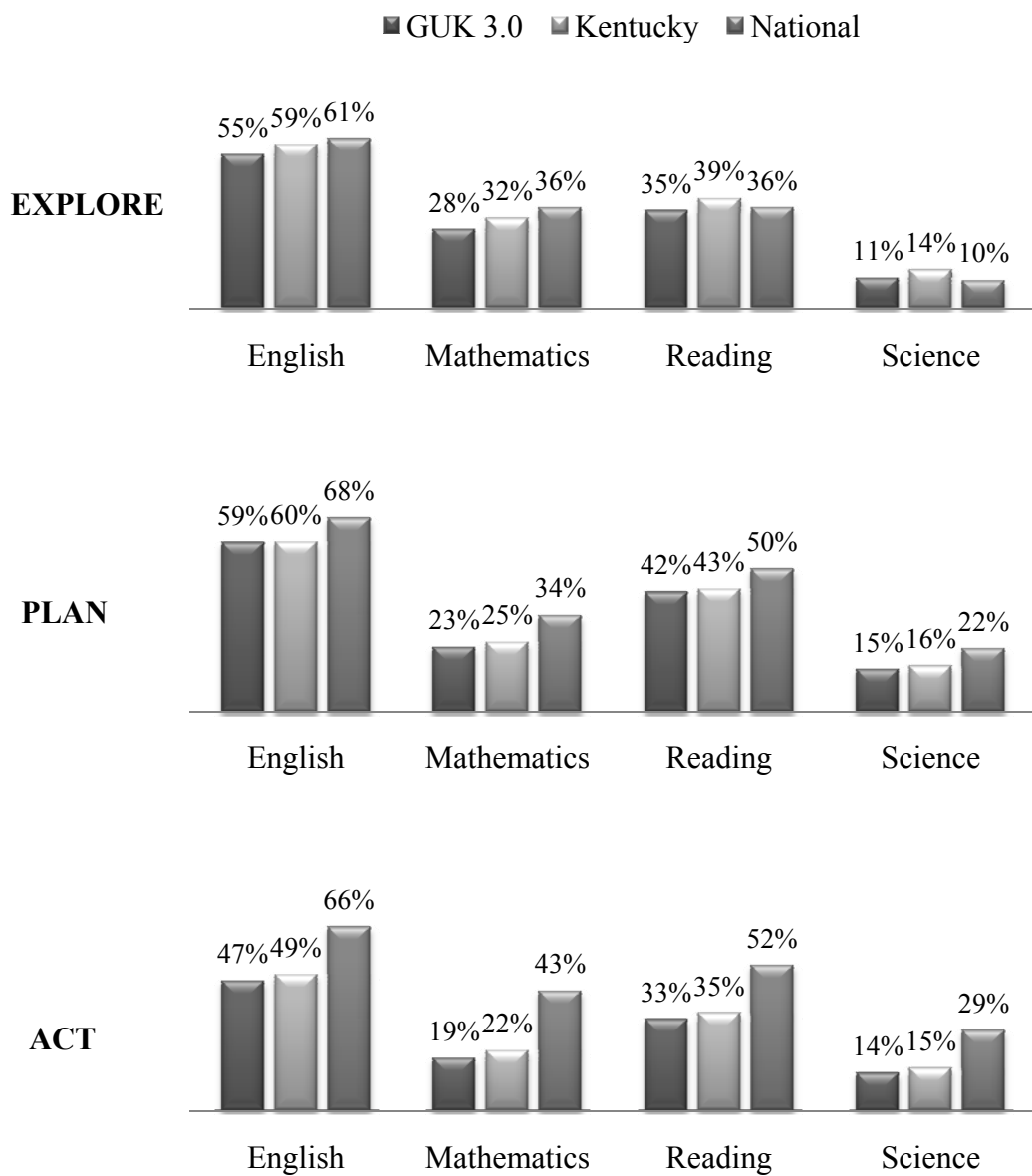
NEED FOR THE PROJECT

Introduction The Kentucky Council on Postsecondary Education (CPE), the applicant organization for GEAR UP KY (GUK 3.0), is a State Higher Education Executive Officer's (SHEEO) agency that coordinates change and improvement in the state's postsecondary education system. CPE requests \$26,992,000 over a six-year funding cycle to implement Kentucky's third statewide project to increase the number of low-income students who graduate from high school and enroll in postsecondary education. Kentucky's Senate Bill 1, passed in 2009, includes a mandate for the CPE and the Kentucky Department of Education (KDE) to work together to increase academic achievement and decrease the number of students entering college with a need for developmental education courses.

Magnitude or Severity of the Problem There is a critical need to improve the academic preparation for postsecondary education of students across the Commonwealth. In spring 2010, 51.2% of Kentucky eleventh-graders failed to meet the ACT national benchmark (18) in English; 78.4% failed to meet the benchmark (22) in mathematics; 65% failed to meet the benchmark (21) in reading; and 84.6% failed to meet the benchmark (24) in science. In addition, a KDE analysis of college readiness found that 68.2% of all students graduating from Kentucky public high schools in 2010 had college-level developmental needs and would require developmental (remedial) classes if they were to enroll in a Kentucky public college or university.

In the ACT report, *The Forgotten Middle: Ensuring that All Students Are on Target for College and Career Readiness before High School* (2008), the writers argue that "eighth grade achievement is the best predictor of student's ultimate readiness for college by high school graduation." Kentucky ranks in the bottom third of states in the percent of public school 8th graders proficient on the NAEP in mathematics; in 2009 only 27% of the state's 8th graders were

proficient compared to 33% at the national level. On the Educational Planning and Assessment System (EPAS) used to predict college readiness, Kentucky students score lower than the national average. The graph below shows the percent of students performing at benchmark level in GUK 3.0 prospective schools compared to students at the state and national level and reinforces the need to increase the number of high school math courses that students complete as evidenced by the extremely low math percentages on the ACT.



Researchers have outlined a number of factors that appear to negatively affect the college-going chances of students from low income backgrounds including: lower levels of academic preparation, lower educational aspirations, less encouragement and support to attend college, particularly from parents, less knowledge about the college application process, and fewer resources to pay for college. In combination, these factors reduce the chances that first-generation students will “choose” to go to college at all, as well as limit the types of colleges (i.e. location, sector, and selectivity) that they consider attending, which can ultimately affect their chances of graduating with a degree. (Jennifer Engle. *Postsecondary Access and Success for First Generation Students*, 2007)

Poverty remains the greatest challenge facing Kentucky. The US Census Bureau 2009 Poverty and Median Income Estimates indicate that 25% of the population under the age of 18 lives in poverty. The median income for Kentucky households is \$40,061; the national median household income is \$50,221. In the current GEAR UP Kentucky program, six out of every ten students come from a low-income family. Moreover, annual surveys indicate that in more than 50 percent of GEAR UP Kentucky households neither parent attended college.

Specific Gaps or Weaknesses in Services, Infrastructure, or Opportunities There are still many weaknesses within the state’s public school systems, including the need for improvement in the frequency and depth of student advising. The American School Counselor Association reports that Kentucky’s K-12 Student to Counselor Ratio was 459 to 1 in 2009.

In late May 2011, the 83 eligible middle schools were surveyed to identify needs and gaps in programs and services. Completed surveys were received from 33 schools (n = 33) for a response rate of 40 percent. The following is a summary of identified needs that determine proposed GUK 3.0 services:

1. ***Comprehensive School Counseling:*** Though the majority of respondents reported that they had at least one counselor on staff, 63% indicated that their school does not currently have a comprehensive student advising program in place. Schools reporting on-staff counselors also indicated that counseling typically deals with issues such as special needs and 504 plans (92%), assistance with student IEPs and ILPs (85%), disciplinary referrals (76%) and assistance with academic achievement in discrete content areas (62%). The percentage is lower for schools who report that they provide counseling in college-readiness (46%), and how to understand and make use of EPAS scores (46%).
2. ***Use of EPAS Data:*** When schools were asked to briefly describe how they use EPAS data to inform students and parents and to monitor student progress over time, 22 (67%) schools responded. Of these, several articulated processes in place for informing parents and students and for monitoring student progress over time. A few responded that they “do not know what this [EPAS] is” and “we need to improve in this area” and that the question is “not applicable”. When asked what was needed to make better use of EPAS data with students, 75% of the schools responded that they needed assistance in the areas of professional development on EPAS advising and on the use of predictive or early warning systems for students. 57% said that they need better access to EPAS data or assistance with understanding how to make sense of data.
3. ***Financial Literacy:*** 70% of respondents indicated that their school does not currently provide financial literacy instruction to students. In order to effectively deliver financial literacy instruction to students, respondent schools indicated that they would be willing to provide such supports as: beginning financial literacy instruction as early as the 7th grade (89%); after-school (67%) and in-school (59%) time for financial literacy; time for

teacher professional development (48%); and designated space in the building for this instruction (48%).

School Selection Process—Original Source for Determining Eligible Schools: The CPE queried an original list of schools provided by the KDE (source: U.S. Department of Agriculture, KDE, Division of Nutrition & Health Services, October 2010; <http://scn.ky.gov/octdataout/rptlist.htm>) to arrive at a list of 465 schools with more than 50% of students that are eligible for free/reduced price lunch (F/RPL). Working in cooperation with the GU partnership projects around the state to avoid overlap and duplication of effort, CPE reduced the original list of 465 to 83 middle schools eligible to participate in the GUK 3.0 project.

School Characteristics: The 83 eligible middle schools are located throughout the state. The majority of the schools are located in rural areas with a few exceptions in the greater Cincinnati/Northern Kentucky area and in the city of Louisville. Based on state demographics, the majority of students served through GUK 3.0 will be from low income backgrounds. The schools included in this list range from 50% to 95% F/RPL.

School Awareness and Intent to Participate: All 83 eligible middle schools were invited to attend one of a series of six information sessions scheduled around the state occurring from February to April, 2011. These sessions provided schools with information about the planned GUK 3.0 project, including school requirements and responsibilities. Individual meetings were also held with schools not able to attend one of the information sessions. The CPE then solicited letters of intent to participate in the project and, as of the date of this proposal submission, has received letters from a majority of the schools.

QUALITY OF PROJECT DESIGN

GUK 3.0 Goals and Objectives The proposed project has been designed to support the shared goals of the GEAR UP program, the CPE's Strategic Agenda, Unified Strategy, and Kentucky's landmark college readiness legislation, Senate Bill 1 (SB-1)—to increase graduation rate and postsecondary enrollment, and reduce the need for remediation at the postsecondary level. The success of GUK 3.0 will be evaluated against a set of fourteen objectives which are subdivided into fifty specific, detailed, measureable objectives (these have been detailed in the evaluation section of the proposal). Each GUK 3.0 objective is designed to promote specific actions and outcomes in line with one of the three national GEAR UP goals, and many of the GUK 3.0 objectives address the performance measures identified in the award announcement in the Federal Register..

GUK 3.0 will serve three cohorts of students. The cohorts will be initially defined as the entire seventh grade class in each participating school in Fall 2011 (cohort 1), Fall 2012 (cohort 2), and Fall 2013 (cohort 3). In each subsequent year, the cohorts will encompass the entire subsequent grade in the same school or ultimately in the district high school where the district has a single middle school and a single high school. If all the middle schools in a district participate in GUK 3.0 and all feed into a single high school, the cohorts will again encompass the entire subsequent grades in the district high school. Where the participating middle schools send students to multiple high schools or to a single high school that also collects a significant number of students from other middle schools, GUK 3.0 will follow at least a majority of the students through the high school grades. In these cases, the cohorts will consist only of the GUK 3.0 students continuing from the middle school cohorts and services will be provided through extracurricular events and activities.

GEAR UP Goals and Objectives	Kentucky SB 1 Unified Strategy¹	CPE Strategic Agenda² Policy Objective
GOAL 1 (National) - Increase the academic performance and preparation for postsecondary education of participating students		
GUK 3.0: Objectives 1 - 6	Strategy 2, 3	Policy 1
Objectives 1-2: Improve individual student performance from EXPLORE to PLAN to ACT	Targeted Interventions	Readiness and College Completion Student Interventions
Objectives 3-5: Improve overall student performance on EXPLORE, PLAN, ACT from cohort to cohort		
Objective 6: Improve frequency and depth of student advising	Advising	
GOAL 2 (National) - Increase the rate of high school graduation and participation in postsecondary education by participating students.		
GUK 3.0: Objectives 7 - 11	Strategy 4, 1	Policy 1
Objective 7: Increase successful completion of ninth grade	High School Completion	Student Interventions
Objective 8: Improve successful completion of 9 th , 10 th and 11 th grade math		
Objective 9: Improve high school graduation rate		
Objective 10: Increase percent completing dual credit coursework	Accelerated Learning	Readiness and Completion
Objective 11: Improve college going rate	College completion	College completion
GOAL 3 (National) - Increase the educational expectations for participating students and family of postsecondary options, preparation and financing.		
GEAR UP Kentucky 3: Objectives 12-14	Strategy 3	Policy 5
Objective 12: Improve financial literacy	Advising Reduce	barriers to access and completion
Objective 13: Improve education aspiration and expectation		
Objective 14: Improve knowledge of postsecondary education options, preparation and financing		

¹ **Unified Strategy for College and Career Readiness Senate Bill 1 (2009):** SB1 mandates that the CPE, the Kentucky Board of Education (KBE), and KDE develop a unified strategy to increase the number of students that are college ready.

² **CPE's Stronger by Degrees:** A Strategic Agenda for Kentucky Postsecondary Education and Adult Education (2011-2015).

GUK 3.0 Framework for a College-Going Culture In the first two projects, GEAR UP Kentucky adopted and refined a research-based framework for delivering services with supporting activities that reflected generally-accepted best practices for engaging low-income students. Refinement efforts focused on identifying activities that yielded the most promising results. While GUK 3.0 will certainly build upon the lessons learned from the framework models in both prior projects; this proposal represents a fundamental evolution of the GEAR UP Program for Kentucky. Following an exhaustive research and literature review and with the input of students, parents, educators, staff, partners, GEAR UP Kentucky Alliance (Alliance) members and policy-makers, GEAR UP has re-envisioned what GEAR UP Kentucky must become. The GUK 3.0 design is a proactive response to the opportunities and challenges of Kentucky's educational pipeline with a unique focus on engaging the community and building a true college-going culture.

Research and Replication of Effective Practices GUK 3.0 adopts a redefined framework for a college-going culture that must exist if schools are to achieve high levels of college readiness, and is patterned on research-based concepts identified in research studies and national publications such as: *Helping Student Navigate the Path to College: What High Schools Can Do* (IES: Practice Guides, U.S. Department of Education Institute of Education Sciences, 2009); *The Forgotten Middle: Ensuring that All Students Are on Target for College and Career Readiness before High School* (ACT, 2008); and *College Access for All Toolbox: A Framework for Action* (Pathways to College Network, 2008). To support this framework, GEAR UP Kentucky 3.0 proposes a structure in support of the following five attributes of this framework for a college-going culture:

- ***Aspiration*** — School setting that inspires and supports students’ college and career goals. All students are assured access to advising and activities linking school, personality, and aptitude to career and college.
- ***Rigor*** — College and career success is intricately linked to academic preparation in the school. All students are assured opportunities and support to acquire core knowledge and skills that provides the best chance for success in college.
- ***Expectation*** — School provides clear indicators of college readiness focused on both college knowledge and college-ready coursework to close the gap between aspiration and college-going. Students will be advised on their progress toward college readiness and provided targeted support.
- ***Accountability*** — School makes appropriate decisions about student readiness and school improvement using multi-dimensional data to create a complete student, cohort, and school profile; uses data to gauge progress, and effectively structures interventions.
- ***Sustainability***—An environment in which school focuses on transforming to a college-going culture to create systemic change.

Systemic Changes That Benefit Future Cohorts of Students Enduring systemic change is the goal of several of the GUK 3.0 objectives. Project objectives 3 through 10 compare the performance between cohorts. The emphasis is on the development of a school-level infrastructure and college-going culture capable of supporting improvement from cohort to cohort. Research-based professional development and data-driven diagnostic tools combined with educator support will expand the capacity of schools. This expanded capacity ensures that

student cohorts, school systems, and communities will benefit beyond the services, connections, and successes of the GUK 3.0.

For the first time, Kentucky has the infrastructure to support systemic changes to improve college readiness and completion because of the adoption of the Kentucky SB-1 legislation. This legislation led to the implementation of reform initiatives impacting college readiness and degree completion in Kentucky. Emboldened by SB 1, Kentucky was the first state to adopt internationally benchmarked College and Career Readiness Academic Standards (after this referenced as the Kentucky Core Academic Standards [KCAS]). Additionally, SB 1 included a mandate for *all three education agencies* in the state: the Kentucky Council on Postsecondary Education (CPE)—the applicant organization for the GEAR UP state grant; the Kentucky Board of Education (KBE); and the Kentucky Department of Education (KDE) to develop a unified plan to reduce college remediation rates of high school graduates and to increase college completion. This confluence of purpose has sparked an enthusiasm and cooperation amongst the stakeholders that heralds a new level of influence and impact for GUK 3.0. Moreover, the adoption of SB-1 and the KCAS is a key indication of the potential for sustainability of efforts and long term high achievement in GUK 3.0 participating schools.

QUALITY OF PROJECT SERVICES

GUK 3.0 will assure that participating student demographics reflects the community population as a whole by serving whole cohorts of students who will have equal access to services.

There are three primary categories of GUK 3.0 services: (1) Direct Services to Students and Parents, (2) Statewide Services, and (3) School Improvement Services.

- 1. *Direct Services to Students and Parents:*** GUK 3.0 services for students and parents are designed to support five research-based strategies. Each school-based strategy encompasses

an implementation plan for a customized college-going curriculum for students and parents; complementary college planning activities; assessments and instructional resources and tools; and professional development training materials. There are key topics that must be covered in each curriculum area and optional topics to add clarity and provide intensity when students have a greater need. All GEAR UP students are eligible to participate in all activities though it is expected that all student may not require all that is provided by the program. The five research-based strategies are: (a) **GEAR UP-2-Learn** (*learning skills*); (b) **GEAR UP-2-Success** (*comprehensive advising*); (c) **GEAR UP-2-College and Careers** (*college planning and financial literacy*); (d) **GEAR UP-2-Focus** (*mentoring*); and (e) **GEAR UP-2-Campus** (*summer enrichment*). The following chart depicts the overlapping relationship of these five strategies and the grade levels at which each strategy is to be implemented.

7th Grade	8th Grade	9th Grade	10th Grade	11th Grade	12th Grade
GEAR UP-2-Learn					
		GEAR UP-2-College & Career			
			GEAR UP-2-Campus		
GEAR UP-2-Focus					
GEAR UP-2-Success					

As designed, each strategy integrates parents into parallel lessons and activities, to ensure that parents develop the same awareness of the important college-going skills as students, and acquire skills and experiences to help manage the college planning process and guide their children’s progress. To assure that the most vulnerable students participate in key services, GUK 3.0 will target these students for additional recruitment. The following descriptions give an overview of each strategy and examples of the services provided.

A. GEAR UP-2-Learn – a customized curriculum designed for 7th, 8th, and 9th grade to help students acquire academic success behaviors such as study skills, time management, note taking, test taking; self-monitoring skills such as problem solving and conflict resolution, team building, and discipline, as well as an introductory course in financial literacy. Students will be provided opportunities to understand their personal learning styles, define their learning and education goals; create individual education mission statements; work effectively in groups; and acquire college knowledge. Parents will engage in planned activities and lessons that parallel the student curriculum. The curriculum outline is built on the publication *The Skinny on College* that is the product of a GUK 3.0 partnership with “*Premier Publications*”. GEAR UP-2-Learn activities are designed to increase the percentage of students taking rigorous courses that reflect challenging academic standards and increase the percentage of secondary school completions. *Primary Partners*: School Specialty Planning and Student Development featuring Premier Products (*Premier Publications*); LAMPO Group (Dave Ramsey’s *Foundations in Personal Finance*).

B. GEAR UP-2-Success (comprehensive advising) –will provide the technical assistance and professional development for schools to implement a customized, whole-school advising/assessment model for students and parents. GUK-2-Success will utilize the KDE’s student advising toolkit, combined with the very successful EPAS advising model driven by the data results from the EXPLORE, PLAN, and ACT student assessments. The assessment data will identify needed academic interventions, help students design high school and post high school goals, and identify the high school courses needed to prepare for college. GUK 3.0 staff will use the assessment data to provide parents an understanding of their students’ academic status and strategies to support their progress. GEAR UP-2-Success activities are intended to increase the percentage of secondary school completion and increase the percentage of students

enrolling and succeeding in postsecondary education. *Primary Partner:* KDE hosts the interactive Individual Learning Plan (ILP) and ACT provides the assessments. (*Note: GUK 3.0 staff served on the statewide committee that developed the KDE advising toolkit*).

C. *GEAR UP-2-Focus*—is a college planning *e*-Mentoring program. It is being adapted from the electronic mentoring program that was developed and successfully piloted and replicated in both GUK 3.0 and non GUK 3.0 middle and high schools during the current grant. The GEAR UP-2-Focus strategy is designed to encourage students to enroll in a college-ready curriculum, graduate from high school, and ensure they are knowledgeable of financial resources and strategies that will assist in their success. This customized curriculum consists of four separate sets of standardized topics and activities designed to provide a safety net for the most vulnerable students and ensure they have support for their aspirations, even when there is little or no support in their homes. Topics are suitable for both middle and high school students. College students serve as mentors and are linked to small groups of students (1-10) in a secure online discussion community. This strategy will increase knowledge of and access to financial assistance for postsecondary education and increase the percentage of students enrolling and succeeding in postsecondary education. The CPE (applicant organization) will make the curriculum and online platform available as a statewide GEAR UP service.

D. *GEAR UP-2-College and Careers* —a college and career planning strategy that is designed to complement the services of GEAR UP-2-Success (advising). The customized curriculum addresses the skills and knowledge students need for success in college. This skill set is commonly referred to as college knowledge—an understanding of the complex college admission and selection process, the available financial aid options, the academic requirements for college-level work, and the cultural differences between secondary and postsecondary

education. (*Sarah Hooker and Betsey Brand, American Policy Forum, October 2009*) GEAR UP-2-College and Careers will provide information about personal finance; dual enrollment; AP and IB programs, and financial aid for postsecondary education. The curriculum also includes: in-depth use of an individual learning plan, personalized financial aid calculators; and assistance for parents and students to complete college and financial aid applications. This strategy will increase knowledge of and access to financial assistance for postsecondary education and increase the percentage of students enrolling and succeeding in postsecondary education.

Primary partners: The LAMPO Group (Dave Ramsey's *Foundations in Personal Finance*), Kentucky colleges and universities, KHEAA, and the Kentucky AmeriCorps.

E. GEAR UP-2-Campus — is GUK 3.0's summer enrichment program that will challenge students intellectually while building confidence to succeed in college. GEAR UP-2-Campus will offer students in the 10th, 11th, and 12th grades an exciting residential college experience that empowers and inspires students. College campuses across the state will serve as partners to provide an intense three-week exploration of an academic discipline, with hands-on, relevant classroom instruction and field activities. Additionally, the core curriculum will foster socialization and teamwork to create a more motivated and high-achieving student. This program will utilize the 21st Century skills to help students develop both academic and behavioral skills for success in college. This strategy will increase the percentage of students enrolling and succeeding in postsecondary education. *Primary Partners:* include Eastern Kentucky University, Morehead State University, Western Kentucky University, and the University of Kentucky.

The following chart cross references the five strategies (above) with the key activities — the required national GEAR UP activities are noted in bold.

Key Activities and Areas For Student Development	GEAR UP-2-Learn	GEAR UP-2-Success	GEAR UP-2-Focus	GEAR UP-2-College & Careers	GEAR UP-2-Campus	Partner
College Access & Outreach Media Campaign	✓	✓	✓	✓	✓	KBA, Lex. Herald-Leader, KH2GKy, KDE, KHEAA
Career Exploration & Planning			✓	✓	✓	Premier, ACT
College Knowledge	✓	✓	✓	✓	✓	KHEAA, Ky Colleges
College Planning (Procedural Steps)			✓	✓	✓	KH2GKy, KDE, KYVC. KBA
Guided Campus Visits	✓		✓	✓		Ky Colleges
Enriched Academic Content		✓			✓	Ky Colleges, Princeton Review
Residential Experience On Campus					✓	MSU, EKU, WKU, UK
Internships or Service Learning Opportunities				✓	✓	Ky Colleges
Psycho-Social Development	✓			✓	✓	ACT
Consistent Use of Individualized Learning Plan	✓	✓	✓	✓	✓	KDE, KHEAA
Communication Skills	✓	✓		✓		Premier, Princeton Review
Parental Engagement	✓	✓		✓	✓	KYAE, Center for Rural Development
Mentoring and Personalized Support	✓	✓	✓			KYVC, CPE
Financial Literacy	✓		✓	✓		LAMPO (Dave Ramsey), KHEAA

Statewide Services: GUK 3.0 recognizes the benefits associated with identifying common goals and the need to maximize and expand resources for the GEAR UP program. As the state grant, GUK 3.0 will continue to facilitate the association among Kentucky’s GEAR UP programs as well as extend the scope of the partnership to others and expand college readiness resources.

A. Parent and Community Engagement—one of the more under-developed, if not natural resources GUK 3.0 has for increasing high achievement are parents. Every parent wants the best for her/his child though often does not know how to act in ways that support a child’s aspirations and dreams. In GEAR UP schools many of the parents are not themselves college graduates and so are unsure how to help children successfully graduate from high school and enroll in college. This lack of knowledge includes not knowing the appropriate expectations to set for students and hold for school personnel. The ultimate goal for the GUK 3.0 parent community is four-fold: *outreach* (parents learn to value higher education); *readiness* (parents have the skills to help students succeed); *guidance* (parents know the steps to college); *support* (parents understand the resources available).

GUK 3.0 will partner with community-based organizations to cultivate a local and community-wide network of parents. The goal of these local groups is to train parent groups how to form, recruit, and lead effective college access teams in their schools. These self-sustaining networks will develop and be connected through linkages to a larger network comprised of community-based organizations, local employers, and faith-based institutions. GUK 3.0 will tap into these expanded networks as a resource for promoting greater student achievement and access to postsecondary education. Network outcomes will include:

- Expanding community resources
- Building effective teams and lasting networks

- Engaging community partners
- Identifying college access gaps and creating a community action plan

GUK 3.0 will also directly empower parents to serve as advocates through continuation of the very successful *Institute for a College-Going Culture* where educators, students, and parents convene annually to explore new resources, identify challenges, and learn to become effective advocates for students. Parent involvement can help transform school culture from one of high expectations for just a few students to one where all students are expected to attend college and are supported in their preparation.

B. College Access and Outreach Media Campaign: Working with significant state and national partnerships, GUK 3.0 will augment its commitment to develop a college-going culture by raising awareness statewide to the value, options, and steps to college readiness. Messaging and content for the outreach campaign will be developed internally and with the partnership of Kentucky Adult Education (KYAE), KnowHow2GO (KH2G), CPE, and KDE. Delivery of the message(s) (television, radio, newspaper, periodicals, Web and social media) will be made possible through the support and partnership of Kentucky Broadcasters' Association (KBA), Kentucky Virtual Campus (KYVC), KnowHow2GOKy (KH2GKy), the Lexington Herald-Leader newspaper, Kentucky Higher Education Assistance Authority (KHEAA), and KYAE. This campaign will be comprehensive, consistent and align to the messaging and branding established in the GUK 3.0 schools, institutions, communities, and signature events.

C. Kentucky GEAR UP Alliance: Recognizing the benefits associated with identifying common goals and maximizing resources, the directors of the five GEAR UP programs in Kentucky agreed to formalize their association and create a more structured relationship – the Kentucky GEAR UP Alliance (Alliance). As proposed, GUK 3.0 will continue to coordinate efforts for the

benefit of the Alliance. The goals of the Alliance cut across individual programs and are grounded in sound research. To achieve economy of scale, resources and programs will be developed by GUK 3.0 and shared among Alliance members thereby reducing costs for individual programs. An example of this effort is the GEAR UP-2-Campus summer enrichment program designed to serve students from all GEAR UP programs across the state.

2. *School Improvement Services:* GUK 3.0 school improvement services will be focused on the effectiveness of building-level leadership to implement a sustainable college-going culture, through the use of data for proactive decision-making. Critical to this effort will be empowering schools and districts to accurately assess the efficacy of their current practices, design data-driven improvement plans, and implement strategies to meet identified gaps and needs. GUK 3.0 proposes to provide GUK 3.0 schools/districts the following tools, resources and customized professional development activities:

A. *EPAS*—GUK 3.0 will implement the Educational Planning and Assessment System (EPAS), an ACT suite of assessments consisting of EXPLORE, PLAN, and ACT. GUK 3.0 will administer the EXPLORE and PLAN at the 7th and 9th grades respectively, complementing the state’s administration at the 8th and 10th grades.

B. *ENGAGE™*—GUK 3.0 will administer this Student Readiness Inventory to complement the EXPLORE and PLAN assessments. Together, these will be used in an early warning system as predictors of students who may encounter difficulty with meeting college readiness standards including social and emotional areas of development.

C. *Framework for a College-Going Culture*—GUK 3.0 has developed a performance guide including a self-assessment rubric to gauge school status on this framework. Partnering with the Collaborative for Teaching and Learning (CTL) a non-profit organization specializing in

transforming schools, and school systems through custom professional development; GUK 3.0 will conduct walkthroughs to validate school responses on the rubric and based on the findings establish a baseline and target areas for improvement.

D. Kentucky GEAR UP Alliance Institute for a College-Going Culture—All GUK 3.0 schools will receive some school improvement services. Among the major successes this year are GUK’s continued alliance with the five GEAR UP partnership grants in the state. This alliance has proven to be invaluable in maximizing efforts and resources. The Kentucky GEAR UP Alliance Institute for A College-Going Culture has become a centerpiece for the collaboration between the six programs and continues to epitomize the promise of the GEAR UP philosophy, and serve as a pivotal event for students, parents, educators and administrators. One unique strand of the program is the Parent Summit, designed to listen to parents from all across the Commonwealth and to provide them with information about college planning. An exciting new partnership was established in 2010 with Kentucky Campus Compact (KyCC), a statewide coalition of Kentucky colleges and universities. Through this partnership, the current GEAR UP program has placed College Coaches in eleven GEAR UP high schools.

E. Data-based Decision Making—All GUK 3.0 schools will receive technical assistance and professional development to develop skills in using the ACT longitudinal data set to identify at-risk students, structure appropriate interventions, and monitor student progress. In addition, schools leaders will be guided in the use of other assessments to determine school progress toward a college-going culture; and alignment of curriculum and instruction to college-readiness standards.

F. Enhanced Services—GUK 3.0 responds to Competitive Priority 3 and the schools identified for participation will receive enhanced school improvement services. The list below identifies the entire selection of improvement services according to treatment design.

Professional Development and Trainings	Full Treatment Schools N=5³	Limited Treatment Schools N=5	All GUK 3.0 Schools N=30	Partners/Providers
CoreWorks Diagnostics & Custom PD	✓	✓	ACT	
Core Practice Audit & Custom PD	✓		ACT	
Performance Guide ⁴ for College-Going Culture	✓	✓	✓	CTL ⁵
How to Use EPAS	✓	✓	✓	ACT
How to use EPAS and Other Data with Students and Parents	✓	✓	✓	GUK 3.0 Staff
Utilizing EPAS to Change Policy and Plan Instruction	✓			CTL
How to Use ENGAGE	✓	✓	✓	ACT
ENGAGE Professional Development	✓			GUK 3.0 Staff
Quality Core Implementation: Multi Media Training and Data Interpretation	✓	✓	✓	ACT
How to Use Quality Core with Existing Curriculum	✓	✓		ACT
Embedding Quality Core (one-on-one coaching): Using Quality Core to Infuse Rigor in the Classroom	✓			CTL
Implementing Kentucky Core Academic Standards	✓	✓	✓	KY Leadership Networks

³ Ten schools have been identified in Competitive Preference Priority 3.

⁴ Walkthroughs are based the rubric developed for Performance Guide for a College-Going Culture and provide data on 1) the presence of a college-going culture; 2)the extent to which the schools address the ACT College Readiness Standards, and 3) the presence of rigor, relevance and differentiation of instruction.

⁵ The Collaborative for Teaching and Learning.

Embedding Kentucky Core Academic Standards (one-to-one coaching):	✓		CTL	
Institute for a College-Going Culture—two-day conference Featuring Emerging Practices	✓	✓	✓	GUK 3.0
<i>GEAR UP-2-Learn</i> : How to Implement GUK 3.0 Custom Curriculum	✓	✓		CTL
<i>GEAR UP-2-College and Career Advising</i> : How to Implement GUK 3.0 Custom Curriculum	✓	✓	✓	GUK Staff
<i>GEAR UP-2-Focus</i> : How to Implement GUK 3.0 Custom e-Mentoring Curriculum	✓	✓	✓	GUK Staff
<i>GEAR UP-2-Success</i> : Embedding subject area content based on EPAS item analysis	✓			CTL

QUALITY OF PROJECT PERSONNEL

GUK 3.0 staff not already in place at the time of funding will be hired in accordance with the personnel policies of the Commonwealth of Kentucky and the Kentucky Council on Postsecondary Education (CPE). Because the CPE is a public agency, its processes ensure that all candidates have equal access to information about available positions and receive equitable treatment during the search process. To date, this process has been effective in assembling a staff from diverse backgrounds. Five administrative staff will assume newly defined roles in GUK 3.0. As other positions become available, a candidate pool will be developed that reflects the diversity of the Commonwealth.

Relevant Training and Experience of the Project Director The full-time *Executive Director* functions under the supervision of CPE Senior Vice President of Academic Affairs Aaron Thompson with guidance from the GUK Steering Committee. The Executive Director (ED) fosters partnerships between state education agencies, postsecondary institutions, community

organizations, businesses, and foundations. In addition to regular meetings with partners the ED meets regularly with the GUK 3.0 Leadership Team, GUK 3.0 Student Services Team, and the Kentucky GEAR UP Alliance. The ED provides direct supervision for the project's Director of Operations and the Research and Evaluation Manager. These positions provide immediate supervision of day-to-day grant operations related to planning, assessment, and intervention services and will serve as an internal communications channel for all project staff. The ED is ultimately responsible for the overall development of the statewide program, monitoring the impact of statewide program services and outcomes and approving adjustments to budget, policy and strategy when necessary.

Yvonne Lovell will serve as the ED for GUK 3.0. She has been the Project Director of the current GEAR UP Kentucky program since 2000. A seasoned veteran in higher education, she has vast experience in grant administration, program development, strategic planning, policy analysis and P-16 initiatives. Before coming to CPE, Lovell was the Executive Assistant to the Deputy Commissioner responsible for higher education policy at the New York State Education Department where she also served as Bureau Chief in the Office of Equity and Access.

Relevant Training and Experience of Key Personnel (all are full-time positions):

The *Research and Evaluation Manager (Evaluation Manager)* will oversee the data collection, tracking and application method, evaluation process, and research components of the project. The position will provide data, information, and technical assistance to participating schools, host institutions, and GEAR UP staff. The Evaluation Manager will explore and track national, state, and regional data sources and perform related research, data collection, projections, reporting and analyses. This position will serve as the liaison to the external evaluators and Data Consortium members. The position is located at CPE and reports to the ED.

Mark Wiljanen will serve as Evaluation Manager. Mark holds a PhD from the University of Wisconsin and has more than 30 years of professional experience in postsecondary education, data systems, and data analysis. As a full-time GUK 3.0 staff person, Mark will tap into his years of experience in the postsecondary education field, as well as his personal history with the GEAR UP program to develop and deliver a meaningful and comprehensive analysis of GUK 3.0's progress toward stated goals and the program's impact statewide. The Evaluation Manager will directly supervise two staff: the Data Coordinator and Policy and Budget Analyst.

The *Director of Operations (DO)* is responsible for the day-to-day operations of the project. The DO will supervise all full-time staff, with direct, daily supervision of Student Services, Support Services, and Partner Services staff. The DO manages the development and implementation of the GUK 3.0 strategies. Reporting directly to the ED, the DO coordinates the efforts of the implementation staff and works to ensure the quality of programming, fidelity of services and the ongoing development of a cohesive and effective GUK 3.0 team.

Bruce Brooks will serve as DO. Bruce has worked with GEAR UP Kentucky for four years and has been an employee of CPE for nearly 10 years with a total of 16 years experience directing programs in Kentucky. In addition to being a product of the state's K-12 and postsecondary education system, he has professional experience in strategic planning, program management, staff management and development, communications, event management, and information systems.

The GUK 3.0 organizational structure calls for four new *Service Manager* positions described in the following paragraphs.

The *Direct Student Services Manager (DSS)* directs the regional Intervention Specialists in each GUK 3.0 region. The DSS primary responsibility is the effective in-school delivery of

GUK 3.0 strategies (GEAR UP-2-Success, GEAR UP-2 Learn, and GEAR UP-2-College & Careers) with fidelity and purpose. This position reports directly to the DO and supervises the Intervention Coordinator. *Qualifications* will include: Minimum of a Masters' Degree, classroom or school administration experience, strong communication and interpersonal skills, strong team member and leader, ability to work with a high degree of independence, and to represent the work of GEAR UP and CPE, as well as demonstrated organizational skills.

The *Enrichment Services Manager (ESM)* will provide oversight for supplemental enrichment services. The ESM will be responsible for the staff supervision and strategy implementation for the *e*-Mentoring program (GEAR UP-2-Focus) and the residential summer college program (GEAR UP-2-Campus). *Qualifications* will include: Minimum of Masters Degree, experience in program management and curricula development, experience integrating technology in an education setting, strong communication and interpersonal skills, as well as demonstrated organizational skills, a strong team member and leader, the ability to work with a high degree of independence, and represent the interest of GUK 3.0 and CPE.

The *Partner Services Manager (PSM)* coordinates the efforts, outcomes, and ongoing contractual relationships with partners and vendors. Reporting directly to the Director of Operations, the MPS position ensures the progress of School Improvement, Curriculum Development, Parent and Community Network Development, and Professional Development Services. The MPS ensures all GUK 3.0 interests are represented and outcomes met with contracted vendors and partners. *Qualifications* include: Minimum of Masters Degree, a strong knowledge of the Kentucky Procurement System, a working knowledge of the Kentucky K-12 environment, strong communication and interpersonal skills, a degree of experience in budget and accountability management, as well as demonstrated organizational skills.

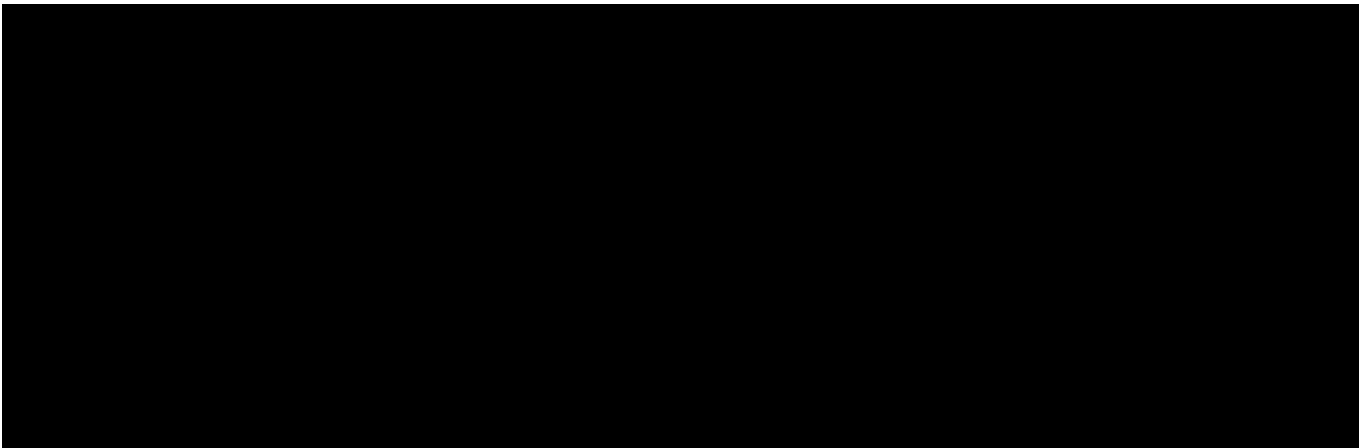
The *Communication and Outreach Manager (COM)* creates, implements, and oversees policies, procedures, materials and messages that effectively communicate and promote GUK 3.0, GEAR UP Alliance, and CPE programs, perspectives, and objectives. The COM directs the preparation of materials geared toward GEAR UP audiences both internal and external and will develop and execute a long-range communication plan incorporating internal and system-wide outreach. *Qualifications* include: At least five years of demonstrated success - in communication management, event planning, and message development. Strong presentation and interpersonal skills, as well as demonstrated organizational skills are also required.

QUALITY OF MANAGEMENT PLAN

Adequacy of Management Plan: Building upon the successful management practices implemented in the previous two grant cycles, GUK 3.0 has in place the systems, processes, partners, and supports needed to effectively administer a statewide, multi-tiered program of this magnitude and to achieve the objectives on-time and within budget. As described in the personnel section, the Executive Director and several experienced key staff members, as well as multiple partners across the state and nation will continue to participate in the grant.

To ensure clarity, responsibilities are divided into four distinct areas: *Administrative*, *Student Services*, *Support Services* and *Partner Services*. The (1) *Administrative* team works to set direction, evaluate progress, maintain relationships, expand the impact and provide daily program management for the GUK 3.0 structure. It consists of the Executive Director, Director of Operations, and the Research and Evaluation Manager. The (2) *Student Services* division includes the Manager of Direct Student Services and the Manager of Student Enrichment Services. These areas are focused on delivering the proposed program strategies to students and parents and community. (3) *Support Services* includes the Data Coordinator, Program/Budget

Analyst and Communication and Outreach Manager. This division will support the data-driven decision making and consistent engagement of all staff, partners, stakeholders, and service recipients. The (4) *Partner Services* division, which includes the Partner Services Manager and the Professional Development Coordinator, will oversee the school improvement, community development, and academic interventions services provided by partners and contracted vendors. In order to adequately support the expanded scope of GUK 3.0 and the ambitious nature of the proposed objectives, refinements have been made to the existing organizational structure. This simplified organizational chart illustrates the reporting structure for key GUK 3.0 personnel.



Timeline & Milestones

Year One Timeline and Program Milestones (indicated with an *)	
Grant Award Notification	September 2011
* Baseline Data Collection (ENGAGE, EXPLORE, GUK 3.0 SURVEY)	September -November 2011
* School Planning Sessions	October 2011
* Final School Partnership Agreement	October 2011
* All-Staff Orientation	October - December 2011
Central Office Staffing Completed	November 2011
* Core Practice Audits (5 Districts)	November - December 2011
Field Staffing Completed	December 2011
Regional Budgets Approved	December 2011
Advisory Team Meeting	January 2012
Intervention Strategies Targeted to Need	January 2012
Professional Development Targeted to Need	January 2012
* Student/Parent Orientations	January 2012

* Launch GU-2-L strategies in school	January 2012
* Launch GU-2-F mentoring program statewide	January 2012
* GEAR UP-2-Success (EPAS Advising Sessions) for students, parents, schools	January 2012
NCCEP Spring Workshops	February 2012
* GEAR UP Institute for a College-Going Culture	March 2012
* GEAR UP/KDE Advising Week (Operation Advising)	April 2012
Stakeholder Meeting	May 2012
* GEAR UP School/District Progress Update	June 2012
* GEAR UP Staff Retreat	June 2012
* School Planning Session	June-August
Attend NCCEP Summer Conference July	2012
Annual Timelines (years 2-6)	
All-Staff Orientation	July
Regional Budgets Approved	July
Stakeholder Meeting	August
Advisory Team Meeting	August
Strategy Orientation (schools)	August - September
Student/Parent Orientations	August - September
Launch strategies in school	August - September
Data Collection (EXPLORE, PLAN, ENGAGE, SURVEY)	September- August
Stakeholder Meeting	November
GEAR UP-2-Success (EPAS Advising Sessions) for students, parents, schools	December - February
NCCEP Spring Workshops	February
*Mid-Year Progress Report	February
Stakeholder Meeting	February
* GEAR UP Institute for a College-Going Culture	March
Advising Team Meeting	March
GEAR UP/KDE Advising Week (Operation Preparation)	April
APR Due	April 15
* GEAR UP School/District Progress Update	June
GEAR UP Staff Retreat	June
Stakeholder Meeting	June
Progress Report	June-July
* School Planning Sessions	June-August
Attend NCCEP Summer Conference	July

<i>Additional Program Milestones</i>	
GU-2-Campus Strategy Finalized	2013
Cohort 1 Transitions to High School	2013
Launch GU-2-C&C Strategy	2013
Summer Staff - Staffing & Orientation	Spring 2014
First GU-2-Campus	Summer 2014
Second GU-2-Campus	Summer 2015
GUK 3.0 Transitions out of middle school	June 2015
Middle School Impact Report	July 2015
Third GEAR UP-2-Campus	Summer 2016
Final APR	April 15, 2016
Closeout Report	July 2016

Adequacy of Procedures for Ensuring Feedback and Continuous Improvement

Internal Feedback Improvement Loop: Recognizing that staff - *when empowered* – represent the best resource for real-time feedback and adjustment; GUK 3.0 will establish two on-going internal teams: (1) Student Services Team and (2) GUK 3.0 Leadership Team. The (1) *Student Services Team* will meet every other week to review strategy implementation, school improvement services, and staff development. The (2) *GUK 3.0 Leadership Team* will meet alternating weeks to review operational challenges, momentum towards meeting objectives and goals, emerging trends and resources as well integrating the feedback of the Student Services, Advisory and Stakeholders Teams. Also, both the Leadership Team and the Student Services Team will meet jointly on a quarterly basis to review the status of the project. GUK 3.0 schools will meet regionally with their Intervention Coordinator on a monthly basis to provide on-going school feedback. Once annually, all staff will participate in a GUK 3.0 staff retreat to focus on the strategic plan.

Time Commitments Project Director and Other Key Project Personnel: All members of the GEAR UP Leadership staff including the Executive Director will be full-time, 100% grant-

dedicated personnel ensuring sufficient attention and commitment to the successful execution of project strategies. Key project personnel include: Executive Director, Research and Evaluation Manager, Director of Operations, Direct Student Services Manager, Student Enrichment Services Manager, Partner Services Manager, and Communications and Outreach Manager.

Diversity of Perspectives Included in Operation of the Proposed Project

GUK 3.0 Stakeholders Team: This team of 10-15 existing partners will provide the Leadership Team with on-going feedback as to the efficacy of activities, programs, partnerships, and personnel. This team will be crucial to the refinement of program efforts, recognition of excellence, and the identification of opportunities for improvement. This team will meet quarterly with members of the Leadership Team. To ensure equitable participation and a diversity of perspectives are heard, meetings will be led by an independent facilitator and participation will include representatives from stakeholders at all levels of the GUK3.0 program. Participants will include: partners, vendors, institutions, school districts, classroom teachers, student ambassadors, regional parent groups, P-16 Councils, and community organizations.

GUK 3.0 Advisory Team: This 8-10 person body will include representatives from the Kentucky Department of Education, Kentucky Higher Education Assistance Authority, Postsecondary Education Institutions, Kentucky Community and Technical College System, leadership from a participant school district, a participant K-12 educator, a GUK 3.0 parent, a GUK 3.0 student, and the Kentucky Chamber of Commerce. This team will meet bi-annually and will provide the Executive Director with guidance for the further development and refinement of new GUK 3.0 programs, partnerships and activities.

Quality of the Project Evaluation

Methods of Evaluation for Goals and Objectives GUK 3.0 will implement a comprehensive, thorough, and multi-faceted evaluation of project objectives using widely recognized and accepted benchmarks. Data will be collected from the newly established state longitudinal educational data collaborative and through state-wide and national data-sharing agreements. The core of the GUK 3.0 evaluation program consists of fourteen general objectives derived directly from the three national GEAR UP goals. Each of the fourteen general objectives is developed into one or more specific, detailed measurable objective(s) (performance measures) as described in the tables below.

There are a total of 50 detailed, measurable objectives, the source of the data collected to measure the objective and a notation, if needed, on target-setting or the timing of evaluation. Data for these objectives will be collected in the course of regular project activities and through cooperative data-sharing agreements already in place. The larger set of detailed objectives unfolds into a more complexly textured evaluation of strengths and weaknesses, points of progress and activities needing reinforcement.

Not all of the objectives can be measured every year, but progress toward many of the objectives can be measured every year, and in any given project year, a number of objectives will be measured and acted upon.

It should be noted that objectives 1 through 5 are addressed by the EPAS assessments.

The Kentucky Department of Education (KDE) administers the EXPLORE assessment in the 8th grade, the PLAN assessment in the 10th grade,

and the ACT assessment in the 11th grade. All

Kentucky public school students take these

assessments in these grades. Supplementing this

data stream, GUK 3.0 will administer the

	EPAS National Benchmarks		
	EXPLORE	PLAN	ACT
English 13		15	18
Mathematics	17 19		22
Reading 15		17	21
Science 20		21	24

EXPLORE in the 7th, and the PLAN in the 9th, to GEAR UP students only. Data sharing agreements between GUK 3.0, KDE, and ACT, will provide GUK 3.0 with five continuous years of EPAS assessment data for each cohort. The EPAS subject matter scores are evaluated within the framework of the established EPAS national benchmarks (table above), which comprise a widely recognized and applied set of internationally benchmarked, college-and-career-ready academic *standards*.

GUK 3.0 will use these ACT-defined benchmark scores in objectives 1 through 5. It should also be noted that all of the objectives are premised on individual student-unit record data. This unit record structure of data will allow the highest degree of analytical flexibility in the use of this data set in constructive decision-making and appropriate steps will be taken to protect and respect student privacy.

National Goal 1: Increase the academic performance and preparation for postsecondary education of participating students

Objective 1: Improvement in individual student performance from EXPLORE to PLAN

Detailed objective (1a – 1h)	Data source	Notes
Of the GEAR UP students in each cohort who perform <i>below</i> benchmark on EXPLORE, a percentage will perform <i>near*</i> benchmark or better on PLAN in each subject: 1a. English – 20% 1b. Math – 7% 1c. Reading – 20% 1d. Science – 10%	ACT, KDE, P-20	Reported in grant years 4, 5, and 6, with previews in grant years 3, 4, and 5.
Of the GEAR UP students in each cohort who perform <i>near*</i> benchmark on EXPLORE, a percentage will perform at or above benchmark on PLAN in each subject: 1e. English – 35% 1f. Math – 10% 1g. Reading – 25% 1h. Science – 18%	ACT, KDE, P-20	Reported in grant years 4, 5, and 6, with previews in grant years 3, 4, and 5.

Objective 2: Improvement in individual student performance from PLAN to ACT

Detailed objective (2a – 2h)	Data source	Notes
Of the GEAR UP students in each cohort who perform <i>below</i> benchmark on PLAN, a percentage will perform <i>near*</i> benchmark or better on ACT in each subject: 2a. English – 12% 2b. Math – 5%, 2c. Reading – 15% 2d. Science – 5%	ACT, KDE, P-20	Reported in grant year 6 and close-out.
Of the GEAR UP students in each cohort who perform near benchmark on PLAN, a percentage will perform at or above benchmark on ACT in each subject: 2e. English – 18% 2f. Mathematics – 16% 2g. Reading – 22% 2h. Science – 12%	ACT, KDE, P-20	Reported in grant year 6 and close-out.

Objective 3: Improvement in overall student performance on EXPLORE

Detailed objectives (3a, 3b, 3c, 3d)	Data source	Notes
The percentage of GEAR UP students who perform at or above benchmark on EXPLORE in will increase from cohort to cohort in: 3a. English - increase 3b. Mathematics - increase 3c. Reading - increase 3d. Science - increase	ACT, KDE, P-20	Reported in grant years 3 and 4 with previews in grant years 2 and 3.

Objective 4: Improvement in overall student performance on PLAN		
Detailed objective (4a, 4b, 4c, 4d)	Data source	Notes
The percentage of GEAR UP students who perform at or above benchmark on PLAN will increase from cohort to cohort in each subject: 4a. English – increase 4b. Mathematics – increase by 5 percentage points 4c. Reading – increase by 5 percentage points 4d. Science – increase by 2 percentage points	ACT, KDE, P-20	Reported in grant years 5 and 6 with previews in grant years 4 and 5.
Objective 5: Improvement in overall student performance on ACT		
Detailed objective (5a, 5b, 5c, 5d)	Data source	Notes
The percentage of GEAR UP students in each cohort who perform at or above benchmark on ACT will increase from the average GUK2 percentage in each subject: 5a. English - increase by 4 percentage points, 5b. Mathematics – increase by 2 percentage points, 5c. Reading – increase by 3 percentage points 5d. Science – increase by 2 percentage points	ACT, KDE, P-20	Reported in grant year 6 and close-out.
Objective 6: Improvement in frequency and depth of student advising		
Detailed objective	Data source	Notes
6a. The percentage of all GEAR UP students who engage in individualized college readiness advising based on the EPAS advising model on a consistent basis (at least twice per month) in each grade through the tenth will increase by at least XX percentage points from cohort to cohort.	GUK 3.0 school report	Reported in grant years 2, 3, 4, 5, and 6. Baseline established during grant year 1.
6b.. The percentage of GEAR UP students <i>in the lowest performing schools</i> who engage in individualized college readiness advising based on the EPAS advising model on a consistent basis (at least twice per month) in each grade through the tenth grade will increase by at least XX percentage points from cohort to cohort.	GUK 3.0 school report	Reported in grant years 2, 3, 4, 5, and 6. Baseline established during grant year 1.
6c. At least XX % of GEAR UP students <i>in the lowest performing schools</i> , in each cohort will engage in individualized college readiness advising based on the EPAS advising model on a consistent basis (at least twice per month) in the tenth grade.	GUK 3.0 school report	Reported in grant years 4, 5, and 6. Baseline established during grant year 1.

National Goal 2: Increase the rate of high school graduation and participation in postsecondary education of participating students

Objective 7: Improvement in ninth grade completion rate

Detailed objective 7	Data source	Notes
The percentage of GEAR UP students in each school who successfully complete the ninth grade will increase by at least XX percentage points from cohort to cohort.	GUK 3.0 school report, P-20, KDE	Reported in grant years 4 and 5. Baseline will be established during grant year 1.

Objective 8: Improvement in mathematics completion rate

Detailed objective (8a, 8b, 8c)	Data source	Notes
The GEAR UP students who successfully complete the targeted mathematics class by the end of the associated grade will increase by at least XX percentage points from cohort to cohort. 8a. Ninth grade – Algebra 1 8b. Tenth grade - Geometry or Algebra 2 8c. Eleventh grade - Geometry <i>and</i> Algebra 2	GUK 3.0 school report, P-20, KDE	Reported in grant years 4 and 5. Baseline on newly implemented KCAS will be established during grant year 1.

Objective 9: Improvement in high school graduation rate

Detailed objective (9)	Data source	Notes
By the end of GUK 3.0, the gap between each high school's 2011 graduation rate and an ideal 100% graduation rate will be closed by XX %, or each high school's graduation rate will increase by XX percentage points from the high school's 2011 graduation rate, which ever amounts to the smaller number of percentage points.	KDE, P-20	Reported at close-out. Baseline will be established during grant year 1. Can be tracked annually.

Objective 10: Improvement in dual credit course-taking rate

Detailed objective (10)	Data source	Notes
By the end of GUK 3.0, the percentage of GEAR UP students in the <i>persistently lowest-achieving</i> schools completing dual credit coursework will increase by XX percentage points from the percentage at the end of GUK2.	KDE, CPE, P-20	Reported at close-out. Baseline will be established during grant year 1. Can be tracked annually.

Objective 11: Improvement in college-going rate

Detailed objective (11)	Data source	Notes
11a. By the end of GUK 3.0, the college-going rate of GEAR UP students will increase by XX percentage points from the rate at the end of GUK2	KDE, CPE, P-20	Reported in grant year 6. Baseline established during grant year 1.
11b. By March 1st of the twelfth grade, at least XX % of twelfth grade GEAR UP students will complete and submit the FAFSA.	KDE, CPE, P-20	Reported in grant year 6. Baseline will be established during grant year 1.

11c. By the end of the twelfth grade, at least XX% of twelfth grade GEAR UP students will complete and submit an application to a four-year postsecondary institution.	GUK 3.0 school report	Reported in grant year 6. Baseline will be established during grant year 1.
National Goal 3: Increase the educational expectations for participating students, and student and family knowledge of postsecondary education options, preparation, and financing		
Objective 12: Improvement in financial literacy		
Detailed objective (12a, 12b)	Data source	Notes
12a. By the end of the eighth grade, at least 75% of GEAR UP students will complete the introductory financial literacy program (GUK 3.0 Intro to Personal Finance).	GUK 3.0 school report	Reported in grant years 2, 3, and 4.
12b. By the end of the twelfth grade, at least 50% of GEAR UP students will complete the financial literacy program (GUK 3.0 Foundations in Personal Finance).	GUK 3.0 school report	Reported in grant year 6.
Objective 13: Improvement in educational expectations		
Detailed objective (13a, 13b, 13c, 13d)	Data source	Notes
The percentage of GEAR UP students in each cohort who report an expectation of going to college will increase from: 13a. Seventh grade to the ninth grade 13b. Ninth grade to eleventh grade	GUK 3.0 student survey, GUK 3.0 school report, KDE, P-20, ACT	Reported in grant years 3, 4, 5, and 6.
The percentage of GEAR UP students in each cohort in the <i>persistently lowest-achieving</i> schools who report an expectation of going to college will increase from: 13c. Seventh grade to the ninth grade 13d. Ninth grade to eleventh grade	GUK 3.0 student survey, GUK 3.0 school report, KDE, P-20, ACT	Reported in grant years 3, 4, and 5
Objective 14: Improvement in knowledge of postsecondary education options, preparation, and financing		
Detailed objective (14a, 14b, 14c, 14d)	Data source	Notes
The percentage of GEAR UP students in each cohort who report knowledge of postsecondary education options, preparation, and financing will increase by at least 15 percentage points from: 14a. Seventh grade to the ninth grade. 14b. Ninth grade to the eleventh grade	GUK 3.0 student survey, GUK 3.0 school report, KDE, P-20, ACT	Reported in grant years 3, 4, 5 and 6.
The percentage of GEAR UP students in each cohort in the <i>persistently lowest-achieving</i> schools who report knowledge of postsecondary education options, preparation, and financing will increase by at least 15 percentage points from: 14c. Seventh grade to the ninth grade. 14d. Ninth grade to the eleventh grade	GUK 3.0 student survey, GUK 3.0 school report, KDE, P-20, ACT	Reported in grant years 3, 4, and 5.
*Within two percentage points of the EPAS benchmark score. – <i>How Much Growth Toward College Readiness Is Reasonable to Expect in High School</i> ; ACT; 2009		

In addition to the data collected to measure the project objectives, several other components of GUK 3.0 will produce data that will be used (1) to report additional specific GEAR UP program measures (average daily attendance, percentage of students promoted to successive grade levels, educational aspirations/expectations); (2) to complete the Annual Performance Reports; and (3) to facilitate and support a wide range of data-based decision-making regarding student outcomes, instructional practices and policies, and professional development.

These additional data sources will include annual surveys of students and parents, the non-academic data reported as part of the EPAS assessments, and a substantial variety of data produced by the interventions discussed in the Project Services section, including the ACT Core Practice Audits, the ACT CoreWork Diagnostics, ACT's ENGAGE assessment, and the CTL College-Going Culture assessment. Other data, including student demographics, will be collected through data sharing agreements with the Kentucky Department of Education (KDE) and the P-20 Data Collaborative, a state longitudinal database designed to bring together data from all levels of educational activity in Kentucky from pre-school through graduate school. Additional data will be collected by regular periodic reports from GUK 3.0 school representatives who will report on items that are typically difficult or impossible to retrieve from state-run data collections.

Government Performance and Results Act (GPRA) The fourteen general objectives are designed to address the GRPA-mandated GEAR UP performance measures as follows:

- Performance measures 2 and 3 concerning the completion of mathematics courses are directly addressed by general objective 8. Concerning performance measure 1 (Pre-Algebra), a number of the school districts under consideration to receive project services

do not require and do not offer a distinct Pre-Algebra course. We view this as a structural challenge that the project will work hard to overcome. Project services will be focused specifically on getting eighth graders ready for ninth grade Algebra I despite the absence of a distinct Pre-Algebra course. The success of these efforts will be evaluated under general objective 8 by measuring the percentage of students completing Algebra I by the end of the ninth grade.

- Performance measure 4 concerning high school graduation is addressed by general objective 9.
- Performance measure 5 concerning entry into postsecondary education is addressed by general objective 11.
- Performance measure 6 concerning placement into college-level math and English without need for remediation is addressed by general objectives 2 and 5.
- Performance measure 7 concerning postsecondary persistence will be addressed by an annual data match of GUK2 students graduating from high school against the Council on Postsecondary Education's statewide enrollment records
- Performance measure 8 concerning knowledge of financial aid and cost and benefits of postsecondary education is addressed by general objectives 12 and 14.
- Performance measure 9 concerning necessary academic preparation for college is addressed by general objectives 1, 2, 4, 5, and 7.
- Performance measure 10 concerning parental engagement will be addressed by the annual survey of parents.

Analysis and Methodology: The analysis of project data will proceed as data are collected with an eye to the most pertinent and timely issues the data can illuminate. The 50 detailed objectives

are structured so that some objectives evaluate the academic achievement of individual students while other objectives evaluate systemic change in instructional practices and school cultures. The detailed objectives under general objectives 1, 2, and 11-14 focus on individual students and are designed to promote improvements in individual student performance. The detailed objectives under general objectives 3-10 focus on changes in the schools from cohort to cohort. Individual students are not followed through such cohort-to-cohort comparisons. The emphasis, instead, is to motivate the development of school-level educational infrastructures and cultures capable of supporting enduring systemic improvement.

All of these data will be relationally linked and integrated to the greatest possible degree to provide a multi-faceted data framework in support of data-based decision-making. The project will devote adequate personnel and resources to the development and maintenance of a reliable and productive data framework. This is a weakness in prior projects that is being explicitly addressed in plans for this project. With a data infrastructure and qualified personnel in place, all initial data processing and evaluation will be done in-house.

Performance Feedback and Periodic Assessment Periodic evaluation (timeline below) will take place through a variety of methods that both support and encourage programmatic improvement and a real-time assessment of the progress towards achieving intended outcomes.

Evaluation Method	Collection Timeline	Assessment & Feedback
EXPLORE Assessment	Annually- 7th and 8th grade	Annually years 1-4
PLAN Assessment	Annually - 9th and 10th grade	Annually years 3-6
ACT Assessment	11th Grade	Annually years 6 & closeout
ENGAGE Readiness Inventory	Annually - 7th and 9th grade	Annually years 1-5
GUK 3.0 Participant Survey	Annually (student & parent)	Annually
Student Attendance	Quarterly Quarterly	
Student Behavior	Quarterly Quarterly	
Student Grade	Quarterly Quarter	ly
Student Grade-Level Promotion	Annually	Annually

CorePractice Audit	Bi-Annually	Years 1, 3, and 6
CoreWork Diagnostics Annually		Annually
Participation and Attendance	Continuously	Continuously
Performance Guide Walkthrough	Year 1, 3, and 6	Years 1, 3, and 6

Guidance About Effective Strategies Suitable for Replication of Testing in Other Settings

In addition to the analysis based on detailed objectives supported by a rich mix of data from multiple sources as described above, GUK 3.0 will make use, in part, of a matched comparison group, quasi-experimental design. Ten schools from among the lowest-achieving schools in the state will be identified and divided into two groups of five. One group of five schools will serve as a control group, receiving the same services as all participating GUK 3.0 schools, while the other group of five schools will receive, in addition, a package of added services including more intensive assessment, district and school practice audits, and focused school improvement services. This package will include the ACT Core Practice Audit, the ACT CoreWorks Diagnostics, and the GUK Performance Guide for a College-Going Culture. Comparisons between the two groups will provide additional data and understandings about school improvement as well as the appropriateness of the replication of these added services in other settings.

Kentucky’s GEAR UP Alliance, together with KDE, host institutions, and other partners, has formed a Data Consortium that seeks to make data more accessible to all GEAR UP grantees and to standardize state- and school-wide data interfaces; and publish statewide outcomes highlighting the impact of GEAR UP across the state and advancing the use (and replication) of promising research-based practices by college readiness professionals.

Data-sharing and the National Consortium: GUK 3.0 evaluation will benefit from several collaborative data-sharing agreements. Arrangements are in place to share pertinent data with

the Kentucky Department of Education, ACT, and partnership Kentucky GEAR UP programs. A reciprocal data relationship has been established with the newly created state longitudinal educational data warehouse (the Kentucky P-20 Data Collaborative). GUK 3.0 will cooperate closely with the Kentucky P-20 Data Collaborative to support the development of the longitudinal data warehouse and to promote the analytical use of the longitudinal data. But perhaps of greatest significance and holding the greatest promise from the perspective of program analysis and data-based decision-making is GUK 3.0 participation in the new national Consortium.

GUK 3.0 has entered into a partnership with several other state projects to form the *GEAR UP College and Career Readiness Evaluation Consortium* (Consortium). Operating as a learning network, the Consortium seeks to strengthen the evaluation of GEAR UP through inter-state collaboration, data-sharing, and research. Members of the Consortium participate in a process to define, measure, and report on the value-added impact of GEAR UP on student aspirations, academic growth, and college readiness and success.

Central to this effort is the Consortium's partnership with ACT and the multi-state implementation of ACT's College and Career Readiness System (CCRS), as described in the section on Project Design. Through a three-phase, multi-year engagement with leaders and researchers of ACT and other national experts, the Consortium gains evidence-based knowledge of participating GEAR UP students and schools across states, depicted according to both achievement and growth. This value-added research model, the result of rigorous analyses of each state's student- and school-level data against the benchmarked standards in 2012-13 and beyond, is the basis for subsequent discovery and rigorous, independent, outcomes-based best

practices evaluation of *higher-achieving, higher-growth* GEAR UP schools, practices, and interventions commencing in 2013-14.

The Consortium plans to stage development and work as follows: Phase I - **Systemic Planning** (FY 2011-12), retention of a management consultant; establishment of goals, objectives, measures, and the execution of data-sharing agreements; Phase II – **Research and Evaluation Framework** (FY 2012-13), identification of available data through state collection efforts and ACT’s repository of assessment data; and Phase III – **Implementation** (FY 2013-18), evaluation research studies and initiatives, made possible by strong and expanded partnerships and external support.

Each state member of the Consortium commits, at minimum, to: 1) administer the EXPLORE to all 8th grade GEAR UP students; 2) administer the PLAN to all 10th grade GEAR UP students; 3) administer the ACT to all 11th grade GEAR UP students; 4) share the results of the EXPLORE, PLAN, and ACT assessments, the 4-year longitudinal cohort high school graduation-rate of GEAR UP students, and postsecondary enrollment data; 5) share results from common survey questions in grant years two, four, and six, indicating GEAR UP students’ and families’ knowledge of postsecondary education options, preparation, and financing; 6) share the professional services costs associated with a consortium consultant and costs for data systems housing and maintenance; and 7) benefit equally from the in-kind costs associated with evaluation-research services of ACT and other providers of professional services.

Through measurement and comparison of common performance indicators and evaluation research, the Consortium delivers a higher standard of accountability, evidenced-based practice, and capacity for demonstrating local, state, and national impact, heretofore seen among few college access programs, yet aptly invaluable to all.

ADEQUACY OF RESOURCES

Adequacy of Support from Applicant Organization

Physical Resources: With the applicant being the Kentucky Council on Postsecondary Education (CPE) and with strategic partnerships with the Kentucky Department of Education (KDE), the Kentucky Higher Education Assistance Authority (KHEAA), the Kentucky Virtual Campus (KYVC), and the Kentucky Adult Education System (KYAE), all critical resources of the state's education pipeline are at the projects' disposal. Physical resources are available to convene meetings, produce materials, initiate teleconferences and disseminate information. Information technology development and support services are available to enable GUK 3.0 to effectively communicate with audiences across the state.

The GUK 3.0 program's physical location will be the Council on Postsecondary Education in Kentucky's capital city of Frankfort. Office space, custodial and security services will be provided for this program, along with access to standard office equipment.

Human Resources: In addition to the myriad of education, outreach, and development professionals that have been formally committed to this effort by the CPE network of partners, educators, parents, mentors, and advisors are strategically built into the design of the program to ensure sufficient human resources are available to successfully implement GUK 3.0.

Commitment of Partners The CPE, as coordinating board for all postsecondary education institutions in the Commonwealth, has a direct relationship to the goals and outcomes of the GUK 3.0. Like CPE, the committed partners represent leaders in education, communication, student interventions, college preparation, financial literacy, community engagement, as well as student and system assessments. Example of the broad-based commitment includes: outreach and awareness partners such as the Kentucky Broadcasters' Association, Lexington Herald-Leader, and KnowHow2GOKy.org who will provide GUK 3.0 with direct connections to

students, families, and communities across the Commonwealth on print, radio, television, and Internet. ACT, the assessment partner, will provide student, teacher, and system-wide assessments. Intervention partners LAMPO (financial literacy curricula) and Princeton Review (academic interventions) will ensure student get the highest-quality resources for student success.

The CPE and its partners are committing \$4,487,000 each year as a one-to-one match to the annual amount requested. The table at the end of this section presents the match commitments from the key GUK 3.0 partners.

Relationship between Program Costs and Anticipated Benefits This proposal requests \$4,487,000 per year for each year to be matched by the same amount each year. By the end of this grant cycle an estimated 10,000 students, 30 middle schools, 25 high schools, 25 school district offices; and more than 5,000 parents will have received direct services from this program. This program's goals are ambitious; by comparison the budget is modest. The annual per student cost when all three cohorts have been enrolled will be approximately \$425. As achievement levels of students in GUK 3.0 schools rise, as more students succeed academically, as more students, families, and communities aspire and prepare for college, and as more schools and school systems understand and adopt a college-going culture the cost for six years of GUK 3.0 would appear to be extraordinarily reasonable.

Potential for Continued Support The involvement of all educational sectors in the design of this expanded program and, the express systemic commitment through Kentucky's landmark College and Career Readiness legislation (SB 1) to build the educational capacity of communities across the Commonwealth has been evident since day one of project planning. This program seeks to develop a sustainable college-going culture, when that overarching goal is realized; the infrastructure will support students, families, educators, and communities far into

the future; making the cost-benefit ratio nearly impossible to calculate. The cultural shift is at the heart of the framework of this proposal and will be critical to Kentucky as they move toward meaningful and lasting educational reform.

