



**NORTHERN
ARIZONA
UNIVERSITY**

**Office of Grant and
Contract Services**

Northern Arizona University 928.523.4880
PO Box 4130 928.523.1075 fax
Flagstaff, AZ 86011-4130

January 31, 2018

Firstname Lastname
Director, Training & Development
Sample University
Address
City, AZ Zip

Ref: Cost Reimbursable Letter-of-Understanding between Northern Arizona University
GEAR UP and Sample University

Dear Firstname:

Since the contracting party for both Northern Arizona University GEAR UP and Sample University is the Arizona Board of Regents, a contract between the two entities is not possible. Therefore, this letter represents a mutual understanding between the two entities for work to be done by Sample University on a project entitled, "Support For GEAR UP Students At Sample University Academic Year 2018-19."

During the period of March 1, 2018 through June 30, 2019, Sample University will perform work on this project in accordance with the Scope of Work (Attachment 1) and Budget (Attachment 2). This work will be performed under Northern Arizona University's (NAU) GEAR UP grant P334S120012 from the United States Department of Education (Attachment 3). This LOU may be modified by mutual written agreement.

NAU GEAR UP State Grant 2012-19 is under the direction of Teena Olszewski, Executive Director. The project at Sample University is under the direction of Firstname Lastname, Director, Training & Development.

Sample University will provide the necessary efforts to accomplish the goals and objectives as stated in the Scope of Work. Sample University will also furnish facilities and such usual equipment as is required for the work on the project insofar as the facilities of Sample University will permit.

Sample University will submit to NAU GEAR UP detailed progress reports of the activities carried out as required for the Scope of Work. The first progress report, due January 20, 2019, will cover the period March 1, 2018 – December 31, 2018 and the second progress report, due July 20, 2019, will cover the period January 1, 2019 through June 30, 2019. A progress reporting framework is incorporated into this LOU as part of the Scope of Work (Attachment 1). Sample University agrees to acknowledge the support received from NAU GEAR UP and USDOE.

Under this cost reimbursable LOU, Sample University is authorized to incur a total of \$100,000 in project-related expenses during the performance period. This amount is to be utilized, and contributed effort provided in accordance with Attachments 1 and 2.

NAU shall pay Sample University according to the agreed upon payment schedule and shall review reported expenses regularly to ensure that costs are allowable and that total expenditures match total funds issued by the end of the period of performance. Expenditures of Partner shall conform to the budget in Attachment 3. All payments will be in U.S. dollars.

Costs for this project are funded by federal GEAR UP resources. Therefore, federal cost principles apply to expenditure of funds. Accordingly, financial reporting and documentation standards for use of GEAR UP funds are high, as is accountability associated with fund use. Audit-ready financial records of costs incurred must demonstrate that expenditures:

- Are allowable as defined in federal government Uniform Guidance – U.S. Code of Federal Regulations Title 2 Subtitle A, Chapter II, Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;
- Are in accordance with NAU policies and procedures; and,
- Clearly serve their designated public purpose; in this case, supporting / fostering GEAR UP college students' success during their first year at Sample University and return to Sample University for their sophomore year.

Invoices will be included as part of the financial packets to be submitted by Sample University quarterly. Each invoice, annual and final financial report is subject to Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 2 CFR 200.415- Required Certifications and MUST include or be accompanied by a certification, signed by an official who is authorized to legally bind the SUBCONTRACTOR, which reads as follows:

“By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Prime Award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).”

In an effort to expedite payment and promote NAU's environmental sustainability efforts, please email invoices to stephen.hart@nau.edu. If unable to email invoices, invoices shall be mailed to:

Northern Arizona University GEAR UP
Attn: Stephen Hart
15451 N 28th Avenue #216
Phoenix, AZ 85053

Payment will be mailed to Sample University at the address included on the invoice. Sample University will establish a separate account for all funds specified in this agreement.

NAU GEAR UP will direct any relevant questions concerning incurred expenditures to Firstname Lastname, Director, Training & Development. Sample University will keep all relevant supporting documentation for incurred expenses on file and available for audit review.

NAU GEAR UP will review project-related expense reports to ensure that the project remains within mutually-agreed upon parameters for project scope and budget.

During the terms of this agreement, both participants agree to comply with provisions of Federal Executive Order No. 11246 of September 24, 1965, as amended by No. 11375, and all rules, and relevant orders issued by the U.S. Secretary of Labor. Sample University shall use funds specified in this Agreement to carry out the program as proposed.

Also applying to this agreement are the applicable terms and conditions of the Prime Grant P334S120012 (Attachment #3). All conditions which require prime sponsor prior written approval shall be submitted in writing first to NAU GEAR UP. Sample University shall maintain books, records, documents and other evidence, accounting procedures and practices, sufficient to reflect properly all direct costs of whatever nature, which are claimed to have been incurred in the performance of this Agreement. Sample University shall provide NAU GEAR UP with copies of any independent auditor's report which presents instances of non-compliance with Federal laws or regulations which bear directly on the performance or administration of this program. In cases of such non-compliance, Sample University shall provide NAU GEAR UP with copies of responses to auditor's reports and plans for corrective actions. Sample University shall preserve and make available its records until the expiration of three years after the end of the project period or until audit is completed and all resulting questions are resolved, whichever occurs first.

No equipment valued over \$5,000 is authorized to be purchased under this Letter of Understanding. Upon termination of this Letter of Understanding, any materials and/or supplies remaining in stock with an aggregate value of less than \$5,000 will remain the property of Sample University. Contact NAU for disposition of material and supplies with an aggregate value of \$5,000 or more.

A mutual act of the participants to this agreement is necessary to extend the period of performance. Either party may terminate this Letter of Understanding upon thirty (30) days prior written notice. In the event that NAU terminates for convenience, NAU will pay for all costs incurred, up to and including the effective date of termination, and all non-cancelable obligations made before notice of termination.

Sample University understands that if at any time Prime Grant P334S2120012 is restricted or terminated by the United States Department of Education, this Agreement shall also be restricted or terminated upon receipt by Sample University of written notice to that effect from NAU GEAR UP. Sample University shall be reimbursed for non-cancellable obligations properly incurred prior to the date of notice of termination.

NAU GEAR UP and Sample University maintain such minimum liability and workmen's compensation insurance as are required under state law and Federal Procurement Regulations.

However, since the governing body for both entities is the Arizona Board of Regents, it is understood that neither entity is entitled to remedies from the other entity.

Please indicate acceptance of this agreement on behalf of Sample University by signing below and returning a scanned image of the signed document directly to Heather Byers, Contract Administrator, at heather.byers@nau.edu.

If sent by hard copy, please send to the following address:

Northern Arizona University
Office of Grant and Contract Services
ATTN: Heather Byers
P.O. Box 4130
Flagstaff, AZ 86011-4130

Sincerely,

Michael L. Nichols
Associate Vice President
Office of Sponsored Projects

ACCEPTED:

By: _____ Date: _____

Firstname Lastname
Sample University
Vice Provost Polytechnic Campus &
Dean of University College/College of Integrative Sciences & Arts

- Attachments:
1 Scope of Work
2 Budget

SAMPLE

SUPPORT FOR GEAR UP STUDENTS AT SAMPLE UNIVERSITY AY 2018-19

Program Model

Provide holistic support to an estimated 250 Arizona GEAR UP students attending Sample University during the 2018-19 academic year through dedicated professional personnel, success coaching and intentional programming.

The goal is to adequately address the personal, academic, and financial transition from high school to college such that the GEAR UP students are retained at Sample University at rates higher than comparable students who are not coached, and that they complete their first year in good academic standing.

GEAR UP partnership funds will be utilized to augment services available through the Sample University First-Year Success Center, which serves thousands of freshmen each year via a peer success coaching model. Specifically, given the nature of the GEAR UP student profile, FYS coaches (who have a strong representation of ethnically diverse and first-generation students) will coach freshmen under leadership of a full-time Coordinator and with the support of additional program staff. The Sample University First-Year Success Center is a high-impact retention initiative that has demonstrated a positive impact on Sample University freshmen retention (8.9% overall difference in F16-F17 retention between those coached vs. not coached), over 8000 appointments per semester, and notable impact on ethnic minority students (i.e., 23% retention difference for American Indian/Alaska Native students).

Programming to support these students' transition to Sample University will include a combination of in-person success coaching and digital coaching, a Fall Welcome event and on-going monthly programming via VIP3 Student Success Series and Game Changers First-Gen Initiative, as well as, through student professional development funding that will enable students to partake in enrichment opportunities such as conferences, research, and professional organizations.

Objectives

1. **Freshman fall-to-fall retention rate:** Exceed **73.7% fall-to-fall freshmen retention of GEAR UP coached students** (baseline for fall 2016 first-time, full-time freshmen retention racial/ethnic minority students targeted by FYS who did not receive coaching)
2. **Freshman fall-to-spring retention rate:** Exceed **85.5% fall-to-spring freshmen retention of GEAR UP coached students** (baseline for fall 2016 first-time, full-time freshmen retention racial/ethnic minority students targeted by FYS who did not receive coaching)
3. **Student** self-reported satisfaction, knowledge and skill development as measured through FYS impact surveys collected after every coaching session.
4. **Student engagement in personal and professional development opportunities**, including those offered through FYS Center varied coaching programs, student organizations, and other professional development opportunities such as conferences.

Staffing Model

1 full-time Coordinator, dual reporting to the Assistant Director of Outreach & Marketing and Director of FYS with support from Director of Training & Development

2 part-time Management interns

2 part-time Student Workers (to provide support as Desk Assistant (Level 1) and Program Assistant (Level 5))

Multiple part-time Enhanced Support of Existing Success Coaches (Peer coaches with specialized training)

Job Responsibilities

- Onboard, train, supervise and evaluate 3 new student staff roles and cross-supervise existing success coaches who will coach the GEAR UP freshman cohort.
- Develop meeting topics and programming curriculum for students on ongoing basis.
- Maintain communication with success coaches supporting GEAR UP students and intervene/advocate as needed for student needs via existing FYS protocols.
 - Make appropriate referrals to services in support of students.
 - Ensure documentation of coaching interactions in Retention Dashboard & Advisor Trac
- Plan and host semester programming with the assistance of FYS and student staff (fall and spring)
- Assess and report on student outcomes
- Liaison with GEAR UP coach, hired through College Success Arizona
- Liaison with GEAR UP staff
- Attend FYS Center staff meetings

Collaboration with CSA Success Adviser

Thoughtful and carefully coordinated communication between Sample University and College Success Arizona (CSA) is crucial to the success of this project. Given that both Sample University and CSA will be serving GEAR UP students through mentoring and coaching, the effective implementation / delivery of those services will require agreement between Sample University and CSA related to the respective duties of the Sample University FYS staff and CSA Success Adviser, as well as particular approaches to case management, so as to avoid duplication of efforts, confusion among students, etc. To that end, one of the Sample University Coordinator's key job responsibilities is to collaborate carefully with CSA to ensure the combined efforts of Sample University and CSA are delivered coherently from the onset of the project and throughout the duration of the project.

Timeline

March 1, 2018	Begin Management Intern (MI) hiring / Coordinator posting & promotion
March – May 2018	Interview/Select two Management Interns
May 15, 2018	MI start dates (onboarding, training, program planning)
May – July 2018	Staff strategic planning of services, calendar of student programs, etc.
July 2018	Student Worker posting and promotion
August 1, 2018	2 Student Workers start date
Oct 20, 2018	Submit quarterly financial report, for the period 03/01/18 – 09/30/18
Sept – Dec 2018	Coordinator, Success Coaches and MIs meet regularly with students
December 2018	Coordinator reporting Mid-year evaluation of Staff
Jan 20, 2019	Submit progress report, for the period 03/01/18 – 12/31/18 Submit quarterly financial report, for the period 10/01/18 – 12/31/18
Jan – May 2019	Coordinator Success Coaches and MIs meet regularly with students
April 20, 2019	Submit quarterly financial report, for the period 01/01/19 – 03/31/19
Jun 2019	Coordinator reporting and program close-out
July 20, 2019	Submit final progress report, for the period 01/01/19 – 06/30/19 Submit final quarterly financial report, for the period 04/01/19 – 06/30/19

Progress Reporting Framework

Sample University matriculated GEAR UP students will be loaded into a PeopleSoft student group for case management, outreach efforts, predictive analytics, and reporting purposes.

Utilizing the Advisor Trac and PeopleSoft database systems, meetings and services provided to each student will be tracked and reported.

Reporting to be provided to NAU GEAR UP each semester (January 2019 – fall semester 2018 and July 2019 – spring semester 2019):

1. Total count of coaching appointments
2. Total count of escalated student cases (complex student issues that pose potential retention barriers, financial, personal, etc. escalated through Center partner protocols)
3. Student outcomes by student and in aggregate:
 - a. GPA
 - b. Enrollment status for semester and year to year retention
 - c. List of courses/credits attempted and completed
 - d. Qualitative Impact Survey responses and comments
 - e. Student Engagement - % of cohort using coaching services

SAMPLE

SAMPLE

Program Budget
March 1, 2018 through June 30, 2019
GEAR UP Funds Authorized For Expenditure: \$100,000

EXPENDITURE CATEGORY	RESOURCE(S) REQUIRED / DIRECT COST COMPONENT(S)	TOTAL GEAR UP \$ 03/01/2018 - 06/30/2019
Personnel: Salaries & Employee Related Expenses	1 Full-Time Coordinator \$5,000 Pay Differential, Special Assignment of Current FYS Staff Member, Salary + ERE	\$5,000
	2 Part-Time (Hourly) Management Interns 30 hours per wk x 52 weeks x \$15 per hr x 2 MIs + 25% ERE	\$58,600
	2 Part-Time (Hourly) Student Workers Level 5: 15 hrs per wk x 36 wks x \$15 per hr (includes ERE) Level 1: 15 hrs per wk x 36 wks x \$10 per hr (includes ERE)	\$8,100 \$5,400
SUBTOTAL PERSONNEL: SALARIES & EMPLOYEE RELATED EXPENSES		\$77,100
Operating: Other Expenses	Computers, Printer (new staff)	\$2,000
	Programming (Special Fall Welcome, FGen Zone training, Meetups)	\$3,250
	Video Coaching Modules (new)	\$3,000
	Student Professional Development Funding (Spring Conferences, professional organizations, research studies) Game Changers Faculty/Staff Directory (highlighting FGEN resources)	\$1,000
	Strengths quest Assessment Codes (200) (for use during coaching)	\$2,000
	Student Recognition/Supplemental Program Materials	\$1,500
	Partnership Staff Prof Dev (Related Conferences, Institutes, Webinars)	\$4,000
SUBTOTAL OPERATING: OTHER EXPENSES		\$16,750
Indirect Costs: 8% of Personnel Costs	Covers Sample University Risk Management fees, Net Comm fees, and the ASC that is assessed on all operations	\$6,150
TOTAL COSTS		\$100,000

Associated costs are funded by federal (GEAR UP) resources. Therefore, federal cost principles apply to expenditure of funds. Accordingly, financial reporting and documentation standards for fund use are high, and there is significant emphasis on scrutiny and accountability associated with their use. Audit-ready financial records of costs incurred must demonstrate that they:

- Are allowable as defined in federal government Uniform Guidance – U.S. Code of Federal Regulations Title 2 Subtitle A, Chapter II, Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements For Federal Awards;
- Are in accordance with institutional policies and procedures; and,
- Clearly serve their designated public purpose; in this case, supporting / fostering GEAR UP college students’ success during their first year at Sample University and return to Sample University for their sophomore year.

Upon execution of this Agreement, NAU will transfer to Sample University a total of \$20,000.00. A series of four quarterly disbursements of \$20,000.00 will then follow, according to the payment schedule / deliverable below. These disbursements are for the purpose of providing funds to Sample University to be expended during the period March 1, 2018 through June 30, 2019, paying for costs associated with services rendered to GEAR UP students statewide who graduated from high school in spring 2018.

Progress and financial reports will be submitted by Sample University to NAU throughout the duration of the Agreement, according to the following schedule and using the reporting templates attached to this Agreement:

Payment Schedule	Deliverable
\$20,000.00 03/31/2018	Payable from NAU upon execution of the Agreement
\$20,000.00 10/20/2018	Financial Report for 3/1/2018 to 9/30/2018
\$20,000.00 01/20/2019	Progress Report for Fall Semester 2018 + Financial Report for 10/1/2018 to 12/31/2018
\$20,000.00 04/20/2019	Financial Report for 1/1/2019 to 3/31/2019
\$20,000.00 07/20/2019	Progress Report for Spring Semester 2019 + Financial Report for 4/1/2019 to 6/30/2019

A financial report template is incorporated into this Agreement as part of the Budget (Attachment 2). NAU may reduce the final payment amount to Sample University to ensure that NAU does not reimburse Sample University more than total costs incurred.