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| **NAU_New Primary Logo** | **ARIZONA GEAR UP****G**aining **E**arly **A**wareness and **R**eadiness for **U**ndergraduate **P**rograms | **AZgearupICONLOGO** |

**Participation Data Documentation Standards**

**Guidelines for Documenting Student & Parent Participation in GEAR UP Services**

**I. Background**

Participation data serves many purposes in the AZ GEAR UP Project. It is used:

* to meet the US Department of Education (ED) requirement that all GEAR UP grantees report, annually, on student and parent participation in GEAR UP services and activities[[1]](#footnote-1)
* by Site Staff and NAU Staff to assist with work plan implementation
* by NAU Staff to monitor progress and provide additional support to GEAR UP Coordinators and GEAR UP Assistants as needed

**GEAR UP Coordinators** and **GEAR UP Assistants** at the schools are key to ensuring that evidence of participation is collected to a standard that can withstand a programmatic audit and is submitted to the assigned **Site Support Specialist** (SSS) at the NAU State Office in a timely manner. To this end, coordinators submit Weekly Individual Service Logs (WISLs) and Sign-In Sheets / Rosters related to student and parent participation in GEAR UP services.

**II. Weekly Individual Service Logs (WISLs)**

Weekly Individual Service Logs are used to document services provided by GEAR UP to students and/or parents when they occur individually. Most of these services fall into the counseling or admin service categories. Documentation of services provided to groups of students/and or parents, such as workshops, tutoring, or family events, is attached to the WISL - on rosters or sign in sheets. Guidelines for rosters/sign-in sheets are provided in Section III below.

1. WISLs for documenting services that GEAR UP Coordinators provide to individual students/parents, are provided by the NAU GEAR UP Office (See attached “GEAR UP Coordinator’s Weekly Individual Services Log). These services do not require a student/parent signature. By submitting the WISL, the Coordinator attests that s/he provided the services listed to the students and parents named on the WISL.
2. Each student or parent service on the WISL must include **the date** of the service, **the duration** of the service (length of time the student or parent was engaged in the activity) and **the nature** of the service. Some services also require additional information to be included in the comments section (see WISL instructions for detail). The nature of the service, event, or activity is indicated by a “Nature of Service” (NOS) Code (see attached list). Note: Duration is not how long the coordinator spent on an activity or service; it is how long each student or parent was engaged in the service
3. The WISL must also indicate if the service was provided **in-person**, over the **telephone, in writing** or **virtually** (e-mail, text, skype; on-line career inventories; on-line credit recovery; e-mentoring; virtual college visits, other interactive computer platform).
4. All services are listed on the WISL by the GEAR UP Student Name, with “parent” indicated with the NOS Code if the service was actually provided to the student’s parent.
5. Only one Student, one NOS Code, one Date, and one Duration may be entered in each row.
6. If more than one parent received a service at the same time, indicate this in the “Comments” cell, e.g., “Talked to Mom and Dad.”
7. If both a student and a parent were engaged in the service, list the services on two lines – both under the Student’s Name, but with one of the NOS Codes indicating “student” and the other indicating “parent.”
8. Do not combine services for students at different schools on the same WISL.
9. The WISL is set up to be used electronically and typed into, with a drop-down menu facilitating accurate Nature of Service coding. However, data may be entered onto WISLs by hand, in which case, hand writing must be legible and each row must include all required information (Student Name, Date of Service, Name of Service, with mode, NOS Code and Duration). If hand-writing, coordinators may increase the size of the rows to ensure legibility.
10. Services provided to groups of students or parents (e.g., via workshops, tutoring, college visits, etc.) are listed on the WISL, with the participant names included on a numbered attached sign-in sheet or roster, and this attachment is referenced in the “Student First Name” field of the WISL, rather than students’ names, e.g., “Attachment #1” (See Section III below for more information on attachments).
11. Attachments (sign-in sheets and rosters) must be referenced on the WISL with the same number as appears on the attachment itself and/or on an “attachment cover sheet.” (See III D below for information about attachment cover sheets).
12. **Optional Process**: The names of each student and/or parent who participated in GEAR UP activities or events as a group may also be listed individually on the WISL (one row per participant), however, the sign-in sheet or roster must also be submitted with the WISL, clearly indicating that it is the record of original signatures/official attendance and it is duplicate data that is also typed on the WISL. The title of the document must also make it clear that the names have also been included on the WISL, i.e., that the attachment of original signatures or official attendance is duplicate data, e.g. “Original Signatures from XX workshop – NOS XXX - on MM/DD/YYYY.” **Please note**: *Experience has shown that sites with GEAR UP assistants may prefer typing student and parent participant names from sign in sheets on to the WISL, as it is the easiest way to ensure legibility, and to meet the other requirements for sign in sheets described in # III E, G, and H below. Sites without assistants are discouraged from using their time to ‘copy’ participants’ names from sign in sheets to WISLs.*
13. Specific instructions for working with the electronic WISL, with screen shots, are attached.
14. All durations are rounded to the nearest 5-minute increment. This means that not every interaction a GEAR UP Coordinator has with a GEAR UP student or parent is documented on the WISL. This is a common sense rule. Because coordinators are at the schools with the students, they will, likely, have very brief “high five”/ “Good morning” type interactions with students throughout the year; such interactions, less than 2.5 minutes in duration, rounded to the nearest 5-minute increment, would equal 0 minutes and are therefore not reported..
15. Some types of services are provided by coordinators for which there is no evidence the service was “received” by the student or parent (e.g., materials mailed to home address; administrative services). Since documentation is of the time (duration) that students and parents are engaged in a service, not the amount of time the coordinator has spent providing a service, and because the GEAR UP database, SCRIBE, does not allow participation to be entered without a duration, such services are reported with a “1 minute” duration. Status Updates, Event Reminders and invitations are examples of mailed services; dropout research, tracking PEPS follow up and attempted absence intervention are examples of administrative services. See the attached “Clarifying” memo regarding when/how to code or not code/document these types of services.
16. By submitting completed WISLs, coordinators are attesting that the data reported (student / parent services) are true and accurate.

**III. Sign In Sheets/Rosters**

1. Sign-In sheets are critical for withstanding an audit, as they are proof that students and/or parents attended an event that was: 1) supported in whole or in part with GEAR UP funds; and/or 2) reported on the APR in the Service Participation Data Table. Sign in-sheets must be used at every GEAR UP event or activity that serves a group of students and/or parents at one time, i.e., all participants receive the same service, on the same date, usually for the same length of time (duration)[[2]](#footnote-2). GEAR UP services for which sign-in sheets are typically used to document participation include *workshops, family events, college visits and tutoring*.
2. Site Coordinators prepare sign-in sheets to ensure that every student and, when applicable, parent(s), who attends a GEAR UP ‘group’ activity or event, signs in. Each parent who attends should sign in, even if they are parents of the same student.
3. Every sign-in sheet or attendance roster must be numbered (tied to row on WISL in which the sign-in sheet is referenced), and should include **the date** of the event/activity, **the duration** of the event/service/activity and **the nature and mode of service**. The nature of the service, event or activity is indicated by a “Nature of Service” (NOS) Code (see attached list).
4. If the roster or sign-in sheet is comprised of multiple pages, a Cover Sheet should be included that provides the attachment number, date, NOS code and duration, and the number of pages comprising the attachment. See attached Cover Sheet. The sign-in sheets or rosters in these cases may include the attachment number only. Whether on the sign-in sheet/roster or on the cover sheet, this information must match the information entered on the line on the WISL that references the attachment. (See Attachment Cover Sheet Instructions for more detail.)
5. Sign In sheets must be very clear about whether a student attended alone, a parent, or parents, attended alone or a student and parent(s) attended together. If a parent attended an event (with or without their student) the student’s name must be included on the sign in sheet
6. Note: Sign In Sheets are provided by the NAU GEAR UP Office (see attached). **These sign-in sheets are designed to facilitate compliance with these documentation standards.** Alternative formats may be used, with permission. For exceptions – when attendance rosters may be submitted in lieu of sign in sheets -- see III J and K below.
7. The Site Coordinator or Assistant ensures that every student name is legible, and when it is not, that the printed or typed name appears immediately adjacent to the signature (or is re-typed onto the WISL; see II L and III H for more information on this option).
8. The Site Coordinator or Assistant ensures that every signature is for a GEAR UP student. If non-GEAR UP students or parents participated in the event, those names are crossed off or in some way marked as “Not GEAR UP.”
9. **Note re: Optional Process**: Sign-in sheets or rosters that are being submitted as ‘back-up documentation only’ because the services are also listed on the WISL, do not need to reference the “attachment number” (and do not require a numbered cover sheet to be attached). Instead, it is required that the title of the document, and a note on the WISL clearly indicate that this attachment is duplicate data that includes “Original Signatures” e.g. “Original Signatures from XX workshop – NOS XXX - on MM/DD/YYYY.”
10. **For Presentations in Classrooms/School Assemblies:** When group services / events are held during the school day, official **attendance rosters** for the class period/date during which the service was provided can be submitted in lieu of sign-in sheets. Attendance rosters must clearly differentiate who was present from who was absent, and any non-GEAR UP students in those classes must be crossed off or in some way indicated as “non-GEAR UP”. (A list of students who were absent on a given day or class period with a note stating, “All GEAR UP students except those listed here attended” is not acceptable documentation.)
11. **For mailed/emailed services to the entire cohort**: Submit the school’s enrollment roster for the date the document was sent, or a copy of the mail merge list used to create the mailing labels. Include date of mailing and appropriate NOS Code (e.g.,190, 135) and mode – mailed or virtual).

**IV. Submission of Sign-In Sheets and WISLs**

1. Site Coordinators submit all Weekly Individual Service Logs (WISLs) and attachments electronically (via email) on a weekly basis to their assigned Site Support Specialist at NAU on dates indicated on the Year 6 Calendar.
2. Incomplete or illegible WISLs or sign-in sheets will be returned to coordinators for immediate correction/completion.

**Attachments:**

1. GEAR UP Coordinator’s Weekly Individual Services Log
2. WISL instructions
3. NOS Codes
4. Sign-In Sheets (2)
5. Clarification of NOS Codes for Status Updates/Event Reminders/Invitations – July 2017
6. WISL Attachment Cover Sheet
7. WISL Attachment Cover Sheet Instructions
1. GEAR UP service ‘categories’ include mentoring, tutoring, counseling / advising / academic planning / career counseling, college visits and college student shadowing, job site visits and job shadowing, summer programs, educational field trips, workshops, and family/cultural events. Multiple specific service/activity types may exist within each category. [↑](#footnote-ref-1)
2. Class rosters may be used in lieu of sign-in sheets in certain circumstances, as outlined in III J and K . [↑](#footnote-ref-2)