



Fiscal Year 2012 Competition Highlights for the Upward Bound Math and Science Program

Updated: 01/14/13

Table of Contents

Upward Bound Math and Science Program.....	3
Background and Focus	3
Funding History	3
Funding Strategy	3
Fiscal Year 2012 UBMS Reform.....	4
Competitive Preference Priorities.....	4
A New Funding Formula that Rewarded Productivity	5
Awards Facts	6
Funding Band	6
Status of Existing Upward Bound Math and Science Grantees	7
Competition Issues.....	7
Appendices.....	8
Upward Bound Math and Science Awards by State and Number of Students Served.....	9
Students Served by FY 2012 Upward Bound Math and Science Projects.....	10
Profile of Applicant Institutions	11
Grant Recipient by State	12

Upward Bound Math and Science Program

Background and Focus

The Upward Bound Math and Science (UBMS) Program is one of the seven programs known collectively as the Federal TRIO Programs. Three of the Federal TRIO Programs are Upward Bound Programs: regular Upward Bound (UB); Veterans Upward Bound (VUB); and Upward Bound Math and Science.

The UBMS program serves high school students from low-income families and high school students from families in which neither parent nor guardian holds a four-year degree. The Program helps students recognize and develop their potential to excel in math and science, and to pursue postsecondary degrees and careers in those fields. The goal of the UBMS Program is to increase the rate at which participants complete secondary education and enroll in and graduate from institutions of postsecondary education.

Funding History

The last competition was conducted in fiscal year (FY) 2007. Congress appropriated additional funds in FY 2009 to fund additional projects from the FY 2007 competition. The total funding for UBMS (FY 2007 competition) was \$35,203,799. Beginning with the FY 2012 competition, successful UBMS applicants have a five-year grant cycle.

Funding Strategy

In FY 2012 the Department made a strategic decision to support efforts to improve Science, Technology, Engineering, and Mathematics (STEM) programs and address national needs in these areas by focusing on students earlier in the pipeline. To help meet this challenge, the Department increased the allocation for the UBMS Program by \$10 million through a reallocation of Ronald E. McNair Postbaccalaureate Achievement (McNair) Program¹ funding.

¹ McNair serves groups underrepresented in graduate education, as defined in the McNair Program regulations; low-income individuals who are first generation college students; and groups underrepresented in Science, Technology, Engineering and Math (STEM) as documented by standard statistical references or other national

In total, in FY 2012 the Department awarded \$44,141,410 in the UBMS Program to fund 166 projects to serve 10,265 students. The FY 2012 awards represent an increase from the FY 2011 totals of 131 projects to serve 6,992 students.

- On the first FY 2012 UBMS slate the Department awarded \$30,854,421 to 113 projects to serve 7,064 students. This included 18 continuation grants to applicants who competed successfully under the FY 2012 competition and will receive their new grant awards in a subsequent fiscal year. It also included four continuation grants to current UBMS grantees who were not recommended for a new award, but who have one year remaining on their current grants.
- On the second UBMS slate the Department awarded \$13,286,989 to 53 projects to serve 3,201 students.

Fiscal Year 2012 UBMS Reform

Competitive Preference Priorities

The Department took a number of steps to more strategically align UBMS with overarching reform strategies for K-12 education and to further support the administration's 2020 college completion goal. It introduced three competitive preference priorities (CPPs):

1. Turning Around Persistently Lowest-Achieving (PLA) Schools;
2. Enabling More Data-Based Decision-Making; and
3. Improving Productivity.

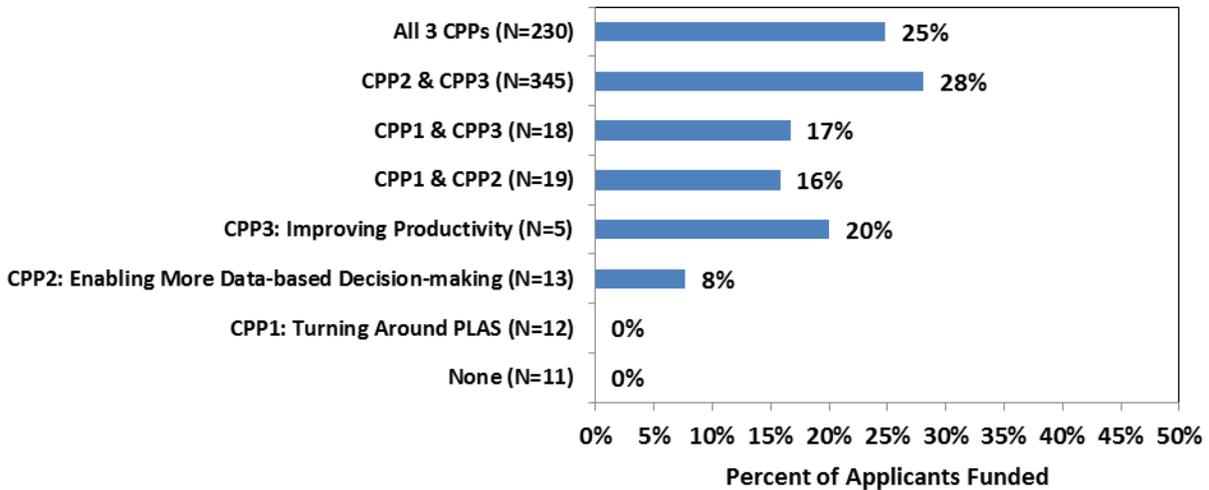
Because not all states and districts have PLA schools, the Department structured the competitive points so that an applicant that did not include any PLA schools could still receive the maximum additional competitive points as one who did. Each competitive preference priority was worth up to five points. No applicant could receive more than 10 points total.

As depicted in the table below, 28 percent of the applicants that addressed CPP 2 and CPP 3 were successful. Applicants that addressed CPPs 1, 2, and 3 had a 25 percent success rate. Seventeen percent of applicants that addressed CPP 1 and CPP 3 were successful. Applicants that addressed CPPs 1 and 2 had a 16 percent success rate. Twenty percent of applicants that addressed only CPP 3 were successful.

survey data submitted to and accepted by the Secretary. The McNair Program seeks to increase the attainment of Ph.D. degrees by students from underrepresented segments of society.

FY 2012 Upward Bound Math & Science Competition Success Rates by Competitive Preference Priorities Addressed

Chart Date: 1/7/2013



A New Funding Formula that Rewarded Productivity

For the first time, the Department linked an applicant's maximum award level to the applicant's ability to serve more students at a lower cost. Existing grantees were given three funding options for their FY 2012 applications:

- If an applicant's proposed per-student cost was \$4,200 or below, then the applicant could receive an increase of five percent above their award in the last competition.
- If an applicant proposed a per-student cost that was above \$4,200, but at or below \$4,500, then their maximum award was equal to what they received in the last competition.
- If applicants felt they could not get their cost per participant down to \$4,500, then the largest award they could receive was \$250,000 to serve at least 50 students.

The per-student levels were based on proposed costs, meaning grantees that had been above these levels in their prior grant had the opportunity to adjust their funding in their new applications. This framework created strong incentives for applicants to try to serve additional students, while creating a safety valve that enabled those that could not be as efficient to remain in the competition.

Awards Facts

The Department received 724 applications of which 653 were deemed eligible and were reviewed; 23 were determined to be ineligible and 48 were duplicate applications.

The cut-off score for the competition in slate one was 110.33. On slate one the Department made 113 awards to serve approximately 7,064 participants. This included:

- Ninety-one new awards to prior UBMS grantees totaling \$25,021,598.
- Twenty-two non-competing continuation (NCCs) awards to grantees whose projects did not end in FY 2012. Three of these were to current grantees whose applications were not recommended for funding, and one was to an existing grantee that did not reapply. These grants totaled \$5,832,823.
- With the cut off score for slate one being 110.33, no awards for “new” UBMS projects were made. New applicants are not eligible for up to 15 Prior Experience Points, so the maximum score for a new applicant was 110.00 points, placing them below the cut-off point for slate one.

Funding Band

The Department is statutorily required to conduct a second review of unsuccessful applications that fall within the funding band. Applicants whose applications scored within the funding band were eligible to request a second peer review of their applications. The FY 2012 funding band included applications scoring below 110.33 points and above 109.00 points. The 476 applications that scored below the funding band cut-off of 109.33 were not eligible to participate in the second review.

Sixty-eight applications were in the funding band. Of these, 49 “new” applications (not funded in the FY 2007 competition) received a perfect score of 110.00 points, and thus were not eligible to request a second review due to receiving the maximum amount of points possible.

- Of the 19 applications eligible to request a second review, 12 did so. The Department determined that two of these had legitimate scoring or administrative errors and these were given a second review.
- After the second review, 53 applications were funded, including 49 new projects not funded in the FY 2007 competition, three currently funded projects, and one application that was re-read and received a higher score, which placed the application within the funding range.

Status of Existing Upward Bound Math and Science Grantees

Out of 131 operating UBMS grants in FY 2011:

- 112 were successful in the FY 2012 competition (85 percent)
- 19 will not be continuing in UBMS (15 percent)
 - 16 were unsuccessful in the FY 2012 competition
 - Three did not reapply

Competition Issues

During the initial prescreening process, two issues surfaced regarding applicant eligibility based on the total amount of funds requested. One issue pertained to “new” applicants and one pertained to existing grantees. We discovered that six “new” applicants requested funding that exceeded the funding formula outlined in the Notice Inviting Applications for new awards (Notice) which was published in the *Federal Register*.

- In response to this issue, the Department determined that new applicants that requested more than the maximum award amount would be eligible to receive \$250,000 to serve 60 students.

Staff also discovered that four existing grantees requested funding amounts that either exceeded 105 percent of their prior grant, the maximum award amount for existing grantees outlined in the Notice, and/or they had made a calculation error and proposed serving a number of participants that resulted in a cost per participant that was not in sync with the appropriate funding formula outlined in the Notice.

- The Department determined that the amount recommended for funding for the existing grantees in this group that were successful in the competition should be based on a recalculation of the per participant cost based on the appropriate funding formula. This approach had minimal effect on the budgets for these applicants while maintaining the integrity of the three-tier funding strategy.

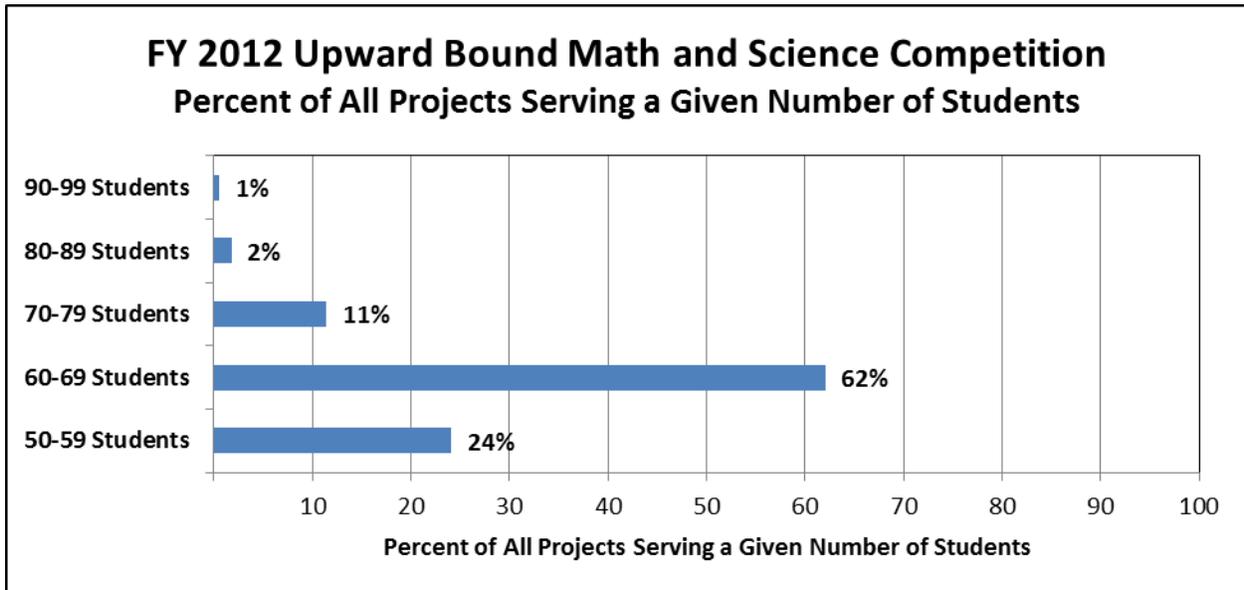
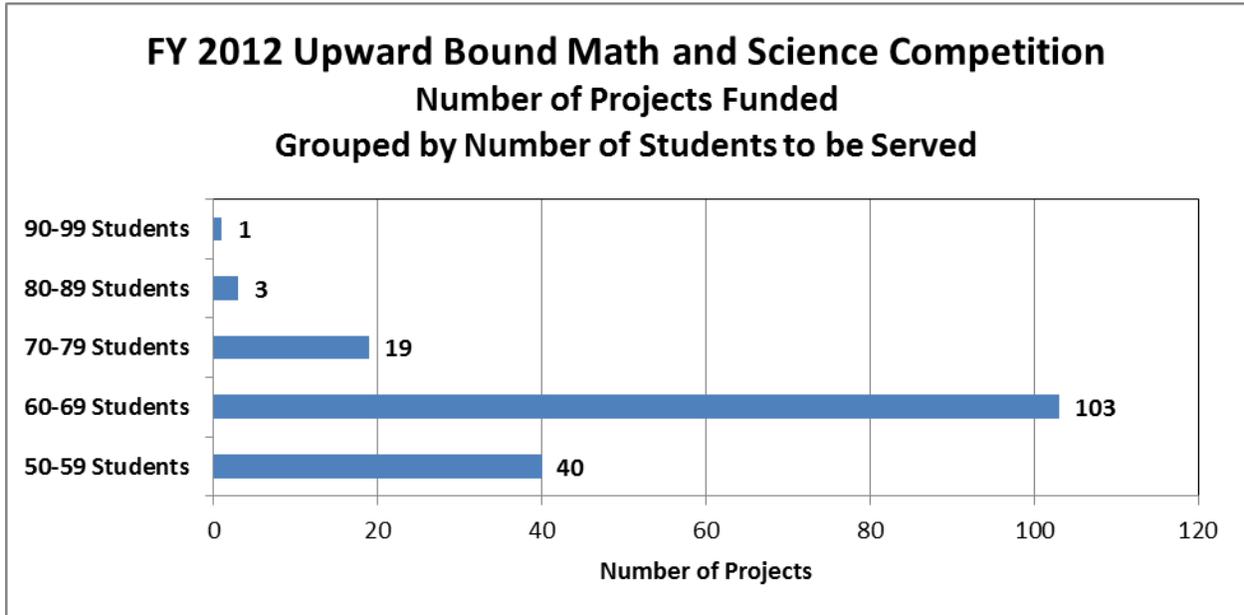
Appendices

Upward Bound Math and Science Awards by State and Number of Students Served

FY 2012 Upward Bound Math and Science Awards		
State	Number of Projects	Number of Students to Be Served
CA	33	2051
TX	21	1279
OK	7	314
PA	6	336
AR	5	299
GA	5	320
KY	5	312
LA	5	332
NC	5	303
OH	5	435
FL	4	253
MD	4	273
MO	4	221
WI	4	261
DE	3	218
IL	3	185
MA	3	185
NE	3	186
NY	3	183
SC	3	188
TN	3	181
AL	2	123
CO	2	146
HI	2	110
ID	2	133
KS	2	140
MN	2	109
NJ	2	119

FY 2012 Upward Bound Math and Science Awards		
State	Number of Projects	Number of Students to Be Served
NM	2	110
NV	2	119
PR	2	123
VA	2	115
WA	2	125
AZ	1	67
CT	1	50
DC	1	50
ME	1	67
MI	1	64
MS	1	63
WV	1	50
WY	1	67
AK	0	0
IA	0	0
IN	0	0
MT	0	0
ND	0	0
NH	0	0
OR	0	0
RI	0	0
SD	0	0
UT	0	0
VT	0	0
Total	166	10265

Students Served by FY 2012 Upward Bound Math and Science Projects



Profile of Applicant Institutions

FY 2012 UBMS Competition

Of the 162 successful applicants and the four unsuccessful non-competing continuations, the first table below shows the institutional type and control of the applicant. The second table shows the number of grants awarded to minority serving institutions.

Institutional Type and Control	
Public Four-Year Institutions	84
Private Four-Year Institutions	29
Public Two-Year Institutions	43
Private Two-Year Institutions	0
Secondary Schools	1
Non-Profit Agencies	9
Other	0
Total	166
Minority Serving Institutions	
Historically Black Colleges and Universities	14
Hispanic Serving Institutions	29
Tribal Colleges and Universities	0
Hispanic Agencies	1
Asian American and Native American Pacific Islander Serving Institutions	9
Alaska Native and Native Hawaiian Institutions	1
Multiple	8
Total	62

Grant Recipient by State

FY 2012 Upward Bound Math and Science Awards
166 Awards Serving a Total of 10,265 Students

Map Date: 11/5/2012

