Upward Bound Math and Science Program

FY 2012 Competition Pre-Application Technical Assistance Workshop
Disclaimer

This document is a brief summary of the program regulations and application requirements. Do not rely solely on the information in this document. Please refer to the Notice Inviting Applications and the program regulations published in the Federal Register for additional information, as these are the official documents governing the competition.
Workshop Overview

- New Legislation and Regulations

- 2012 Competition Highlights

- Selection Criteria

- Submission Logistics
The Upward Bound Program provides Federal grants for the following three types of projects:

- Regular Upward Bound projects (UB)
- Upward Bound Math and Science Centers (UBMS)
- Veterans Upward Bound projects (VUB)
TRIO Legislation Highlights
Title IV - Higher Education Act of 1965 (HEA), as amended by the Higher Education Opportunity Act of 2008 (HEOA)

- Eligible Applicants
- 5-Year Grants
- Outcome Criteria
- New and Revised Definitions
- Low-Income Documentation
- Required Services and Permissible Services
- 10 Technical Assistance Workshops
- Rank-Order Funding
- Second Review Process for Unsuccessful Applications
Upward Bound Regulations

- 34 CFR Part 645, amended to implement changes made to the HEA of 1965 by the HEOA.

- Final regulations amending Part 645 were published in the Federal Register on October 26, 2010.
Who is Eligible to Apply for a Grant?

- Institution of higher education.
- Public or private agency or organization, including a community-based organization with experience in serving disadvantaged youth.
- Secondary school.
- Combination of the types of institutions, agencies, and organizations.
Who is Eligible to Participate?

- U.S. citizen or national of the United States.
- A permanent resident of the United States.
- Is in the United States for other than a temporary purpose and provides evidence from the Immigration and the Naturalization Service of his or her intent to become a permanent resident.
- A permanent resident of Guam, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands.
- A resident of the Freely Associated States-the Federated States of Micronesia, the Republic of the Marshall Islands, or the Republic of Palau.

- The Individual is:
  - A potential first generation college student;
  - A low-income individual; or
  - An individual who has a high risk for academic failure.

- Has a need for academic support.

- Has completed the eighth grade and is at least 13 years old but not older than 19.
Upward Bound Math and Science
Upward Bound Math and Science Program

A program that provides Federal grants to projects designed to generate in program participants the skills and motivation necessary to complete a program of secondary education and to enter and succeed in a program of postsecondary education in programs that lead to careers in math and science.
Upward Bound Math and Science Program

Required Services:

- Academic tutoring
- Advice and assistance in secondary and post secondary course selection
- Preparation for college entrance exams and completion of college admission applications
- Information on federal student financial aid programs:
  - Federal Pell grant awards
  - Loan forgiveness
  - Scholarships
- Assistance completing financial aid applications
  - Free Application for Federal Student Aid (FAFSA)
Guidance on and Assistance in:

- Secondary school reentry;
- Alternative education programs for secondary school dropouts that lead to the receipt of a regular secondary school diploma;
- Entry into general educational development (GED) programs, or
- Entry into postsecondary education; and

Services designed to improve the financial and economic literacy of students or the students’ parents, including financial planning for postsecondary education.
Required Program Services:

Instruction in the following core curriculum subjects:

- Mathematics through Pre-Calculus,
- Laboratory Science,
- Foreign Language,
- Composition, and
- Literature,
Intensive instruction in mathematics and science, including hands-on experience in laboratories, in computer facilities and at field sites;

Activities that will provide participants with opportunities to learn from mathematicians and scientists who are engaged in research and teaching at the applicant institution, or who are engaged in research or applied science at hospitals, governmental laboratories, or other public and private agencies.

Activities that pair participants with math and science graduate students or math science undergraduate majors who serve as tutors or counselors.
Permissible Program Services:

- Exposure to cultural events and academic programs
- Career option activities
- On-campus residential programs
- Mentoring programs
- Work study
- Activities designed for limited English proficient participants, participants with disabilities, homeless, foster care, disconnected participants.
Upward Bound Math and Science Structure

**Academic Year (Required)**
- Provide weekly instructional and enrichment activities in math and science.

**Summer Component (Required)**
- 6 weeks in length
- Provide instructional and enrichment activities in math and science at least 5 days per week.
- Residential (encouraged but not required)
Upward Bound Math and Science Bridge Component
(Optional)

Transitional phase in which high school Upward Bound Math and Science graduates may take college level courses to transition into postsecondary.
New Applicants:

- All new or existing grantees proposing to serve a new target area or schools will receive a maximum of $250,000 to serve a minimum of 60 participants.
For Existing Grantees:

- An applicant currently receiving a UBMS grant and applying for a grant to serve the same target area or schools the maximum award amount is determined based upon the applicant’s budgeted per participant cost, as follows:

  - If an applicant’s budgeted per participant cost is at or below $4,200, then the grantee’s maximum award is equal to the applicant’s grant award amount for FY 2007, the first year of the previous grant cycle, plus 5 percent.
If an applicant’s budgeted per participant cost is at or below $4,500 and above $4,200, then the grantee’s maximum award is equal to the applicant’s grant award amount for FY 2007, the first year of the previous grant cycle, to serve a number of participants such that the per participant cost is $4,500 or less.

If an applicant’s budgeted per participant cost is above $4,500, then the grantee’s maximum award is equal to $250,000 to serve at least 50 participants.
Upward Bound Math and Science
Competitive Preference Priorities

- In order to more strategically align Upward Bound Math and Science with overarching reform strategies for postsecondary completion, the Department is announcing three competitive preference priorities for this competition.

- Additional points (up to 5 points for competitive preference priority 1; up to 5 points for competitive preference priority 2; and up to 5 points for competitive preference priority 3) may be awarded to an application, depending on how well the applicant addresses these priorities.

- **Important note:** An applicant may only receive a maximum of 10 total competitive preference priority points, even if the applicant addresses all three priorities.
Competitive Preference Priority 1 -- Turning Around Persistently Lowest-Achieving Schools (up to 5 additional points). Projects that are designed to address providing services to students enrolled in persistently lowest-achieving schools (as defined in the notice).
Competitive Preference Priority 2 -- Enabling More Data-Based Decision-Making (up to 5 additional points). Projects that are designed to collect (or obtain), analyze, and use high-quality and timely data, including data on program participant outcomes, in accordance with privacy requirements (as defined in the notice), in: (a) improving postsecondary student outcomes relating to enrollment, persistence, and completion and leading to career success; and (b) providing reliable and comprehensive information on the implementation of Department of Education programs, and participant outcomes in these programs by using data from State longitudinal data systems or by obtaining data from reliable third-party sources.
Competitive Preference Priority 3 -- Improving Productivity (up to 5 additional points). Projects that are designed to significantly increase efficiency in the use of time, staff, money, or other resources while improving student learning or other educational outcomes (i.e., outcome per unit of resource). Such projects may include innovative and sustainable uses of technology, modification of school schedules and teacher compensation systems, use of open educational resources (as defined in the notice), or other strategies.
Questions and Answers
# Selection Criteria

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Need for the Project

Maximum Points: 24
Sub-criteria: 4
Criteria for Demonstrating Need for Upward Bound Math and Science

- The extent to which student performance on standardized achievement and assessment test in mathematics and science in the target area is lower than State or National norms, and

- The extent to which potential participants attend schools in the target area that lack the resources and coursework that would help prepare persons for entry into postsecondary programs in mathematics, science and engineering;

- The extent to which such indicators as attendance data, dropout rates, college-going rates and student/counselor ratios in the target area indicate the importance of having additional education opportunities available to low-income, first generation students; and

- The extent to which there are eligible students in the target area who have demonstrated interest and capacity to pursue academic programs and careers in mathematics and science, and who could benefit from an Upward Bound Math and Science program.
Objectives

Maximum Points: 9
Upward Bound Math and Science Objectives

- There are SIX Standardized Objectives:

- Standardized Objectives are found on the Upward Bound Math and Science Program Profile form.

- MUST include all SIX Standardized Objectives in your application.

- MUST provide the percentages that your project proposes to achieve for each Standardized Objective.

- The wording of the SIX Standardized Objectives MAY NOT be changed.
Objectives (continued)

- The Objective selection criteria is worth 9 points.

- All 9 points will be awarded based on the extent to which objectives and proposed targets (percentages) are determined to be ambitious and attainable based on NEED, PLAN OF OPERATION, BUDGET and other resources provided.
Academic Performance
Grade Point Average (GPA)
(Upward Bound Math and Science)

_____ % of participants served during the project year will have a cumulative GPA of 2.5 or better on a four-point scale at the end of the school year.
_____ % of UBMS seniors served during the project year, will have achieved at the proficient level on state assessments in reading/language arts and math.
Secondary School Retention and Graduation
(Upward Bound Math and Science)

_____ % of project participants served during the project year will continue in school for the next academic year, at the next grade level, or will have graduated from secondary school with a regular secondary school diploma.
Secondary School Graduation
(rigorous secondary school program of study)
(Upward Bound Math and Science)

_____ % of all current and prior year UBMS participants, who at the time of entrance into the project had an expected high school graduation date in the school year, will complete a rigorous secondary school program of study and graduate with a regular secondary school diploma.
_____ % of all current and prior UBMS participants, who at the time of entrance into the project had an expected high school graduation date in the school year, will enroll in a program of postsecondary education by the fall term immediately following high school graduation or will have received notification, by the fall term immediately following high school, from an institution of higher education, of acceptance but deferred enrollment until the next academic semester (e.g., spring semester).
Postsecondary Completion
(Upward Bound Math and Science)

_____% of UBMS participants, who enrolled in a program of postsecondary education by the fall term immediately following high school graduation or by the next academic term (e.g., spring term) as a result of acceptance but deferred enrollment, will attain either an associate’s or bachelor’s degree within six years following graduation from high school.
Plan of Operation

Maximum Points: 30
Sub-criteria: 10
Plan of Operation

- The plan to inform the faculty and staff at the applicant institution or agency and the interested individuals and organizations throughout the target area of the goals and objectives of the project;

- The plan for identifying, recruiting and selecting participants to be served by the project;

- The plan for assessing individual participant needs and for monitoring the academic progress of participants while they are in Upward Bound;
Plan of Operation
(continued)

- The plan for locating the project within the applicant’s organizational structure;

- The curriculum, services and activities that are planned for participants in both the academic year and summer components;

- The planned timelines for accomplishing critical elements of the project;

- The plan to ensure effective and efficient administration of the project, including, but not limited to, financial management, student records management, and personnel management;
The applicant’s plan to use its resources and personnel to achieve project objectives and to coordinate the Upward Bound project with other projects for disadvantaged students;

The plan to work cooperatively with parents and key administrative, teaching and counseling personnel at the target schools to achieve project objectives; and

A follow-up plan for tracking graduates of Upward Bound as they enter and continue in postsecondary education.
Applicant and Community Support

Maximum Points: 16
Sub-criteria: 2
Applicant and Community Support

- The applicant is committed to supplementing the project with resources that enhance the project such as:
  - Space
  - Furniture
  - Equipment
  - Supplies
  - Time and effort of personnel other than those employed in the project
Resources secured through written commitments from community partners.

- Institution of higher education must include in its application commitments from the target schools and community organizations;
- Secondary school must include commitments from institutions of higher education, community organizations, as appropriate other secondary schools and the school districts;
- Community organizations must include commitments from target schools and institutions of higher education.
Quality of Personnel

Maximum Points: 8
Sub-criteria: 3
Quality of Personnel

- The qualifications required of the project director.
- The qualifications required of other personnel.
- The quality of the applicant’s plan for employing personnel who have succeeded in overcoming barriers similar to those confronting the project’s target population.
Budget

Maximum Points: 5
The budget for the project is adequate to support planned project services and activities; and

Costs are reasonable in relation to the objectives and scope of the project.
Evaluation Plan

Maximum Points: 8
Sub-criteria: 2
Develop an evaluation plan for the project that:

- Includes both qualitative and quantitative evaluation measures; and
- Examines in specific and measurable ways the success of the project in making progress toward achieving its objectives.
Evaluation Plan (continued)

- Plans should clearly indicate:
  - Types of data to be collected
  - When data will be collected
  - What data collection methods will be used
  - How the data will be analyzed
  - When reports and outcome data will be available
  - What information, on a prescribed schedule (monthly, weekly) will be developed in a manner that meets its goals and objectives
  - Who is responsible for making sure information is available in a timely manner and is influencing the ongoing management of the project
  - Evaluation staff should have no authority over the project’s service or management personnel
Allowable Costs

- In-service staff training
- Rental of space (if not available at host institution)
- Participant room and board
- Room and board for staff providing supervision
- Educational pamphlets and material
- Student activity fees
- Admissions fees, transportation, t-shirts and other costs
- One banquet or ceremony
Allowable Costs (continued)

- Tuition costs (summer bridge component)
- Accident insurance
- Courses in English language instruction
- Transportation cost for participants for regularly scheduled activities
- Transportation, meals, and overnight accommodations for staff members accompanying participants on project activities
- Purchase, lease, or rental of computer equipment and software, and service agreements
Fees for college admissions applications or entrance examinations if:
- Waiver of fees is unavailable
- Fees paid by grantee to a third party

Tuition cost for course that is part of a rigorous secondary school program of study**

**(see application booklet for detailed conditions that must be met)
Unallowable Costs

- Research not directly related to the evaluation or improvement of the project.

- Meals for staff except as provided in 645.40(d).

- Room and board for administrative and instructional staff who do not have responsibility for dormitory supervision of participants.

- Construction, renovation or remodeling of any facilities.

- Tuition, stipends, or any other form of student financial aid for project staff beyond that provided to employees of the grantees as part of its regular fringe benefit.
The following rules govern the amounts of stipends a grantee is permitted to provide:

- For the academic year component, the stipend may not exceed $40 per month; and
- The stipend may not exceed $60 per month for the summer school recess for a period not to exceed three months, except that youth participating in a work-study position may be paid $300 per month during the summer school recess.
What Other Requirements Must A Grantee Meet?

- Number of Participants
- Project Director
  - A grantee must employ a full-time project director, unless:
  - The director is also administering 1-2 additional programs for disadvantaged students operated by the sponsoring Institution or agency; or
  - The Secretary grants a waiver of this requirement.
What Other Requirements Must A Grantee Meet? (continued)

- Recordkeeping
  - Collaboration with other Federal TRIO projects or programs
  - Eligibility of Participants
  - Services
  - Educational progress of participants
Questions and Answers
Submission Logistics
Grant Writing Reminders

- Applicants may not use federal funds to prepare an application.
  - This includes costs incurred to attend pre-application workshops.

- Federal funds may not be used to lobby.

- Applicants who knowingly do business with someone who has been debarred from doing business with the Federal government face the possibility of cost disallowances, termination of their grant, suspension and debarment from Federal government procurement and non-procurement transactions.
Other Attachment Forms

- Additional documents that *Do Not* count toward page limit:
  - Application Face Sheet (SF-424)
  - Table of Contents
  - ED Abstract Form
  - UB Program Profile Form
  - Federal Budget Form (ED-524)
  - Assurances, certifications, and survey form
Upward Bound Math and Science Profile Form

- A separate form that each applicant must fill out
- If current grantee, enter current PR/Award Number. If submitting multiple applications, indicate if this application should be designated for prior experience (PE).
- List all target schools to be served.
- List number of participants to be served.
- Mark whether addressing the Competitive Preference Priorities.
- Fill in all Standardized Objective percentages.
  - **Note:** The percentages listed on the Profile are your officially-recognized objectives, regardless of what is written in the narrative.
An applicant for an Upward Bound Math and Science Project must assure the Secretary that --

- Not less than 2/3 of the project’s participants will be low-income individuals who are potential first-generation college students;

- The remaining participants will be low-income individuals or potential first-generation college students;

- No student will be denied participation in a project because the student would enter the project after the 9th grade; and

- The project will collaborate with other Federal TRIO projects, GEAR UP projects, or programs serving similar populations that are serving the same target schools or target area in order to minimize the duplication of services and promote collaborations so that more students can be served.
Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions, and all text in charts, tables, figures, and graphs.

Use a 12-point font or larger.

Use one of the following fonts:
- Times New Roman,
- Courier,
- Courier New, or
- Arial.
Application Process

- Submit application via www.Grants.gov
- Prescreening for eligibility
- A panel of three expert reviewers, who are not federal employees, will review the application.
- The panel will prepare an evaluation of the application and assign points to each selection criterion. The highest score an application may receive is 100; plus up to ten additional points for the competitive preference priorities.
- Scores from the three reviewers will be averaged together to determine one numeric score for the application.
Currently funded applicants are eligible to receive up to **15 Prior Experience (PE) points.** If applicable, PE points are added to the numeric score of the application to get a final score.

Final scores are ranked in order, highest to lowest, on a funding slate.

First slate

Second review

Second slate

All successful applicants will receive a 5-year award.
Grants.gov

- What is grants.gov?
  - An electronic portal that all applicants MUST use to submit applications.
  - Be sure to read all instructions carefully and refer all technical questions to the Grants.gov Help Desk (1-800-518-4726).
  - *Only .PDF* file types will be accepted.
Exceptions to Electronic Submission

You may qualify for an electronic submission waiver if:

- You do not have Internet access
- You do not have the capacity to upload large documents to the Grants.gov system

If you are submitting a waiver, you must:

- Mail or fax a written statement to the Department explaining your need for a waiver, due no later than 14 calendar days before the application deadline date.
- If mailing, your letter must be postmarked no later than two weeks before the application deadline date.
Submit all Electronic Submission Waivers to:

Gaby Watts
U.S. Department of Education
1990 K Street, N.W., Room 7000
Washington, DC 20006-8510
Fax: 202-502-7857
Applications will be REJECTED if:

- A complete application is not submitted by the established date and time.
- 60-page limit is exceeded.
- Incorrect formatting is used.
- A paper copy is submitted without an approved waiver of electronic submission.
- Applicant proposes to serve different population not designated in Notice Inviting Applications.
Tips to Submit Successfully

- Review Application Notices and Instructions Carefully
- Register Early
- Submit Early
  - Important: If you start uploading your application before 4:30 p.m. Washington, D.C. time on the application deadline date, and you do not finish uploading until after 4:30 p.m., your application will be marked late and will not be read.
- Verify your application has submitted completely
- Save and keep your own copy
- Receive e-mail confirmation
- Note: only .PDF file types will be accepted
Important Reminder

- Keep in mind that information about this competition contained in the Federal Register Notice is the definitive information about the program’s requirements. This includes, but is not limited to, eligibility requirements, selection criteria, competitive preference priorities, application submissions, waiver requests, grounds for exclusion from the competition, page limits and font sizes. If there is any conflict between information provided here today, contained in the application package, or otherwise conveyed to you verbally and in writing, the criteria in the Notice always take precedence.
Further Information

For further information about Upward Bound Math and Science visit our Web site:

Upward Bound Math and Science:

http://www2.ed.gov/programs/triomathsci/index.html
Questions and Answers