



# Fiscal Year 2012 Competition Highlights for the Upward Bound Program

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Updated: 01/04/13

## Table of Contents

Upward Bound Program .....	3
Background and Focus .....	3
Funding History .....	3
Funding Design.....	3
Impact of Funding Decisions .....	4
Funding Band .....	5
Fiscal Year 2012 Upward Bound Reforms.....	5
Fiscal Year 2012 Competition Issues.....	6
Reopening of the Competition.....	6
Impact of the Funding Formulas on Eligibility .....	6
Fiscal Year 2012 Awards Facts .....	7
Status of Existing Upward Bound grantees.....	8
Appendices.....	9
Applicant Institution Profile .....	10
Students Served per Project .....	11
State Breakdown.....	12
Grant Recipients by State .....	13
2012 Upward Bound Awards .....	13

## **Upward Bound Program**

### *Fiscal Year 2012 Competition*

#### **Background and Focus**

Upward Bound (UB) is one of seven Federal TRIO Programs (TRIO). It provides grants to projects designed to generate the skills and motivation necessary for success in education beyond secondary school. The 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 goal of UB is to increase the rate at which low-income first-generation students complete secondary education and enroll in and graduate from postsecondary institutions.

#### **Funding History**

Beginning with the FY 2012 competition, successful UB applicants have a five-year grant cycle.

The last competition prior to FY 2012 was conducted in FY 2007. In addition to the initial FY 2007 appropriation, the College Cost Reduction and Access Act of 2007 (CCRAA) provided an additional \$57 million annually for the UB program from FY 2008 to FY 2011. CCRAA's \$57 million addition to the FY 2007 appropriation for Upward Bound was to enable new grants to be made to all applicants in the UB FY 2007 competition that scored above 70.00 and below 92.0 (the original cut-off score). These additional funds brought the total funding for the FY 2007 UB competition to \$315,176,549.

The FY 2012 budget passed for TRIO included a \$13.4 million increase in discretionary funding over FY 2011. However, in FY 2012 the \$57 million in mandatory funds provided annually from the College Cost Reduction and Access Act expired and was not renewed. As a result, the FY 2012 Upward Bound funding represented a reduction of \$26.6 million in comparison to FY 2010.

#### **Funding Design**

The Department took several actions to shore up UB FY 2012 funds. The following actions resulted in an additional \$13.4 million of FY 2012 TRIO Program funds being made available to Upward Bound applicants:

- Overall administrative costs were reduced and cost savings were realized in the proposal review process;
- Approximately \$2.1 million was reallocated to Upward Bound from the FY 2012 Training Program for Federal TRIO Programs;
- Funds were reallocated from Talent Search and Educational Opportunity Centers Programs' continuation grants which were not successful in the FY 2011 competition;
- The Upward Bound Evaluation mandated by the Higher Education Opportunity Act of 2008 was postponed until FY 2013 and funds were reallocated to the FY 2012 UB competition.

In FY 2012, the Department changed the per-student funding structure for UB to reward grantee productivity. For the first time the Department connected an applicant's maximum award level with the applicant's ability to serve more students at a lower cost. Existing applicants were given three funding options:

1. If an applicant's proposed per student cost was \$4,200 or below, then they could receive an increase of 5 percent above their award in the previous competition.
2. 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 previous competition.
3. If applicants felt they could not get their maximum award down to \$4,500 per student, 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, which meant that grantees that were running above these levels in their current grant had the opportunity to adjust their funding in their FY 2012 applications. This framework created strong incentives for applicants to try to serve additional students. By offering option three to those that could not be as efficient, it allowed them to remain in the competition.

### **Impact of Funding Decisions**

In FY 2007 and FY 2008 951 projects were funded serving 65,336 students. In the FY 2012 Upward Bound competition \$268,136,305 was awarded to 826 projects to serve 62,576

participants.<sup>1</sup> Despite losing over 15 percent of funds (\$48 million), UB managed to hold on to 62,576 participants, 96 percent of its students, by encouraging greater productivity and new funding strategies.

## Funding Band

The Department is statutorily required to conduct a second review of unsuccessful applications. However, the 457 applications which scored *below* the funding band were not eligible to participate in the second review.

The funding band contained 58 applicants who scored above 106.33 and below 108.00 points. Among these 58 applicants, 26 were new and 32 were currently funded.

The 58 applicants who fell within this funding band were eligible to request a second review of their applications and 30 did so. The Department determined that five of these had legitimate scoring or administrative errors, and these were given a second review.

After the second review process, 39 applications were funded on the second slate, including five that received adjusted scores as a result of the second review process. The group of 39 grantees funded on the second slate included one currently funded project and twelve applicants that were not funded during the previous grant cycle.

## Fiscal Year 2012 Upward Bound Reforms

The Department took a number of steps to more strategically align UB with overarching reform strategies for K-12 education and to support the administration's 2020 college completion goal. Three competitive preference priorities (CPP) were used in the competition:

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

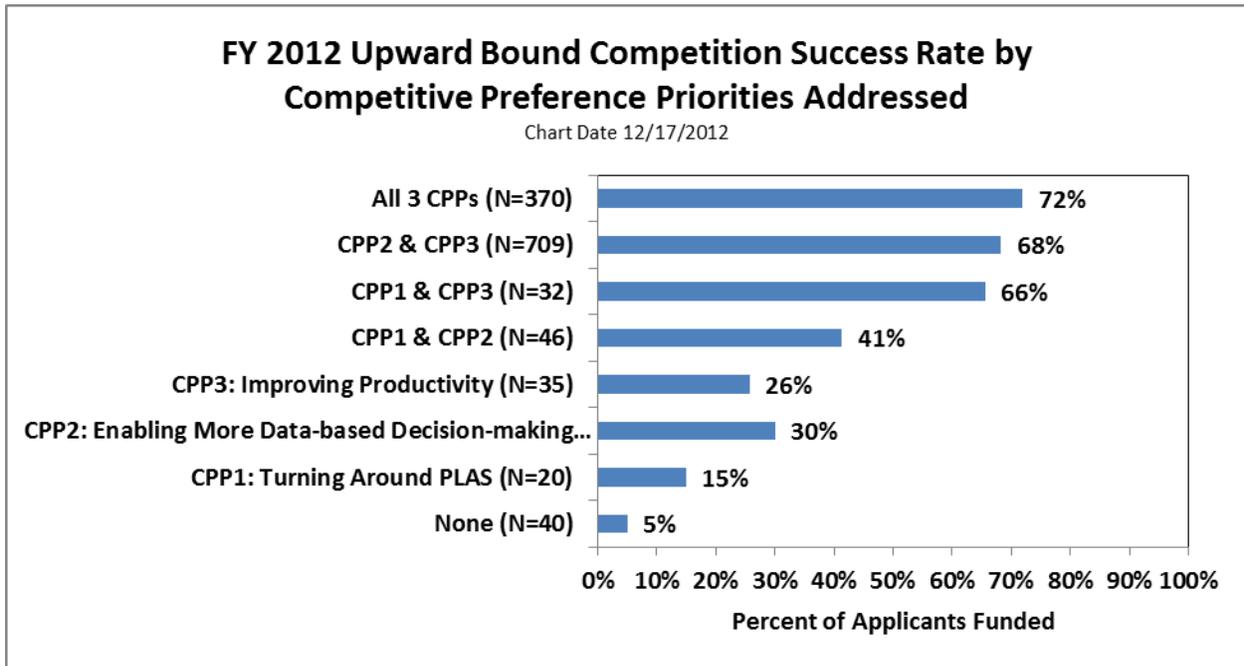
These CPPs were valued at five points each. Not all states and districts have PLA schools so we capped the maximum CPP total that could be awarded to an applicant at 10 points. This meant that applicants that had PLA schools could not receive *more* points than those applicants which did not.

The bar chart below groups applicants by competitive preference priorities addressed and shows each group's relative success rate. Note that the success rates of applicants who chose

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<sup>1</sup> Seven of the 826 projects funded using FY 2012 monies were continuation grants to five ongoing projects that were either unsuccessful in the FY 2012 competition (5 projects) or chose not to reapply in FY 2012 (2 projects).

to address only one competitive preference priority were much lower than the rates of those who addressed two or more competitive preference priorities.



## Fiscal Year 2012 Competition Issues

### Reopening of the Competition

A few days before the initial deadline for submission of applications, the Department learned that a Frequently Asked Questions (FAQs) document posted on the Department’s Web site was inaccurate. The FAQs provided a link to the Department’s Web page for the School Improvement Grants Program so that applicants could access a list of persistently lowest-achieving schools. This list, however, was outdated. The FAQs also incorrectly stated that schools listed as “Tier III” on the list would be considered persistently lowest-achieving schools.

This incorrect information affected those who both submitted applications by the initial deadline date of February 1, 2012 and addressed Competitive Preference Priority 1 – Turning Around Persistently Lowest Achieving Schools. Those who were affected were contacted and allowed to revise and resubmit their applications by March 16, 2012.

### Impact of the Funding Formulas on Eligibility

During the initial prescreening process, two issues surfaced regarding applicant eligibility based on the total amount of funds requested– one pertaining to new applicants and one pertaining to existing grantees.

We identified six (6) applications from new applicants that had requested more than the maximum award of \$250,000 to serve 60 participants. In response to this issue, the Department determined that new applicants that requested more than the maximum award amount would not be considered for funding because they had exceeded a maximum grant size that was a clearly stated and uniform amount.

We also discovered that approximately 60 existing grantees: (1) requested funding amounts that exceeded 105 percent of their prior grant, the maximum award amount for existing grantees outlined in the Notice Inviting Application (Notice); and/or (2) made a calculation error and proposed to serve 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.

We determined that the amount recommended for funding for the existing grantees in this group of sixty should be determined by a recalculation of the per participant cost based on the appropriate funding formula, in the event that the applicant were to be successful in the competition. This approach had a minimal effect on the budgets for these grantees while maintaining the integrity of the three-tiered funding strategy.

## **Fiscal Year 2012 Awards Facts**

The Department received 1,811 applications in FY 2012, of which 1,302 were deemed eligible and were reviewed. Eight hundred and nineteen of the 1,302 applications were successful. These 819 successful applications will serve 62,034 participants.

The FY 2012 funding was dispersed across three slates as follows:

819 successful applications:

- 773 new awards for \$248,059,590. Seventy-three of these were to “new” grantees -- applications not awarded a grant in the FY 07 UB competition; and
- 46 continuation grants that were awarded to grantees whose current projects did not end in FY 2012.

Seven current grantees received continuation funding:

- five continuation grants to unsuccessful current grantees, and
- two continuation grants to current grantees that did not reapply.

In timing the competition for FY 2012, the Department recognized that 252 applications were from existing grantees that had projects scheduled to start on June 1, 2012. Within this subgroup of applicants, 188 were successful and 64 were unsuccessful.

### **Status of Existing Upward Bound grantees**

Of 951 Upward Bound grants funded under the 2007 competition:

- 746 were successful in the FY 2012 competition (78 percent)
- 205 will not be continuing (22 percent)
  - 166 were unsuccessful in the FY 2012 competition
  - 16 submitted ineligible applications to the FY 2012 competition
  - 23 did not reapply

## Appendices

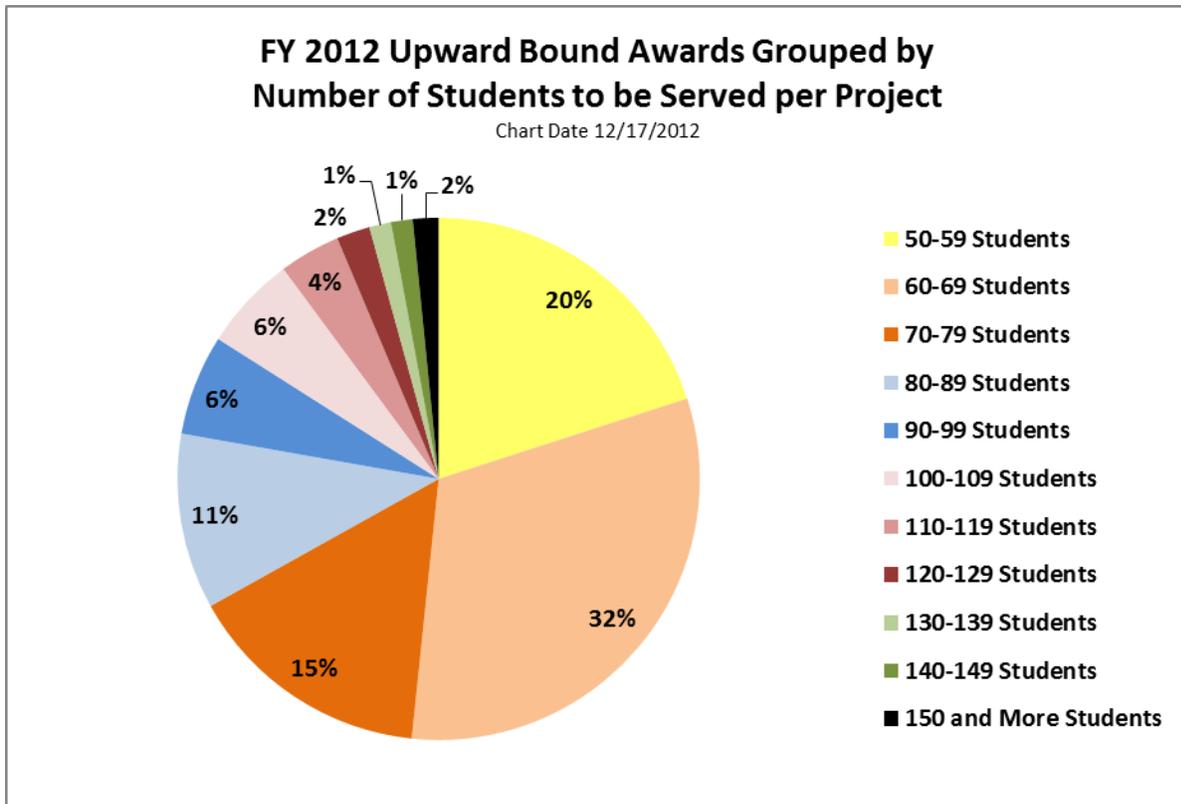
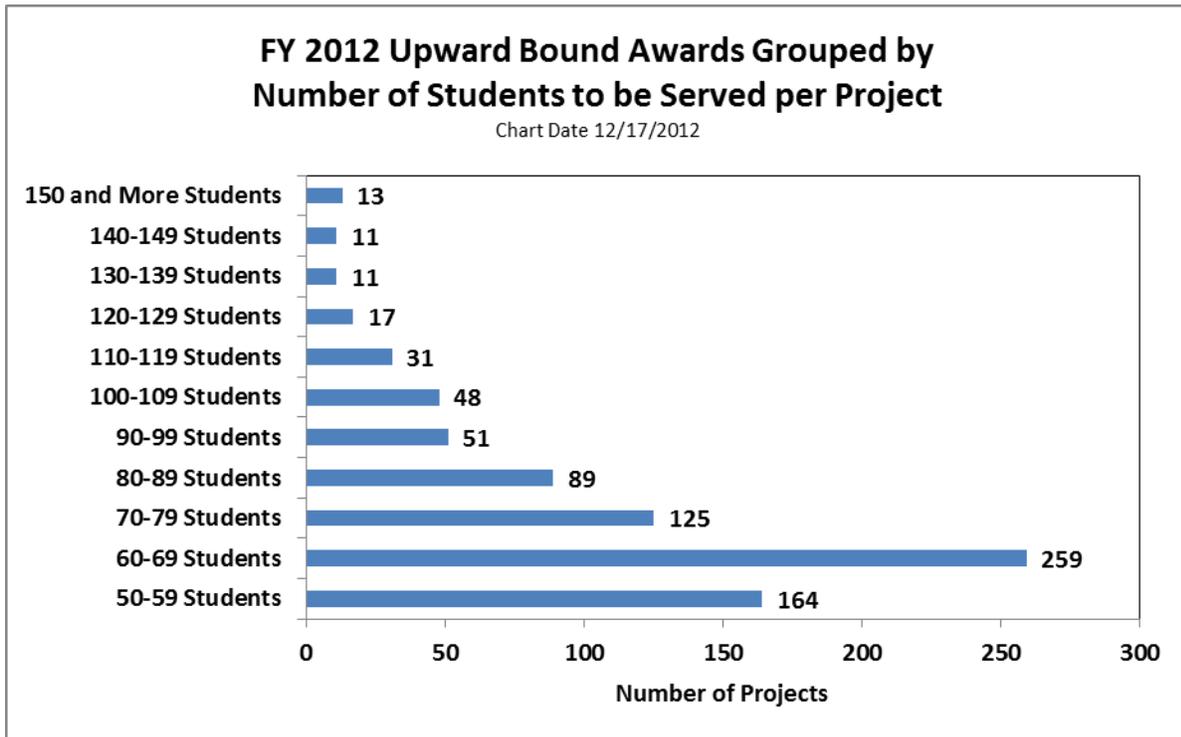
## Applicant Institution Profile

FY 2012 Upward Bound Competition Applicant Institution Profile		
	Funded	Not Funded
Public 4 Year Institutions	71%	29%
Private 4 Year Institutions	64%	36%
Private For-Profit 4 Year Institutions	0%	100%
Public 2 Year Institutions	68%	32%
Private 2 Year Institutions	100%	0%
Secondary School	14%	87%
Non-Profit Agencies	43%	57%
Other	20%	80%
<b>Not an MSI</b>		
Not an MSI	61%	39%
AANAPISI	69%	31%
AANAPISI Agencies	75%	25%
AANAPISI & ANNH	71%	29%
ANNH	0%	100%
AANAPISI & HSI	77%	23%
HSI	69%	31%
HSI Agency	71%	29%
HBCU	67%	33%
Tribal Colleges and Universities	20%	80%
Tribal Agencies	33%	67%
<b>Urban<sup>2</sup></b>		
Urban <sup>2</sup>	71%	29%
<b>Rural</b>		
Rural	62%	38%
<b>City - Large<sup>3</sup></b>		
City - Large <sup>3</sup>	73%	27%
City - Midsize	71%	29%
City - Small	69%	31%
Suburb - Large	66%	34%
Suburb - Midsize	79%	21%
Suburb - Small	75%	25%
Town - Fringe	85%	15%
Town - Distant	71%	29%
Town - Remote	67%	33%
Rural - Fringe	62%	38%
Rural - Distant	56%	44%
Rural - Remote	30%	70%

<sup>2</sup> The urban/rural calculations were done for IHEs only, using IPEDS data.

<sup>3</sup> City size calculations were done for IHEs only, using IPEDS data.

## Students Served per Project



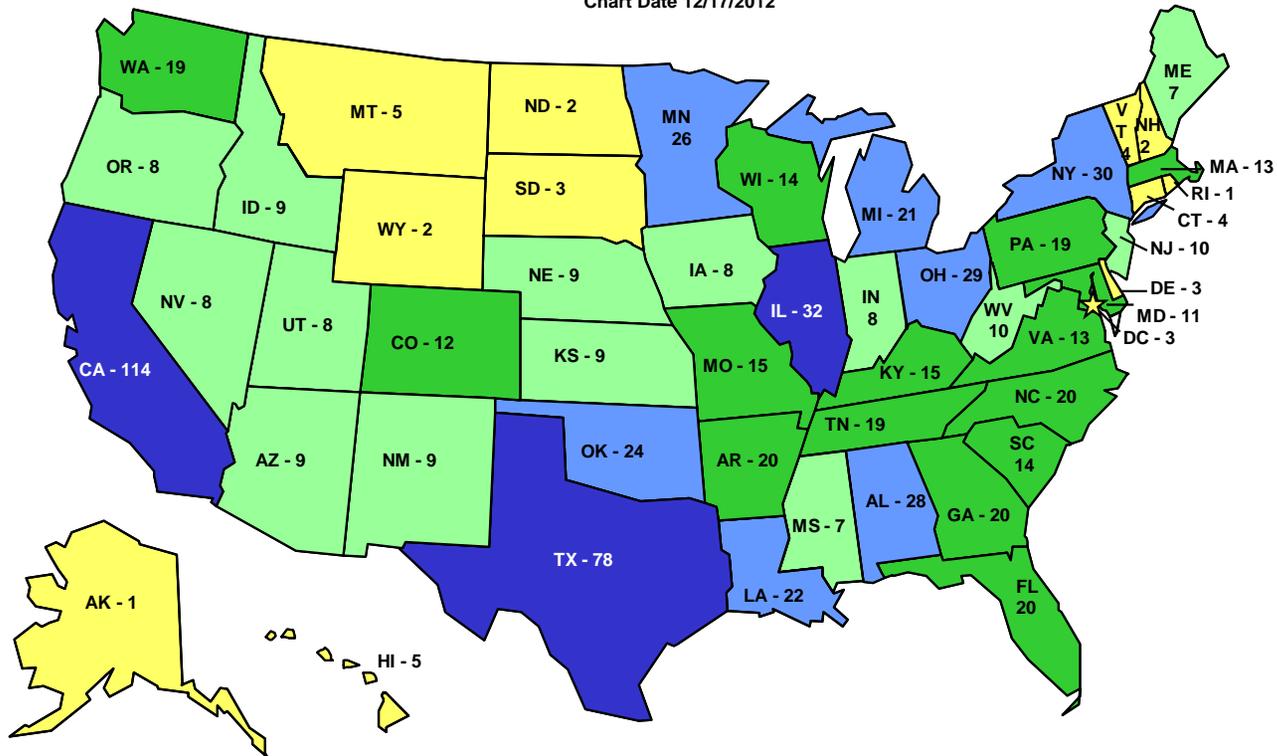
## State Breakdown

<b>State</b>	<b>Number of Projects</b>	<b>Number of Students to be Served</b>
Alaska	1	160
Alabama	28	2,168
Arkansas	20	1,469
Arizona	9	674
California	114	8,516
Colorado	12	928
Connecticut	4	263
D.C.	3	253
Delaware	3	213
Florida	20	1,481
Georgia	20	1,601
Hawaii	5	308
Iowa	8	615
Idaho	9	620
Illinois	32	2,415
Indiana	8	624
Kansas	9	588
Kentucky	15	1,158
Louisiana	22	1,650
Massachusetts	13	998
Maryland	11	865
Maine	7	502
Michigan	21	1,885
Minnesota	26	1,922
Missouri	15	949
Mississippi	7	676
Montana	5	373
North Carolina	20	1,480

<b>State</b>	<b>Number of Projects</b>	<b>Number of Students to be Served</b>
North Dakota	2	138
Nebraska	9	566
New Hampshire	2	208
New Jersey	10	802
New Mexico	9	630
Nevada	8	503
New York	30	2,492
Ohio	29	2,213
Oklahoma	24	1,713
Oregon	8	523
Pennsylvania	19	1,627
Rhode Island	1	150
South Carolina	14	1,208
South Dakota	3	211
Tennessee	19	1,344
Texas	78	5,540
Utah	8	694
Virginia	13	927
Vermont	4	303
Washington	19	1,417
Wisconsin	14	1,110
West Virginia	10	772
Wyoming	2	179
Puerto Rico	13	1,067
Federated States of Micronesia	2	133
Guam	1	100
Palau	1	110
<b>Total</b>	<b>819</b>	<b>62,034</b>

## Grant Recipients by State

2012 Upward Bound Awards  
 819 Successful Applicants Serving a Total of  
 62,034 Students  
 Chart Date 12/17/2012



**Others Not on the Map**  
 Puerto Rico – 13    Guam - 1  
 Federated States  
 of Micronesia – 2    Palau - 1

