

**U.S. Department of Education  
OFFICE OF POSTSECONDARY EDUCATION  
Washington, DC 20202**

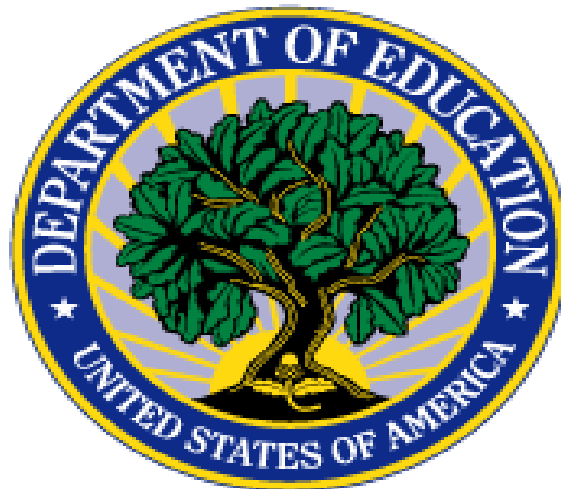
[www.ed.gov/about/offices/list/ope/trio/index.html](http://www.ed.gov/about/offices/list/ope/trio/index.html)

**FY 2017  
APPLICATION FOR GRANTS  
UNDER THE  
UPWARD BOUND PROGRAM**

**CFDA NUMBER: 84.047A**

FORM APPROVED

OMB No. 1840-0550, **Expiration Date:**



**DATED MATERIAL – OPEN IMMEDIATELY**

**CLOSING DATE:**

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**UNITED STATES DEPARTMENT OF EDUCATION**  
**OFFICE OF POSTSECONDARY EDUCATION**

Date:

Dear Applicant:

Thank you for your interest in applying for a grant under the Upward Bound (UB) Program. We are pleased to provide the application package for the fiscal year (FY) 2017 grant competition. Included in this application package are information and instructions needed to submit a complete application package to the U.S. Department of Education (Department) through Grants.gov.

The goal of the UB Program is to support 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.

This letter highlights a few items in the application package that are important for prospective applicants. The “Competition Highlights” section notes some of the requirements for applying for a grant under the FY 2017 UB competition. You should review the entire application package carefully before preparing and submitting your application. Information on the UB Program is also accessible on the Department’s website at:

<http://www2.ed.gov/programs/trioupbound/index.html>

In the FY 2017 competition, there is a competitive preference priority and an invitational priority. Competitive Preference Priority: Moderate Evidence of Effectiveness. The Secretary gives priority to projects supported by evidence of effectiveness that meets the conditions set out in the definition of “moderate evidence of effectiveness.” Invitational Priority: The Secretary encourages applicants to propose projects designed to increase opportunities for participants to earn postsecondary credits in high school, such as through providing connections to dual enrollment programs.

Applications must be submitted electronically using the Grants.gov system. An applicant unable to submit an application through the Grants.gov system must submit a written request for a waiver of the electronic submission requirement at least two weeks before the deadline date. Additional information about Grants.gov submission requirements can be found in the Notice

Inviting Applications for New Awards (Notice), published in the Federal Register. Grants.gov is accessible through its portal page at <http://www.Grants.gov>.

It is essential that your application includes a strong evaluation plan. The evaluation plan should shape the development of the project from the beginning of the grant period and provide benchmarks for the monitoring of progress, and measurement of that progress, throughout the grant award period. We encourage you to pay close attention to the information provided in the Instructions for the Application Narrative section of this application regarding the development of your evaluation activities.

The document published in the Federal Register is the official document. You should not rely upon any information that is inconsistent with the guidance contained within the official document.

Thank you for your interest in the Upward Bound Program. We look forward to receiving your application.

Sincerely,

Linda Byrd-Johnson, Ph.D.  
Acting Deputy Assistant Secretary  
for Higher Education Programs

## COMPETITION HIGHLIGHTS

1. **Upward Bound (UB) Program applications for FY 2017 must be submitted electronically using Grants.gov.** You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at: <http://www.Grants.gov>. The requirements for obtaining an exception to the electronic submission requirement are included in the Notice for FY 2017. If you think you may need an exception, you are urged to review the requirements promptly.
2. It is important to know that the Grants.gov site works differently than the Department's e-Application system, used in past competitions. Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.
3. Please note that you must submit your application by 4:30:00 p.m. (Washington, D.C. time) on or before the application deadline date. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.
4. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Federal Register Notice for FY 2017 and qualify for one of the exceptions to the electronic submission requirement.
5. Applicants are required to adhere to the page limit specified in the Application Narrative Instructions portion of the application. The Notice contains the specific information governing page limits and formatting instructions. **The total page limit for the application narrative portion of the application for the FY 2017 UB Program competition is 65 pages.** However, any application addressing the competitive preference priority may include up to four additional pages, and any application addressing the invitational priority may include up to two additional pages. The additional pages allotted to address priorities cannot be used for or transferred to the application narrative or any other section of the application. **Applicants addressing the competitive preference priority and/or the invitational priority should include them in a separate section for the application submission and discuss how the application meets the competitive preference priority and/or the invitational priority.**
6. All attachments must be in .PDF format. Other types of files will not be accepted. Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. It is important to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the

application. (This is different from e-Application, where you may have previously worked online and saved data to the Department’s database). You must provide the DUNS number that was used when your organization registered with the System for Award Management (SAM), formerly the Central Contractor Registry (CCR).

**For Grants.gov-related questions and assistance, please contact:**

Support Desk e-Mail: support@Grants.gov  
Support Desk Telephone: (800) 518-4726  
Contact Telephone Hours: 24 hours, 7 days a week,  
except Federal holidays  
Online Web Site: <http://www.Grants.gov>

Also, refer to the “Submission Procedures and Tips for Applicants” section found in this application booklet.

You are reminded that the Notice published in the Federal Register is the official document, and that you should not rely upon any information that is inconsistent with the guidelines contained within the official document.

7. As you develop your application, we ask you to carefully consider the specific content that you will provide in the Objectives section of the application. This part of the application should address the appropriate standardized objectives related to academic performance as measured by grade point average, academic performance as measured by standardized tests, secondary school retention and graduation, secondary school graduation with a rigorous secondary school program of study, postsecondary enrollment, and postsecondary completion, as stated on the UB Program Profile Sheet.
8. In the Application Narrative, you must address each of the appropriate objectives, and explain how the objective is ambitious and attainable. Applicants should use comparative data to show why the proposed percentages are ambitious based on information provided in the Need section of the Application Narrative and attainable based on the information provided in the Plan of Operation and the resources available to the project. **Applicants may not modify, amend or delete any of these objectives.**
9. Consistent with the Higher Education Act of 1965, as amended (HEA), applicants may submit multiple UB Program applications to serve different target areas or target schools.
10. In the FY 2017 competition, the Department has established one competitive preference priority and one invitational priority.

Competitive Preference Priority: Moderate Evidence of Effectiveness. The Secretary gives priority to projects supported by evidence of effectiveness that meets the conditions set out in the definition of “moderate evidence of effectiveness.”

Invitational Priority: The Secretary encourages applicants to propose projects designed to increase opportunities for participants to earn postsecondary credits in high school, such as through providing connections to dual enrollment programs.

Applicants must address the competitive preference priority in a separate section of the application submission to receive an additional 3 points. Points are awarded based on the extent to which the application contains substantive information regarding the priority. As stated earlier, applicants may include up to four additional pages to address the priority. These additional pages cannot be used for or transferred to the application narrative.

If the invitational priority is also addressed, this must also be submitted in a separate section.

11. All applicants must complete the UB Program Profile Form. The UB Program Profile Form contains six standardized objectives. All applicants are required to propose the percentage or number—as indicated on the form—at which each of these objectives will be met. Applicants may not modify, amend or delete any of these objectives. Instructions for submitting the form are included in the Instructions for Completing the Application Package.
12. All applicants must provide a one-page abstract. Complete instructions for submitting the abstract are included in the Instructions for Completing the Application Package in this application. The abstract must be uploaded into the [ED Abstract Form](#) in Grants.gov.
13. Information on the UB Program is accessible at the Department’s website at:

<http://www2.ed.gov/programs/trioupbound/index.html>.

## **OVERVIEW**

### **UPWARD BOUND PROGRAM**

#### **Authorization**

Title IV, Part A, Subpart 2, Section 402C of the Higher Education Act of 1965, as amended (HEA) by the Higher Education Opportunity Act of 2008 (HEOA)

#### **Program Regulations**

34 CFR part 645 Upward Bound Program

#### **What is the Upward Bound Program?**

The Upward Bound (UB) Program: the Secretary shall carry out a program to be known as Upward Bound which shall be designed:

- (1) 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
- (2) To provide Federal grants for the following three types of projects:
  - a. Regular Upward Bound projects.
  - b. Upward Bound Math and Science (UBMS) Centers.
  - c. Veterans Upward Bound projects.

#### **Who is eligible to receive a grant?**

The following are eligible to apply for a grant to carry out an UB Program project:

- (a) Institutions of higher education
- (b) Public or private agencies or organizations, including community-based organizations with experience in serving disadvantaged youth
- (c) Secondary schools
- (d) Combinations of institutions, agencies, and organizations, and secondary schools

#### **What activities and services does a project provide?**

##### *Required Services-*

Any project assisted under this section must provide--

- (1) Academic tutoring
- (2) Advice and assistance in secondary and postsecondary course selection
- (3) Preparation for college entrance exams
- (4) Information on federal student financial aid programs:
  - a. Federal Pell grant awards
  - b. Loan forgiveness
  - c. Scholarships
- (5) Assistance completing financial aid applications:
  - a. Federal Student Aid
- (6) Guidance on and assistance in:



- a. Secondary school reentry
  - b. Alternative education programs for secondary school dropouts that lead to the receipt of a regular secondary school diploma
  - c. Entry into postsecondary education
- (7) Education or counseling services designed to improve the financial and economic literacy of students or the student's parent, including financial planning for postsecondary education
- (8). Any project that has received funds under this part for at least two years must include as part of its core curriculum, in the next and succeeding years, instruction in-
- a. Mathematics through Pre-Calculus
  - b. Laboratory Science
  - c. Foreign Language
  - d. Composition
  - e. Literature

*Permissible Services-*

Any project assisted under this section may provide--

- (1) Exposure to cultural events and academic programs
- (2) Information, activities, and instruction designed to acquaint participants with the range of career options available
- (3) On-campus residential programs
- (4) Mentoring programs
- (5) Work study
- (6) Programs and activities designed for participants who are limited English proficient or are traditionally underrepresented in postsecondary education, individuals with disabilities, participants who are homeless children and youths, participants who are aging out of foster care, or other disconnected participants

# IMPORTANT – PLEASE READ FIRST

## U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

### ATTENTION – Browser Support

Grants.gov is a Custom Java Application that uses standard web-browsers as the client. Grants.gov leverages the latest web technologies such as Ajax which relies extensively on JavaScript, HTML, and CSS. Grants.gov recommends you use the most up-to-date web browser possible for the best User Experience. If you are unsure about which version of the browser you are using, please check the following places:

- **Microsoft IE** – the *About Internet Explorer* setting under Help on your toolbar
- **Firefox** – the *About Firefox* setting under Help on your toolbar
- **Chrome**- the *About Google Chrome* setting under the *Customize and Control Google Chrome* option (located on the far right ☰) in your toolbar options for your browsers.

The table below lists supported Web Browsers:

Web Browser	Support	Comments
Microsoft IE 9/10/11	Supported	
Mozilla Firefox	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Google Chrome	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.
Apple Safari	Supported	Versions change frequently; we recommend you have the latest version. Legacy versions are functional but may experience some issues. It is recommended to upgrade to the latest version.

For additional information of updates, please see the Grants.gov Browser Support Page.  
<http://www.grants.gov/web/grants/support/technical-support/software/browser-support.html>

## **ATTENTION – Adobe Forms and PDF Files Required**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 10.1.14). (Please note that in early 2013, Grants.gov discovered an issue with the newest version of Adobe Reader XI but it was subsequently resolved.) Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov at this link: [compatibility table](#). We strongly recommend that you review these details on [www.Grants.gov](#) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .PDF format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: <http://www.grants.gov/web/grants/register.html> [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR).)]

Primary information about SAM is available at [www.sam.gov](http://www.sam.gov). However, to further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account the Department of Education has prepared a SAM.gov Tip Sheet which you can find at: <http://www2.ed.gov/fund/grant/apply/sam-faqs.html>

- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR -Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives

your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/web/grants/applicants/grant-application-process/application-statuses.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/encountering-error-messages.html>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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### Submission Problems – What should you do?

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If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/web/grants/about/contact-us.html>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

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### Helpful Hints When Working with Grants.gov

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Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to <http://www.grants.gov/web/grants/about/contact-us.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov <http://www.grants.gov/web/grants/support/general-support/faqs.html>.

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### Dial-Up Internet Connections

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When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following**

**the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

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#### MAC Users

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For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: <http://www.grants.gov/web/grants/support/technical-support/recommended-software.html>. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-Windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

#### Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

2/2015

## APPLICATION TRANSMITTAL INSTRUCTIONS

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register Notice announcing the grant competition.

**This program requires the electronic submission of applications; specific requirements and waiver instructions can be found in the Federal Register Notice.**

According to the instructions found in the Federal Register Notice, those requesting and qualifying for an exception to the electronic submission requirement may submit an application by mail, commercial carrier or by hand delivery.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

### **Applications Submitted Electronically:**

**You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30:00 p.m. (Washington, D.C. time) on or before the deadline date.**

If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgement when we receive your application.

For more information on using Grants.gov, please refer to the “Notice Inviting Applications” that was published in the Federal Register or visit <http://www.grants.gov>.

### **Submission of Paper Applications by Mail:**

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.047A  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260**

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do **not** accept either of the following as proof of mailing:

1. A private metered postmark.
2. A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Special Note: Due to potential disruption to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U.S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Delivered by Mail,” and then follow the instructions for “Applications Delivered by Hand.”

### **Submission of Paper Applications by Hand Delivery:**

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.047A  
550 12th Street, SW.  
Room 7039, Potomac Center Plaza  
Washington, DC 20202-4260**

**Note for Mail or Hand Delivery of Paper Applications:** If you mail or hand deliver your application to the Department—

1. You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
2. The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

### **Application Control Center Hours of Operation**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time) except Saturdays, Sundays, and Federal holidays.

## **Late Applications**

If your application is late, we will notify you that we will not consider the application.



## NOTICE INVITING APPLICATIONS FOR NEW AWARDS

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Upward Bound Program

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

Overview Information:

Upward Bound Program

Notice inviting applications for new awards for fiscal year (FY) 2017.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.047A.

Dates:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE \_\_\_ DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE \_\_\_ DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Upward Bound (UB) Program is one of the seven programs known as the Federal TRIO Programs. The UB Program is a discretionary grant program that supports projects designed to provide students with the skills and motivation necessary to complete a program of secondary education and to enter into and succeed in a program of postsecondary education. There are three types of grants under the UB Program: UB; Veterans UB; and UB Math and Science grants. In this notice we invite applications for UB grants only. We will invite applications for Veterans UB grants and UB Math and Science grants in forthcoming notices. Required services under the UB Program are specified in sections 402C(b) and (c) of the Higher Education Act of 1965, as amended (HEA) (20 U.S.C. 1070a-13), and permissible services under the UB Program are specified in section 402C(d) of the HEA.

Background:

The Federal TRIO programs, including the UB Program, represent a national commitment to education for all students regardless of race, ethnic background, disability status, or economic circumstances. The Department has a strong interest in ensuring that groups traditionally underrepresented in postsecondary education, such as low-income students, first-generation college students, students with limited English proficiency, students with disabilities, homeless students,

students who are in foster care or aging out of foster care, and other disconnected students, receive services provided by the UB Program.

The Department views the UB Program as a critical component of its efforts to improve college access and completion for students who have been traditionally underrepresented in postsecondary education by focusing on improving college readiness. To more strategically align UB grants with broader reform strategies intended to improve postsecondary access and completion, this notice includes a competitive preference priority that encourages applicants to propose activities that are supported by moderate evidence of effectiveness (as defined in this notice). The Department is particularly interested in receiving applications that include plans to provide services for students, supported by evidence, that increase the likelihood that students will complete high school and enroll in and complete a program of postsecondary education. The Department is not specifying a particular service such as tutoring or mentoring that must be tied to evidence, but is providing an opportunity for the applicant to decide which statutorily authorized service the project will implement based on available evidence of effectiveness.

Additionally, this notice includes an invitational priority encouraging applicants to focus on increasing opportunities for

students to accumulate postsecondary credits while in high school. Some of these opportunities for postsecondary coursework may be available through dual enrollment programs. Dual enrollment programs allow high school students to enroll in credit-bearing college courses while enrolled in high school. In various forms and under different names, dual enrollment programs exist in all 50 States.<sup>1</sup>

Recent research<sup>2</sup> suggests that participation in dual enrollment programs can lead to improved academic outcomes, especially for students from low-income households and first generation college students. Such participation can lead to better grades in high school, increased enrollment in college following high school, greater college credit accumulation, and higher rates of persistence in college.

Priorities: This notice contains one competitive preference priority and one invitational priority. In accordance with 34 CFR 75.105(b)(2)(ii), the competitive preference priority is from 34 CFR 75.226. Applicants must include in the one-page abstract submitted with the application a statement indicating if they addressed the competitive preference priority and/or the invitational priority.

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<sup>1</sup> Education Commission of the States, "Individual State Profile," <http://ecs.force.com/mbdata/mbprofallRT?Rep=DE15A>.

<sup>2</sup> An, B. P. (2012). "The Impact of Dual Enrollment on College Degree Attainment: Do Low-SES Students Benefit?" Educational Evaluation and Policy Analysis, 35, 57-75.

Competitive Preference Priority: For FY 2017 and any subsequent year in which we make awards from the list of unfunded applications from this competition, this priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(i), we award three additional points to an application that meets this priority.

This priority is:

Moderate Evidence of Effectiveness (3 points).

Applications supported by evidence of effectiveness that meets the conditions set out in the definition of “moderate evidence of effectiveness” in 34 CFR 77.1(c).

Invitational Priority: For FY 2017 and any subsequent year in which we make awards from the list of unfunded applications for this competition, this priority is an invitational priority. Under 34 CFR 75.105(c)(1), we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

The Secretary encourages applicants to propose projects designed to increase opportunities for participants to earn postsecondary credits in high school, such as through providing connections to dual enrollment programs.

Definitions: These definitions are from 34 CFR 77.1.

Moderate evidence of effectiveness means one of the following conditions is met:

(i) There is at least one study of the effectiveness of the process, product, strategy, or practice being proposed that meets the WWC Evidence Standards without reservations, found a statistically significant favorable impact on a relevant outcome (with no statistically significant and overriding unfavorable impacts on that outcome for relevant populations in the study or in other studies of the intervention reviewed by and reported on by the WWC), and includes a sample that overlaps with the populations or settings proposed to receive the process, product, strategy, or practice.

(ii) There is at least one study of the effectiveness of the process, product, strategy, or practice being proposed that meets the WWC Evidence Standards with reservations, found a statistically significant favorable impact on a relevant outcome (with no statistically significant and overriding unfavorable impacts on that outcome for relevant populations in the study or in other studies of the intervention reviewed by and reported on by the WWC), includes a sample that overlaps with the populations or settings proposed to receive the process, product, strategy, or practice, and includes a large sample and a multi-site sample.

NOTE: Multiple studies can cumulatively meet the large and multi-site sample requirements as long as each study meets the other requirements in this paragraph.

Multi-site sample means more than one site, where site can be defined as a local education agency, locality, or State.

Relevant outcome means the student outcome(s) (or the ultimate outcome if not related to students) the proposed process, product, strategy, or practice is designed to improve; consistent with the specific goals of a program.

What Works Clearinghouse Evidence Standards means the standards set forth in the WWC Procedures and Standards Handbook (Version 3.0, March 2014), which can be found at the following link: <http://ies.ed.gov/ncee/wwc/DocumentSum.aspx?sid=19>.

Program Authority: 20 U.S.C. 1070a-11 and 1070a-13.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75 (except for 75.215 through 75.221), 77, 79, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations

of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 645.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$900,000,000 for the Federal TRIO Program for FY 2017, of which we intend to use an estimated \$273,000,000 for UB awards. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2018 from the list of unfunded applications from this competition.

Estimated Range of Awards: \$257,500 - \$768,622.

Estimated Average Size of Awards: \$335,890.

Maximum Award: We will reject any application that proposes a budget exceeding the applicable maximum amount listed here for a single budget period of 12 months. We will also reject any application for new applicants that proposes a budget to serve



fewer than 60 participants or, for applicants that are current grantees, any application with a proposed budget to serve fewer than the number of participants the applicant was approved to serve in FY 2016.

- For an applicant that is not currently receiving a UB Program grant, the maximum award amount is \$257,500, based upon a per-participant cost of no more than \$4,292 and a minimum of 60 participants.
- For an applicant that is currently receiving a UB Program grant, the maximum award amount is an amount equal to the applicant's base award amount for FY 2016.

Estimated Number of Awards: 813.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: Institutions of higher education, public and private agencies, and organizations including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and secondary schools.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

3. Other: An applicant may submit more than one application for a UB Program grant so long as each application describes a project that serves a different target area or target school (34 CFR 645.20(a)). The Secretary is not designating any additional populations for which an applicant may submit a separate application under this competition (34 CFR 645.20(b)).

#### IV. Application and Submission Information

1. Address to Request Application Package: Ken Waters, U.S. Department of Education, 400 Maryland Avenue, SW., room 5E103 Washington, DC 20202. Telephone: (202) 453-6273 or by email: Ken.Waters@ed.gov.

If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission: Requirements concerning the content and form of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection

criteria that reviewers use to evaluate your application. You must limit the application narrative, which includes the budget narrative, to no more than 65 pages using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin.

- Each page on which there is text or graphics will be counted as one full page.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including charts, tables, figures, and graphs. Titles, headings, footnotes, quotations, references, and captions may be singled spaced.

- Use a font that is either 12 point or larger, or no smaller than 10 pitch (characters per inch).

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman and Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the Application for Federal Assistance Face Sheet (SF 424); Part II, the Budget Information Summary form (ED Form 524); Part III, the UB Program

Profile form; Part III, the one-page Project Abstract form; and Part IV, the Assurances and Certifications. The page limit also does not apply to a table of contents, which you should include in the application narrative. If you include any attachments or appendices, these items will be counted as part of Part III, the application narrative, for purpose of the page-limit requirement. You must include your complete response to the selection criteria in Part III, the application narrative.

Any application addressing the competitive preference priority may include up to four additional pages for the priority. These additional pages must be used to discuss how the application meets the competitive preference priority. Any application addressing the invitational priority may include up to two additional pages for the priority. These additional pages must be used to discuss how the application meets the invitational priority. The additional pages allotted to address the competitive preference priority and the invitational priority cannot be used for or transferred to the application narrative or any other section of the application.

We will reject your application if—

- You do not apply these standards; or
- You exceed the page limit.

3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE \_\_ DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Other Submission Requirements in section IV of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the program contact person listed under For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: [INSERT DATE \_\_ DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We specify unallowable costs in 34 CFR 645.41. We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and System for Award Management: To do business with the Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the System for Award Management (SAM) , the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application;  
and

d. Maintain an active SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet at the following Web site: <http://fedgov.dnb.com/webform>. A DUNS number can be created within one to two business days.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow two to five weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data you enter into the SAM database. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

Note: Once your SAM registration is active, it may be 24 to 48 hours before you can access the information in, and submit an application through, [Grants.gov](http://Grants.gov).

If you are currently registered with SAM, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you

will need to update your registration annually. This may take three or more business days.

Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, we have prepared a SAM.gov Tip Sheet, which you can find at: [www2.ed.gov/fund/grant/apply/sam-faqs.html](http://www2.ed.gov/fund/grant/apply/sam-faqs.html).

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html).

7. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the UB Program, CFDA number 84.047A, must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your



application. You may not email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the UB Program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.047, not 84.047A).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application

deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at [www.G5.gov](http://www.G5.gov). In addition, for specific guidance and procedures for submitting an application

through Grants.gov, please refer to the Grants.gov Web site at: [www.grants.gov/web/grants/applicants/apply-for-grants.html](http://www.grants.gov/web/grants/applicants/apply-for-grants.html).

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- You must upload any narrative sections and all other attachments to your application as files in a read-only, non-modifiable Portable Document Format (PDF). Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF (e.g., Word, Excel, WordPerfect, etc.) or submit a password-protected file, we will not review that material. Please note that this could result in your application not being considered for funding because the material in question--for example, the application narrative--is critical to a meaningful review of your proposal. For that reason it is important to allow yourself adequate time to upload

all material as PDF files. The Department will not convert material from other formats to PDF.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. This notification indicates receipt by Grants.gov only, not receipt by the Department. Grants.gov will also notify you automatically by email if your application met all the Grants.gov validation requirements or if there were any errors (such as submission of your application by someone other than a registered Authorized Organization Representative, or inclusion of an attachment with a file name that contains special characters). You will be given an opportunity to correct any errors and resubmit, but you must still meet the deadline for submission of applications.

Once your application is successfully validated by Grants.gov, the Department then will retrieve your application from Grants.gov and send you an email with a unique PR/Award number for your application.

These emails do not mean that your application is without any disqualifying errors. While your application may have been successfully validated by Grants.gov, it must also meet the Department's application requirements as specified in this notice

and in the application instructions. Disqualifying errors could include, for instance, failure to upload attachments in a read-only, non-modifiable PDF; failure to submit a required part of the application; or failure to meet applicant eligibility requirements. It is your responsibility to ensure that your submitted application has met all of the Department's requirements.

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, D.C. time, on the application deadline date, please contact the program contact person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that the problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. We will contact you after we determine whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through Grants.gov because--

- You do not have access to the Internet; or

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

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Gaby Watts, U.S. Department of Education, 400 Maryland Avenue, SW., room 5E119, Washington, DC 20202. Fax: (202)260-7464.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must

mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.047A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.



Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

We will not consider applications postmarked after the deadline date.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.047A)  
550 12th Street, SW.  
Room 7039, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number,

including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are in 34 CFR 645.31 and listed in the application package.

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal

assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

For this competition, a panel of non-Federal reviewers will review each application in accordance with the selection criteria in 34 CFR 645.31 and the competitive preference priority. The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the peer review score received in the review process. Additionally, in accordance with 34 CFR 645.32, the Secretary will award prior experience points to applicants that conducted a UB Program project during budget periods 2013-14, 2014-15, and 2015-16, based on their documented experience. Prior experience points, if any, will be added to the application's average reader score to determine the total score for each application.

If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographic areas and eligible populations that have been underserved by the UB Program.

3. Risk Assessment and Special Conditions: Consistent with 2 CFR 200.205, before awarding grants under this competition the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose special conditions and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has

a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently \$150,000), under 2 CFR 200.205(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through SAM. You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

Please note that, if the total value of your currently active grants, cooperative agreements, and procurement contracts from the Federal Government exceeds \$10,000,000, the reporting requirements in 2 CFR part 200, Appendix XII, require you to report certain integrity information to FAPIIS semiannually. Please review the requirements in 2 CFR part 200, Appendix XII,

if this grant plus all the other Federal funds you receive exceed \$10,000,000.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the

competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multiyear award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

(c) Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection analysis and reporting. In this case the Secretary establishes a data collection period.

4. Performance Measures: The success of the UB Program will be measured by the percentage of UB participants who enroll in and complete postsecondary education. The following performance measures have been developed to track progress toward achieving program success:

1. The percentage of UB students who took two years of mathematics beyond Algebra I by the 12th grade;

2. The percentage of UB students who graduated from secondary school with a regular secondary school diploma;

3. The percentage of UB students who enrolled in postsecondary education;

4. The percentage of UB students who enrolled in a program of postsecondary education by the fall term following graduation from high school and who in the first year of postsecondary education placed into college-level math and English without need for remediation;

5. The percentage of former UB students who enrolled in a program of postsecondary education and graduated on time--within four years for the bachelor's degree and within two years for the associate's degree;

6. The percentage of UB participants who enrolled in a program of postsecondary education and attained either an associate's degree within three years or a bachelor's degree within six years of enrollment;

7. The percentage of UB students expected to graduate high school in the reporting year who complete a Free Application for Federal Student Aid (FAFSA); and

8. The cost per successful participant.

Grant recipients must collect and report data on steps they have taken toward achieving these goals. Accordingly, we request that applicants include these performance measures in conceptualizing the design, implementation, and evaluation of their proposed projects.

5. Continuation Awards: In making a continuation award under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established performance management requirements, the performance targets in the grantee's approved application.

In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Agency Contact

For Further Information Contact: Ken Waters, U.S. Department of Education, 400 Maryland Avenue, SW., room 5E103, Washington, DC 20202. Telephone: (202) 453-6273 or by email: Ken.Waters@ed.gov.

If you use a TDD or a TTY, call the FRS, toll free, at 1-800-877-8339.

#### VIII. Other Information



Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer disc) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or PDF. To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: [www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced feature at this site, you can limit your search to documents published by the Department.

Dated:

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Lynn B. Mahaffie,  
Deputy Assistant Secretary for Policy, Planning  
and Innovation,

Delegated the Duties of the Assistant Secretary  
for Postsecondary Education.

## AUTHORIZING LEGISLATION

The Upward Bound Program is authorized by the Higher Education Act (HEA) of 1965, as amended by the Higher Education Opportunity Act (HEOA) of 2008. The HEOA's amendments to the HEA may be found at the Department's website at the following address:

**<http://www2.ed.gov/policy/highered/leg/hea08/index.html>**.

Please note that the official compilation of Federal law is the United States Code which is available from the Government Publishing Office.

## **UPWARD BOUND PROGRAM REGULATIONS**

On October 26, 2010, the final regulations amending the Upward Bound Program regulations were published in the Federal Register. These final regulations, which include the Department's responses to the public's comments on the proposed regulations, may be accessed under the UB webpage—Laws, Regulations, and Guidance at the following address:

**<http://www2.ed.gov/programs/trioupbound/index.html>.**

The final UB Program regulations are provided below:

### **TITLE 34—EDUCATION**

#### **CHAPTER VI—OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION**

#### ***PART 645—UPWARD BOUND PROGRAM***

##### **Subpart A—General**

- § 645.1 What is the Upward Bound Program?
- § 645.2 Who is eligible for a grant?
- § 645.3 Who is eligible to participate in an Upward Bound project?
- § 645.4 What are the grantee requirements for documenting the low-income and first-generation status of participants?
- § 645.5 What regulations apply?
- § 645.6 What definitions apply to the Upward Bound Program?

##### **Subpart B—What Kinds of Projects and Services Does the Secretary Assist Under This Program?**

- § 645.10 What kinds of projects are supported under the Upward Bound Program?
- § 645.11 What services do all Upward Bound projects provide?
- § 645.12 What services may regular Upward Bound projects provide?
- § 645.13 How are regular Upward Bound projects organized?
- § 645.14 What additional services do Upward Bound Math Science Centers provide and how are they organized?
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##### **Subpart C—How Does One Apply for An Award?**

- § 645.20 How many applications for an Upward Bound award may an eligible applicant submit?
- § 645.21 What assurances must an applicant include in an application?

## **Subpart D—How Does the Secretary Make a Grant?**

- § 645.30 How does the Secretary decide which grants to make?
- § 645.31 What selection criteria does the Secretary use?
- § 645.32 How does the Secretary evaluate prior experience?
- § 645.33 How does the Secretary set the amount of a grant?
- § 645.34 How long is a project period?
- § 645.35 What is the review process for unsuccessful applicants?

## **Subpart E—What Conditions Must Be Met by a Grantee?**

- § 645.40 What are allowable costs?
- § 645.41 What are unallowable costs?
- § 645.42 What are Upward Bound stipends?
- § 645.43 What other requirements must a grantee meet?

**Authority:** 20 U.S.C. 1070a–11 and 1070a–13, unless otherwise noted.

**Source:** 60 FR 4748, Jan. 24, 1995, unless otherwise noted.

### ***Subpart A—General***

#### ***§ 645.1 What is the Upward Bound Program?***

(a) The Upward Bound Program 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.

(b) The Upward Bound Program provides Federal grants for the following three types of projects:

- (1) Regular Upward Bound projects.
- (2) Upward Bound Math and Science Centers.
- (3) Veterans Upward Bound projects.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

#### ***§ 645.2 Who is eligible for a grant?***

The following entities are eligible to apply for a grant to carry out an Upward Bound project:

- (a) An institution of higher education.
- (b) A public or private agency or organization, including a community-based organization with experience in serving disadvantaged youth.

(c) A secondary school.

(d) A combination of the types of institutions, agencies, and organizations described in paragraphs (a), (b), and (c) of this section.

(Authority: 20 U.S.C 1070a–11 and 1070a–13)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65784, Oct. 26, 2010]

**§ 645.3 Who is eligible to participate in an Upward Bound project?**

An individual is eligible to participate in a Regular, Veterans, or a Math and Science Upward Bound project if the individual meets all of the following requirements:

(a)(1) Is a citizen or national of the United States.

(2) Is a permanent resident of the United States.

(3) Is in the United States for other than a temporary purpose and provides evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident.

(4) Is a permanent resident of Guam, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands.

(5) Is a resident of the Freely Associated States—the Federated States of Micronesia, the Republic of the Marshall Islands, or the Republic of Palau.

(b) Is—

(1) A potential first-generation college student;

(2) A low-income individual; or

(3) An individual who has a high risk for academic failure.

(c) Has a need for academic support, as determined by the grantee, in order to pursue successfully a program of education beyond high school.

(d) At the time of initial selection, has completed the eighth grade and is at least 13 years old but not older than 19, although the Secretary may waive the age requirement if the applicant demonstrates that the limitation would defeat the purposes of the Upward Bound program. However, a veteran as defined in §645.6, regardless of age, is eligible to participate in an Upward Bound project if he or she satisfies the eligibility requirements in paragraphs (a), (b), and (c) of this section.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65784, Oct. 26, 2010]

**§ 645.4 What are the grantee requirements for documenting the low-income and first-generation status of participants?**

(a) For purposes of documenting a participant's low-income status the following applies:

(1) In the case of a student who is not an independent student, an institution shall document that the student is a low-income individual by obtaining and maintaining—

(i) A signed statement from the student's parent or legal guardian regarding family income;

(ii) Verification of family income from another governmental source;

(iii) A signed financial aid application; or

(iv) A signed United States or Puerto Rican income tax return.

(2) In the case of a student who is an independent student, an institution shall document that the student is a low-income individual by obtaining and maintaining—

(i) A signed statement from the student regarding family income;

(ii) Verification of family income from another governmental source;

(iii) A signed financial aid application; or

(iv) A signed United States or Puerto Rican income tax return.

(b) For purposes of documenting potential first generation college student status, documentation consists of a signed statement from a dependent participant's parent, or a signed statement from an independent participant.

(c) A grantee does not have to revalidate a participant's eligibility after the participant's initial selection. (Authority: 20 U.S.C. 1070a–11)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65784, Oct. 26, 2010]

**§ 645.5 What regulations apply?**

The following regulations apply to the Upward Bound Program:

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75 (except for §§75.215 through 75.221), 77, 79, 80, 82, 84, 85, 86, 97, 98, and 99.

(b) The regulations in this part 645.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65784, Oct. 26, 2010]

**§ 645.6 What definitions apply to the Upward Bound Program?**

(a) *Definitions in EDGAR.* The following terms used in this part are defined in 34 CFR 77.1:

Applicant

Application

Award

Budget

Budget period

EDGAR

Equipment

Facilities

Grant

Grantee

Project

Project period

Secretary

State

Supplies

(b) *Other Definitions.* The following definitions also apply to this part:

*Different population* means a group of individuals that an eligible entity desires to serve through an application for a grant under the Upward Bound program and that—

(1) Is separate and distinct from any other population that the entity has applied for a grant to serve; or

(2) While sharing some of the same needs as another population that the eligible entity has applied for a grant to serve, has distinct needs for specialized services.



*Family taxable income* means—

- (1) With regard to a dependent student, the taxable income of the individual's parents;
- (2) With regard to a dependent student who is an orphan or ward of the court, no taxable income;
- (3) With regard to an independent student, the taxable income of the student and his or her spouse.

*Financial and economic literacy* means knowledge about personal financial decision-making, which may include but is not limited to knowledge about—

- (1) Personal and family budget planning;
- (2) Understanding credit building principles to meet long-term and short-term goals ( *e.g.*, loan to debt ratio, credit scoring, negative impacts on credit scores);
- (3) Cost planning for postsecondary or postbaccalaureate education ( *e.g.*, spending, saving, personal budgeting);
- (4) College cost of attendance ( *e.g.*, public vs. private, tuition vs. fees, personal costs);
- (5) Financial assistance ( *e.g.*, searches, application processes, and differences between private and government loans, assistanceships); and
- (6) Assistance in completing the Free Application for Federal Student Aid (FAFSA).

*Foster care youth* means youth who are in foster care or are aging out of the foster care system.

*HEA* means the Higher Education Act of 1965, as amended.

*Independent student* means a student who—

- (1) Is an orphan or ward of the court;
- (2) Is a veteran of the Armed Forces of the United States (as defined in this section);
- (3) Is a married individual; or
- (4) Has legal dependents other than a spouse.

*Homeless children and youth* means persons defined in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a).

*Individual who has a high risk for academic failure* (regular Upward Bound participant) means an individual who—

- (1) Has not achieved at the proficient level on State assessments in reading or language arts;

- (2) Has not achieved at the proficient level on State assessments in math;
- (3) Has not successfully completed pre-algebra or algebra by the beginning of the tenth grade; or
- (4) Has a grade point average of 2.5 or less (on a 4.0 scale) for the most recent school year for which grade point averages are available.

*Individual with a disability* means a person who has a disability, as that term is defined in section 12102 of the Americans with Disabilities Act (42 U.S.C. 12101 *et seq.* ).

*Institution of higher education* means an educational institution as defined in sections 101 and 102 of the HEA.

*Limited English proficiency* with reference to an individual, means an individual whose native language is other than English and who has sufficient difficulty speaking, reading, writing, or understanding the English language to deny that individual the opportunity to learn successfully in classrooms in which English is the language of instruction.

*Low-income individual* means an individual whose family taxable income did not exceed 150 percent of the poverty level amount in the calendar year preceding the year in which the individual initially participates in the project. The poverty level amount is determined by using criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce.

*Organization/Agency* means an entity that is legally authorized to operate programs such as Upward Bound in the State where it is located.

*Participant* means an individual who—

- (1) Is determined to be eligible to participate in the project under §645.3;
- (2) Resides in the target area, or is enrolled in a target school at the time of acceptance into the project; and
- (3) Has been determined by the project director to be committed to the project, as evidenced by being allowed to continue in the project for at least—
  - (i) Ten days in a summer component if the individual first enrolled in an Upward Bound project's summer component; or
  - (ii) Sixty days if the individual first enrolled in an Upward Bound project's academic year component.

*Potential first-generation college* student means—

- (1) An individual neither of whose natural or adoptive parents received a baccalaureate degree; or
- (2) A student who, prior to the age of 18, regularly resided with and received support from only one natural or adoptive parent and whose supporting parent did not receive a baccalaureate degree.

*Regular secondary school diploma* means a diploma attained by individuals who meet or exceed the coursework and performance standards for high school completion established by the individual's State.

*Rigorous secondary school program of study* means a program of study that is—

(1) Established by a State educational agency (SEA) or local educational agency (LEA) and recognized as a rigorous secondary school program of study by the Secretary through the process described in 34 CFR 691.16(a) through (c) for the Academic Competitiveness Grant (ACG) Program;

(2) An advanced or honors secondary school program established by States and in existence for the 2004–2005 school year or later school years;

(3) Any secondary school program in which a student successfully completes at a minimum the following courses:

(i) Four years of English.

(ii) Three years of mathematics, including algebra I and a higher-level class such as algebra II, geometry, or data analysis and statistics.

(iii) Three years of science, including one year each of at least two of the following courses: biology, chemistry, and physics.

(iv) Three years of social studies.

(v) One year of a language other than English;

(4) A secondary school program identified by a State-level partnership that is recognized by the State Scholars Initiative of the Western Interstate Commission for Higher Education (WICHE), Boulder, Colorado;

(5) Any secondary school program for a student who completes at least two courses from an International Baccalaureate Diploma Program sponsored by the International Baccalaureate Organization, Geneva, Switzerland, and receives a score of a 4 or higher on the examinations for at least two of those courses; or

(6) Any secondary school program for a student who completes at least two Advanced Placement courses and receives a score of 3 or higher on the College Board's Advanced Placement Program Exams for at least two of those courses.

*Secondary school* means a school that provides secondary education as determined under State law.

*Target area* means a discrete local or regional geographical area designated by the applicant as the area to be served by an Upward Bound project.

*Target school* means a school designated by the applicant as a focus of project services.

**§ 645.10 What kinds of projects are supported under the Upward Bound Program?**

The Secretary provides grants to the following three types of Upward Bound projects:

(a) Regular Upward Bound projects designed to prepare high school students for programs of postsecondary education.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

**§ 645.11 What services do all Upward Bound projects provide?**

(a) Any project assisted under this part must provide—

(1) Academic tutoring to enable students to complete secondary or postsecondary courses, which may include instruction in reading, writing, study skills, mathematics, science, and other subjects;

(2) Advice and assistance in secondary and postsecondary course selection;

(3) Assistance in preparing for college entrance examinations and completing college admission applications;

(4)(i) Information on the full range of Federal student financial aid programs and benefits (including Federal Pell Grant awards and loan forgiveness) and resources for locating public and private scholarships; and

(ii) Assistance in completing financial aid applications, including the Free Application for Federal Student Aid;

(5) Guidance on and assistance in—

(i) Secondary school reentry;

(ii) Alternative education programs for secondary school dropouts that lead to the receipt of a regular secondary school diploma;

(iii) Entry into general educational development (GED) programs; or

(iv) Entry into postsecondary education; and

(6) Education or counseling services designed to improve the financial and economic literacy of students or the students' parents, including financial planning for postsecondary education.

(b) Any project that has received funds under this part for at least two years must include as part of its core curriculum in the next and succeeding years, instruction in—

(1) Mathematics through pre-calculus;

- (2) Laboratory science;
- (3) Foreign language;
- (4) Composition; and
- (5) Literature.

(Authority: 20 U.S.C. 1070a–13)

[75 FR 65785, Oct. 26, 2010]

**§ 645.12 What services may regular Upward Bound and Upward Bound Math-Science projects provide?**

Any project assisted under this part may provide such services as—

- (a) Exposure to cultural events, academic programs, and other activities not usually available to disadvantaged youth;
- (b) Information, activities, and instruction designed to acquaint youth participating in the project with the range of career options available to the youth;
- (c) On-campus residential programs;
- (d) Mentoring programs involving elementary school or secondary school teachers or counselors, faculty members at institutions of higher education, students, or any combination of these persons;
- (e) Work-study positions where youth participating in the project are exposed to careers requiring a postsecondary degree;
- (f) Programs and activities as described in §645.11 that are specially designed for participants who are limited English proficient, participants from groups that are traditionally underrepresented in postsecondary education, participants who are individuals with disabilities, participants who are homeless children and youths, participants in or who are aging out of foster care, or other disconnected participants; and
- (g) Other activities designed to meet the purposes of the Upward Bound program in §645.1.

(Authority: 20 U.S.C. 1070a–13)

[75 FR 65785, Oct. 26, 2010]

**§ 645.13 How are regular Upward Bound projects organized?**

- (a) Regular Upward Bound projects—

(1) Must provide participants with a summer instructional component that is designed to simulate a college-going experience for participants, and an academic year component; and

(2) May provide a summer bridge component to those Upward Bound participants who have graduated from secondary school and intend to enroll in an institution of higher education in the following fall term. A summer bridge component provides participants with services and activities, including college courses, that aid in the transition from secondary education to postsecondary education.

(b) A summer instructional component shall—

(1) Be six weeks in length unless the grantee can demonstrate to the Secretary that a shorter period will not hinder the effectiveness of the project nor prevent the project from achieving its goals and objectives, and the Secretary approves that shorter period; and

(2) Provide participants with one or more of the services described in §645.11 at least five days per week.

(c)(1) Except as provided in paragraph (c)(2) of this section, an academic year component shall provide program participants with one or more of the services described in §645.11 on a weekly basis throughout the academic year and, to the extent possible, shall not prevent participants from fully participating in academic and nonacademic activities at the participants' secondary school.

(2) If an Upward Bound project's location or the project's staff are not readily accessible to participants because of distance or lack of transportation, the grantee may, with the Secretary's permission, provide project services to participants every two weeks during the academic year.

(Authority: 20 U.S.C. 1070a–13)

[60 FR 4748, Jan. 24, 1995. Redesignated at 75 FR 65785, Oct. 26, 2010]

**§ 645.14 What additional services do Upward Bound Math and Science Centers provide and how are they organized?**

(a) In addition to the services that must be provided under §645.11(a) and may be provided under §645.11(b), an Upward Bound Math and Science Center must provide—

(1) Intensive instruction in mathematics and science, including hands-on experience in laboratories, in computer facilities, and at field-sites;

(2) 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;

(3) Activities that will involve participants with graduate and undergraduate science and mathematics majors who may serve as tutors and counselors for participants; and

(4) A summer instructional component that is designed to simulate a college-going experience that is at least six weeks in length and includes daily coursework and other activities as described in this section as well as in §645.11.

(b) Math Science Upward Bound Centers may also include—

(1) A summer bridge component consisting of math and science related coursework for those participants who have completed high school and intend on enrolling in an institution of higher education in the following fall term; and

(2) An academic year component designed by the applicant to enhance achievement of project objectives in the most cost-effective way taking into account the distances involved in reaching participants in the project's target area.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

[60 FR 4748, Jan. 24, 1995. Redesignated at 75 FR 65785, Oct. 26, 2010]

#### ***§ 645.15 What additional services may Veterans Upward Bound projects provide?***

In addition to the services that must be provided under §645.11, a Veterans Upward Bound project must—

(a) Provide intensive basic skills development in those academic subjects required for successful completion of a high school equivalency program and for admission to postsecondary education programs;

(b) Provide short-term remedial or refresher courses for veterans who are high school graduates but who have delayed pursuing postsecondary education. If the grantee is an institution of higher education, these courses shall not duplicate courses otherwise available to veterans at the institution;

(c) Assist veterans in securing support services from other locally available resources such as the Veterans Administration, State veterans agencies, veterans associations, and other State and local agencies that serve veterans; and

(d) Provide special services, including mathematics and science preparation, to enable veterans to make the transition to postsecondary education.

[60 FR 4748, Jan. 24, 1995. Redesignated and amended at 75 FR 65785, 65786, Oct. 26, 2010]

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

#### ***Subpart C—How Does One Apply for An Award?***

#### ***§ 645.20 How many applications for an Upward Bound award may an eligible applicant submit?***

(a) An applicant may submit more than one application as long as each application describes a project that serves a different target area or target school, or another designated different population.

(b) For each grant competition, the Secretary designates, in the Federal Register notice inviting applications and other published application materials for the competition, the different populations for which an eligible entity may submit a separate application.

(Authority: 20 U.S.C. 1070a–13, 1221e–3)

[75 FR 65786, Oct. 26, 2010]

**§ 645.21 *What assurances must an applicant include in an application?***

(a) An applicant for a Regular Upward Bound award must assure the Secretary that—

(1) Not less than two-thirds of the project's participants will be low-income individuals who are potential first-generation college students;

(2) The remaining participants will be low-income individuals, potential first-generation college students, or individuals who have a high risk for academic failure;

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

(4) 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.

(b) An applicant for an Upward Bound Math and Science Centers award must assure the Secretary that—

(1) Not less than two-thirds of the project's participants will be low-income individuals who are potential first-generation college students;

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

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

(4) 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.

(c) An applicant for a Veterans Upward Bound award must assure the Secretary that—

(1) Not less than two-thirds of the project's participants will be low-income individuals who are potential first-generation college students;



(2) The remaining participants will be low-income individuals, potential first-generation college students, or veterans who have a high risk for academic failure; and

(3) The project will collaborate with other Federal TRIO projects or programs serving similar populations in the target area in order to minimize the duplication of services and promote collaborations so that more students can be served.

(Authority: 20 U.S.C. 1070a–13)

[75 FR 65786, Oct. 26, 2010]

***Subpart D—How Does the Secretary Make a Grant?***

***§ 645.30 How does the Secretary decide which grants to make?***

(a) The Secretary evaluates an application for a grant as follows:

(1)(i) The Secretary evaluates the application on the basis of the selection criteria in §645.31.

(ii) The maximum score for all the criteria in §645.31 is 100 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(2)(i) If an applicant for a new grant proposes to continue to serve substantially the same target population and schools that the applicant is serving under an expiring project, the Secretary evaluates the applicant's prior experience of high quality service delivery under the expiring Upward Bound project on the basis of the outcome criteria in §645.32

(ii) The maximum total score for all the criteria in §645.32 is 15 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(iii) The Secretary evaluates the PE of an applicant for each of the three project years that the Secretary designates in the Federal Register notice inviting applications and the other published application materials for the competition.

(iv) An applicant may earn up to 15 PE points for each of the designated project years for which annual performance report data are available.

(v) The final PE score is the average of the scores for the three project years assessed.

(b) The Secretary makes grants in rank order on the basis of the application's total scores under paragraphs (a)(1) and (a)(2) of this section.

(c) If the total scores of two or more applications are the same and there are insufficient funds for these applications after the approval of higher-ranked applications, the Secretary uses whatever remaining funds are available to serve geographic areas that have been underserved by the Upward Bound Program.

(d) The Secretary does not make a new grant to an applicant if the applicant's prior project involved the fraudulent use of program funds.

(Authority: 20 U.S.C. 1070a–11, 1070a–13)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65786, Oct. 26, 2010]

**§ 645.31 What selection criteria does the Secretary use?**

The Secretary uses the following criteria to evaluate an application for a grant:

(a) *Need for the project* (24 points). In determining need for an Upward Bound project, the Secretary reviews each type of project (Regular, Math and Science, or Veterans) using different need criteria. The criteria for each type of project contain the same maximum score of 24 points and read as follows:

(1) The Secretary evaluates the need for a Regular Upward Bound project in the proposed target area on the basis of information contained in the application which clearly demonstrates that—

(i) The income level of families in the target area is low;

(ii) The education attainment level of adults in the target area is low;

(iii) Target high school dropout rates are high;

(iv) College-going rates in target high schools are low;

(v) Student/counselor ratios in the target high schools are high; and

(vi) Unaddressed academic, social and economic conditions in the target area pose serious problems for low-income, potentially first-generation college students.

(2) The Secretary evaluates the need for an Upward Bound Math and Science Center in the proposed target area on the basis of—

(i) The extent to which student performance on standardized achievement and assessment tests in mathematics and science in the target area is lower than State or national norms.

(ii) 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, or engineering;

(iii) 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 educational opportunities available to low-income, first-generation students; and

(iv) 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.

(3) The Secretary evaluates the need for a Veterans Upward Bound project in the proposed target area on the basis of clear evidence that shows—

(i) The proposed target area lacks the services for eligible veterans that the applicant proposes to provide;

(ii) A large number of veterans who reside in the target area are low income and potential first generation college students;

(iii) A large number of veterans who reside in the target area who have not completed high school or, have completed high school but have not enrolled in a program of postsecondary education; and

(iv) Other indicators of need for a Veterans Upward Bound project, including the presence of unaddressed academic or socio-economic problems of veterans in the area.

(b) *Objectives* (9 points). The Secretary evaluates the quality of the applicant's objectives and proposed targets (percentages) in the following areas on the basis of the extent to which they are both ambitious, as related to the need data provided under paragraph (a) of this section, and attainable, given the project's plan of operation, budget, and other resources:

(1) For Regular Upward Bound and Upward Bound Math and Science Centers—

(i) (1 point) Academic performance (GPA);

(ii) (1 point) Academic performance (standardized test scores);

(iii) (2 points) Secondary school retention and graduation (with regular secondary school diploma);

(iv) (1 point) Completion of rigorous secondary school program of study;

(v) (3 points) Postsecondary enrollment; and

(vi) (1 point) Postsecondary completion.

(2) For Veterans Upward Bound—

(i) (2 points) Academic performance (standardized test scores);

(ii) (3 points) Education program retention and completion;

(iii) (3 points) Postsecondary enrollment; and

(iv) (1 point) Postsecondary completion.

(c) *Plan of operation* (30 points). The Secretary determines the quality of the applicant's plan of operation by assessing the quality of—

- (1) 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;
- (2) The plan for identifying, recruiting, and selecting participants to be served by the project;
- (3) The plan for assessing individual participant needs and for monitoring the academic progress of participants while they are in Upward Bound;
- (4) The plan for locating the project within the applicant's organizational structure;
- (5) The curriculum, services and activities that are planned for participants in both the academic year and summer components;
- (6) The planned timelines for accomplishing critical elements of the project;
- (7) The plan to ensure effective and efficient administration of the project, including, but not limited to, financial management, student records management, and personnel management;
- (8) 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;
- (9) The plan to work cooperatively with parents and key administrative, teaching, and counseling personnel at the target schools to achieve project objectives; and
- (10) A follow-up plan for tracking graduates of Upward Bound as they enter and continue in postsecondary education.

(d) *Applicant and community support* (16 points). The Secretary evaluates the applicant and community support for the proposed project on the basis of the extent to which—

- (1) The applicant is committed to supplementing the project with resources that enhance the project such as: space, furniture and equipment, supplies, and the time and effort of personnel other than those employed in the project.
- (2) Resources secured through written commitments from community partners.
  - (i) An applicant that is an institution of higher education must include in its application commitments from the target schools and community organizations;
  - (ii) An applicant that is a secondary school must include in its commitments from institutions of higher education, community organizations, and, as appropriate, other secondary schools and the school district;
  - (iii) An applicant that is a community organization must include in its application commitments from the target schools and institutions of higher education.

(e) *Quality of personnel* (8 points). To determine the quality of personnel the applicant plans to use, the Secretary looks for information that shows—

(1) The qualifications required of the project director, including formal training or work experience in fields related to the objectives of the project and experience in designing, managing, or implementing similar projects;

(2) The qualifications required of each of the other personnel to be used in the project, including formal training or work experience in fields related to the objectives of the project;

(3) 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.

(f) *Budget and cost effectiveness* (5 points). The Secretary reviews each application to determine the extent to which—

(1) The budget for the project is adequate to support planned project services and activities; and

(2) Costs are reasonable in relation to the objectives and scope of the project.

(g) *Evaluation plan* (8 points). The Secretary evaluates the quality of the evaluation plan for the project on the basis of the extent to which the applicant's methods of evaluation—

(1) Are appropriate to the project and include both quantitative and qualitative evaluation measures; and

(2) Examine in specific and measurable ways the success of the project in making progress toward achieving its process and outcomes objectives.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65786, Oct. 26, 2010]

**§ 645.32 How does the Secretary evaluate prior experience?**

(a) In the case of an application described in §645.30(a)(2)(i), the Secretary—

(1) Evaluates the applicant's performance under its expiring Upward Bound project;

(2) Uses the approved project objectives for the applicant's expiring Upward Bound grant and the information the applicant submitted in its annual performance reports (APRs) to determine the number of PE points; and

(3) May adjust a calculated PE score or decide not to award any PE points if other information such as audit reports, site visit reports, and project evaluation reports indicates the APR data used to calculate PE points are incorrect.

(b) The Secretary does not award PE points for a given year to an applicant that does not serve at least 90 percent of the approved number of participants. For purposes of this section, the approved number of participants is the total number of participants the project would serve as agreed upon by the grantee and the Secretary.

(c) The Secretary does not award PE points for the criteria specified in paragraphs (e)(1)(i) and (e)(2)(i) of this section (Number of participants) if the applicant did not serve at least the approved number of participants.

(d) The Secretary uses the approved number of participants, or the actual number of participants served in a given year if greater than the approved number of participants, as the denominator for calculating whether the applicant has met its approved objectives related to the following PE criteria:

(1) Regular Upward Bound and Upward Bound Math and Science Centers PE criteria in paragraph (e)(1)(ii) of this section (Academic performance) and paragraph (e)(1)(iii) of this section (Secondary school retention and graduation).

(2) Veterans Upward Bound PE criteria in paragraph (e)(2)(iii) of this section (Education program retention and completion).

(e) For purposes of the PE evaluation of grants awarded after January 1, 2009, the Secretary evaluates the applicant's PE on the basis of the following outcome criteria:

(1) *Regular Upward Bound and Upward Bound Math and Science Centers.*

(i) (3 points) *Number of participants.* Whether the applicant provided services to no less than the approved number of participants.

(ii) *Academic Performance.* (A) (1.5 points) Whether the applicant met or exceeded its approved objective with regard to participants served during the project year who had a cumulative GPA at the end of the school year that was not less than the GPA specified in the approved objective.

(B) (1.5 points) Whether the applicant met or exceeded its approved objective with regard to participants served during the project period who met the academic performance levels on standardized tests as specified in the approved objectives.

(iii) (3 points) *Secondary school retention and graduation.* Whether the applicant met or exceeded its approved objective with regard to participants served during the project year who returned the next school year or graduated from secondary school with a regular secondary school diploma.

(iv) (1.5 points) *Rigorous secondary school program of study.* Whether the applicant met or exceeded its approved objective with regard to current and prior participants with an expected high school graduation date in the school year who completed a rigorous secondary school program of study.

(v) (3 points) *Postsecondary enrollment.* Whether the applicant met or exceeded its approved objective with regard current and prior participants with an expected high school graduation date in

the school year who enrolled in a program of postsecondary education within the time period specified in the approved objective.

(vi) (1.5 points) *Postsecondary completion*. Whether the applicant met or exceeded its approved objective with regard to participants who enrolled in a program of postsecondary education and attained a postsecondary degree within the number of years specified in the approved objective.

(2) *Veterans Upward Bound*.

(i) (3 points) *Number of participants*. Whether the applicant provided services to no less than the approved number of participants.

(ii) (3 points) *Academic improvement on standardized test*. Whether the applicant met or exceeded its approved objective with regard to participants who completed their Veterans Upward Bound educational program during the project year and who improved their academic performance as measured by a standardized test taken by participants before and after receiving services from the project.

(iii) (3 points) *Education program retention and completion*. Whether the applicant met or exceeded its approved objective with regard to participants served during the project year who remained in or completed their Veterans Upward Bound educational program.

(iv) (3 points) *Postsecondary enrollment*. Whether the applicant met or exceeded its approved objective with regard to participants who completed their Veterans Upward Bound educational program and enrolled in an institution of higher education within the time period specified in the approved objective.

(v) (3 points) *Postsecondary completion*. Whether the applicant met or exceeded its approved objective with regard to participants who enrolled in and completed a program of postsecondary education within the number of years specified in the approved objective.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

[75 FR 65787, Oct. 26, 2010]

**§ 645.33 How does the Secretary set the amount of a grant?**

(a) The Secretary sets the amount of a grant on the basis of—

(1) 34 CFR 75.232 and 75.233, for new grants; and

(2) 34 CFR 75.253, for the second and subsequent years of a project period.

(b) If the circumstances described in section 402A(b)(3) of the HEA exist, the Secretary uses the available funds to set the amount of the grant at the lesser of—

(1) \$200,000; or

(2) The amount requested by the applicant.

(Authority: 20 U.S.C. 1070a–11)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65787, Oct. 26, 2010]

**§ 645.34 *How long is a project period?***

A project period under the Upward Bound program is five years.

(Authority: 20 U.S.C. 1070a–11)

[75 FR 65787, Oct. 26, 2010 ]

**§ 645.35 *What is the review process for unsuccessful applicants?***

(a) *Technical or administrative error for applications not reviewed.* (1) An applicant whose grant application was not evaluated during the competition may request that the Secretary review the application if—

(i) The applicant has met all of the application submission requirements included in the Federal Register notice inviting applications and the other published application materials for the competition; and

(ii) The applicant provides evidence demonstrating that the Department or an agent of the Department made a technical or administrative error in the processing of the submitted application.

(2) A technical or administrative error in the processing of an application includes—

(i) A problem with the system for the electronic submission of applications that was not addressed in accordance with the procedures included in the Federal Register notice inviting applications for the competition;

(ii) An error in determining an applicant's eligibility for funding consideration, which may include, but is not limited to—

(A) An incorrect conclusion that the application was submitted by an ineligible applicant;

(B) An incorrect conclusion that the application exceeded the published page limit;

(C) An incorrect conclusion that the applicant requested funding greater than the published maximum award; or

(D) An incorrect conclusion that the application was missing critical sections of the application; and

(iii) Any other mishandling of the application that resulted in an otherwise eligible application not being reviewed during the competition.



(3)(i) If the Secretary determines that the Department or the Department's agent made a technical or administrative error, the Secretary has the application evaluated and scored.

(ii) If the total score assigned the application would have resulted in funding of the application during the competition and the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c) of this section.

(b) *Administrative or scoring error for applications that were reviewed.* (1) An applicant that was not selected for funding during a competition may request that the Secretary conduct a second review of the application if—

(i) The applicant provides evidence demonstrating that the Department, an agent of the Department, or a peer reviewer made an administrative or scoring error in the review of its application; and

(ii) The final score assigned to the application is within the funding band described in paragraph (d) of this section.

(2) An administrative error relates to either the PE points or the scores assigned to the application by the peer reviewers.

(i) For PE points, an administrative error includes mathematical errors made by the Department or the Department's agent in the calculation of the PE points or a failure to correctly add the earned PE points to the peer reviewer score.

(ii) For the peer review score, an administrative error is applying the wrong peer reviewer scores to an application.

(3)(i) A scoring error relates only to the peer review process and includes errors caused by a reviewer who, in assigning points—

(A) Uses criteria not required by the applicable law or program regulations, the Federal Register notice inviting applications, the other published application materials for the competition, or guidance provided to the peer reviewers by the Secretary; or

(B) Does not consider relevant information included in the appropriate section of the application.

(ii) The term —scoring error does not include—

(A) A peer reviewer's appropriate use of his or her professional judgment in evaluating and scoring an application;

(B) Any situation in which the applicant did not include information needed to evaluate its response to a specific selection criterion in the appropriate section of the application as stipulated in the Federal Register notice inviting applications or the other published application materials for the competition; or

(C) Any error by the applicant.

*(c) Procedures for the second review.*

- (1) To ensure the timely awarding of grants under the competition, the Secretary sets aside a percentage of the funds allotted for the competition to be awarded after the second review is completed.
- (2) After the competition, the Secretary makes new awards in rank order as described in §645.30 based on the available funds for the competition minus the funds set aside for the second review.
- (3) After the Secretary issues a notification of grant award to successful applicants, the Secretary notifies each unsuccessful applicant in writing as to the status of its application and the funding band for the second review and provides copies of the peer reviewers' evaluations of the applicant's application and the applicant's PE score, if applicable.
- (4) An applicant that was not selected for funding following the competition as described in paragraph (c)(2) of this section and whose application received a score within the funding band as described in paragraph (d) of this section, may request a second review if the applicant demonstrates that the Department, the Department's agent, or a peer reviewer made an administrative or scoring error as provided in paragraph (b) of this section.
- (5) An applicant whose application was not funded after the first review as described in paragraph (c)(2) of this section and whose application received a score within the funding band as described in paragraph (d) of this section has at least 15 calendar days after receiving notification that its application was not funded in which to submit a written request for a second review in accordance with the instructions and due date provided in the Secretary's written notification.
- (6) An applicant's written request for a second review must be received by the Department or submitted electronically to the designated e-mail or Web address by the due date and time established by the Secretary.
- (7) If the Secretary determines that the Department or the Department's agent made an administrative error that relates to the PE points awarded, as described in paragraph (b)(2)(i) of this section, the Secretary adjusts the applicant's PE score to reflect the correct number of PE points. If the adjusted score assigned to the application would have resulted in funding of the application during the competition and the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c)(9) of this section.
- (8) If the Secretary determines that the Department, the Department's agent or the peer reviewer made an administrative error that relates to the peer reviewers' score(s), as described in paragraph (b)(2)(ii) of this section, the Secretary adjusts the applicant's peer reviewers' score(s) to correct the error. If the adjusted score assigned to the application would have resulted in funding of the application during the competition and the program has funds available, the Secretary funds the application prior to the re-ranking of applications based on the second peer review of applications described in paragraph (c)(9) of this section.

(9) If the Secretary determines that a peer reviewer made a scoring error, as described in paragraph (b)(3) of this section, the Secretary convenes a second panel of peer reviewers in accordance with the requirements in section 402A(c)(8)(C)(iv)(III) of the HEA.

(10) The average of the peer reviewers' scores from the second peer review are used in the second ranking of applications. The average score obtained from the second peer review panel is the final peer reviewer score for the application and will be used even if the second review results in a lower score for the application than that obtained in the initial review.

(11) For applications in the funding band, the Secretary funds these applications in rank order based on adjusted scores and the available funds that have been set aside for the second review of applications.

(d) *Process for establishing a funding band.* (1) For each competition, the Secretary establishes a funding band for the second review of applications.

(2) The Secretary establishes the funding band for each competition based on the amount of funds the Secretary has set aside for the second review of applications.

(3) The funding band is composed of those applications—

(i) With a rank-order score before the second review that is below the lowest score of applications funded after the first review; and

(ii) That would be funded if the Secretary had 150 percent of the funds that were set aside for the second review of applications for the competition.

(e) *Final decision.* (1) The Secretary's determination of whether the applicant has met the requirements for a second review and the Secretary's decision on re-scoring of an application are final and not subject to further appeal or challenge.

(2) An application that scored below the established funding band for the competition is not eligible for a second review.

(Authority: 20 U.S.C. 1070a–11)

[75 FR 65787, Oct. 26, 2010]

### ***Subpart E—What Conditions Must Be Met by a Grantee?***

#### ***§ 645.40 What are allowable costs?***

The cost principles that apply to the Upward Bound Program are in 34 CFR 74.27, 75.530, and 80.22, as applicable . Allowable costs include the following if they are reasonably related to the objectives of the project:

(a) In-service training of project staff.

- (b) Rental of space if space is not available at the host institution and the space rented is not owned by the host institution.
- (c) For participants in an Upward Bound residential summer component, room and board—computed on a weekly basis—not to exceed the weekly rate the host institution charges regularly enrolled students at the institution.
- (d) Room and board for those persons responsible for dormitory supervision of participants during a residential summer component.
- (e) Educational pamphlets and similar materials for distribution at workshops for the parents of participants.
- (f) Student activity fees for Upward Bound participants.
- (g) Admissions fees, transportation, Upward Bound T-shirts, and other costs necessary to participate in field trips, attend educational activities, visit museums, and attend other events that have as their purpose the intellectual, social, and cultural development of participants.
- (h) Costs for one project-sponsored banquet or ceremony.
- (i) Tuition costs for postsecondary credit courses at the host institution for participants in the summer bridge component.
- (j)(1) Accident insurance to cover any injuries to a project participant while participating in a project activity; and
- (2) Medical insurance and health service fees for the project participants while participating full-time in the summer component.
- (k) Courses in English language instruction for project participants with limited proficiency in English and for whom English language proficiency is necessary to succeed in postsecondary education.
- (l) Transportation costs of participants for regularly scheduled project activities.
- (m) Transportation, meals, and overnight accommodations for staff members when they are required to accompany participants in project activities such as field trips.
- (n) Purchase, lease, or rental of computer hardware, software, and other equipment, service agreements for such equipment, and supplies that support the delivery of services to participants, including technology used by participants in a rigorous secondary school program of study.
- (o) Purchase, lease, or rental of computer equipment and software, service agreements for such equipment, and supplies needed for project administration and recordkeeping.
- (p) Fees required for college admissions applications or entrance examinations if—

- (1) A waiver of the fee is unavailable;
- (2) The fee is paid by the grantee to a third party on behalf of a participant.
- (q) Tuition costs for a course that is part of a rigorous secondary school program of study if—
  - (1) The course or a similar course is not offered at the secondary school that the participant attends or at another school within the school district;
  - (2) The grantee demonstrates to the Secretary's satisfaction that using grant funds is the most cost-effective way to deliver the course or courses necessary for the completion of a rigorous secondary school program of study for program participants;
  - (3) The course is taken through an accredited institution of higher education;
  - (4) The course is comparable in content and rigor to courses that are part of a rigorous secondary school program of study as defined in §645.6(b);
  - (5) The secondary school accepts the course as meeting one or more of the course requirements for obtaining a regular secondary school diploma;
  - (6) A waiver of the tuition costs is unavailable;
  - (7) The tuition is paid with Upward Bound grant funds to an institution of higher education on behalf of a participant; and
  - (8) The Upward Bound project pays for no more than the equivalent of two courses for a participant each school year.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65789, Oct. 26, 2010]

**§ 645.41 What are unallowable costs?**

Costs that may not be charged against a grant under this program include the following:

- (a) Research not directly related to the evaluation or improvement of the project.
- (b) Meals for staff except as provided in §645.40 (d) and (m) and in paragraph (c) of this section.
- (c) Room and board for administrative and instructional staff personnel who do not have responsibility for dormitory supervision of project participants during a residential summer component unless these costs are approved by the Secretary.
- (d) Room and board for participants in Veterans Upward Bound projects.
- (e) Construction, renovation or remodeling of any facilities.

(f) Tuition, stipends, or any other form of student financial aid for project staff beyond that provided to employees of the grantee as part of its regular fringe benefit package.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

**§ 645.42 What are Upward Bound stipends?**

(a) An Upward Bound project may provide stipends for all participants who participate on a full-time basis.

(b) In order to receive the stipend, the participant must show evidence of satisfactory participation in activities of the project including—

(1) Regular attendance; and

(2) Performance in accordance with standards established by the grantee and described in the application.

(c) The grantee may prorate the amount of the stipend according to the number of scheduled sessions in which the student participated.

(d) The following rules govern the amounts of stipends a grantee is permitted to provide:

(1) For Regular Upward Bound projects and Upward Bound Math and Science Centers—

(i) For the academic year component, the stipend may not exceed \$40 per month; and

(ii) 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.

(2) For Veterans Upward Bound projects, the stipend may not exceed \$40 per month.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13)

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65789, Oct. 26, 2010]

**§ 645.43 What other requirements must a grantee meet?**

(a) *Number of Participants.* For each year of the project period, a grantee must serve at least the number of participants that the Secretary identifies in the Federal Register notice inviting applications for a competition. Through this notice, the Secretary also provides the minimum and maximum grant award amounts for the competition.

(b) *Project director.* (1) A grantee must employ a full-time project director unless—

(i) The director is also administering one or two additional programs for disadvantaged students operated by the sponsoring institution or agency; or

(ii) The Secretary grants a waiver of this requirement.

(2) The grantee must give the project director sufficient authority to administer the project effectively.

(3) The Secretary waives the requirements in paragraph (b)(1) of this section if the applicant demonstrates that the project director will be able to effectively administer more than three programs and that this arrangement would promote effective coordination between the

(c) *Recordkeeping.* For each participant, a grantee must maintain a record of—

(1) The basis for the grantee's determination that the participant is eligible to participate in the project under §645.3;

(2) The basis for the grantee's determination that the participant has a need for academic support in order to pursue successfully a program of education beyond secondary school;

(3) The services that are provided to the participant;

(4) The educational progress of the participant during high school and, to the degree possible, during the participant's pursuit of a postsecondary education program; and

(5) To the extent practicable, any services the participant receives during the project year from another Federal TRIO program or another federally funded program that serves populations similar to those served under the UB program.

(Authority: 20 U.S.C. 1070a–11 and 1070a–13).

[60 FR 4748, Jan. 24, 1995, as amended at 75 FR 65789, Oct. 26, 2010]

**FEDERAL TRIO PROGRAMS  
CURRENT-YEAR LOW-INCOME LEVELS**

(Effective **January 25, 2016** until further notice)

<b>Size of Family Unit</b>	<b>48 Contiguous States, D.C., and Outlying Jurisdictions</b>	<b>Alaska</b>	<b>Hawaii</b>
<b>1</b>	\$17,820	\$22,260	\$20,505
<b>2</b>	\$24,030	\$30,030	\$27,645
<b>3</b>	\$30,240	\$37,800	\$34,785
<b>4</b>	\$36,450	\$45,570	\$41,925
<b>5</b>	\$42,660	\$53,340	\$49,065
<b>6</b>	\$48,870	\$61,110	\$56,205
<b>7</b>	\$55,095	\$68,880	\$63,345
<b>8</b>	\$61,335	\$76,680	\$70,515

For family units with more than eight members, add the following amount for each additional family member: \$6,240 for the 48 contiguous states, the District of Columbia, and outlying jurisdictions; \$7,800 for Alaska; and \$7,170 for Hawaii.

The term "low-income individual" means an individual whose family's taxable income for the preceding year did not exceed 150 percent of the poverty level amount.

The figures shown under family income represent amounts equal to 150 percent of the family income levels established by the Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the Federal Register on January 25, 2016.



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## INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372

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This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

[http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc)

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.047A, U.S. Department of Education, room 7E200, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in this notice.

**Important note:** The above address is not the same address as the one to which the applicant submits its completed applications. ***Do not send applications to the above address.***

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## SUPPLEMENTAL INFORMATION

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The following supplements the information provided in the “Dear Applicant” letter and the Notice.

### 1. **Estimated Funding**

- Estimated Available Funds for FY 2017: \$273,000,000
- Estimated Range of Awards: \$257,500 – \$768,622
- Estimated Average Size of Awards: \$335,890
- Estimated Number of New Awards: 813
- Project Period for New Awards: 60 months

The Department is not bound by these estimates.

### 2. **Intergovernmental Review of Federal Programs**

Intergovernmental Review of Federal Programs was issued to foster an intergovernmental partnership and to strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State’s process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at:  
[http://www.whitehouse.gov/OMB/grants\\_spoc](http://www.whitehouse.gov/OMB/grants_spoc).

### 3. **Length of New Award**

Applicants for new awards may apply for five years (60 months) of funding.

### 4. **UB Program Assurances**

All applications must comply with the UB Program statutory and regulatory requirements. The assurances are included in the application package and must be signed by a certifying official and uploaded into the **Other Attachments Form** in Grants.gov. By submitting an UB Program application, an applicant certifies that it has read the assurances and will fully comply with the requirements.

### 5. **UB Program Profile**

All applicants must provide the information requested on this form. The UB Program Profile form contains standardized objectives. Applicants are required to propose the percentage at which each of the standardized objectives will be attained. On the UB Profile form, you must fill in the blanks indicating the percentage level of achievement

for each of the objectives. **You may not modify, amend or delete any of these objectives.**

Applicants must copy and paste the UB Program Profile form into a separate document, or otherwise recreate the page exactly as it appears. Complete the form, save it to your computer and attach it to the *Other Attachments Form* as a .PDF document only. Do not modify or amend the language on the form in any way.

## **6. Evaluation of Applications for Awards**

A panel of three non-federal reviewers will review each application in accordance with the selection criteria. Each reviewer will prepare a written evaluation of the information presented in the application narrative section of the application and assign points for each selection criterion.

All applications for grants under the UB Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 645.31).

## **7. Selection Criteria**

The selection criteria in 34 CFR Part 645 are used to evaluate applications. The selection criteria and maximum possible points are included in the application package.

## **8. Applicant Funding**

Applicants should pay close attention to the “Maximum Award” section of the Notice. The Department will reject any application that proposes a budget exceeding the maximum amount specified for the specific project type as indicated in the Notice.

## **9. Prior Experience**

In accordance with 34 CFR 645.32, the Secretary will award prior experience (PE) points to applicants that have conducted a TRIO UB Program project during these fiscal years: 2013-14, 2014-15, and 2015-16. Based on the applicant’s documented experience set forth in the annual performance reports, up to 15 prior experience points will be added to the application’s averaged reader score to determine the total score for each application and the total score will be used in funding decisions as described in the Notice.

## **10. Selection of Grantees**

The Secretary will select an application for funding in rank order, based on the application’s total score for the selection criteria and competitive preference priority, plus any prior experience points earned, pursuant to 34 CFR sections 645.30 through 645.32. If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the UB Program.

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new UB Program grants. Successful applicants will receive award notices by mail or e-mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

#### **11. Expectations of Successful Grantees**

Currently funded projects with remaining out years on an expiring grant are required to start implementing their new objectives upon receipt of the grant.

#### **12. Notice to Unsuccessful Applicants**

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

#### **13. Second Review Process**

To implement the statutory requirements for a second review of unsuccessful applications, the Department has adopted a two-slate process. After the peer review of applications and the awarding of PE points, as applicable, the Department will rank all the applications. The Department then will establish a funding band to determine the percentage of the total funds allotted for the competition that will be set aside for the second review. The determination of the percentage of funds to be reserved for the second review and the applications to be included in the funding band will be based on the distribution of application scores. The funding band will include all of the applications with a rank-order score that is 1) below the lowest score of applications funded after the first review and 2) that would be funded if the Secretary had 150 percent of the funds that were set aside for the second review.

Only applicants whose applications scored within the funding band will be eligible for the second review. In addition, those applicants deemed eligible for the second review will have to provide evidence demonstrating that the Department, an agent of the Department, or a peer reviewer made an administrative or scoring error (as defined in the regulations) in the review of its application. The guidelines and criteria for the second review process are included in the UB Program regulations (645.35).

#### **14. Annual Performance Report Requirements**

If you receive a FY 2017 new grant award, you will be required to submit annual performance reports during the five-year funding cycle using the Department's on-line function. This on-line system collects data about funded projects to enable program specialists to determine if a grantee is making substantial progress toward meeting approved project objectives.

## 15. Contact Information.

### **For Upward Bound Program-related questions and assistance, please contact:**

Program Specialist: Ken Waters

Address: Federal TRIO Programs  
U.S. Department of Education  
400 Maryland Avenue SW, Room 5E103  
Washington, D.C. 20202  
Telephone: (202) 453-6273  
Fax: (202) 260-7464  
E-mail Address: ken.waters@ed.gov

or

Program Specialist: Tonja Lark

Address: Federal TRIO Programs  
U.S. Department of Education  
400 Maryland Avenue SW, Room 5E234  
Washington, D.C. 20202  
Telephone: (202) 453-7819  
Fax: (202) 260-7464  
E-mail Address: tonja.lark@ed.gov

### **For Grants.gov-related questions and assistance, please contact:**

Support Desk: Grants.gov Support Desk  
Telephone: (800) 518-4726  
Hours: 24 hours, 7 days a week, except Federal holidays  
Email: support@grants.gov

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## UPWARD BOUND PROGRAM PROFILE

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**Instructions:** All applicants must complete this page. The completed form must be attached to the Other Attachments Form in Grants.gov (as a .PDF document). **DO NOT MODIFY OR AMEND THE CONTENTS OF THIS PAGE.**

1. Applicants currently funded under the Upward Bound Program (FY 2012-2017) must provide their current grant award number. This can be found in Block 5 of the Grant Award Notification.

**New applicants should leave this item blank.**

PR/Award Number (Current Grantees Only): P047A (11) (12) (13) (14) \_\_\_\_\_

Application designated to receive prior experience: Yes \_\_\_ No \_\_\_

Application addresses Competitive Preference Priorities and/or Invitational Priority (check all that apply):

**Competitive Preference Priority**

\_\_\_ Moderate Evidence of Effectiveness. The Secretary gives priority to projects supported by evidence of effectiveness that meets the conditions set out in the definition of “moderate” evidence of effectiveness.

**Link(s) for citations(s) submitted for the Competitive Preference Priority:**

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**Invitational Priority**

\_\_\_ The Secretary encourages applicants to propose projects designed to increase opportunities for participants to earn postsecondary credits in high school, such as through providing connections to dual enrollment programs.

2. Institution/Agency/Organization/School (Legal Name):

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3. All applicants must indicate the address where this project will be physically located.

Project Address: \_\_\_\_\_

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Street Address, City, State, Zip Code

UB Program Profile *continued*

4. Multiple applications submitted: No:\_\_\_ Yes:\_\_\_ How many? \_\_\_\_\_

5. List the target schools and estimated number of participants to be served at each target school (if applicable):

- |           |            |
|-----------|------------|
| (1) _____ | (6) _____  |
| (2) _____ | (7) _____  |
| (3) _____ | (8) _____  |
| (4) _____ | (9) _____  |
| (5) _____ | (10) _____ |

Note: The project must be located in a setting accessible to the individuals the project proposes to serve. Add additional sheet, if needed.

6. Provide the total number of proposed participants to be served each year: \_\_\_\_\_  
*(Note: Projects are expected to serve the same number of participants each year. Two-thirds of the participants served must be low-income, potential first-generation college students.)*

**7. Program Objectives:**

Please fill in the proposed percent for each objective.

*Note: These are the same objectives that **MUST** be stated in the Part III -- Application Narrative section of your application when addressing the Objectives and the Evaluation criteria.*

**(1) Academic Performance--Grade Point Average (GPA)**

\_\_\_\_\_% 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.

**(2)Academic Performance on Standardized Test**

\_\_\_\_\_% of UB seniors served during the project year will have achieved at the proficient level on state assessments in reading/language arts and math.

**(3)Secondary School Retention and Graduation**

\_\_\_\_\_% 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.

UB Program Profile *continued*

**(4) Secondary School Graduation (rigorous secondary school program of study)**

\_\_\_\_\_ % of all current and prior year UB participants who graduated from high school during the school year with a regular secondary school diploma will complete a rigorous secondary school program of study.

**(5) Postsecondary Enrollment**

\_\_\_\_\_ % of all current and prior UB participants who graduated from high school during the school year with a regular secondary diploma 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).

**(6) Postsecondary Completion**

\_\_\_\_\_ % of 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 by deferred enrollment, will attain either an associate's or bachelor's degree within six years following graduation from high school.

***Please note the following definitions:***

**Postsecondary Enrolled:** a participant who has completed the registration requirements (except for the payment of tuition and fees) at the institution that he or she is attending.

**Acceptance but Deferred Enrollment:** a participant has received an acceptance letter from the institution that he or she will attend, but cannot enroll in the fall term immediately following high school graduation for reasons determined by the institution. The institution defers enrollment until the next term.

**Regular Secondary School Diploma:** means a level attained by individuals who meet or exceed the coursework and performance standards for high school completion established by the individual's state.

**Rigorous Secondary School Program of Study:** means a program of study that is –

(1) Established by a State educational agency (SEA) or local educational agency (LEA) and recognized as a rigorous secondary school program of study by the Secretary through the process described in 34 CFR 691.16(a) through (c) for the Academic Competitiveness Grant (ACG) Program;

(2) An advanced or honors secondary school program established by States and in existence for the 2004–2005 school year or later school years;

(3) Any secondary school program in which a student successfully completes at a minimum the following courses: (i) Four years of English. (ii) Three years of mathematics, including algebra I and a higher-level class such as algebra II, geometry, or data analysis and statistics. (iii) Three years of



UB Program Profile *continued*

science, including one year each of at least two of the following courses: biology, chemistry, and physics. (iv) Three years of social studies. (v) One year of a language other than English;

(4) A secondary school program identified by a State-level partnership that is recognized by the State Scholars Initiative of the Western Interstate Commission for Higher Education (WICHE), Boulder, Colorado;

(5) Any secondary school program for a student who completes at least two courses from an International Baccalaureate Diploma Program sponsored by the International Baccalaureate Organization, Geneva, Switzerland, and receives a score of a 4 or higher on the examinations for at least two of those courses; or

(6) Any secondary school program for a student who completes at least two Advanced Placement courses and receives a score of 3 or higher on the College Board's Advanced Placement Program Exams for at least two of those courses.

**Postsecondary Degree Attainment:** completion of a program of postsecondary education with an associate's or bachelor's degree.

**Institution of Higher Education:** means an education institution as defined in sections 101 and 102 of the HEA.

**Program of Postsecondary Education:** a formal instructional program whose curriculum is designed primarily for students who are beyond the compulsory age for high school.

## UPWARD BOUND PROGRAM ASSURANCES

Attach this Assurance form to the “Other Attachments Form” in the Grants.gov system. Applicants must copy and paste this page into a separate document or recreate the page exactly as it appears. Then complete the page, save it to your computer and attach it to the “Other Attachments Form” as a .pdf document only. **Do not modify or amend the language of this form in any way.**

As the duly authorized representative of the applicant, I certify that the applicant will comply with the following statutory requirements:

1. The applicant assures that not less than two-thirds (2/3) of the project’s participants will be low-income individuals who are potential first-generation college students;
2. The applicant assures that the remaining participants will be low-income, potential first generation college students or individuals who have a high risk of academic failure;
3. No student will be denied participation in a project because the student would enter the project after the 9<sup>th</sup> grade; and
4. 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.

\_\_\_\_\_  
Authorized Certifying Official’s Signature  
Official

\_\_\_\_\_  
Printed Name of Authorized Certifying

\_\_\_\_\_  
Title of Authorized Certifying Official  
Institution/Organization

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Date Signed

**Attach this Assurance Form to the “Other Attachments Form” in the Grants.gov application package**

**Attention Applicants:** Applicants must copy and paste this page into a separate document, or recreate the page **exactly** as it appears. Then, complete the page, save it to your computer and attach it to the “Other Attachments Form” as a .pdf document only. Do not modify or amend the contents of the form in any way.

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## PRIOR EXPERIENCE

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### ***Prior Experience (PE) Objectives and Calculations for UB Projects Operating in Project Years 2013–14, 2014–15, and 2015–16***

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For the 2017 competition for grants from the Upward Bound Program, the Department calculates prior experience points from data submitted in annual performance reports (APRs) for 2013–14, 2014–15, and 2015–16. Achievement rates for each PE criterion will be based on the project’s approved objectives and on the information the grantee provided in the APR for each assessment year under consideration.

An entity submitting an application to continue to serve substantially the same target schools that it is serving under its expiring UB project is eligible to receive PE points based on the PE criteria in 34 CFR 645.32.

In cases in which an applicant proposes to split a grant funded in FY 2012 into multiple proposals in the FY 2017 competition, the applicant will be eligible to receive PE points for **only one** proposed new project. The project eligible for PE consideration will be the one that proposes to serve the greatest number of currently-served target schools. An applicant is responsible for indicating on the UB Program Profile document, in item #1, whether the application is eligible for PE points.

If an applicant proposes to split a currently-funded grant evenly by target schools into multiple proposals for the FY 2017 competition, the applicant must decide which one new proposal should be considered for PE points by following the instructions above for marking item #1 on the Program Profile document.

**PE criteria for UB (from 34 CFR 645.32) and point allocations are shown below. A UB project may earn up to a total of 15 points for each year assessed; the final PE score is the average of the total scores for the three years assessed. Points will be awarded for meeting or exceeding each objective; no partial points will be awarded. A project that fails to serve at least 90 percent of the number of students it was funded to serve for an assessment year will not receive any PE points for that year.**

- |   |                       |
|---|-----------------------|
| 1. Funded number  | maximum of 3 points   |
| 2. Academic performance—GPA   | maximum of 1.5 points |
| 3. Academic performance on standardized tests   | maximum of 1.5 points |
| 4. Secondary school retention and graduation  | maximum of 3 points   |
| 5. Secondary school graduation after completing<br>a rigorous secondary school program of study | maximum of 1.5 points |
| 6. Postsecondary enrollment   | maximum of 3 points   |
| 7. Postsecondary completion   | maximum of 1.5 points |

1. **Funded number (maximum of 3 points)**—Whether the applicant served the number of participants agreed to under the approved application.

**Calculation:**

- The denominator is the project’s approved number of participants to be served.
  - The numerator is the actual number of participants served during the assessment year. The quotient must be at least 100 percent, indicating that the number served was equal to, or greater than, the number funded to serve.
2. **Academic performance—GPA (maximum of 1.5 points)**—Whether the percentage of students, as calculated below, equaled or exceeded the applicant’s approved objective.

**Calculation:**

- The denominator is the greater of the number of participants the project was funded to serve, or the number actually served during the assessment year.
  - The numerator is the number of participants in the denominator whose cumulative GPA was 2.5 or higher at the end of the school year.
3. **Academic performance on standardized tests (maximum of 1.5 points)**—Whether the percentage of students, as calculated below, equaled or exceeded the applicant’s approved objective.

**Calculation:**

- The denominator is the number of seniors served during the assessment year.
  - The numerator is the number of participants in the denominator who achieved at the proficient level on state assessments in both reading/language arts and mathematics.
4. **Secondary school retention and graduation (maximum of 3 points)**—Whether the percentage of students, as calculated below, equaled or exceeded the applicant’s approved objective.

**Calculation:**

- The denominator is the greater of the number of participants the project was funded to serve, or the number actually served during the assessment year.
- The numerator is the number of participants in the denominator who continued in the next academic year at the next grade level, or who graduated from secondary school with a regular secondary school diploma.

5. **Secondary school graduation following completion of rigorous secondary school program of study (maximum of 1.5 points)**—Whether the percentage of students, as calculated below, equaled or exceeded the applicant’s approved objective.

**Calculation:**

- The denominator is the number of current and prior-year participants who graduated from secondary school during the school year with a regular diploma.
- The numerator is the number of participants in the denominator who had completed a rigorous secondary program of study.

6. **Postsecondary enrollment (maximum of 3 points)**—Whether the percentage of students, as calculated below, equaled or exceeded the applicant’s approved objective.

**Calculation:**

- The denominator is the number of current and prior-year participants who graduated from high school during the school year with a regular secondary diploma.
- The numerator is the number of participants in the denominator who enrolled in a program of postsecondary education by the fall term following graduation, or for whom the postsecondary institution deferred the student’s enrollment until the next academic term.

7. **Postsecondary completion (maximum of 1.5 points)**—Whether the percentage of students, as calculated below, equaled or exceeded the applicant’s approved objective.

**Calculation:**

- The denominator is the number of participants who graduated high school in the academic year six years prior to the current assessment year with a regular diploma and who enrolled in postsecondary education by the fall following graduation, or for whom the postsecondary institution deferred the student’s enrollment until the next academic term.
- The numerator is the number of participants in the denominator who attained either an associate or bachelor’s degree within six years following graduation from high school. (For example, for the 2014–15 assessment year, the year of high school graduation and postsecondary enrollment is 2009.)

**The due date for submitting annual performance reports for 2013-14 and 2014–15 is now past. The Department will not accept changes or modifications to APR data on file with**

**the Federal TRIO Programs. The due date for submitting APRs for 2015–16 is November 30, 2016 for regular UB projects.**

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## INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

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The application consists of the following four parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

**Part I: SF 424 Form**

Application for Federal Assistance - SF 424  
Department of Education Supplemental Information for SF 424

**\*Notes:**

- Applicants must complete the Standard Form (SF 424) form first because some of the information you provide here is automatically inserted into other sections of the Grants.gov application package.
- Please do not attach any narratives, supporting files, or application components to the SF 424. Although the form accepts attachments, the Department of Education will only review materials/files attached to the forms listed below.

**Part II: ED Form 524**

Department of Education Budget Summary Form - (ED Form 524)  
Sections A & B  
(NOTE: Section C – Budget Narrative must be included as part of the Project Narrative Attachment Form, located in Part III.)

**Part III: Attachments**

ED Abstract Form  
Project Narrative Attachment Form – includes a Table of Contents and application narrative.  
Other Attachments Form – includes the Program Assurances page, the UB Program Profile form, the competitive preference priority narrative and the invitational priority.

The Department of Education Abstract Form is where you attach the one-page UB project abstract.

The Project Narrative Attachment Form is where you attach the responses addressing the program selection criteria that will be used to evaluate applications submitted for this competition. **This section has a strict page limit of 65 pages**, excluding a *Table of Contents* and other items outlined in the Notice. **Please see the Notice for detailed information on page limits and formatting requirements.** You should include a Table of Contents for your application as the first page of this section. The *Table of Contents* will not count against the 65

pages you are allowed for your responses to the selection criteria. **You must also include your budget narrative in this section as part of the selection criteria, which is counted as part of the 65-page limit.** The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities. Include a description of any activities in the budget that respond to the announced **Competitive Preference Priority**.

The Other Attachments Form is where you attach the UB Program Profile form, the UB Program Assurances page, the competitive preference priority narrative and the invitational priority narrative. **No other appendices or attachments should be included as they will be counted as part of the 65-page limit.**

**\*All attachments must be in a .PDF format only. Other types of files will not be accepted.**

**Part IV: Assurances, Certifications, and Survey Forms**

ED-GEPA Section 427 Requirement  
Assurances – Non-Construction Programs (SF 424B)  
Grants.gov Lobbying Form (formerly ED Form 80-0013)  
Disclosure of Lobbying Activities (SF-LLL)



## INSTRUCTIONS FOR APPLICATION NARRATIVE - SELECTION CRITERIA

The following information supplements the information provided in the “Dear Applicant” letter, “Competition Highlights,” and the Notice.

**The *Application Narrative* is to be attached to the Project Narrative Attachment Form in the Grants.gov application.**

Before preparing the *Part III -- Application Narrative*, applicants should review the “Dear Applicant” letter, Competition Highlights, Notice, program statute, and program regulations for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the regulations which are included in this package.

The Secretary evaluates an application on the basis of the broad selection criteria in 34 CFR 645.31 of the UB Program regulations as identified in this application (see the Authorizing Legislation and Regulations). The *Application Narrative* should provide, in detail, the information that addresses the selection criteria. The maximum possible score for each category of the selection criteria is indicated in parenthesis.

You must limit the *Application Narrative* to 65 pages, double-spaced in 12-point font, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 65-page limit. Please refer to the notice (see Content and Form of Application Submission) for additional application submission requirements.

To facilitate the review of the application, provide responses to each of the following selection criteria in the following order:

- |    |   |             |
|----|---|-------------|
| A. | <u>Need</u> (34 CFR 645.31(a))                            | (24 points) |
| B. | <u>Objectives</u> (34 CFR 645.31(b))                      | ( 9 points) |
| C. | <u>Plan of Operation</u> (34 CFR 645.31(c))               | (30 points) |
| D. | <u>Applicant and Community Support</u> (34 CFR 645.31(d)) | (16 points) |
| E. | <u>Quality of Personnel</u> (34 CFR 645.31(e))            | ( 8 points) |
| F. | <u>Budget and Cost Effectiveness</u> (34 CFR 645.31(f))   | ( 5 points) |
| G. | <u>Evaluation Plan</u> (34 CFR 645.31(g))                 | ( 8 points) |

Total Maximum Score for Selection Criteria	100 points
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Competitive Preference Priority	<u>(3 points)</u>
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Total Maximum Score for Selection Criteria and Competitive Preference Priority	103 points
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## Formatting

Double space all text in the application narrative, including all text in charts, tables, figures and graphs. Titles, heading, footnotes, quotations, references and captions may be singled-spaced. Applicants may use one of the following fonts: *Times New Roman, Courier, Courier New* or *Arial*, only. Applications submitted in any other font (including *Times Roman* and *Arial Narrow*) will not be accepted. Applicants must use a size 12 font or larger.

The Application Narrative will include the discussion of the selection criteria. The total page limit for the application narrative portion of the application for the FY 2017 UB competition is 65 pages. However, those addressing the competitive preference priority may include up to four additional pages and those addressing the invitational priority may include up to two additional pages, in a separate section of the application submission to discuss how the application meets the priority.

The page limit does not apply to:

- Application Face Sheet (Application for Federal Assistance Form – SF 424)
- Table of Contents
- Project Abstract
- Budget Summary Form (ED Form 524)
- UB Program Profile
- Assurances and Certifications
- ED GEPA 427

The notice contains specific instructions on page limits.

In the Application Narrative, the applicant should address the selection criteria in the order delineated earlier (A-G) because this is the order in which the Technical Review Form is organized. The Technical Review Form is used by the peer reviewers to evaluate applications.

### **The following guidance may assist you in addressing each of the selection criteria:**

**(A) Need:** There are six sub-criteria in this section. In responding to this criterion, all six sub-criteria must be addressed. Data for each sub-criterion must be addressed for each of the target areas or target schools (if applicable) identified in the application. Note: For Need sub-criterion (1)(i)- The income level of families in the target area is low; an applicant may provide data on (a) a high number or high percentage of low-income families residing in the target area or (b) a high number or percentage of students in the target schools who are eligible for free or reduced priced lunch.

**(B) Objectives:** All applicants must include the six standardized objectives as listed on the UB Program Profile form. On the Profile form, you must fill in the blanks indicating the percentage level of achievement for each of these objectives. **These objectives may not be rewritten, restated or reworded.**

In the Application Narrative, you must address each of the objectives and explain how the objectives are ambitious and attainable. For each of the objectives, applicants should use data to show why the proposed percentage is ambitious as documented in the baseline data and information provided in the “NEED” section of the Application Narrative and attainable based on information provided in the Plan of Operation and the resources available to the project (see criterion a). Applicants may propose additional objectives, but are not required to do so. Applicants will not receive additional points or penalties for proposing additional objectives.

**(C) Plan of Operation:** This criterion contains ten sub-criteria, and applicants must address all ten sub-criteria. This part of the application should provide information on who, what, when and how the project will provide services to meet its goals and objectives. Applicants must also provide information on how it will ensure that sufficient resources are available to effectively and efficiently serve the proposed number of target schools.

As previously noted, the information provided in this section of the application will be assessed based on the quality of the applicant’s response for addressing the identified needs as related to the baseline data provided in the Need section. All of the proposed services and activities should be clearly aligned with the identified needs of the participants to be served in the targeted areas and proposed target schools.

**(D) Applicant and Community Support:** There are two sub-criteria that must be addressed. Applicants should not submit floor plans or letters of support or commitment in the application—this information can be described or summarized as narrative, or in a list, or in a chart. If submitted, these items will count towards the 65-page limit. Applicants must provide information on the tangible commitments and resources to be provided by the applicant and by community partners and should demonstrate in this section how the proposed commitments and support will enable the proposed project to carry out the proposed project plan in the most cost-effective manner possible.

**(E) Quality of Personnel:** Applicants must address each of the three sub-criteria in this section. Applicants should include the minimum qualifications for all project personnel positions which may include type of degree required, acceptable field(s) of study, and minimum amount of work-related experience required for each position. Applicants are not required to submit resumes or job descriptions in the application—but, at a minimum; this information should be described or summarized. The “plan to employ personnel who have succeeded in overcoming barriers similar to the target population to be served” must be specific. The inclusion of an equal employment opportunity statement and/or a non-discriminatory employment practices policy alone is not an adequate response to this criterion.

**(F) Budget and Cost Effectiveness:** In response to this criterion, applicants must provide a detailed, itemized budget narrative for the first-year (2017-2018) budget period, **only**. The budget narrative is to be included in the *Application Narrative (Part III)* to be uploaded into the Grants.gov application. Additional guidance on the standard budget forms is cited in the instructions entitled “First Year Budget and Budget Summary Form (ED Form 524) Instructions” on the following pages. Note: The budget narrative is counted as part of the 65-page limit for Part III.

Applicants should include costs that are related to the [approved] activities proposed in the Plan of Operation section, to the extent in which funds are available. All costs should be necessary to accomplish the proposed project activities, reasonable and allowable as discussed in the UB regulations in 34 CFR part 645.40.

**(G) Evaluation Plan:** A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives based on the program's performance measures. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available. The evaluation plan should indicate what information, provided on a weekly, monthly and annual basis will indicate if the project is developing in a manner that meets its goals and objectives. In addition, the plan should indicate who is responsible for making sure that information is available in a timely manner and is influencing the ongoing management of the project.

Applicants are encouraged to think carefully about evaluation approaches and seek cost-effective evaluation strategies. Applicants are also encouraged to explain how they will work with appropriate agencies to develop strategies for using State longitudinal data systems or other third-party verified data to track the extent to which students enroll in postsecondary education.

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## COMPETITIVE PREFERENCE PRIORITY FOR FY 2017

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Moderate Evidence of Effectiveness (3 points): Applications supported by evidence of effectiveness that meets the conditions set out in the definition of “moderate evidence of effectiveness” in 34 CFR 77.1(c).

The Department views the UB Program as a critical component of its efforts to improve college access and completion for students who have been traditionally underrepresented in postsecondary education by focusing on improving college readiness. To more strategically align UB grants with broader reform strategies intended to improve postsecondary access and completion, the Department has included a competitive preference priority that encourages applicants to propose activities that are supported by moderate evidence of effectiveness (as defined in the notice). The Department is particularly interested in receiving applications that include plans to provide effective services for students that increase the likelihood that students will complete high school and enroll in and complete a program of postsecondary education. The Department is not specifying a particular service such as tutoring or mentoring that must be tied to evidence, but is providing an opportunity for the applicant to decide which statutorily authorized service the project will implement based on available evidence of effectiveness.

To address the priority, an applicant must identify a study that the applicant believes supports the implementation of a specified statutory service proposed in the application and that meets the moderate evidence of effectiveness standard. The Department will review the study cited by the applicant to determine if it meets the requirements for moderate evidence of effectiveness, as well as whether it is sufficiently aligned with the project proposed.

Cited studies may include both those already listed in the Department’s What Works Clearinghouse (WWC) reviewed studies database (see <http://ies.ed.gov/ncee/wwc/ReviewedStudies.aspx>) and those that have not yet been reviewed by the WWC. Studies listed in the WWC reviewed studies database do not necessarily satisfy any or all of the criteria needed to meet the moderate evidence of effectiveness standard. Therefore, it is important that applicants themselves ascertain the suitability of the study for the evidence priority. Competitive preference priority points can only be awarded if the study submitted by the applicant meets the WWC standard for moderate evidence of effectiveness and if the study cited is relevant to the proposed project.

Applicants addressing the competitive preference priority should clearly demonstrate the relevance of the intervention evaluated in the cited study to an intervention outlined for the proposed project activities. Accordingly, applicants should clearly demonstrate how the proposed project activities align with the intervention evaluated in the cited study with sufficient fidelity--including, for example, the extent to which the outcomes or impacts cited in the study relate to the intended outcomes of the proposed project, the extent to which the population of the cited study may be similar to the population receiving services through the project, and the extent to which the cited study examines the effectiveness of the strategy or intervention proposed. Where modifications to the cited intervention will be made to account for student or institution/organizational characteristics, resource limitations, or other special factors, the applicant should provide a justification or basis for the modifications in the narrative response to the priority.

The link(s) for the citation(s) submitted for the competitive preference priority should be provided on the abstract, as well as on the UB Program Profile form. As noted earlier in this application, multiple studies can cumulatively meet the large and multi-site sample requirements

as long as each study meets the other requirements of the moderate evidence of effectiveness definition. Accordingly, applicants addressing the competitive preference priority may submit up to two study citations as long as the studies cited examined the same intervention.

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## INVITATIONAL PRIORITY FOR FY 2017

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The notice includes an invitational priority encouraging applicants to focus on increasing opportunities for students to accumulate postsecondary credits while in high school. Some of these opportunities for postsecondary coursework may be available through dual enrollment programs. Dual enrollment programs allow high school students to enroll in credit-bearing college courses while enrolled in high school. In various forms and under different names, dual enrollment programs exist in all 50 States.

A growing body of research suggests that participation in dual enrollment programs can lead to improved academic outcomes, especially for students from low-income households and first generation college students. Such participation can lead to better grades in high school, increased enrollment in college following high school, greater college credit accumulation, and higher rates of persistence in college.

Applicants addressing the invitational priority should propose a plan designed to increase opportunities for participants to earn postsecondary credits in high school, such as through providing connections to dual enrollment programs.

## **GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)**

### **What is GPRA?**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

### **How has the Department of Education Responded to the GPRA Requirements?**

As required by GPRA, the Department of Education has prepared a strategic plan for 2014-2018. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1: Postsecondary Education, Career and Technical Education, and Adult Education. Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.

Goal 2: Elementary and Secondary Education. Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.

Goal 3: Early Learning. Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3<sup>rd</sup> grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.

Goal 4: Equity. Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.

Goal 5: Continuous Improvement of the U.S. Education System. Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.

Goal 6: U.S. Department of Education Capacity. Improve the organizational capacities of the Department to implement this strategic plan.

### **What are the performance indicators for the UB Program?**

The performance indicators for the Upward Bound Projects are part of the Department's plan for meeting Goal 1. The UB Program is part of the Federal TRIO Programs. The overarching goal of the Federal TRIO Programs is "to increase the percentage of low-income and first generation college students who successfully pursue postsecondary education opportunities."

The specific performance measure for the UB projects is the percentage of UB participants who enroll in and complete postsecondary education.



**How does the Department of Education determine whether performance goals have been met?**

An applicant that receives a grant award will be required to submit annual performance reports as a condition of the award. The reports will document the extent to which project goals and objectives are met.

## INSTRUCTIONS FOR THE BUDGET SUMMARY AND ITEMIZED LINE ITEM BUDGET

**NOTE:** Applicants must submit: (1) budget information that categorizes the requested funds (ED Form 524), **AND** (2) a detailed budget narrative for the first 12-month budget period.

**The budget summary** is to be included on the Budget Information – Non-Construction Programs (ED Form 524).

**The budget narrative, for the first 12-month budget period only**, is to be included in the *Application Narrative* (limited to 65 pages).

This section requests information on the applicant’s financial plan for carrying out the project.

The federal and any non-federal shares are to be included on the Budget Information – Non-Construction Programs (ED Form 524), and in the Budget selection criterion discussion in the *Application Narrative*.

The Department is requesting that you complete the Budget Information – Non-Construction Programs (ED Form 524) for ONLY the 2017-18 year. Please provide **a comprehensive and detailed budget narrative for the first 12-month budget period, only**. **Applicants should place an asterisk next to all budget items that relate to the costs associated with the announced Competitive Preference Priority for FY 2017.**

It is not necessary to provide a budget summary for the total grant period requested. The funding level for the first year is stipulated based on the Maximum Award Section of the notice, and the Department will determine the funding levels for the subsequent years of the grant award.

The Budget Information-Section A – Budget Summary – Non-Construction Programs (ED Form 524) and the Budget Narrative must include all costs that are allowable, reasonable and necessary for carrying out the objectives of the UB Program. Among the costs that may be supported with grant funds are:

1. **Personnel:** On line 1 (ED Form 524), enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff member. You should provide a breakdown of project personnel that includes: the position titles; the percent of time and number of months committed to the project for each key staff member; the salary for each key staff member; and the total salary costs to be charged to the grant.
2. **Fringe Benefits:** On line 2 (ED Form 524), enter the amount of fringe benefits. The institution or agency’s normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the institution or agency’s normal fringe benefit contribution exceeds 20 percent of salaries.

3. Travel: On line 3 (ED Form 524), provide the costs for project personnel. [Consultants' travel should be included on line 8.] In the budget, you should detail the proposed travel costs: for each trip explain the purpose and objective of the travel and provide the number of persons traveling. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution or agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution or agency rate is permitted when an individual is away from home overnight on official project business (see Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Programs- §200.474). No foreign travel will be authorized under the grant.

The Federal TRIO Programs have developed the following guidelines for recommending approval of travel. All travel must be related to the project's overall purpose and proposed activities.

- Project Director's Travel – Per Year
    - A. One National Conference;  
One Regional Meeting;  
One State Meeting; **and**
    - B. Travel for participation in **one** professional staff development training opportunity under the TRIO Training Program.
  - Full-time Professional Staff Travel – Per Year
    - A. One National, Regional, **or** State Meeting; **and**
    - B. Travel for participation in **one** professional staff development training opportunity under the TRIO Training Program.
4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of \$5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.
5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget, provide an itemized list of the supplies.
6. Contractual: Not applicable. Leave blank.
7. Construction: Not applicable. Leave blank.
8. Other: On line 8 (ED Form 524), indicate all direct costs not covered on lines 1 through 5. The costs/fees for consultants and consultants' travel should be included here.

Examples of “other” costs are: equipment rental, required fees, communication costs, rental of space, utilities, custodial services, and printing costs. In the budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

Consultants: If the project proposes to use consultants, identify the consultants who will work on the project, the scope of work to be performed by each consultant, and justify why project personnel cannot perform this work. Also, provide a detailed breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional or agency policies.

9. Total Direct Costs: On line 9 (ED Form 524), provide the total direct costs requested – the sum of lines 1 through 8.
10. Indirect Costs: On line 10 (ED Form 524), provide the amount of indirect costs that you propose to charge against the grant.

All grants awarded under the Upward Bound Program. (84.047A) are designated as training grants. The Education Department General Administrative Regulations (EDGAR) limit reimbursement to grantees for indirect costs they incur under training grants to the grantee’s actual indirect costs as determined by the grantee’s negotiated indirect cost agreement or a maximum of 8 percent of a modified total direct cost base, **whichever is less**. (NOTE: This limitation does not apply to State agencies, or local governments, or federally recognized Indian tribal governments. [§75.562(c) (2)])

A **modified total direct cost base** is defined as total direct costs less, training stipends, tuition and related fees, and capital expenditures of \$5,000 or more per unit. Therefore, calculations of indirect costs may not include these costs.

Grantees charging indirect costs to a Department grant are required to have a negotiated rate with their *cognizant agency* (i.e., either the Federal agency from which it has received the most direct funding that is subject to indirect cost support, or a particular agency specifically assigned cognizance by the Office of Management and Budget). Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8 percent rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect cost rate is at least 8 percent [§75.563(d)]. In the event that they receive an award under this program, applicants without a negotiated indirect cost rate with its cognizant agency should seek to identify that agency and contact it to obtain an approved rate as soon as possible after award notification.

Applicants should be aware that amounts representing the difference between the 8 percent rate and a greater indirect cost rate negotiated with a cognizant agency may **not**

be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [§75.563(c) (3)]

11. Training Stipends: Provide the cost for student stipends.
12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting – the sum of lines 9 and 10. Note: This amount should also be the same as that shown in field 18g on the application face sheet (SF 424) and on the detailed budget narrative in Part III.

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## INSTRUCTIONS FOR STANDARD FORMS

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- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Form for the SF 424
- Department of Education Budget Summary Form (ED 524)
- Disclosure of Lobbying Activities (SF-LLL)
- GEPA Statement

## INSTRUCTIONS FOR THE SF-424

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (\*) and are also specified as “Required” in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item	Entry:
1.	<p><b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<p><b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.</p>
		11.	<p><b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
2.	<p><b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p style="margin-left: 20px;">A. Increase Award                      D. Decrease Duration B. Decrease Award                      E. Other (specify) C. Increase Duration</p>	12.	<p><b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
		13.	<p><b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.</p>
		14.	<p><b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.</p>
3.	<p><b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>	15.	<p><b>Descriptive Title of Applicant’s Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.</p>
4.	<p><b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.</p>		
5a.	<p><b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.</p>	16.	<p><b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant’s congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina’s 103 district. If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by</p>
5b.	<p><b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.</p>		
6.	<p><b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.</p>		
7.	<p><b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if</p>		

	applicable.		programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.														
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:																
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.														
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.														
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.														
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.														
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)														
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District			
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	H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)		
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**[U.S Department of Education note:** As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: [http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp).]

## **Instructions for U.S. Department of Education Supplemental Information for the SF-424**

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (\*) are mandatory.

**2. Novice Applicant.** Check “Yes” if you meet the definition for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424”). By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the definition for novice applicants.

This novice applicant information will be used by ED to: 1) determine the amount and type of technical assistance that a novice might need, if funded, and 2) determine novice applicant eligibility in discretionary grant competitions that give special consideration to novice applications. Certain ED discretionary grant programs give special consideration to novice applications, either by establishing a special competition for novice applicants or by giving competitive preference to novice applicants under the procedures in 34 CFR 75.105(c)(2). If special consideration is being given to novice applications under a particular discretionary grant competition, the application notice for the competition published in the Federal Register will specify this information

**3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”)

**3a. If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**3a. If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for U.S. Department of Education Supplemental Information for SF-424.”)

**3b. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Check the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

**3b. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

**3b. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide Assurance (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. **(A list of current FWAs is available at: <http://ohrp.cit.nih.gov/search/search.aspx?styp=bsc>)** If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**3c.** If applicable, please attach your “Exempt Research” or “Nonexempt Research” narrative to your submission of the U.S Department of Education Supplemental Information for the SF-424 form as instructed in item II, “Instructions for Exempt and Nonexempt Human Subjects Research Narratives” in the attached page entitled “Definitions for U.S. Department of Education Supplemental Information for the SF-424.”

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**No covered human subjects research can be conducted until the study has ED clearance for protection of human subjects in research.**

**Public Burden Statement:**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 3474 General Education Provisions Act). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0007. Note: Please do not return the completed ED SF 424 Supplemental Form to this address.

## Definitions for U.S. Department of Education Supplemental Information for the SF-424

### Definitions:

#### Novice Applicant (See 34 CFR 75.225)

For discretionary grant programs, novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some

demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be **directly or indirectly** linked to that individual), the definition of human subject is met [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]*

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.***

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the

subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed.***

***Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. ***[This exemption applies only to retrospective studies using data collected before the initiation of the research.]***

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs. ***[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by the Social Security Administration and some Federal welfare benefits programs.]***

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 3.b. of the U.S. Department of Education Supplemental Information for the SF 424, the applicant must attach a human subjects "exempt research" or "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424 form. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 3.b. and designated exemption numbers(s), attach the "exempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked "No" for item 3.b. you must attach the "nonexempt research" narrative to the U.S. Department of Education Supplemental Information for the SF-424. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### **(1) Human Subjects Involvement and**

**Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the

provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

***Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4331, telephone: (202) 245-8090, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:  
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>***

NOTE: The **State Applicant Identifier** on the SF-424 is for State Use only. Please complete it on the SF-424 in the upper right corner of the form (if applicable).

# Instructions for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

You must consult with your Business Office prior to submitting this form.

## Section A - Budget Summary

### U.S. Department of Education Funds

All applicants must complete Section A and provide a break-down by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34

## Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

## Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at:  
<http://www.whitehouse.gov/omb/circulars/index.html>]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some

direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary.

#### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0008. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.



## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.
- (4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

**Estimated Burden Statement for GEPA Requirements**

**According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.**

**URANCES - NON-  
CONSTRUCTION PROGRAMS**

## APPLICATION CHECKLIST

Use This Checklist While Preparing Your Application Package: All items listed on this checklist are required.

Part I - Application for Federal Assistance - (SF 424)

Part I - Department of Education Supplemental Information for SF 424

Part II - Department of Education Budget Summary Information – Non-Construction Programs (ED Form 524) – Sections A & B

Part III - *Application Narrative*- The total page limit for the application narrative portion of the application for the FY 2017 UB competition is 65 pages. However, those addressing the competitive preference priority may include up to four additional pages and those addressing the invitational priority may include up to two additional pages, in a separate section of the application submission to discuss how the application meets the priorities. Attach the *Application Narrative* document to the Project Narrative Attachment Form in the Grants.gov application.

Part III - Other Attachments - *UB Program Profile*

*UB Program Assurances*

*Competitive Preference Priority Narrative*

*Invitational Priority Narrative*

Attach each of these documents to the Other Attachments Form in the Grants.gov application.

Part III - ED Abstract - *one-page limit* -- Attach this document to the ED Abstract Form in the Grants.gov application. This one-page abstract, which may be single-spaced, will not count against the 65 pages you are allowed for your response to the selection criteria.

Part IV - Assurances, Certifications, and Survey

GEPA Section 427 Requirement

Assurances – Non-Construction Programs (SF 424B)

Lobbying Form (Formerly ED Form 80-0013)

Disclosure of Lobbying Activities (SF LLL)

**NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the Grants.gov Attachment Forms listed above.**

## **PAPERWORK BURDEN STATEMENT**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 33 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Title IV, Part A, Subpart 2 Section 402A of the Higher Education Act of 1965, as amended (HEA) and 34 CFR part 645 UB Program for Federal TRIO Programs). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to [regulations.gov](http://regulations.gov) during the public comment period for this collection of information. If you have specific questions about the form, instrument or survey, please contact Student Service, U.S. Department of Education, 400 Maryland Avenue, SW, Room 5E103, Washington, DC 20202. Telephone: (202) 453-7700 or by e-mail: [TRIO@ed.gov](mailto:TRIO@ed.gov).