

**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 2022  
APPLICATION FOR GRANTS  
UNDER THE  
VETERANS UPWARD BOUND PROGRAM**

**ALN: 84.047V**

**FORM APPROVED**

OMB No. 1840-0823, Expiration Date: **XX/XX/XXXX**



**DATED MATERIAL – OPEN IMMEDIATELY**

**CLOSING DATE: **XX/XX/XXXX****

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## TABLE OF CONTENTS

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Dear Applicant Letter.....	3
Competition Highlights.....	5
Overview.....	7
Grants.gov Submission Procedures And Tips for Applicants.....	9
Application Transmittal Instructions.....	13
Notice Inviting Applications for New Awards.....	15
Authorizing Legislation.....	45
Veterans Upward Bound Program Regulations.....	46
Annual Low-Income Levels.....	74
Intergovernmental Review of Federal Programs.....	75
Supplemental Information.....	76
Veterans Upward Bound Program Profile Form.....	80
Veterans Upward Bound Program Assurances.....	83
Prior Experience.....	84
<b>INSTRUCTIONS</b>	
Instructions for Completing the Application Package.....	87
Instructions for Application Narrative-Selection Criteria.....	89
Competitive Preference Priority for FY 2022.....	93
Government Performance and Results Act (GPRA) .....	95
Instructions for Budget Summary Form & Itemized Budget.....	96
Instructions for Standard Forms.....	100
Application Checklist.....	116
Paperwork Burden Statement.....	117



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

Date: XX/XX/XXXX

Dear Applicant:

Thank you for your interest in applying for a grant under the Veterans Upward Bound (VUB) Program. We are pleased to provide the application package for the fiscal year (FY) 2022 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 VUB Program is to support projects designed to prepare, motivate, and assist military veterans in the development of academic and other skills necessary for acceptance into and success 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 2022 VUB competition. You should review the entire application package carefully before preparing and submitting your application. Information on the VUB Program is also accessible on the Department’s website at:

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

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 (NIA) published in the Federal Register. Grants.gov is accessible through its portal page at <http://www.Grants.gov>.

This year’s competition includes three competitive preference priorities. For the competitive priorities, applicants may receive up to nine additional points depending on how well the application meets the priorities. For more information on the competitive preference priorities, selection criteria, and other program and competition details, please refer to the NIA for the FY 2022 competition in the Federal Register.

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 Notice published in the Federal Register is the official document describing the requirements for applying for a VUB grant. 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 VUB. We look forward to receiving your application. For further information regarding the VUB Program and competition, please contact Kenneth Foushee at (202) 453-7417 or via email: [Kenneth.Foushee@ed.gov](mailto:Kenneth.Foushee@ed.gov).

Sincerely,

/s/

Michelle Asha Cooper, Ph.D.  
Deputy Assistant Secretary for Higher Education Programs,  
Delegated the Authority to Perform the Functions and Duties of the Assistant Secretary,  
Office of Postsecondary Education

## COMPETITION HIGHLIGHTS

1. **Veterans Upward Bound (VUB) Program applications for FY 2022 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 2022. If you think you may need an exception, you are urged to review the requirements promptly.

**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.**

2. 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 11:59:59 p.m. (Eastern 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 Notice for FY 2022 and qualify for one of the exceptions to the electronic submission requirement.
5. We recommend that you limit the application narrative, which includes the budget narrative, to the equivalent of no more than 65 pages.
6. **All attachments must be in Portable Document Format (PDF) or Microsoft Word. Other types of files will not be accepted.** We highly recommend that all attachments are in PDF format. You must provide the DUNS number that was used when your organization registered with the System for Award Management (SAM).

**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 “U.S. Department of Education Grants.gov 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 standardized tests, education program retention and completion, postsecondary enrollment, and postsecondary completion, as stated on the VUB 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 VUB Program applications to serve different target areas.
10. All applicants must complete the VUB Program Profile Form. The VUB Program Profile Form contains four 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.
11. 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.
12. Information on the VUB Program is accessible at the Department’s website at:

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

## **OVERVIEW**

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

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.

# GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

01/2022

## IMPORTANT – PLEASE READ FIRST

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.

### Browser Support

The latest versions of Microsoft Internet Explorer (IE), Mozilla Firefox, Google Chrome, and Apple Safari are supported for use with Grants.gov. However, these web browsers undergo frequent changes and updates, so we recommend you have the latest version when using Grants.gov. Legacy versions of these web browsers may be functional, but you may experience issues. Grants.gov no longer provides support for Microsoft Internet Explorer 9 or below.

- (a) For additional information or updates, please see the Grants.gov Browser information in the Applicant FAQs: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html#browser>.

### ATTENTION – Workspace, Adobe Forms and PDF Files

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

- 1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
  - a. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.  
NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.
  - b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
  - c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and UEI Number. Once it is completed, the information will transfer to the other forms.

- 3) **Submit a Workspace:** An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- 4) **Track a Workspace Submission:** After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to <https://www.grants.gov/web/grants/applicants/applicant-training.html>.

### Helpful Reminders

- 1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM ([www.sam.gov](http://www.sam.gov)), which usually takes approximately 7 to 10 business days, but can take longer, depending on 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.]

Until April 3, 2022, entities that are not already registered in SAM.gov and who wish to do business with the Federal Government must obtain and/or use a valid Data Universal Numbering System number (DUNS) to register their entity in SAM.gov. On and after April 4, 2022, entities that are not registered in SAM.gov will be assigned a Unique Entity Identifier (UEI) when they register and will not need to use a DUNS for entity registration or reporting. If registering before April 4, 2022, you can obtain a DUNS number from Dun and Bradstreet at the following website: <http://fedgov.dnb.com/webform>. A DUNS number can be created within one to two business days.

Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with registering in SAM or updating your existing SAM registration, see the [Quick Start Guide for Grant Registrations](#) and the Entity Registration Video at <https://sam.gov/content/entity-registration>.

- 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 11:59:59 p.m. Eastern Time on the deadline date.

**Note: If you registered in SAM prior to April 4, 2022, and submit your application before April 4, 2022, 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 in SAM. If you do not include the same DUNS number assigned by SAM on your application as the DUNS you registered with, Grants.gov will reject your application.**

**To submit successfully beginning on April 4, 2022, you must provide the UEI on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This UEI is assigned to your organization in SAM at the time your organization registers in SAM, when that registration occurs after April 4, 2022. If you do not enter the UEI assigned by SAM on your application, 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 11:59:59 p.m. Eastern 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 11:59:59 p.m. Eastern 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/encountering-error-messages.html>. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.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.

### **Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or email at: <mailto:support@grants.gov> or access the Grants.gov Self-Service Knowledge Base web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

If electronic submission is required, you must submit an electronic application before 11:59:59 p.m. Eastern Time, 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. 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. (See the Federal Register notice for detailed instructions.)

### **Helpful Hints When Working with Grants.gov**

Please go to <http://www.grants.gov/web/grants/support.html> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Applicant FAQs found at this Grants.gov link: <http://www.grants.gov/web/grants/applicants/applicant-faqs.html> as well as additional information on Workspace at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html#workspace>.

### **Dial-Up Internet Connections**

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.)

### **Attaching Files – Additional Tips**

Please note the following tips related to attaching files to your application:

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.
- 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.
- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
- 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 with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

## APPLICATION TRANSMITTAL INSTRUCTIONS

Application Submission Instructions: Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs (Common Instructions), published in the *Federal Register* on December 27, 2021 (86 FR 73264). Please note that these Common Instructions supersede the version published on February 13, 2019. The Common Instructions contain requirements and information on how to submit an application. These instructions may be found at: <https://www.govinfo.gov/content/pkg/FR-2021-12-27/pdf/2021-27979.pdf>.

**It is important to note that the Department of Education requires the electronic submission of applications and only allows paper submission by mail if electronic submission is not possible (e.g., you do not have access to the internet). Applicants requesting and qualifying for an exception to the electronic submission requirement must follow the guidance provided in the Common Instructions.**

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

### **Electronic Submission of Applications:**

**You must submit your grant application through the Internet using the software provided on the Grants.gov Web site ([www.grants.gov](http://www.grants.gov)) by 11:59:59 p.m., Eastern 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 Grants.gov information found in this application package and visit [www.grants.gov](http://www.grants.gov).

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

If you qualify for an exemption to the electronic submission requirement and 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  
OFO/G5 Functional Application Team  
Mail Stop 5C231  
Attention: ALN 84.047V  
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.”

**Note for Mailing of Paper Applications:**

If you mail 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 Assistance Listing Number (ALN), 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.

**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; Veterans Upward Bound Program

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

SUMMARY: The Department of Education (Department) is issuing a notice inviting applications for new awards for fiscal year (FY) 2022 for the Veterans Upward Bound (VUB) Program, Assistance Listing Number 84.047V. This notice relates to the approved information collection under OMB control number 1840-0823.

DATES:

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

Deadline for Transmittal of Applications: [INSERT DATE 45 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE 105 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

ADDRESSES: For the addresses for obtaining and submitting an application, please refer to our Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on December 27, 2021



(86 FR 73264) and available at [www.federalregister.gov/d/2021-27979](http://www.federalregister.gov/d/2021-27979). Please note that these Common Instructions supersede the version published on February 13, 2019, and, in part, describe the transition from the requirement to register in SAM.gov a Data Universal Numbering System (DUNS) number to the implementation of the Unique Entity Identifier (UEI). More information on the phase-out of DUNS numbers is available at <https://www2.ed.gov/about/offices/list/fo/docs/unique-entity-identifier-transition-fact-sheet.pdf>.

FOR FURTHER INFORMATION CONTACT: Kenneth Foushee, U.S. Department of Education, 400 Maryland Avenue, SW, room 2C221, Washington, DC 20202-4260. Telephone: (202) 453-7417. Email: [Kenneth.Foushee@ed.gov](mailto:Kenneth.Foushee@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.

**SUPPLEMENTARY INFORMATION:**

Full Text of Announcement

**I. Funding Opportunity Description**

Purpose of Program: The Upward Bound (UB) Program is one of the seven programs collectively 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 enter into and succeed in a program of postsecondary education. There are three types of grants under the UB Program: UB; VUB; and UB Math and Science. In this notice we invite applications for VUB grants only. The invitation to apply for UB grants was published in the Federal Register on December 16, 2021, and is available at <https://www.federalregister.gov/documents/2021/12/16/2021-27235/applications-for-new-awards-upward-bound-program>. We will invite applications for UB Math and Science grants in a separate notice.

The VUB Program supports projects designed to prepare, motivate, and assist military veterans in the development of academic and other skills necessary for acceptance into and success in a program of postsecondary education.

VUB grantees are required to provide the services listed in section 402C(b) and (c) of the Higher Education Act of 1965, as amended (HEA) (20 U.S.C. 1070a-13(b), (c)). Permissible services under the VUB Program are specified in section 402C(d) of the HEA (20 U.S.C. 1070a-13(d)).

Priorities: This notice contains three competitive preference priorities. Competitive Preference Priority 1 is from the Secretary's Notice of Administrative Priorities for Discretionary Grant Programs, published in the *Federal Register* on March 9,

2020 (85 FR 13640) (Administrative Priorities). Competitive Preference Priorities 2 and 3 are from the Secretary's Supplemental Priorities and Definitions for Discretionary Grant Programs, published in the *Federal Register* on December 10, 2021 (86 FR 70612) (Supplemental Priorities).

Note: Applicants must include in the one-page abstract submitted with the application an indication of which, if any, competitive preference priorities are addressed. If the applicant has addressed one or more of the competitive preference priorities, this information must also be listed on the VUB Program Profile Form.

Competitive Preference Priorities: For FY 2022 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award up to an additional nine points to an application, depending on how well the application meets the priorities.

These priorities are:

Competitive Preference Priority 1: Applications that Demonstrate a Rationale (Up to 3 points).

Under this priority, an applicant proposes a project that demonstrates a rationale (as defined in this notice).

Note: A list of evidence-based practices that are relevant to

the VUB Program is available at <https://www2.ed.gov/programs/triovub/applicant.html>. This list is not exhaustive. Additional information regarding What Works Clearinghouse practice guides and intervention reports that could also be relevant is posted on the Department's website at [www.ies.ed.gov/ncee/wwc](http://www.ies.ed.gov/ncee/wwc).

Competitive Preference Priority 2: Meeting Student Social, Emotional, and Academic Needs (Up to 3 points).

Projects that are designed to improve students' social, emotional, academic, and career development, with a focus on underserved students, through the following priority areas:

(a) Developing and supporting educator and school capacity to support social and emotional learning and development that is trauma-informed, such as addressing exposure to community-based violence and trauma specific to military- or veteran-connected students (as defined in this notice); and

(b) Creating education or work-based settings that are supportive, positive, identify-safe and inclusive with regard to race, ethnicity, culture, language, and disability status, through developing trusting relationships between students (including underserved students), educators, families, and community partners.

Note: Because the VUB Program supports students and not the professional development of educators, applicants should address supports for students only.

Competitive Preference Priority 3: Strengthening Cross-Agency Coordination and Community Engagement to Advance Systemic Change (Up to 3 points).

Projects that are designed to take a systemic evidence-based approach to improving outcomes for underserved students by establishing cross-agency partnerships, or community-based partnerships with local nonprofit organizations, businesses, philanthropic organizations, or others, to meet family well-being needs.

Definitions: The definitions below are from 34 CFR 77.1, the Supplemental Priorities, and the UB regulations at 34 CFR 645.6.

Demonstrates a rationale means a key project component included in the project's logic model is informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes.

Evidence-based means the proposed project component is supported by evidence that demonstrates a rationale.

Logic model (also referred to as theory of action) means a framework that identifies key components of the proposed project, product (*i.e.*, the active “ingredients” that are hypothesized to

be critical to achieving the relevant outcomes) and describes the theoretical and operational relationships among the key project components and relevant outcomes.

Note: In developing logic models, applicants may want to use resources such as the Regional Educational Laboratory Program's (REL Pacific) Education Logic Model Application, available at <https://ies.ed.gov/ncee/edlabs/regions/pacific/elm.asp>. Other sources include:

[https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL\\_2014025.pdf](https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL_2014025.pdf),

[https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL\\_2014007.pdf](https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL_2014007.pdf), and

[https://ies.ed.gov/ncee/edlabs/regions/northeast/pdf/REL\\_2015057.pdf](https://ies.ed.gov/ncee/edlabs/regions/northeast/pdf/REL_2015057.pdf).

Military- or veteran-connected student means a student who is a member of the uniformed services, a veteran of the uniformed services, or the spouse of a service member or veteran.<sup>1</sup>

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<sup>1</sup> In accordance with the VUB regulations, "military- and veteran-connected student" is limited to those who qualify as "veterans" under 34 CFR 645.6(b), namely "a person who -

- (1) Served on active duty as a member of the Armed Forces of the United States for a period of more than 180 days and was discharged or released under conditions other than dishonorable;
- (2) Served on active duty as a member of the Armed Forces of the United States and was discharged or released because of a service connected disability;
- (3) Was a member of a reserve component of the Armed Forces of the United States and was called to active duty for a period of more than 30 days; or
- (4) Was a member of a reserve component of the Armed Forces of the United States who served on active duty in support of a contingency operation (as that term is defined in section 101(a)(13) of title 10,

Project component means an activity, strategy, intervention, process, product, practice, or policy included in a project. Evidence may pertain to an individual project component or to a combination of project components (e.g., training teachers on instructional practices for English learners and follow-on coaching for these teachers).

Relevant outcome means the student outcome(s) or other outcome(s) the key project component is designed to improve, consistent with the specific goals of the program.

Underserved student means a student in one or more of the following subgroups:

(a) A student who is living in poverty or is served by schools with high concentrations of students living in poverty.

(b) A student experiencing homelessness or housing insecurity.

(c) A student who is the first in their family to attend postsecondary education.

(d) A student who is enrolled in or is seeking to enroll in postsecondary education who is eligible for a Pell Grant.

Application Requirements: The following application requirements for FY 2022 are from section 402C(e) of the HEA (20 U.S.C. 1070a-13(e)) and the program regulations at 34 CFR 645.21.

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United States Code) on or after September 11, 2001." 34 CFR 645.6(b).

An applicant must submit the following, as part of the application-

(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.

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

Note: Projects will be awarded and must be operated in a manner consistent with the nondiscrimination requirements contained in Federal civil rights laws.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 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. (e) The Administrative Priorities. (f) The Supplemental Priorities.

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 \$1,297,761,000 for the Federal TRIO Programs for FY 2022, of which we intend to use an estimated \$19,288,880 for the VUB Program. 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 the Federal TRIO Programs.

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

Estimated Range of Awards: \$287,537-\$460,000.

Estimated Average Size of Awards: \$373,768.

Maximum Award: The maximum award varies based on whether the applicant is currently receiving a VUB Program grant, as well as the number of participants served.

- For an applicant that is not currently receiving a VUB Program grant, the maximum award amount is \$287,537, based upon a per-participant cost of no more than \$2,300 and a minimum of 125 participants.

- For an applicant that is currently receiving a VUB Program grant, the maximum award amount is equal to the applicant's base award amount for FY 2021, and the minimum number of participants is the number of participants in the project's FY 2021 grant award notification.

Estimated Number of Awards: 60.

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; organizations, including community-based organizations with experience in serving disadvantaged youth; secondary schools; and combinations of such institutions, agencies, and organizations.

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

3. Indirect Cost Rate Information: This program uses a training indirect cost rate. This limits indirect cost reimbursement to an entity's actual indirect costs, as determined in its negotiated indirect cost rate agreement, or eight percent of a modified total direct cost base, whichever amount is less. For more information regarding training indirect cost rates, see 34 CFR 75.562. For more information regarding indirect costs, or to obtain a negotiated indirect cost rate, please see [www2.ed.gov/about/offices/list/ocfo/intro.html](http://www2.ed.gov/about/offices/list/ocfo/intro.html).

4. Administrative Cost Limitation: This program does not include any program-specific limitation on administrative expenses. All administrative expenses must be reasonable and necessary and conform to Cost Principles described in 2 CFR part 200 subpart E of the Uniform Guidance.

5. Subgrantees: A grantee under this competition may not award subgrants to entities to directly carry out project activities described in its application.

6. Other: An applicant may submit more than one application for a VUB Program grant so long as each application describes a project that serves a different target area (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)). The term “target area” is defined as a discrete local or regional geographical area served by a project (34 CFR 645.6(b)).

#### IV. Application Submission Information

1. Application Submission Instructions: Applicants are required to follow the Common Instructions for Applicants to Department of Education Discretionary Grant Programs, published in the *Federal Register* on December 27, 2021 (86 FR 73264) and available at [www.federalregister.gov/d/2021-27979](http://www.federalregister.gov/d/2021-27979), which contain requirements and information on how to submit an application. Please note that these Common Instructions supersede the version published on February 13, 2019, and, in part, describe the transition from the requirement to register in SAM.gov a DUNS number to the implementation of the UEI. More information on the phase-out of DUNS numbers is available at <https://www2.ed.gov/about/offices/list/fo/docs/unique-entity-identifier-transition-fact-sheet.pdf>.

2. 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.

3. 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.

4. Recommended Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We recommend that you (1) limit the application narrative, which includes the budget narrative, to no more than 65 pages and (2) use the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

- Double space (no more than three lines per vertical inch) all text in the application narrative, excluding titles, headings, footnotes, quotations, references, and captions as well as all text in charts, tables, figures, and graphs, which may be single-spaced.

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

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

The recommended page limit does not apply to the cover

sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract. However, the recommended page limit does apply to all of the application narrative. We recommend that any application addressing the competitive preference priorities include no more than three additional pages for each priority, for a total of up to nine additional pages for the competitive preference priorities if the three competitive preference priorities are addressed.

#### V. Application Review Information

1. Selection Criteria: The following selection criteria are from 34 CFR 645.31.

We will award up to 100 points to an application under the selection criteria and up to 9 additional points to an application under the competitive preference priorities, for a total score of up to 109 points. The maximum number of points available for each criterion is indicated in parentheses.

(a) Need for the project. (Up to 24 points). The Secretary evaluates the need for a VUB 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; (Up to 6 points)

(ii) A large number of veterans who reside in the target area are low income and potential first-generation college students; (Up to 6 points)

(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; (Up to 6 points) and

(iv) Other indicators of need for a VUB project, including the presence of unaddressed academic or socio-economic problems of veterans in the area. (Up to 6 points)

(b) Objectives. (Up to 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 selection criterion (a), and attainable, given the project's plan of operation, budget, and other resources:

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

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

(iii) Postsecondary enrollment (3 points); and

(iv) Postsecondary completion (1 point).

(c) Plan of operation. (Up to 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 (Up to 3 points);

(2) The plan for identifying, recruiting, and selecting participants to be served by the project (Up to 3 points);

(3) The plan for assessing individual participant needs and for monitoring the academic progress of participants while they are in VUB (Up to 3 points);

(4) The plan for locating the project within the applicant's organizational structure (Up to 3 points);

(5) The curriculum, services and activities that are planned for participants in both the academic year and summer components (Up to 3 points);

(6) The planned timelines for accomplishing critical elements of the project (Up to 3 points);

(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 (Up to 3 points);



(8) The applicant's plan to use its resources and personnel to achieve project objectives and to coordinate the VUB project with other projects for disadvantaged students (Up to 3 points);

(9) The plan to work cooperatively with parents and key administrative, teaching, and counseling personnel at the target schools to achieve project objectives (Up to 3 points); and

(10) A follow-up plan for tracking graduates of VUB as they enter and continue in postsecondary education (Up to 3 points).

(d) Applicant and community support. (Up to 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 (Up to 8 points).

(2) Resources secured through written commitments from community partners (Up to 8 points).

(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 application 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. (Up to 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 (Up to 3 points);

(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 (Up to 3 points); and

(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 (Up to 2 points).

(f) Budget and cost effectiveness. (Up to 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 (Up to 3 points); and

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

(g) Evaluation plan. (Up to 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 (Up to 4 points); and

(2) Examine in specific and measurable ways the success of the project in making progress toward achieving its process and outcomes objectives (Up to 4 points).

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 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. The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the average peer reviewer 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 VUB Program project during budget periods 2017-18, 2018-2019, 2019-20, and 2020-21, based on their documented experience. Prior experience points, if any, will be added to the application's averaged 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 in which there is a significant concentration of veterans, that have been underserved by the VUB program, in accordance with 34 CFR 645.30(c) and the

following procedures. The Secretary will identify and recommend an award for--

- First, applicants in the funding band that are located within a Congressional District (a) that did not have a VUB project during the prior grant cycle and (b) that have the highest percentage of veterans among the general population of their district. If this first tie-breaker provision exhausts available funds, then no further action is taken.
- Second, the remaining applicants in the funding band that have the highest percentage of veterans among the general population of their district.

Note: In applying the tie-breaker criteria, the Department will use the most current data available. With respect to Congressional Districts and percentages of veterans among the general population within Congressional Districts, the most recent available data from the National Center for Veterans Analysis and Statistics Veterans Population Tables for Congressional Districts is for the 116th Congress. Therefore, the geographical boundaries used for the tie-breaker are drawn from the 116th Congress.

3. Risk Assessment and Special Conditions: Consistent with 2 CFR 200.206, before awarding grants under this program the

Department conducts a review of the risks posed by applicants. Under 2 CFR 200.208, the Secretary may impose special conditions and, under 2 CFR 3474.10, 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 \$250,000), under 2 CFR 200.206(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 the System for Award Management (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.

5. In General: In accordance with the Office of Management and Budget's guidance located at 2 CFR part 200, all applicable Federal laws, and relevant Executive guidance, the Department will review and consider applications for funding pursuant to this notice inviting applications in accordance with--

(a) Selecting recipients most likely to be successful in delivering results based on the program objectives through an objective process of evaluating Federal award applications (2 CFR 200.205);

(b) Prohibiting the purchase of certain telecommunication and video surveillance services or equipment in alignment with section 889 of the National Defense Authorization Act of 2019 (Pub. L. No. 115-232) (2 CFR 200.216);

(c) Providing a preference, to the extent permitted by law, to maximize use of goods, products, and materials produced in the United States (2 CFR 200.322); and

(d) Terminating agreements in whole or in part to the greatest extent authorized by law if an award no longer effectuates the program goals or agency priorities (2 CFR 200.340).

## 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. Open Licensing Requirements: Unless an exception applies, if you are awarded a grant under this competition, you will be required to openly license to the public grant deliverables created in whole, or in part, with Department grant funds. When the deliverable consists of modifications to pre-existing works, the license extends only to those modifications that can be separately identified and only to the extent that open licensing is permitted under the terms of any licenses or other legal restrictions on the use of pre-existing works. Additionally, a grantee or subgrantee that is awarded competitive grant funds must have a plan to disseminate these public grant deliverables. This dissemination plan can be developed and submitted after your application has been reviewed and selected for funding. For additional information on the open licensing requirements please refer to 2 CFR 3474.20.

4. 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).

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

(a) The percentage of VUB participants who enrolled in a program of postsecondary education;

(b) The percentage of former VUB participants who enrolled in a program of postsecondary education and who attained either an associate's degree within three years or a bachelor's degree within six years;

(c) The percentage of former VUB participants who enrolled in a program of postsecondary education and who in the first year

of the program placed into college-level math and English without the need for remediation; and

(d) The percentage of former VUB participants who enrolled in a program of postsecondary education and graduated on time-- within four years for a bachelor's degree and within two years for an associate's degree.

All VUB Program grantees will be required to submit APRs.

6. 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 measurement requirements, whether the grantee has made substantial progress in achieving the performance targets in the grantee's approved application.

In making a continuation award, 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. Other Information

Accessible Format: On request to the program contact person listed under FOR FURTHER INFORMATION CONTACT, individuals with disabilities can obtain this document and a copy of the application package in an accessible format. The Department will provide the requestor with an accessible format that may include Rich Text Format (RTF) or text format (txt), a thumb drive, an MP3 file, braille, large print, audiotape, or compact disc, or other accessible format.

Electronic Access to This Document: The official version of this document is the document published in the *Federal Register*. You may access the official edition of the *Federal Register* and the Code of Federal Regulations at [www.govinfo.gov](http://www.govinfo.gov). 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 Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the 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 search feature at this site, you can limit your search to documents published by the Department.

Dated:

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Michelle Asha Cooper,  
*Deputy Assistant Secretary for Higher  
Education Programs  
Delegated the Authority to Perform the  
Functions and Duties of the Assistant  
Secretary, Office of Postsecondary Education.*

## **AUTHORIZING LEGISLATION**

The Veterans 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 VUB webpage—Laws, Regulations, and Guidance at the following address:  
<http://www2.ed.gov/programs/triovub/index.html>.

The final Upward Bound 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?
- § 645.15 What additional services may Veterans Upward Bound projects provide?

##### **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 Veterans Upward Bound 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 13, 2021** 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>	\$19,320	\$24,135	\$22,230
<b>2</b>	\$26,130	\$32,655	\$30,060
<b>3</b>	\$32,940	\$41,175	\$37,890
<b>4</b>	\$39,750	\$49,695	\$45,720
<b>5</b>	\$46,560	\$58,215	\$53,550
<b>6</b>	\$53,370	\$66,735	\$61,380
<b>7</b>	\$60,180	\$75,255	\$69,210
<b>8</b>	\$66,990	\$83,775	\$77,040

For family units with more than eight members, add the following amount for each additional family member: \$6,810 for the 48 contiguous states, the District of Columbia, and outlying jurisdictions; \$8,520 for Alaska; and \$7,830 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 2021 poverty guidelines are in effect as of January 13, 2021. Federal Register notice was published February 01, 2021.

## INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372

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:

<https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf>.

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--ALN 84.047V, 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.***

## SUPPLEMENTAL INFORMATION

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

### 1. **Estimated Funding**

- Estimated Available Funds for FY 2022: \$19,288,880
- Estimated Range of Awards: \$287,537-\$460,000
- Estimated Average Size of Awards: \$373,768
- Estimated Number of New Awards: 60
- 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:

<https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf>.

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

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

### 4. **VUB Program Assurances**

All applications must comply with the VUB 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 a VUB Program application, an applicant certifies that it has read the assurances and will fully comply with the requirements.

### 5. **VUB Program Profile**

All applicants must provide the information requested on this form. The VUB 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 VUB 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 VUB 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 VUB 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 645.31 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.

## **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 VUB Program project during these fiscal years: 2017-18, 2018-19, 2019-20, and 2020-21. 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.

Due to challenges that current VUB grantees face as a result of the global pandemic, the Department has decided to calculate PE points for the FY 2022 VUB competition utilizing only the highest scoring two years of data from the four designates assessment years (2017-18, 2018-19, 2019-20, and 2020-21).

## **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 including points earned under the Competitive Preference Priorities, 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 VUB Program.

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new VUB 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 VUB Program regulations (645.35).

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

If you receive a FY 2022 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 Veterans Upward Bound Program-related questions and assistance, please contact:**

Program Specialist: Kenneth Foushee

Address: Federal TRIO Programs  
U.S. Department of Education  
400 Maryland Avenue SW, Room 2C221  
Washington, D.C. 20202  
Telephone: (202) 453-7417  
E-mail Address: kenneth.foushee@ed.gov

or

Program Specialist: Dana Foreman

Address: Federal TRIO Programs  
U.S. Department of Education  
400 Maryland Avenue SW, Room 2C142  
Washington, D.C. 20202  
Telephone: (202) 453-7396  
E-mail Address: dana.foreman@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



## VETERANS UPWARD BOUND PROGRAM PROFILE

**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 Veterans Upward Bound Program (FY 2017-2021) 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): P047V (17) (18) (19) (20) \_\_\_\_\_

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

Application addresses Competitive Preference Priorities (check all that apply):

### **Competitive Preference Priorities**

Competitive Preference Priority 1: Applications that Demonstrate a Rationale.

Under this priority, an applicant proposes a project that demonstrates a rationale (as defined in the Notice Inviting Applications).

Competitive Preference Priority 2: Meeting Student Social, Emotional, and Academic Needs.

Projects that are designed to improve students' social, emotional, academic, and career development, with a focus on underserved students, through the following priority areas:

(a) Developing and supporting educator and school capacity to support social and emotional learning and development that is trauma-informed, such as addressing exposure to community-based violence and trauma specific to military-or veteran-connected students.

(b) Creating education or work-based settings that are supportive, positive, identify-safe and inclusive with regard to race, ethnicity, culture, language, and disability status, through developing trusting relationships between students (including underserved students), educators, families, and community partners.

Note: Because the VUB Program supports students and not the professional development of educators, applicants should address supports for students only.

Competitive Preference Priority 3: Strengthening Cross-Agency Coordination and Community Engagement to Advance Systemic Change.

Projects that are designed to take a systemic evidence-based approach to improving outcomes for underserved students by establishing cross-agency partnerships, or community-based partnerships with local nonprofit organizations, businesses, philanthropic organizations, or others, to meet family well-being needs.

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

\_\_\_\_\_

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

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

\_\_\_\_\_  
Street Address, City, State, Zip Code

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

5. List the target area(s) and estimated number of participants to be served:

Target Area	City/County	State	Participant #
(1) _____	_____	_____	_____
(2) _____	_____	_____	_____
(3) _____	_____	_____	_____
(4) _____	_____	_____	_____
(5) _____	_____	_____	_____

**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.*

**Academic Improvement on Standardized Test**

\_\_\_\_\_% of participants who completed their VUB educational program during the project year will improve their academic performance as measured by a standardized test taken before and after receiving services from the project.

**Education Program Retention and Completion**

\_\_\_\_\_% of participants served during the project year will complete their VUB educational program by the end of the project year or remain enrolled in the program.

### **Postsecondary Enrollment**

\_\_\_\_\_ % of participants who completed their prescribed VUB educational program in the previous project year (e.g., 2021-22) will enroll in a program of postsecondary education by the end of the next project year (e.g., 2022-23).

### **Postsecondary Completion**

\_\_\_\_\_ % of participants who completed the VUB educational program in one project year (e.g., 2021-22) and who enrolled in a program of postsecondary education by the end of the next project year (e.g., 2022-23) will complete a program of postsecondary education within six project years.

### ***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.

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

**Institution of Higher Education:** 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.

## VETERANS 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, or potential first-generation college students, or veterans who have a high risk for academic failure.
3. The project will collaborate with other Federal TRIO projects, or programs serving similar populations in the same 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.

## PRIOR EXPERIENCE

### ***Prior Experience (PE) Objectives and Calculations for VUB Projects Operating in Project Years 2017-2018, 2018–19, 2019–20, and 2020–21***

For the FY 2022 competition for grants from the Veterans Upward Bound Program, the Department calculates prior experience points from data submitted in annual performance reports (APRs) for 2017-18, 2018–19, 2019–20, and 2020–21. Achievement rates for each PE criterion will be based on the project's approved objectives and the information the grantee provided in the APR for each project year under consideration.

An entity submitting an application to continue to serve at least fifty percent of the target area served under the expiring VUB project is eligible to receive PE points based on the PE criteria in 34 CFR 645.32 of the program regulations in effect during the FY 2022 grant competition.

If an applicant decides to submit multiple proposals in the FY 2022 competition to serve a portion of the current target area, only one of the applicant's applications will be eligible to receive PE points. The applicant must indicate on the VUB Program profile document, in item #1, which of the applications is eligible for PE points.

Further, for an applicant who is currently receiving a VUB Program grant and applying for a grant to serve a new target area, the application to serve a new target area is not eligible to receive any PE points.

**VUB PE criteria (34 CFR 645.32) and point allocations are shown below. A VUB project may earn up to a total of 15 points for each year assessed; the final PE score is the average of the two highest-scoring years of the four 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 its funded number for a project year will not receive any PE points for that year.**

- |   |                     |
|---|---------------------|
| 1. Funded number:                             | maximum of 3 points |
| 2. Academic improvement on standardized test: | maximum of 3 points |
| 3. Program retention and completion:          | maximum of 3 points |
| 4. Postsecondary enrollment:                  | maximum of 3 points |
| 5. Postsecondary persistence:                 | maximum of 3 points |

\*Note: VUB grantees may earn up to a maximum of 15 points for each year assessed. The final PE score is the average of the scores for the highest-scoring two years from the four assessment years of data (2017-18, 2018-19, 2019-20 and 2020-21) submitted by each grantee.

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

**Calculation:**

- The number of participants the project was funded to serve in the project year is compared to the number of participants the project actually served in that year.
  - To receive three points for this criterion, the number actually served must be equal to or greater than the number funded to serve.
- 2. Academic improvement on standardized test (maximum of 3 points)**—Whether the percentage of students as calculated below equaled or exceeded the applicant's objective.

**Calculation:**

- The denominator is the number of participants completing the VUB program during the project year.
  - The numerator is the number of participants in the denominator who had improved their academic skills as measured by a standardized test taken before and after receiving services from the project.
- 3. Program retention and completion (maximum of 3 points)**—Whether the percentage of students as calculated below equaled or exceeded the applicant's 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 project year.

- The numerator is the number of participants served who at the end of the project year remained enrolled in the VUB program or had completed it.
- 4. Postsecondary enrollment (maximum of 3 points)**—Whether the percentage of students as calculated below equaled or exceeded the applicant's objective.

**Calculation:**

- The denominator is the number of prior-year participants who completed their prescribed VUB educational program in the previous project year.
  - The numerator is the number of participants in the denominator who enrolled in postsecondary education within the range September 1 of the year before the project year through September 30 of the project year (for example, September 1, 2018 through September 30, 2020 for the 2020–21 project year).
- 5. Postsecondary completion (maximum of 3 points)**—Whether the percentage of students as calculated below equaled or exceeded the applicant's objective.

**Calculation:**

- The denominator is the number of participants who are members of the postsecondary enrollment cohort year that is six years prior to the current project year.
- The numerator is the number of participants in the denominator who completed a program of postsecondary education by September 30 of the project year. For example, to belong in the numerator in project year 2020–21, a participant must be in the 2015 postsecondary enrollment cohort and must have completed a program of postsecondary education by September 30, 2021.

The Department will not accept changes or modifications to APR data on file with the Federal TRIO Programs once the due date as passed.

## INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

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) 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  
Other Attachments Form – includes the Program Assurances page, the VUB Program Profile form, and the competitive preference priorities narrative.

The Department of Education Abstract Form is where you attach the one-page VUB 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 recommended 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 recommended 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 that are recommended for your responses to the selection criteria. **You must also include your budget narrative in this section as part of the selection criteria.** 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 Priorities.

The Other Attachments Form is where you attach the VUB Program Profile form, the VUB Program Assurances page, and the competitive preference priorities narrative. **No other appendices or attachments should be included.**

**\*All attachments must be in a .PDF or Microsoft Word Document. Other types of files will not be accepted.**

**Part IV: Assurances and Certifications**

ED-GEPA Section 427 Requirement  
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 VUB 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.

We recommend that you limit the application narrative to the equivalent of no more than 65 pages, double-space all text in the application narrative, and single-space titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs. Use an easily readable font such as Times New Roman, Courier, Courier New, or Arial. Use a font that is either 12-point or larger and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. Please refer to the Notice 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
Competitive Preference Priorities		(9 points)
Total Maximum Score for Selection Criteria and Competitive Preference Priorities		109 points

## Formatting

We recommend that you use the following standards: A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides. Double-space all text in the application narrative, and single-space titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs. Use a 12-point font. Use an easily readable font such as Times New Roman, Courier, Courier New, or Arial. 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.

The Application Narrative will include the discussion of the selection criteria. We recommend that you limit the application narrative to the equivalent of no more than 65 pages for the FY 2022 VUB competition. However, those addressing the competitive preference priorities may include up to three additional pages for each priority, in a separate section of the application submission, to discuss how the application meets the priorities.

The recommended 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)
- VUB Program Profile
- Assurances and Certifications
- ED GEPA 427

The notice contains specific instruction on page limits.

Part III - 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 four sub-criteria in this section. In responding to this criterion, all four sub-criteria must be addressed. Data for each sub-criterion must be addressed for the target area (s) identified in the application.

**(B) Objectives:** All applicants must include the four standardized objectives as listed on the VUB 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. 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 target area.

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 area(s).

**(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. 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 (2022-2023) 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.

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 VUB 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; and (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.

## COMPETITIVE PREFERENCE PRIORITIES FOR FY 2022

The Department views the VUB Program as a critical component of its efforts to improve college readiness, college access, college selection, and degree completion for veterans. To more strategically align the VUB Program with broader reform strategies intended to improve postsecondary access and completion, the Department has included competitive preference priorities that encourage applicants to propose activities and plans to address the priorities.

Competitive Preference Priority 1: Applications that Demonstrate a Rationale.

Under this priority, an applicant proposes a project that demonstrates a rationale (as defined in the Notice Inviting Applications).

Competitive Preference Priority 2: Meeting Student Social, Emotional, and Academic Needs.

Projects that are designed to improve students' social, emotional, academic, and career development, with a focus on underserved students, through the following priority areas:

(a) Developing and supporting educator and school capacity to support social and emotional learning and development that is trauma-informed, such as addressing exposure to community-based violence and trauma specific to military- or veteran-connected students.

(b) Creating education or work-based settings that are supportive, positive, identity-safe and inclusive with regard to race, ethnicity, culture, language, and disability status, through developing trusting relationships between students (including underserved students), educators, families, and community partners.

Note: Because the VUB Program supports students and not the professional development of educators, applicants should address supports for students only.

The ongoing effects of the dual crises of COVID-19 and systemic racism have affected communities across this country. Countless students have been exposed to trauma and disruptions in learning and have experienced disengagement, negatively impacting their mental health and well-being. Targeted supports, including those that leverage technology, are needed for students who have been disproportionately affected by the pandemic. It is critical, then, to prioritize support for students' social, emotional, and academic needs, not only to benefit students' social-emotional wellness, but also to support their academic success and prepare them for their future.

The world of work is also rapidly shifting, and the pre-existing equity gaps in access to high-quality career and technical education—including dual enrollment, industry-recognized credentials, and work-based learning—have been further exacerbated by the COVID-19 pandemic. Creating more equitable systems of multiple, high-quality, flexible college and career pathways that align postsecondary learning with the demands of the 21st century economy will help narrow disparities in financial security and broaden economic opportunity.

With appropriate and effective supports, students will be more likely to stay engaged, experience social-emotional wellness and academic success, and experience positive long-term outcomes in both education and life.

Competitive Preference Priority 3: Strengthening Cross-Agency Coordination and Community Engagement to Advance Systemic Change.

Projects that are designed to take a systemic evidence-based approach to improving outcomes for underserved students by establishing cross-agency partnerships, or community-based partnerships with local nonprofit organizations, businesses, philanthropic organizations, or others, to meet family well-being needs.

Communities are often the center for veterans and their families, providing veterans with the resources and referrals they need to meet their full potential. Ensuring that veterans and families have access to nutritious food, housing, health services, employment/financial services, and other community resources is pivotal to ensuring success, which in turn uplifts community vitality. These needs are best met through cross-agency coordination and partnerships between campuses, and other organizations in the community. In this way, effective partnerships can make it easier for families to have various needs met and support systemic, long-term change. This priority encourages partnerships with other agencies or entities and support cross-agency, and cross-community partnerships at the State and local levels.

## **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 2018-2022. 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:** Support state and local efforts to improve learning outcomes for all P-12 students in every community.

**Goal 2:** Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

**Goal 3:** Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

**Goal 4:** Reform the effectiveness, efficiency and accountability of the Department.

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

The performance indicators for the Upward Bound Projects are part of the Department's plan for meeting Goal 2. The UBMS 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 VUB projects is the percentage of VUB 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* (recommended limit 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 2022-23 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 Priorities for FY 2022.

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 VUB 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 Veterans Upward Bound Program (84.047V) 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)])

§200.68 Modified Total Direct Cost (MTDC).

MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect 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: Include cost of stipends and capital expenditures of \$5,000 or more per unit.
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.

## **INSTRUCTIONS FOR STANDARD FORMS**

- 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.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. <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.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	<b>Assistance Listing Number/Title:</b> Enter the Assistance Listing number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <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.	<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.
		13.	<b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	<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.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<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.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<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
5b.	<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.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if		

	applicable.																
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		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.														
	<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 www.Grants.gov.	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 www.Grants.gov.	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</td> </tr> <tr> <td>G. Independent</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	G. Independent			
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	School District 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	Institution 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. Qualified Opportunity Zones.** If applicable, provide the Qualified Opportunity Zones (QOZ) census tract number(s) if the NIA includes a QOZ Priority in which you propose to either provide services in QOZ(s) or are located in a QOZ.

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

**4a. 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.

**4a. 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.”)

**4b. 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.”

**4b. 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.”

**4b. 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.

**4c.** 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 4.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 4.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 4.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 cited within these instructions at: [https://www.ecfr.gov/cgi-bin/text-idx?SID=0b63ce6f20cacbf480e5596fdf289e3&mc=true&pl=/ecfrbrowse/Title34/34cfr75\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?SID=0b63ce6f20cacbf480e5596fdf289e3&mc=true&pl=/ecfrbrowse/Title34/34cfr75_main_02.tpl). You may access requirements from 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" cited within these instructions at: [https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl). 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 13, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 13, 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 the indirect cost rate to be charged to the grant must be entered in the applicable field on line 10, and the following 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 (complete (4) of this section when using the temporary rate) 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), provide a copy of your Indirect Cost Rate Agreement and 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 check "no" in (1), indicate in (3) if you want to use the de minimis rate of 10 percent of MTDC (see 2CFR § 200.68). If you use the de minimis rate, you are subject to the provisions in 2 CFR § 200.414(f). Note, you may only use the 10 percent de minimis rate if you are a first-time Federal grant recipient, and you do not have an Approved Indirect Cost Rate Agreement. You may not use the de minimis rate if you are a State, Local government, or Indian Tribe, or if your grant is funded under a training rate or restricted rate program.

(5): 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 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

(6): For Training Rate Programs, ED regulations limit non-governmental entities to the recovery of indirect costs on training grants to the grantee's actual indirect costs, as determined by its negotiated rate agreement, or 8 percent of a MTDC, whichever is lower (see EDGAR § 75.562(c)(4)). The 8 percent limit also applies to cost-type contracts under grants, if these contracts are for training as defined in

EDGAR § 75.562(a). If a non-governmental entity that receives a grant under a training grant program does not have an approved indirect cost rate and wants to recover indirect costs, it may use a temporary rate of 10 percent of budgeted direct salaries and wages, but it must submit an indirect cost rate proposal to its cognizant agency for indirect costs within 90 days after ED issues the GAN. After the 90-day period, the government entity may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement.

### **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 cost sharing and matching regulations found in 2 CFR 200.306.]

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.



**If Applicable Section D - Budget Summary  
Limitation on Administrative Expenses.**

If your program is subject to an administrative cost cap (as indicated Section III.2.C of the program's Notice Inviting Applications (NIA)), fill out this form as follows:

1. On the top of the page, list the percentage cap on administrative costs, and indicate whether your administrative cost cap applies to both indirect and direct costs, or only direct costs (from Section III.2.C of the program's NIA).
2. IF the cost cap applies to both indirect and direct costs:
  - (a) Fill out the entire table noting your administrative costs, including line 8. Line 8 is taken from Section A, line 10. For lines 1-6, these are only direct administrative costs; do not include in lines 1-6 any costs included in your indirect cost rate. If your program has a matching requirement (see NIA), include in lines 1-6 the administrative portions of the applicable rows from both Section A and Section B. If there is no program matching requirement, only use Section A.
  - (b) Ensure that the line 10 percentage DOES NOT EXCEED the percentage cap on administrative costs. If your program does not have a matching requirement, divide line 9 by Section A line 12. If your program does have a matching requirement, to calculate line 10, divide line 9 by the sum of Section A line 12 and Section B line 12.
3. IF the cost cap applies ONLY to direct costs:
  - (a) Fill out the entire table noting your administrative costs, EXCLUDING line 8.

Ensure that the line 10 percentage DOES NOT EXCEED the percentage cap on administrative costs. If your program does not have a matching requirement, divide line 7 by Section A line 9. If your program does have a matching requirement, to calculate line 10, divide line 7 by the sum of Section A line 9 and Section B line 9).

**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 the Office of Finance and Operations, Office of Acquisitions and Grants Administration, Grants Policy and Training Division, 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 Assistance Listing Number (ALN) 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.**

## 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 recommended page limit for the application narrative portion of the application for the FY 2022 VUB competition is 65 pages. However, those addressing the competitive preference priorities may include up to three additional pages each for the priorities, 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 - *VUB Program Profile*  
*VUB Program Assurances*  
*Competitive Preference Priorities Narratives*

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 recommended 65 pages you are allowed for your response to the selection criteria.

Part IV – Assurances and Certifications, and Survey

GEPA Section 427 Requirement  
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. The valid OMB control number for this information collection is 1840-0823. Public reporting burden for this collection of information is estimated to average 32 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 VUB Program for Federal TRIO Programs). If you have comments or concerns regarding the status of your individual submission of this application, please contact Student Service, U.S. Department of Education, 400 Maryland Avenue, SW, Room 2C229, Washington, DC 20202. Telephone: (202) 453-7700 or by e-mail: [TRIO@ed.gov](mailto:TRIO@ed.gov). [Note: Please do not return the completed application to this address.]