

Archived Information

U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Washington, DC 20006-8510



Fiscal Year 2007

**APPLICATION FOR GRANTS
UNDER THE
UPWARD BOUND PROGRAM
(Regular Upward Bound)
(CFDA Number: 047A)**

**Form Approved
OMB No. 1840-0550
Exp. Date: 9/30/2009**

CLOSING DATE: November 6, 2006

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Dear Applicant:

Thank you for your interest in applying for a regular Upward Bound grant under the Upward Bound (UB) Program. The UB program is designed to generate in students the skills and motivation necessary for success in education beyond secondary school. UB projects also assist participants in applying for admission to postsecondary institutions.

This letter highlights a few items in the fiscal year (FY) 2007 application package that will be important to you in applying for grants under this program. You should review the entire application package carefully before preparing and submitting your application. Information on the UB Program is accessible at the U.S. Department of Education (Department) Web site at:

www.ed.gov/about/offices/list/ope/trio/index.html

The Department of Education is requiring that applications for FY 2007 grants under the UB Program be submitted electronically using Grants.gov. You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included in the application package. Grants.gov is accessible through its portal page at:

<http://www.grants.gov>

It is important to know that the Grants.gov site works differently than the Department's e-Application system. Please read the important document on the next page, which explains the submission procedures and provides tips you need to be aware of to ensure your application is received in a timely and acceptable manner.

We have developed an absolute priority for the regular Upward Bound Program only. [The priority does not apply to the Veterans Upward Bound Program or the Upward Bound Math and Science Program.] This means that for the regular Upward Bound Projects only applications that comply with the requirements of the priority will be considered for funding. All other applications will be returned to the applicants. The priority is explained in detail in the Notice of Final Priority and in the Closing Date Notice published in the Federal Register, September 22, 2006. A copy of both documents is included in this application package.

All applicants must complete the Upward Bound Program Profile page which contains standardized objectives. Applicants are required to include the percentage at which they propose to achieve each of the standardized objectives. The "objectives" selection criteria will be assigned a maximum of eight points in the evaluation. All eight points will be awarded based upon the extent to which the applicant's proposed objectives are determined to be both ambitious

and attainable. Applicants must explain why the objectives are ambitious and attainable and provide data to support that explanation. The peer reviewers will determine the extent to which the objectives are both ambitious and attainable based upon the data and explanations provided by the applicant. Applicants are required to copy and paste the Program Profile page into a separate document or recreate the form exactly as it appears, complete the form, and attach it to the “Other Attachments Form” as either a .doc, .rtf or .pdf document.

In addition, applicants must include on the Program Profile page the proposed number of participants to be served at each target school. You are urged to give careful consideration to the identity and number of the target schools from which you propose to recruit students. The identity of the proposed target schools should be determined based upon the need of the students attending the schools. The number of proposed target schools should be determined based upon the availability of a sufficient number of eligible students and the ability of the project to efficiently and effectively deliver services with the proposed project budget.

The application must be submitted on or before the deadline date and time. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement. Applications submitted late will not be accepted. **We suggest that you submit your application several days before the deadline date.** 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.

Please note that Grants.gov does not allow applicants to “un-submit” applications. 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.

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

Sincerely,

Susan E. Beaudoin
Acting Deputy Assistant Secretary
Higher Education Programs

IMPORTANT – PLEASE READ FIRST
U.S. Department of Education
Grants.gov Submission Procedures and Tips for Applicants

Please note that the Grants.gov site works differently than the U.S. Department of Education’s (Department) e-Application system. 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.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.
- 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 before 4:30 p.m. on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).

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

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing 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/assets/ApplicationErrorTips.doc>. 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 use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

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

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

Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

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.)

MAC Users

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](#) white paper published by Pure Edge: http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf, and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information. **If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

INSTRUCTIONS FOR TRANSMITTING APPLICATIONS

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

This program requires the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice.

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

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, D.C. time) on the application deadline date. If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register, the Grants.gov Submission Procedures and Tips document found in the application package instructions, and visit <http://www.grants.gov>.

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

Applications Sent by Mail:

You must mail the original and two copies of the application on or before the deadline date to. To help expedite our review of your application, we would appreciate your voluntarily including one additional copy of your application.

Please mail applications to:

**U.S. Department of Education
Application Control Center
Attention: CFDA# (84.047A)
400 Maryland Avenue, S.W.
Washington, DC 20202 - 4260**

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

- (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.

If you mail an 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 Services.

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.

Applications Delivered by Commercial Carrier:

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to the:

**U.S. Department of Education
Application Control Center – Stop 4260
Attention: CFDA# (84.047A)
7100 Old Landover Road
Landover, MD 20785 - 1506**

Applications Delivered by Hand:

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including one additional copy of your application.

Please hand deliver applications to:

**U.S. Department of Education
Application Control Center
Attention: CFDA# (84.047A)
550 12th Street, S.W.
PCP - Room 7041
Washington, DC 20202 – 4260**

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

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DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Upward Bound Program (includes regular Upward Bound (UB), Veterans Upward Bound (VUB) and Upward Bound Math and Science (UBMS)).

Notice inviting applications for new awards for fiscal year (FY) 2007.

Catalog of Federal Domestic Assistance (CFDA) Numbers:

84.047A and 84.047M

Dates:

Applications Available: September 22, 2006.

Deadline for Transmittal of Applications: November 6, 2006.

Deadline for Intergovernmental Review: January 5, 2007.

Eligible Applicants: Institutions of higher education; public or private agencies and organizations; combinations of institutions, agencies, and organizations; and secondary schools under exceptional circumstances, if there is no institution, agency, or organization capable of carrying out an applicable Upward Bound project in the proposed target area.

Estimated Available Funds: The Administration's budget request for FY 2007 does not include funds for the Upward Bound Program. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: \$250,000 - \$853,000 for year one of UB; \$250,000 - \$543,000 for year one of VUB; and \$250,000 - \$354,000 for year one of UBMS.

Estimated Average Size of Awards: \$350,000 for UB; \$300,000 for VUB; and \$270,000 for UBMS.

Maximum Award: We will not fund any application at an amount exceeding the maximum amounts specified below for a single budget period of 12 months. We may choose not to further consider or review applications with budgets that exceed the maximum amounts specified below, if we conclude, during our initial review of the application, that the proposed goals and objectives cannot be obtained with the specified maximum amount.

For an applicant applying for a new UB, VUB or UBMS grant the maximum award amount is \$250,000. For a current grantee applying for a VUB or UBMS grant (to continue funding for a currently funded project), the maximum award amount is the greater of (a) \$250,000 or (b) an amount

equal to 103 percent of the applicant's currently funded grant award amount for FY 2006.

For a current grantee that did not receive supplemental funds under the UB Expansion Initiative in FY 2006 that is applying for a UB grant, the maximum award amount is the greater of (a) \$250,000 or (b) an amount equal to 103 percent of the applicant's currently funded grant award amount for FY 2006. For a current grantee that received supplemental funds under the UB Expansion Initiative in FY 2006 that is applying for a UB grant, the maximum award amount is the greater of (a) \$250,000 or (b) an amount equal to 103 percent of the sum of the applicant's currently funded grant award amount plus 50 percent of its UB Expansion Initiative grant award amount for FY 2006.

Estimated Number of Awards: 766 for UB; 42 for VUB; and 128 for UBMS.

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

Project Period: Up to 60 months. Applicants whose peer review scores are within the highest ten percent of scores of all applicants receiving awards will receive five-year awards. All other successful applicants will receive four-year awards.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Upward Bound program is one of seven programs known as the Federal TRIO programs. There are three types of grants under the Upward Bound program: regular Upward Bound grants; Veterans Upward Bound grants; and Upward Bound Math and Science grants.

The regular Upward Bound projects are designed to generate in participants the skills and motivation necessary for success in education beyond secondary school. The Veterans Upward Bound projects are designed to assist veterans in preparing for a program of postsecondary education. The Upward Bound Math and Science projects are designed to prepare high school students for postsecondary education programs that lead to careers in the fields of math and science.

Priority:

This priority is from the notice of final priority for this program published elsewhere in this issue of the Federal Register.

Absolute Priority: For FY 2007, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications for regular Upward Bound Program grants that meet the priority. This priority only applies to the

regular UB Program applications. This priority does not apply to the VUB and UBMS competitions.

This priority is:

Upward Bound Program Participant Selection and Evaluation.

This priority supports regular Upward Bound Program projects that--

1. Select-first time participants from otherwise eligible students who have completed the 8th grade but not the 10th grade in secondary school, except a student who has previously participated in a regular Upward Bound project may be selected notwithstanding the student's grade level;
2. Select not less than 30 percent of all first-time participants from students who have completed the 8th grade but not the 9th grade in secondary school and who have a "high academic risk for failure."

"High academic risk for failure" refers to otherwise eligible students who--

a. Have not achieved at the proficient level on State assessments in reading/language arts for grade eight;

b. Have not achieved at the proficient level on State assessments in math for grade eight;

c. Have 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; or

d. Have not completed pre-algebra, algebra, or geometry by the end of grade eight, and (in cases in which students are recruited early during grade nine) are not taking algebra or geometry in grade nine.

To meet this priority, an applicant also must agree to conduct its Upward Bound project in a manner consistent with the evaluation that the Department plans to conduct for the Upward Bound Program. An applicant also must agree, if selected to participate in the evaluation, to--

1. Recruit at least twice as many eligible new students in project year 2007-2008 as the grantee plans to serve in its project. Of that larger pool of eligible new students, not less than 30 percent must have completed the 8th grade but not the 9th grade in secondary school and meet the definition of "high academic risk for failure;"

2. Refrain from admitting new students into the Upward Bound project for project year 2007-2008 until the evaluator has completed its data collection and random assignment for those students;

3. Agree that eligible new students will be assigned randomly by the evaluator either to participate in Upward Bound or to serve as part of a control group (not in Upward Bound); and

4. Agree that a student assigned to serve as part of a control group will not be subsequently selected to participate in Upward Bound.

This priority does not apply to the Veterans Upward Bound projects and Upward Bound Math/Science projects.

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

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 82, 85, 86, 97, 98, and 99. (b) The regulations for this program in 34 CFR part 645.

(c) The notice of final priority for this program published elsewhere in this issue of the Federal Register.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration's budget request for FY 2007 does not include funds for the Upward Bound Program. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: \$250,000 - \$853,000 for year one of UB; \$250,000 - \$543,000 for year one of VUB; and \$250,000 - 354,000 for year one of UBMS.

Estimated Average Size of Awards: \$350,000 for UB; \$300,000 for VUB; and \$270,000 for UBMS.

Maximum Award: We will not fund any application at an amount exceeding the maximum amounts specified below for a single budget period of 12 months. We may choose not to further consider or review applications with budgets that exceed the maximum amounts specified below, if we conclude, during our initial review of the application, that the proposed goals and objectives cannot be obtained with the specified maximum amount.

For an applicant applying for a new UB, VUB or UBMS grant the maximum award amount is \$250,000. For a current grantee applying for a VUB or UBMS grant (to continue funding for a currently funded project), the maximum award amount is the greater of (a) \$250,000 or (b) an amount equal to 103 percent of the applicant's currently funded grant award amount for FY 2006.

For a current grantee that did not receive supplemental funds under the UB Expansion Initiative in FY 2006, that is applying for a UB grant, the maximum award amount is the greater of (a) \$250,000 or (b) an amount equal to 103 percent of the applicant's currently funded grant award amount for FY 2006. For a current grantee that received supplemental funds under the UB Expansion Initiative in FY 2006 that is applying for a UB grant, the maximum award amount is the greater of (a) \$250,000 or (b)

an amount equal to 103 percent of the sum of the applicant's currently funded grant award amount plus 50 percent of its UB Expansion Initiative grant award amount for FY 2006.

Estimated Number of Awards: 766 for UB; 42 for VUB; and 128 for UBMS.

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

Project Period: Up to 60 months. Applicants whose peer review scores are within the highest ten percent of scores of all applicants receiving awards will receive five-year awards. All other successful applicants will receive four-year awards.

III. Eligibility Information

1. Eligible Applicants: Institutions of higher education; public or private agencies and organizations; combinations of institutions, agencies, and organizations; and secondary schools under exceptional circumstances, if there is no institution, agency, or organization capable of carrying out an applicable Upward Bound project in the proposed target area.

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

3. Other: An applicant may submit more than one application, if each separate application describes a project that will serve students at different target schools and/or target populations. A secondary school applicant must submit a certification that there is no other eligible entity in the proposed target area that is capable of carrying out a UB program project.

IV. Application and Submission Information

1. Address to Request Application Package: Gaby Watts, U.S. Department of Education, 1990 K Street, NW. Suite 7000, Washington, DC 2006-8510. Telephone: (202) 502-7600 or by e-mail: TRIO@ed.gov.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting one of the program contact persons listed in this section.

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

Page Limit: The Program Narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the section of the narrative that addresses the selection criteria to the equivalent of no more than 50 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin.
- Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs may be single spaced.
- Use one or more of the following fonts: Times New Roman, Courier, Courier New or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will be rejected.
- Use not less than 12-point font.

The page limit does not apply to Part I, the Application for Federal Assistance face sheet (SF 424); the supplemental information form required by the Department of Education; Part II, the budget information summary form (ED Form 524); and Part IV, the assurances and certifications.

The page limit also does not apply to a table of contents. If you include any attachments or appendices not specifically requested, these items will be counted as part of the Program Narrative (Part III) for purposes of the page limit requirement. You must include your complete response to the selection criteria in the Program Narrative.

We will reject your application if-

- You apply these standards and exceed the page limit;
- or
- You apply other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: September 22, 2006.

Deadline for Transmittal of Applications: November 6, 2006.

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Section IV. 6. Other Submission Requirements in this notice.

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

Deadline for Intergovernmental Review: January 5, 2007.

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

5. Funding Restrictions: We reference the regulations outlining funding restrictions in the Applicable Regulations section of this notice.

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

a. Electronic Submission of Applications.

Applications for grants under the Upward Bound Program – CFDA Number 84.047A and 84.047M must be submitted electronically using the Grants.gov Apply site at: <http://www.grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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

You may access the electronic grant application for the Upward Bound Program at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

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

this section, we will not consider your application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.

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

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at: <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>.

- To submit your application via Grants.gov, you must complete all the steps in the Grants.gov registration

process (see

http://www.grants.gov/applicants/get_registered.jsp).

These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization

Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined

in the Grants.gov 3-Step Registration Guide (see

<http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>).

You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to successfully submit an application via Grants.gov.

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

- You must submit all documents electronically including all information typically included on the Application for Federal Education Assistance (SF 424), Budget Information-- Non-Construction Programs (ED 524), and all necessary

assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.
- After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application

electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30 p.m., Washington, DC time, on the deadline date, please contact either of the persons listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

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

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

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

and

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

Address and mail or fax your statement to: Geraldine Smith, U.S. Department of Education, 1990 K Street, NW,

suite 7000, Washington, DC 20006-8510. FAX: (202) 502-7857.

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

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

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

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center - Stop 4260
Attention: (CFDA Number 84.047A)
7100 Old Landover Road
Landover, MD 20785-1506

Regardless of which address you use, 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, or
- (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, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

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

c. Submission of Paper Applications by Hand Delivery.

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

application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.047A)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and – if not provided by the Department – in Item 4 of the Application for Federal Education Assistance (SF 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

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

V. Application Review Information

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

Note: Under the "Objectives" selection criteria, all evaluation points will be awarded based upon the extent to which the applicant's proposed objectives are determined to be both ambitious and attainable. Applicants are advised to take this into account when preparing their applications. In responding to the "Objectives" criteria, applicants should explain why their proposed objectives are ambitious and attainable and provide data to support that explanation. The peer reviewers will determine the extent to which the objectives are both ambitious and attainable based upon the data and explanations the applicant provides in the Need for the project, Plan of operation, and Budget and cost effectiveness sections of the application. The UB, UBMS, and VUB Program Profile pages in the application package detail specific information that applicants must submit regarding these objectives.

2. Review and Selection Process: The Secretary will select an application for funding in rank-order, based on the application's total score for the selection criteria and prior experience, pursuant to 34 CFR 645.31 and 645.32. If there are insufficient funds for two or more

applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the UB Program.

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). We may also notify you informally.

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

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

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

3. Reporting: 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 multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: The success of the UB program is measured by the percentage of UB participants, both higher risk and overall, who enroll in postsecondary institutions.

VII. Agency Contact

For Further Information Contact: Gaby Watts, U.S.

Department of Education, 1990 K Street, NW. Suite 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: TRIO@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotope, or computer diskette) on request to one of the program contact persons listed in this section.

VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe

Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html

Dated: September 19, 2006

_____/signed/_____
James F. Manning,
Acting Assistant Secretary for
Postsecondary Education.

4000-01-U

DEPARTMENT OF EDUCATION

Upward Bound Program

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice of final priority.

SUMMARY: The Assistant Secretary for Postsecondary Education announces a priority under the Upward Bound (UB) Program. This priority will help focus Federal resources on students most in need of academic assistance and increase the effectiveness of the UB Program.

Dates: This priority is effective October 23, 2006.

FOR FURTHER INFORMATION CONTACT: Geraldine Smith or Gaby Watts, U.S. Department of Education, 1990 K Street, NW., room 7020, Washington, DC 20006-8510 , or via Internet: TRIO@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under FOR FURTHER INFORMATION CONTACT.

SUPPLEMENTARY INFORMATION: We published a notice of proposed priority (NPP) in the Federal Register on July 3, 2006 (71 FR 37926). We discussed our proposals for this program in the NPP on pages 37926-37928.

This notice of final priority contains three changes from the NPP. We fully explain these changes in the Analysis of Comments and Changes section that follows.

Analysis of Comments and Changes

In response to our invitation in the NPP, 110 parties submitted comments. An analysis of the comments and of any changes in the priority follows. We group major issues according to subject. Generally, we do not address technical and other minor changes and suggested changes we are not authorized to make under the applicable statutory authority.

Authority to implement a priority in the UB Program

Comment: A number of commenters expressed concern that the Department had overstepped its legislative and regulatory authority in proposing this priority. They believe the Department does not have the legal authority to impose a priority not specified in statute and that the proposed priority substitutes an administrative priority for a congressional priority, and circumvents legislation and

regulations regarding selection of program participants based on grade level and need for academic support.

Discussion: The Secretary does not agree with these commenters. The Department's authority to establish priorities for the TRIO programs and other discretionary grant programs is well established. The Department's regulations clearly reflect this authority in 34 CFR 74.11 and 75.105. Section 402C of the Higher Education Act of 1965, as amended (HEA), which authorizes the UB program, does not prohibit or limit the Secretary's authority to establish funding priorities to achieve the UB program's purposes. In fact, the Secretary has previously established priorities for the UB Program without challenge or questions. See the notice of proposed priority, 68 FR 37469 (June 24, 2003) and the notice of final priority, 68 FR 50958 (August 22, 2003), and the notice of proposed priority, 65 FR 35238 (June 1, 2000) and the notice of final priority, 65 FR 45698 (July 24, 2000).

The priority proposed by the Secretary is consistent with the requirements for funding included in section 402C(d)(3) and (4) of the HEA. Those provisions stipulate that each UB program participant must have a need for academic support and must have completed eight years of elementary school education.

Change: None.

Selection of first-time UB participants from otherwise eligible students who have completed the 8th grade but not the 9th grade in secondary school.

Comment: Numerous commenters expressed concerns about the proposal to limit the selection of new UB participants to students who have completed the 8th grade but not the 9th grade in secondary school. These commenters stated that the focus on these students would not contribute to the effectiveness of the UB Program because of the lack of maturity of younger students; higher drop-out rates among younger students; the high mobility rates of UB participants; and increased costs for those projects that currently recruit from high schools that begin with the 10th grade. In addition, some commenters argued that selecting students in the 10th grade allows students to participate in the UB program for 36 months and those students have similar success rates as students selected during the 9th grade.

Discussion: A 2004 report of a study conducted for the Department titled, The Impacts of Regular Upward Bound: Results from the Third Follow-Up Data Collection (the Study) concluded that, for students who participated in the UB program for less than two years, an additional year of

participation in the program could raise the postsecondary enrollment rate by as much as nine percentage points.

Among UB program participants who did not complete the program, the Study found that UB program completion could raise postsecondary enrollment by as much as 17 percentage points.

We agree with the commenters that students entering the UB program in the 10th grade would have an opportunity to receive UB services for 36 months. We believe that for students without a high academic risk for failure, participation in the UB program for 36 months would increase the postsecondary enrollment rate especially among students who remain in the program until high school graduation. Students that have a high academic risk for failure, on the other hand, require more intensive services and will likely receive a greater benefit by having access to the UB program for four complete years. In addition, a recent evaluation of high school reform models by MDRC (a nonprofit, nonpartisan social policy research organization) suggests that focusing on the critical transition year of ninth grade can make a real difference for students who enter high school with poor academic skills. Quint, Janet, Meeting Five Critical Challenges of High School Reform (May, 2006). Accordingly, we will allow UB projects to

select from otherwise eligible students, those students who have completed the 8th grade but not the 10th grade in secondary school, except for the 30 percent of new students who must have a high academic risk for failure. However, expanding the selection of UB program participants to include those students who have completed the 9th grade but not the 10th grade, creates an opportunity for students not selected to participate in the UB program prior to the students' completion of the 9th grade to reapply for UB program participation the following year. To avoid having the same students included as participants in both the control group and the UB program, we have made a change to prohibit such dual participation.

Change: We have modified the priority to allow UB projects to select otherwise eligible students who have completed the 8th grade but not the 10th grade in secondary school, except for the 30 percent of new students who must have a high academic risk for failure. The 30 percent of new students who must have a high academic risk for failure must be selected from otherwise eligible students who have completed the 8th grade but not the 9th grade in secondary school. The remaining new students may or may not have a high academic risk for failure and may or may not have completed the 9th grade in secondary school.

We have also modified the priority to provide that students selected to participate in the control group may not be subsequently selected to participate in the UB program.

Comment: Some commenters argued that it would be counter-productive and unfair to students if UB projects were not allowed to accept transfer students who participated in the UB program at a previous school because the students have completed the 9th grade.

Discussion: The Secretary agrees with the commenters.

Change: We have changed the priority to provide that a student who has previously participated in a regular UB project may be selected to continue to participate in the same or different UB project notwithstanding the student's grade level.

Select not less than 30 percent of new participants from students who have a high academic risk for failure.

Comment: Some commenters applauded the proposal to focus UB services on students with the most need. Others objected to what they view as changes that will turn the UB program into a dropout prevention program instead of a college prep program. Some commenters argued that serving students with a high academic risk for failure unfairly penalizes students who are doing well in school, while others recommended that we expand the definition of high

academic risk for failure to include social risks, such as coming from a single parent home or exposure to gang pressure.

Discussion: We do not agree that the priority will penalize students for doing well in school. Students doing well academically do not generally need the intensive academic services provided by the UB program and those services are not intended to be a reward for good academic performance. In fact, section 402C(d)(3) of the HEA requires that a determination be made that the student "has a need for academic support in order to pursue successfully a program of education beyond secondary school," (emphasis added) to provide services to that student.

We recognize that many students who are doing well in their academic subjects may have additional needs related to social and environmental issues. Those non-academic needs alone, however, are not a basis on which students may be selected to participate in UB. The TRIO Talent Search Program is designed to provide assistance to students who have the potential for success at the postsecondary level, but who need encouragement and other support to pursue a postsecondary education.

Change: None.

Comment: Commenters expressed concern that the targeting of Upward Bound on students with high academic risk for failure as indicated by their grade point average is not supported by the previous national evaluation of Upward Bound.

Discussion: We agree that recent evaluation findings suggest that grade point average is an imperfect indicator of educational expectations and of a student's likelihood to benefit from the UB program. Nonetheless, we believe that a low grade point average certainly is one of several possible indicators of a student's need for academic support in order to pursue successfully a program of postsecondary study. Recent research from the national UB program evaluation and other sources (including The Condition of Education 2001, Indicator 24, which may be reviewed at http://nces.ed.gov/pubs2001/2001072_3.pdf) suggests another possible indicator of a first-generation student's need for academic support. Specifically, there is evidence that failure to take algebra (or higher) in grade eight or nine may indicate a student's potential to benefit from UB or similar programs.

Change: We have modified the priority to allow projects to count a student as at high academic risk for failure if the student has not completed pre-algebra, algebra, or geometry

by the end of grade eight, and (in cases in which the student is recruited early during grade nine) if the student is not taking algebra or geometry in grade nine. This criterion further grounds the priority in recent research and gives UB projects a fourth option for identifying the 30 percent of new students who must be at high academic risk for failure.

Comment: Several commenters stated that the proposed priority would remove the individual programs' flexibility and create a one-size-fits-all approach that would damage UB's mission of helping needy students gain admission to college.

Discussion: Within the parameters of the priority, programs will continue to have flexibility in determining which students are served. We believe that the priority will ensure that the students who receive UB program services are those who most need those services. Under the priority not less than 30 percent of the new participants must be selected from those students who have a high academic risk for failure. The remaining students will continue to be selected from among all eligible students based upon the discretion of the UB project staff.

Change: None.

Proposed evaluation

Comment: One commenter supported including in the priority a requirement to participate in the Department's evaluation of the UB program. The remaining commenters opposed the proposed evaluation. The objections to the proposed priority relating to the evaluation include the following:

(a) Several of the commenters stated that they believe many colleges and universities would have reservations about approving "human subjects standards" in their internal review boards, if the review does not demonstrate that members of the control group are "done no harm;" (b) other commenters stated that the control group would not be a true control group, as a true control group would not be referred to other support services and any UB project that does not refer needy students to another student support program or who would try to insulate them from other available academic resources would be unethical and inhuman; and (c) many commenters expressed concern about what they thought would be the undue burden and cost if UB projects were required to recruit twice the number of eligible students to be served, work with twice the number of parents, and were required to encourage students to fill out the forms when the students know that they stand only a 50 percent chance of getting selected.

Discussion: We do not share the commenters' concerns about the burdens associated with the evaluation. All plans for data collection and random assignment will be submitted to the evaluator's Institutional Review Board (IRB) and the U.S. Office of Management and Budget (OMB) for their approval to minimize the burden to students and protect the rights of all human subjects. Because the evaluation will be conducted by the Institute of Education Sciences and its contractor, institutions of higher education will not be required to obtain internal review board approval. The UB program only has funds to serve a small percent of the eligible low-income, first-generation students in the U.S., so some eligible and potentially interested students will not be served regardless of whether a random assignment evaluation occurs. The Study mentioned earlier found little evidence that the average student in the control group was being harmed by being denied admission to the program.

We did not intend to suggest that control group students would be prohibited from receiving services from other programs. For ethical, legal, and practical reasons, control group students will be free to receive supplemental educational services from numerous other student support programs. The evaluator will carefully measure the variety

and intensity of services received by all students in the evaluation in order to interpret the impact of the UB program services, as opposed to the gross impact of other college preparation programs in which students may be involved. The question the evaluation will address is: Does Upward Bound have a benefit, above and beyond the benefit of the other services already available to eligible students applying to the program?

We agree with the commenters that there will likely be some additional burden on grantee staff, particularly during the first year of the evaluation. Some grantees will have to increase their recruiting efforts to meet not only any evaluation requirements, but also the new requirements to focus the program on students who have a high academic risk for failure. On the other hand, casting a wider net for applicants also has significant advantages. It will likely raise the profile of the UB program among eligible students. The extra recruiting required for the evaluation is a one-time effort and seems unlikely to have a lingering effect on program activities. The burden of the new data collection will be borne primarily by the evaluator, not grantees, and the evaluator will work with grantees to minimize any burdens as required for IRB and OMB approval of data collection plans. Any outreach or

publicity to obtain enough applications to create the control group will build on grantees' current admission procedures or those proposed as a condition of receiving 2007 grants. As required for IRB and OMB approval of data collection plans, the evaluator will seek informed and written consent from a parent or guardian before a student is included in the evaluation.

Change: None.

Note: This notice does not solicit applications. In any year in which we choose to use this priority, we invite applications through a notice in the Federal Register. A notice soliciting applications for new awards for the UB program for fiscal year 2007 is published elsewhere in this issue of the Federal Register.

PRIORITY:

Absolute Priority: Upward Bound Program Participant Selection and Evaluation

This priority supports regular Upward Bound Program projects that--

1. Select first-time participants from otherwise eligible students who have completed the 8th grade but not the 10th grade in secondary school, except a student who has previously participated in a regular Upward Bound project may be selected notwithstanding the student's grade level;

2. Select not less than 30 percent of all first-time participants from students who have completed the 8th grade but not the 9th grade in secondary school and who have a "high academic risk for failure."

"High academic risk for failure" refers to otherwise eligible students who--

a. Have not achieved at the proficient level on State assessments in reading/language arts for grade eight;

b. Have not achieved at the proficient level on State assessments in math for grade eight;

c. Have 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; or

d. Have not completed pre-algebra, algebra, or geometry by the end of grade eight, and (in cases in which students are recruited early during grade nine) are not taking algebra or geometry in grade nine.

To meet this priority, an applicant also must agree to conduct its Upward Bound project in a manner consistent with the evaluation that the Department plans to conduct for the Upward Bound Program. An applicant also must agree, if selected to participate in the evaluation, to--

1. Recruit at least twice as many eligible new students in project year 2007-2008 as the grantee plans to

serve in its project. Of that larger pool of eligible new students, not less than 30 percent must have completed the 8th grade but not the 9th grade in secondary school and meet the definition of "high academic risk for failure;"

2. Refrain from admitting new students into the Upward Bound project for project year 2007-2008 until the evaluator has completed its data collection and random assignment for those students;

3. Agree that eligible new students will be assigned randomly by the evaluator either to participate in Upward Bound or to serve as part of a control group (not in Upward Bound); and

4. Agree that a student assigned to serve as part of a control group will not be subsequently selected to participate in Upward Bound.

This priority does not apply to the Veterans Upward Bound projects and Upward Bound Math/Science projects.

Executive Order 12866

This notice of final priority has been reviewed in accordance with Executive Order 12866. Under the terms of the order, we have assessed the potential costs and benefits of this regulatory action.

The potential costs associated with the notice of final priority are those resulting from statutory

requirements and those we have determined are necessary for administering this program effectively and efficiently.

In assessing the potential costs and benefits—both quantitative and qualitative—of this notice of final priority, we have determined that the benefits of the proposed priority justify the costs.

We have also determined that this action does not unduly interfere with State, local, and tribal governments in the exercise of their governmental functions.

Intergovernmental Review

This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

This document provides early notification of our specific plans and actions for this program.

APPLICABLE PROGRAM REGULATIONS: 34 CFR part 645.

Electronic Access to This Document

You may view this document, as well as all other documents of this Department published in the Federal

Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: <http://www.gpoaccess.gov/nara/index.html> (Catalog of Federal Domestic Assistance Number 84.047A Upward Bound Program)

PROGRAM AUTHORITY: 20 U.S.C. 1070a-13.

Dated: September 19, 2006

_____/signed/_____
James F. Manning,
Acting Assistant Secretary for
Postsecondary Education.

Authorizing Legislation and Regulations

Authorizing Legislation:

Title IV, Part A, Subpart 2 of the Higher Education Act of 1965, as amended:

CHAPTER 1—FEDERAL TRIO PROGRAMS SEC. 402A. 20 U.S.C. 1070a–11

PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS.

- (a) GRANTS AND CONTRACTS AUTHORIZED.—The Secretary shall, in accordance with the provisions of this chapter, carry out a program of making grants and contracts designed to identify qualified individuals from disadvantaged backgrounds, to prepare them for a program of postsecondary education, to provide support services for such students who are pursuing programs of postsecondary education, to motivate and prepare students for doctoral programs, and to train individuals serving or preparing for service in programs and projects so designed.
- (b) RECIPIENTS, DURATION, AND SIZE. —
 - (1) RECIPIENTS.—For the purposes described in subsection (a), the Secretary is authorized, without regard to section 3709 of the Revised Statutes (41 U.S.C. 5), to make grants to, and contracts with, institutions of higher education, public and private agencies and organizations, combinations of such institutions, agencies and organizations, and in exceptional circumstances, secondary schools, for planning, developing, or carrying out one or more of the services assisted under this chapter.
 - (2) DURATION.—Grants or contracts made under this chapter shall be awarded for a period of 4 years, except that—(A) the Secretary shall award such grants or contracts for 5 years to applicants whose peer review scores were in the highest 10 percent of scores of all applicants receiving grants or contracts in each program competition for the same award year;(B) grants made under section 402G shall be awarded for a period of 2 years; and(C) grants under section 402H shall be awarded for a period determined by the Secretary.
 - (3) MINIMUM GRANTS.—Unless the institution or agency requests a smaller amount, individual grants under this chapter shall be no less than—
 - (A) \$170,000 for programs authorized by sections 402D and 402G;

- (B) \$180,000 for programs authorized by sections 402B and 402F; and
- (C) \$190,000 for programs authorized by sections 402C and 402E

(c) PROCEDURES FOR AWARDING GRANTS AND CONTRACTS.—

- (1) APPLICATION REQUIREMENTS.—An eligible entity that desires to receive a grant or contract under this chapter shall submit an application to the Secretary in such manner and form, and containing such information and assurances, as the Secretary may reasonably require.
- (2) PRIOR EXPERIENCE.—In making grants under this chapter, the Secretary shall consider each applicant's prior experience of service delivery under the particular program for which funds are sought. The level of consideration given the factor of prior experience shall not vary from the level of consideration given such factor during fiscal years 1994 through 1997, except that grants made under section 402H shall not be given prior experience consideration.
- (3) ORDER OF AWARDS; PROGRAM FRAUD.—
 - (A) Except with respect to grants made under sections 402G and 402H and as provided in subparagraph the Secretary shall award grants and contracts under this chapter in the order of the scores received by the application for such grant or contract in the peer review process required under paragraph (4) and adjusted for prior experience in accordance with paragraph (2) of this subsection.
 - (B) The Secretary is not required to provide assistance to a program otherwise eligible for assistance under this chapter, if the Secretary has determined that such program has involved the fraudulent use of funds under this chapter.
- (4) PEER REVIEW PROCESS.—
 - (A) The Secretary shall ensure that, to the extent practicable, members of groups underrepresented in higher education, including African Americans, Hispanics, Native Americans, Alaska Natives, Asian Americans, and Native American Pacific Islanders (including Native Hawaiians), are represented as readers of applications submitted under this chapter. The Secretary shall also ensure that persons from urban and rural backgrounds are represented as readers.
 - (B) The Secretary shall ensure that each application submitted under this chapter is read by at least three readers who are not employees of the Federal Government (other than as readers of applications)
- (5) NUMBER OF APPLICATIONS FOR GRANTS AND CONTRACTS.—The Secretary shall not limit the number of applications submitted by an entity under any program authorized under this chapter if the additional applications describe programs serving different populations or campuses.
- (6) COORDINATION WITH OTHER PROGRAMS FOR DISADVANTAGED STUDENTS.—

The Secretary shall encourage coordination of programs assisted under this chapter with other programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding source of such programs. The Secretary shall not limit an entity's eligibility to receive funds under this chapter because such entity sponsors a program similar to the program to be assisted under this chapter, regardless of the funding source of such program. The Secretary shall permit the Director of a program receiving funds under this

chapter to administer one or more additional programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding sources of such programs.

(7) APPLICATION STATUS.—The Secretary shall inform each entity operating programs under this chapter regarding the status of their application for continued funding at least 8 months prior to the expiration of the grant or contract. The Secretary, in the case of an entity that is continuing to operate a successful program under this chapter, shall ensure that the startup date for a new grant or contract for such program immediately follows the termination of the preceding grant or contract so that no interruption of funding occurs for such successful reapplicants. The Secretary shall inform each entity requesting assistance under this chapter for a new program regarding the status of their application at least 8 months prior to the proposed startup date of such program.

(d) OUTREACH.—

(1) IN GENERAL.—The Secretary shall conduct outreach activities to ensure that entities eligible for assistance under this chapter submit applications proposing programs that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter.

(2) NOTICE.—In carrying out the provisions of paragraph(1), the Secretary shall notify the entities described in subsection(b) of the availability of assistance under this subsection not less than 120 days prior to the deadline for submission of applications under this chapter and shall consult national, State, and regional organizations about candidates for notification.

(3) TECHNICAL ASSISTANCE.—The Secretary shall provide technical training to applicants for projects and programs authorized under this chapter. The Secretary shall give priority to serving programs and projects that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter. Technical training activities shall include the provision of information on authorizing legislation, goals and objectives of the program, required activities, eligibility requirements, the application process and application deadlines, and assistance in the development of program proposals and the completion of program applications. Such training shall be furnished at conferences, seminars, and workshops to be conducted at not less than 10 sites throughout the United States to ensure that all areas of the United States with large concentrations of eligible participants are served.

(4) SPECIAL RULE.—The Secretary may contract with eligible entities to conduct the outreach activities described in this subsection.

(e) DOCUMENTATION OF STATUS AS A LOW-INCOME INDIVIDUAL.—

(1) Except in the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with—

- (a) A signed statement from the individual's parent or legal guardian;
- (b) Verification from another governmental source;
- (c) A signed financial aid application; or
- (d) A signed United States or Puerto Rico income tax return.

(2) In the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with—

- (a) A signed statement from the individual;
- (b) Verification from another governmental source;
- (c) A signed financial aid application; or
- (d) A signed United States or Puerto Rico income tax return.

(f) **AUTHORIZATION OF APPROPRIATIONS.**—For the purpose of making grants and contracts under this chapter, there are authorized to be appropriated \$700,000,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years. Of the amount appropriated under this chapter, the Secretary may use no more than 1/2 of 1 percent of such amount to obtain additional qualified readers and additional staff to review applications, to increase the level of oversight monitoring, to support impact studies, program assessments and reviews, and to provide technical assistance to potential applicants and current grantees. In expending these funds, the Secretary shall give priority to the additional administrative requirements provided in the Higher Education Amendments of 1992, to outreach activities, and to obtaining additional readers. The Secretary shall report to Congress by October 1, 1994, on the use of these funds.

(g) **DEFINITIONS.**—For the purpose of this chapter:

(1) **FIRST GENERATION COLLEGE STUDENT.**—The term “first-generation college student” means—

- (A) An individual both of whose parents did not complete a baccalaureate degree;
- or
- (B) In the case of any individual who regularly resided with and received support from only one parent, an individual whose only such parent did not complete a baccalaureate degree.

(2) **LOW-INCOME INDIVIDUAL.**—The term “low-income individual” means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census.

(3) **VETERAN ELIGIBILITY.**—No veteran shall be deemed ineligible to participate in any program under this chapter by reason of such individual’s age who—

- (A) served on active duty for a period of more than 180 days, any part of which occurred after January 31, 1955, and was discharged or released there from under conditions other than dishonorable; or
- (B) served on active duty after January 31, 1955, and was discharged or released there from because of a service connected disability.

(4) **WAIVER.**—The Secretary may waive the service requirements in subparagraph (A) or (B) of paragraph (3) if the Secretary determines the application of the service requirements to a veteran will defeat the purpose of a program under this chapter.

**Sec. 402C HIGHER EDUCATION ACT OF 1965 SEC. 402C. 20 U.S.C. 1070a-13
UPWARD BOUND.**

(a) **PROGRAM AUTHORITY.**—

The Secretary shall carry out a program to be known as upward bound which shall be designed to generate skills and motivation necessary for success in education beyond secondary school.

(b) **PERMISSIBLE SERVICES.**—Any upward bound project assisted under this chapter may provide services such as—

- (1) Instruction in reading, writing, study skills, mathematics, and other subjects necessary for success beyond secondary school;
- (2) Counseling and workshops;
- (3) Academic advice and assistance in secondary school course selection;
- (4) Tutorial services;
- (5) Exposure to cultural events, academic programs, and other activities not usually available to disadvantaged youth;
- (6) Activities designed to acquaint youths participating in the project with the range of career options available to them;
- (7) Instruction designed to prepare youths participating in the project for careers in which persons from disadvantaged backgrounds are particularly underrepresented;
- (8) On campus residential programs;
- (9) Mentoring programs involving elementary or secondary school teachers or counselors, faculty members at institutions of higher education, students, or any combination of such persons;
- (10) Work-study positions where youth participating in the project are exposed to careers requiring a postsecondary degree;
- (11) Special services to enable veterans to make the transition to postsecondary education; and
- (12) programs and activities as described in paragraphs (1) through (11) which are specially designed for students of limited English proficiency.

(c) **REQUIRED SERVICES.**—Any upward bound project assisted under this chapter which has received funding for two or more years shall include, as part of the core curriculum in the next and

succeeding years, instruction in mathematics through pre-calculus, laboratory science, foreign language, composition, and literature.

(d) **REQUIREMENTS FOR APPROVAL OF APPLICATIONS.**—In approving applications for upward bound projects under this chapter for any fiscal year, the Secretary shall—

- (1) Require an assurance that not less than two-thirds of the youths participating in the project proposed to be carried out under any application be low-income individuals who are first generation college students;
- (2) Require an assurance that the remaining youths participating in the project proposed to be carried out under any application be either low-income individuals or first generation college students;
- (3) Require that there be a determination by the institution, with respect to each participant in such project that the participant has a need for academic support in order to pursue successfully a program of education beyond secondary school; and
- (4) Require that such participants be persons who have completed 8 years of elementary education and are at least 13 years of age but not more than 19 years of age, unless the imposition of any such limitation would defeat the purposes of this section

(e) **MAXIMUM STIPENDS.**—Youths participating in a project proposed to be carried out under any application may be paid stipends not in excess of \$60 per month during June, July, and August,

except that youth participating in a work-study position under subsection(b)(10) may be paid a stipend of \$300 per month during June, July, and August. Youths participating in a project proposed to be carried out under any application may be paid stipends not in excess of \$40 per month during the remaining period of the year.

TITLE 34--EDUCATION
CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION,
DEPARTMENT OF EDUCATION
PART 645--UPWARD BOUND PROGRAM

Subpart A--General

Sec. 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)

Sec. 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) Institutions of higher education.
- (b) Public or private agencies or organizations.
- (c) Secondary schools, in exceptional cases, if there are no other applicants capable of providing this program in the target area or areas to be served by the proposed project.

(d) A combination of the types of institutions, agencies, and organizations described in paragraphs (a) and (b) of this section.
(Authority: 20 U.S.C 1070a-11 and 1070a-13)

Sec. 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; or
 - (2) A low-income individual.
 - (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 but has not entered the twelfth 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 Sec. 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)

Sec. 645.4 What are the grantee requirements with respect to low income and first-generation participants?

(a) At least two-thirds of the eligible participants a grantee serves must at the time of initial selection qualify as both low-income individuals and potential first-generation college students. The remaining participants must at the time of initial selection qualify as either low-income individuals or potential first generation college students.

(b) 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.

(c) 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.

(d) A grantee does not have to revalidate a participant's eligibility after the participant's initial selection.

(Authority: 20 U.S.C. 1070a-11)

Sec. 645.5 What regulations apply?

The following regulations apply to the Upward Bound Program:

(a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations);

(2) 34 CFR part 75 (Direct Grant Programs), except for Sec. 75.511;

(3) 34 CFR part 77 (Definitions that Apply to Department Regulations), except for the definition of "secondary school" in 34 CFR 77.1;

(4) 34 CFR part 79 (Intergovernmental Review of Department of

Education Programs and Activities);

(5) 34 CFR part 82 (New Restrictions on Lobbying);

(6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants));

(7) 34 CFR part 86 (Drug-Free Schools and Campuses).

(b) The regulations in this part 645.

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

Sec. 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:

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.

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.

Institution of higher education means an educational institution as defined in sections 1201(a) and 481 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 Sec. 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.

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.

Veteran means a person who served on active duty as a member of the Armed Forces of the United States--

(1) For a period of more than 180 days, any part of which occurred after January 31, 1955, and who was discharged or released from active duty under conditions other than dishonorable; or

(2) After January 31, 1955, and who was discharged or released from active duty because of a service-connected disability.

(Authority: 20 U.S.C. 1001 et seq., 1070a-11, 1070a-13, 1088, 1141, 1141a, and 3283(a)).

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

Sec. 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.

(b) Upward Bound Math and Science Centers designed to prepare high school students for postsecondary education programs that lead to careers in the fields of math and science.

(c) Veterans Upward Bound projects designed to assist veterans to prepare for a program of postsecondary education.

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

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

Sec. 645.11 What services do all Upward Bound projects provide?

(a) An Upward Bound project that has received funds under this part for at least two years shall include as part of its core curriculum, instruction in--

- (1) Mathematics through pre-calculus;
- (2) Laboratory science;
- (3) Foreign language;
- (4) Composition; and
- (5) Literature.

(b) All Upward Bound projects may provide such services as--

- (1) Instruction in subjects other than those listed in

Sec. 645.11(a) that are necessary for success in education beyond high school;

- (2) Personal counseling;
 - (3) Academic advice and assistance in secondary school course selection;
 - (4) Tutorial services;
 - (5) Exposure to cultural events, academic programs, and other educational activities not usually available to disadvantaged youths;
 - (6) Activities designed to acquaint youths participating in the project with the range of career options available to them;
 - (7) Instruction designed to prepare youths participating in the project for careers in which persons from disadvantaged backgrounds are particularly underrepresented;
 - (8) Mentoring programs involving elementary or secondary school teachers, faculty members at institutions of higher education, students, or any combination of these persons and other professional individuals; and
 - (9) Programs and activities such as those described in paragraphs (b)(1) through (b)(8) of this section that are specifically designed for individuals with limited proficiency in English.
- (Authority: 20 U.S.C. 1070a-13)

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

Sec. 645.12 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 Sec. 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 Sec. 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)

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

Sec. 645.13 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 Sec. 645.11(a) and may be provided under Sec. 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 Sec. 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)

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

Sec. 645.14 What additional services do Veterans Upward Bound projects provide?

In addition to the services that must be provided under Sec. 645.11(a) and may be provided under Sec. 645.11(b), 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; and

(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.

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

Subpart C--How Does One Apply for An Award?

Sec. 645.20 How many applications for an Upward Bound award may an eligible applicant submit?

(a) The Secretary accepts more than one application from an eligible entity so long as an additional application describes a project that serves a different participant population.

(b) Each application for funding under the Upward Bound Program shall state whether the application proposes a Regular Upward Bound project, an Upward Bound Math and Science Center, or a Veterans Upward Bound project.

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

Sec. 645.21 What assurances must an applicant include in an application?

An applicant must assure the Secretary that--

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

(b) That the remaining participants be either low-income individuals or potential first generation college students.

(Authority 20 U.S.C. 1070a-13)

Subpart D--How Does the Secretary Make a Grant?

Sec. 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 Sec. 645.31.

(ii) The maximum score for all the criteria in Sec. 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 or schools that the applicant is serving under an expiring project, the Secretary evaluates the applicant's prior experience in delivering services under the expiring

Upward Bound project on the basis of the criteria in Sec. 645.32.

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

(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 may decline to make a grant to an applicant that carried out a project that involved the fraudulent use of funds under section 402A(c)(2)(B) of the HEA.

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

Sec. 645.31 What selection criteria does the Secretary use?

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

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

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

- (i) The income level of families in the target area is low;
 - (ii) The education attainment level of adults in the target area is low;
 - (iii) Target high school dropout rates are high;
 - (iv) College-going rates in target high schools are low;
 - (v) Student/counselor ratios in the target high schools are high;
- and

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

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

- (i) The extent to which student performance on standardized achievement and assessment tests in mathematics and science in the target area is lower than State or national norms.
- (ii) The extent to which potential participants attend schools in the target area that lack the resources and coursework that would help prepare persons for entry into postsecondary programs in mathematics, science, or engineering;

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

(iv) The extent to which there are eligible students in the target area who have demonstrated interest and capacity to pursue academic programs and careers in mathematics and science, and who could benefit

from an Upward Bound Math and Science program.

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

- (i) The proposed target area lacks the services for eligible veterans that the applicant proposes to provide;
- (ii) A large number of veterans who reside in the target area are low income and potential first generation college students;
- (iii) A large number of veterans who reside in the target area who have not completed high school or, have completed high school but have not enrolled in a program of postsecondary education; and
- (iv) Other indicators of need for a Veterans Upward Bound project, including the presence of unaddressed academic or socio-economic problems of veterans in the area.

(b) Objectives (9 points). The Secretary evaluates the quality of the applicant's proposed project objectives on the basis of the extent to which they--

- (1) Include both process and outcome objectives relating to the purpose of the applicable Upward Bound programs for which they are applying;
- (2) Address the needs of the target area or target population; and
- (3) Are measurable, ambitious, and attainable over the life of the project.

(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) The applicant has secured written commitments of support from schools, community organizations, and businesses, including the commitment of resources that will enhance the project as described in paragraph (d)(1) of this section.

(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)

Sec. 645.32 How does the Secretary evaluate prior experience?

(a) In the case of an application described in Sec. 645.30(a)(2), the Secretary reviews information relating to an applicant's performance under its expiring Upward Bound grant. This information includes information derived from annual performance reports, audit reports, site visit reports, project evaluation reports, and any other verifiable information submitted by the applicant.

(b) The Secretary evaluates the applicant's prior experience in delivering services on the basis of the following criteria:

(1) (3 points) Whether the applicant serves the number of participants agreed to under the approved application;

(2) (3 points) The extent to which project participants have demonstrated improvement in academic skills and competencies as measured by standardized achievement tests and grade point averages;

(3) (3 points) The extent to which project participants continue to participate in the Upward Bound Program until they complete their secondary education program;

(4) The extent to which participants who complete the project, or were scheduled to complete the project, undertake programs of

postsecondary education; and

(5) (3 points) The extent to which participants who complete the project, or were scheduled to complete the project, succeed in education beyond high school, including the extent to which they graduate from postsecondary education programs.

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

Sec. 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) \$190,000; or

(2) The amount requested by the applicant.

(Authority: 20 U.S.C. 1070a-11)

Sec. 645.34 How long is a project period?

(a) Except as provided in paragraph (b) of this section, a project period under the Upward Bound Program is four years.

(b) The Secretary approves a project period of five years for applicants that score in the highest ten percent of all applicants approved for new grants under the criteria in Sec. 645.31.

(Authority: 20 U.S.C. 1070a-11)

Subpart E--What Conditions Must Be Met by a Grantee?

Sec. 645.40 What are allowable costs?

The cost principles that apply to the Upward Bound Program are in 34 CFR part 74, subpart Q. 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 of computer hardware, computer software, or other equipment for student development, project administration and recordkeeping, if the applicant demonstrates to the Secretary's satisfaction that the equipment is required to meet the objectives of the project more economically or efficiently.

(o) 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.

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

Sec. 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 Sec. 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)

Sec. 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) For the summer component, the stipend may not exceed \$60 per month.

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

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

Sec. 645.43 What other requirements must a grantee meet?

(a) Number of participants. (1) In each budget period, Regular Upward Bound projects shall serve between 50 and 150 participants and Upward Bound Math and Science projects shall serve between 50 and 75 participants.

(2) Veterans Upward Bound projects shall serve a minimum of 120 veterans in each budget period.

(3) The Secretary may waive the requirements of paragraphs (a)(1) and (a)(2) of this section if the applicant can demonstrate that the project will be more cost effective and consistent with the objectives of the program if a greater or lesser number of participants will be served.

(b) Project director. (1) A grantee shall employ a full-time project director unless paragraph (b)(3) of this section applies.

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

(3) The Secretary waives the requirement in paragraph (b)(1) of this section if the applicant demonstrates that the requirement will hinder coordination--

(i) Among the Federal TRIO Programs; or

(ii) Between the programs funded under sections 402A through 410 of the HEA and similar programs funded through other sources.

(c) Recordkeeping. For each participant, a grantee shall maintain a record of--

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

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

Upward Bound Program Assurances 645.21

All applicants **must** comply with the following statutory requirements:

1. The applicant assures that not less than two-thirds (2/3) of the project participants will be low-income individuals who are potential first generation college students.
2. The remaining project participants will be either low-income individuals or potential first generation college students.

IMPORTANT NOTE: Please note that by submitting this application, you are agreeing to comply with the Upward Bound Program Assurances cited above.

**Federal TRIO Programs
2006 Annual Low Income Levels
(Effective February 2006 Until Further Notice)**

Size of Family Unit	48 Contiguous States, D.C., and Outlying Jurisdictions	Alaska	Hawaii
1	\$14,700	\$18,375	\$16,905
2	\$19,800	\$24,750	\$22,770
3	\$24,900	\$31,125	\$28,635
4	\$30,000	\$37,500	\$34,500
5	\$35,100	\$43,875	\$40,365
6	\$40,200	\$50,250	\$46,230
7	\$45,300	\$56,625	\$52,095
8	\$50,400	\$63,000	\$57,960

For family units with more than 8 members, add the following amount for each additional family member: \$5,100 for the 48 contiguous states, the District of Columbia and outlying jurisdictions; \$6,375 for Alaska; and \$5,865 for Hawaii.

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

The figures shown under family income represent amounts equal to 150 percent of the family income levels established by the Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the [Federal Register](#), Vol. 71, No. 15, January 24, 2006, pp. 3848-3849.

Executive Order 12372 -- Intergovernmental Review

APPENDIX

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government 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. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 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. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the federal government will outlay \$400 billion in grants to state and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed federal financial assistance and direct federal development. The Order allows each state to designate an entity to perform this function. Below is the official list of those entities. For those states that have a home page for their designated entity, a direct link has been provided on the official version:

<http://www.whitehouse.gov/omb/grants/spoc.html>

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these states, you may still send application materials directly to a federal awarding agency.

Contact information for federal agencies that award grants can be found in [The Catalog of Federal Domestic Assistance Catalog Contents Page](#). You can access Appendix IV by Agency [http://12.46.245.173/CFDA/appx4_web.pdf] or by State [http://12.46.245.173/CFDA/appx4_web_state.pdf].

<p>ARKANSAS Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Admin. 1515 W. 7th St., Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 Fax: (501) 682-5206 tlcopeland@dfa.state.ar.us</p>	<p>CALIFORNIA Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 Fax: (916) 323-3018 state.clearinghouse@opr.ca.gov</p>
<p>DELAWARE Sandra R. Stump Executive Department Office of the Budget 540 S. Dupont Highway, 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 Fax: (302) 739-5661 sandy.stump@state.de.us</p>	<p>DISTRICT OF COLUMBIA Marlene Jefferson DC Government Office of Partnerships And Grants Development 441 4th Street, N.W. Washington, DC 20001 Telephone: (202) 727-6518 Fax: (202) 727-1652 marlene.Jefferson@dc.gov</p>
<p>FLORIDA Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Blvd., Mail Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 Fax: (850) 245-2190 Lauren.Milligan@dep.state.fl.us</p>	<p>GEORGIA Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8th Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 Fax: (404) 656-7901 gach@mail.opb.state.ga.us</p>

ILLINOIS

Roukaya McCaffrey
 Department of Commerce and
 Economic Opportunities
 620 East Adams, 6th Floor
 Springfield, Illinois 62701
 Telephone: (217) 524-0188
 Fax: (217) 558-0473
roukaya_mccaffrey@illinoisbiz.biz

IOWA

Kathy Mable
 Iowa Department of Management
 State Capitol Building Room G 12
 1007 E Grand Avenue
 Des Moines, Iowa 50319
 Telephone: (515) 242-8834
 Fax: (515) 242-5897
Kathy.Mable@iowa.gov

KENTUCKY

Ron Cook
 The Governor's Office for Local Development
 1024 Capital Center Drive, Suite 340
 Frankfort, Kentucky 40601
 Telephone: (502) 573-2382/(800) 346-5606
 Fax: (502) 573-2512
Ron.cook@Ky.Gov

MAINE

Joyce Benson
 State Planning Office
 184 State Street
 38 State House Station
 Augusta, Maine 04333
 Telephone: (207) 287-3261
 (direct): (207) 287-1461
 Fax: (207) 287-6489
joyce.benson@state.me.us

MARYLAND

Linda C. Janey, J.D.
 Director, Capital Planning and
 Development Review
 Maryland Department of Planning
 301 West Preston Street, Room 1104
 Baltimore, Maryland 21201-2305
 Telephone: (410) 767-4490
 Fax: (410) 767-4480
linda@mail.op.state.md.us

MICHIGAN

Richard Pfaff
 Southeast Michigan Council of Governments
 535 Griswold, Suite 300
 Detroit, Michigan 48226
 Telephone: (313) 961-4266
 Fax: (313) 961-4869
pfaff@semcog.org

MISSISSIPPI

Mildred Tharpe
 Clearinghouse Officer
 Department of Finance and Administration
 1301 Woolfolk Building, Suite E
 501 North West Street
 Jackson, Mississippi 39201
 Telephone: (601) 359-6762
 Fax: (601) 359-6758

MISSOURI

Federal Assistance Clearinghouse
 Office of Administration
 P.O. Box 809
 Truman Building, Room 840
 Jefferson City, Missouri 65102
 Telephone: (573) 751-4834
 Fax: (573) 522-4395
igr@mail.oa.state.mo.us

NEVADA

Michael Stafford
 Department of Administration
 State Clearinghouse
 209 E. Musser Street, Room 200
 Carson City, Nevada 89701
 Telephone: (775) 684-0209
 Fax: (775) 684-0260
mstafford@budget.state.nv.us

NEW HAMPSHIRE

MaryAnn Manoogian
 Director, New Hampshire Office of
 Energy and Planning
 Attn: Intergovernmental Review Process
 Benjamin Frost
 57 Regional Drive
 Concord, New Hampshire 03301-8519
 Telephone: (603) 271-2155
 Fax: (603) 271-2615
irp@nh.gov

NEW YORK

Linda Shkreli
 Office of Public Security
 Homeland Security Grants Coordination
 633 3rd Avenue
 New York, New York 10017
 Telephone: (212) 867-1289
 Fax: (212) 867-1725

NORTH DAKOTA

Jim Boyd
 ND Department of Commerce
 1600 East Century Avenue, Suite 2
 P.O. Box 2057
 Bismarck, North Dakota 58505-2057
 Telephone: (701) 328-2676
 Fax: (701) 328-2308
jboyd@state.nd.us

<p>RHODE ISLAND Joyce Karger Department of Administration Statewide Planning Program One Capitol Hill Providence, Rhode Island 02908-5870 Telephone: (401) 222-6181 Fax: (401) 222-2083 jkarger@doa.state.ri.us</p>	<p>SOUTH CAROLINA SC Clearinghouse Budget and Control Board Office of State Budget 1201 Main Street, Suite 950 Columbia, South Carolina 29201 Telephone: (803) 734-0494 Fax: (803) 734-0645 clearinghouse@budget.state.sc.us</p>
<p>TEXAS Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 Fax: (512) 936-2681 dfrancis@governor.state.tx.us</p>	<p>UTAH Sophia DiCaro Utah State Clearinghouse Governor's Office of Planning and Budget Utah Capitol Complex Suite E210, P.O. Box 142210 Salt Lake City, Utah 84114-2210 Telephone: (801) 538-1027 Fax: (801) 538-1547 ddicar@utah.gov</p>
<p>WEST VIRGINIA Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 Fax: (304) 558-3248 fcutlip@wvdo.org</p>	<p>WISCONSIN Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street, 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 Fax: (608) 267-6931 jeffrey.smith@doa.state.wi.us</p>
<p>AMERICAN SAMOA Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com</p>	<p>GUAM Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 Fax: 011-671-472-2825 jer@ns.gov.gu</p>
<p>NORTH MARIANA ISLANDS Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 Fax: (670) 664-2272 omb.jseman@saipan.com</p>	<p>PUERTO RICO Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 Fax: (787) 722-6783</p>

VIRGIN ISLANDS

Ira Mills
Director, Office of Management and Budget
#41 Norre Gade Emancipation Garden Station,
Second Floor
Saint Thomas, Virgin Islands 00802
Telephone: (340) 774-0750
Fax: (340) 776-0069
irmills@usvi.org

Changes to this list can be made only after OMB is notified by a state's officially designated representative. E-mail messages can be sent to ephillips@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, N.W.
Washington, DC 20503

Please note: Inquiries about obtaining a federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance or CFDA <http://www.cfda.gov> and the Grants.gov Web site (<http://www.grants.gov>).

General Education Provisions Act (GEPA)

ALL APPLICANTS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

Section 427 requires each applicant 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 section allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age.*

A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers. Applicants must address this provision by attaching a statement to the GEPA "Notice to All Applicants" form that is included in the UB application package that must be downloaded from Grants.gov.

***Note:** The Department has determined that a disproportionate number of female students are being selected to participate in the regular Upward Bound Program and the Upward Bound Math and Science Program. Only one-third of all participants are male. To address this imbalance, applicants are requested to include in their GEPA statement strategies they plan to employ to remove barriers necessary to achieve a proportional representation of male participants in the regular Upward Bound and Upward Bound Math and Science Programs.

Government Performance and Results Act (GPRA)

What is GPRA?

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. 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: Create a Culture of Achievement*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance indicators for the Federal TRIO Programs are part of the Department's plan for meeting Goal 5: Ensure access to postsecondary education and lifelong learning. One of the Department's objectives for Goal 5 is to "reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing educational attainment of all."

What is the Performance Indicator for the UB Program?

The Federal TRIO Program's overarching goal is: to increase the percentage of low-income, first generation college students who successfully pursue postsecondary education opportunities.

The specific performance measures for the UB program are the percentage of UB participants enrolling in postsecondary education; and the percentage of enrolled students who re-enroll for the second academic year.

Instructions for Completing the Application and Forms

NOTE: In Grants.gov, applicants will find a list of “Mandatory Documents” which includes all of the required forms, assurances, the “Project Narrative Attachment Form” and the “Other Attachments Form.”

The Upward Bound application consists of the following four parts:

- Part I: Application for Federal Assistance (SF 424) and Department of Education Supplemental Information for SF 424
- Part II: Department of Education Budget Information Non-Construction Programs (ED 524)
- Part III: Program Narrative –
 - “ED Abstract Form”
 - “Project Narrative Attachment Form”
 - “Other Attachments Form”

The “ED Abstract Form” (found in the Grants.gov application package) is where you will attach your program abstract. It is not included in the 50-page limitation.

The “Project Narrative Attachment Form” (found in the Grants.gov application package) is where applicants will attach their narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition – **this section has a strict page limit of 50 pages.**

The “Other Attachments Form” (found in the Grants.gov application package) is where applicants will attach the “Program Profile” page (which you must copy from page 101 of these instructions). If you include any other documents, not specifically requested, in the “Other Attachments Form” they will count towards your 50-page limit for the narrative.

- Part IV: Assurances and Certifications, and Survey Form -- Applicants must complete the following forms included in the application package:
 - ◇ Assurances for Non-Construction Programs (SF 424B)
 - ◇ Grants.gov Lobbying Form (formerly Certification Regarding Lobbying ED 80-0013)
 - ◇ Disclosure of Lobbying Activities (SF-LLL)
 - ◇ ED GEPA 427 Form
 - ◇ Survey on Ensuring Equal Opportunity for Applicants

On the following pages, you will find:

1. Instructions for the following Standard Forms:

- APPLICATION FOR FEDERAL ASSISTANCE (SF 424)
- DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424
- DEPARTMENT OF EDUCATION BUDGET INFORMATION NON—CONSTRUCTION PROGRAMS (ED 524)
- DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)
- SURVEY INSTRUCTIONS FOR ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

2. Other Information and Guidance:

- SUPPLEMENTAL INFORMATION AND INSTRUCTIONS FOR PREPARING THE APPLICATION
- PROJECT NARRATIVE ATTACHMENT INSTRUCTIONS
- FIRST-YEAR BUDGET AND ADDITIONAL BUDGET INFORMATION INSTRUCTIONS (ED FORM 524)

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 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. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications 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 items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:						
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.						
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.						
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • 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. <table style="margin-left: 20px; border: none;"> <tr> <td>A. Increase Award</td> <td>B. Decrease Award</td> </tr> <tr> <td>C. Increase Duration</td> <td>D. Decrease Duration</td> </tr> <tr> <td colspan="2">E. Other (specify)</td> </tr> </table> 	A. Increase Award	B. Decrease Award	C. Increase Duration	D. Decrease Duration	E. Other (specify)		12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		A. Increase Award	B. Decrease Award						
		C. Increase Duration	D. Decrease Duration						
E. Other (specify)									
13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.								
14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.								
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant’s Project: (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 preapplications, attach a summary description of the project.						
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant’s control number, if applicable.								
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant’s Congressional District, and 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 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina’s 103 rd district. <ul style="list-style-type: none"> • 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. 						
5b.	Federal Award Identifier: For new applications leave blank. 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.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.								
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.						
8.	Applicant Information: Enter the following in accordance with agency instructions:								
	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.								
	b. Employer/Taxpayer Number (EIN/TIN): (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.	Estimated Funding: (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						
	c. Organizational DUNS: (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 the Grants.gov website.								

	<p>d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	<p>parentheses.</p>																								
		<p>19. Is Application Subject to Review by State Under Executive Order 12372 Process? 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</p>																								
		<p>20. Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td>B. County Government</td> <td>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Private Institution of Higher Education</td> </tr> <tr> <td>D. Special District Government</td> <td>P. Individual</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Small Business</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Hispanic-serving Institution and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Historically Black Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Non-domestic (non-US) Entity</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td>X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	<p>21. Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>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.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																									
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INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

a. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. Novice Applicant. Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

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

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

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.

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 Department of Education Supplemental Information For SF 424.”)

3a. 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. Insert 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 Department of Education Supplemental Information For SF 424.”

3a. 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 page entitled “Definitions for Department of Education Supplemental Information For SF 424

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (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. 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.

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.

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 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, DC 20202-4260.

DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

(Attachment to Instructions for Supplemental Information for SF 424)

Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a 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.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* 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 linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), 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.

(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.

(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.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. 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 Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, 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 OMB Standard 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. Please 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 breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office.

(1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR

76.564(c)(2). Note: State or local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide 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

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. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. 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.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. 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, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, DC 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 followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 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. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

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 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, 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:** The Agency Contact listed in this grant application package.

OMB No. 1890-0014 Exp. 02/28/09

Supplemental Information and Instructions: The following information supplements the information provided in the “Dear Applicant” letter and the Notice.

A. Criteria for Funding

All applications for grants under the UB Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 645.31). Applicants funded in the 2003-2007 grant cycle are eligible to receive up to 15 points for prior experience (34 CFR 645.32).

B. UB Program Assurances

All applicants must comply with the UB statutory requirements (34 CFR 645.21). The assurances are included in the application. By submitting an Upward Bound application, an applicant certifies that it has read the assurances and will fully comply with the requirements.

C. Target Schools

Applicants must provide the name of each proposed target school. In addition, the application must include the estimated number of participants to be served at each target school. This information must be provided on the “Upward Bound Program Profile” page. You are urged to give careful consideration to the identity and number of the target schools you propose to serve. The identity of the proposed target schools should be determined based upon need. The number of proposed target schools should be determined based upon the ability of the project to efficiently and effectively deliver services with the proposed project budget.

D. Program Profile Form

All applicants must complete the information requested on this page. The program profile contains standardized objectives. Applicants are required to propose the percentage at which each of the standardized objectives will be attained. **Do not modify, amend or delete any of these objectives.**

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 either a .doc, .rtf or .pdf document. Do not modify or amend the contents of the form in any way. The profile page can be found on page 101 of these instructions.

E. Formatting

Double-space all text in the application narrative. Titles, headings, footnotes, captions, quotations, references, and all text in charts, tables and graphs may be single-spaced. Applicants may **only** use the following fonts: *Times New Roman*, *Courier*, *Courier New* or *Arial*. Applications submitted in any other font (including

Times Roman and *Arial Narrow*) will not be accepted. Applicants must use no less than size 12 fonts.

A Table of Contents is required and applicants are strongly encouraged to include an identifying header or footer (within the 1” margin at either the top or bottom of each page) that contains the applicant’s name and the page numbers. The pages must be numbered in consecutive order.

The “Program Narrative” is limited to 50 pages. This section is where applicants will attach their narrative responses to the selection criteria. Applicants will attach the program narrative to the “Project Narrative Attachment Form” in Grants.gov. Appendices and attachments should not be included. If these items are included, they will be counted as part of the 50-page limit.

The page limit does not apply to the following:

- Table of Contents
- Application for Federal Assistance Form (SF 424)
- Department of Education Supplemental Information for SF 424
- Department of Education Budget Information Form (ED 524)
- Assurances and Certifications
- ED GEPA 427 Form
- “ED Abstract Form”
- Upward Bound Program Profile (include this page in the “Other Attachments Form” found in the Grants.gov application package)

F. Length of New Award

Applicants may apply for a maximum of five years of funding. However, only applicants that score in the highest ten percent of all applications will be awarded five-year grants; all other selected applicants will be funded for four years (34 CFR 645.34).

G. Evaluation of Applications for Awards

A three-member panel of non-federal reviewers will read each application. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion.

H. Selection of Grantees

The Secretary will select an application for funding in rank order, based on the application’s total score for the selection criteria and prior experience (34 CFR 645.32). If there are insufficient funds to fund two or more applications with the same total score, the Secretary will choose among the tied applications so as to serve geographical areas and eligible populations that have been underserved by the UB Program (34 CFR 645.30).

I. Applicant Funding

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the “Maximum Award” section described in the closing date notice. The Department will not fund any application at an amount exceeding the maximum amounts specified in the closing date notice.

J. Notice to Successful Applicants

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

K. Notice to Unsuccessful Applicants

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

Program Narrative Instructions: The program narrative is to be attached to the “Project Narrative Attachment Form” of the application package in Grants.gov.

Before preparing the Program Narrative, applicants should review the Dear Applicant Letter, the closing date notice, program statute, and the program regulations for specific guidance and requirements. Note that applications will be evaluated according to the specific selection criteria specified in the closing date notice and this package.

The Secretary evaluates an application on the basis of the criteria in 34 CFR 645.31 of the UB Program regulations, which is identified in this application (see “Authorizing Legislation and Regulations”). The Program Narrative should provide, in detail, a narrative that addresses each selection criterion. The UB selection criteria contain weighted sub-criteria and the maximum possible score for each category of selection criterion category is indicated in parenthesis. Unless, otherwise stated, applicants **MUST** specifically address each sub-criterion.

The Program Narrative must be limited to not more than 50 pages, double-spaced using the acceptable font types, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 50-page limit. Please refer to the Notice (See “Content and Form of Application Submission”) in this application for additional application submission requirements.

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

- | | | |
|----|---|-------------|
| 1. | <u>Need</u> (34 CFR 645.31(a)) | (24 points) |
| 2. | <u>Objectives</u> (34 CFR 645.31(b)) | (8 points) |
| 3. | <u>Plan of Operation</u> (34 CFR 645.31(c)) | (30 points) |
| 4. | <u>Applicant and Community Support</u> (34 CFR 645.31(d)) | (16 points) |
| 5. | <u>Quality of Personnel</u> (34 CFR 645.31(e)) | (9 points) |
| 6. | <u>Evaluation Plan</u> (34 CFR 645.31(g)) | (8 points) |
| 7. | <u>Budget</u> (34 CFR 645.31(f)) | (5 points) |

Total Maximum Score for Selection Criteria

100 points

The following guidance may assist you in addressing each of the selection criterion:

Need: There are six sub-criteria in this section for Upward Bound. In responding to this criterion, all sub-criteria must be addressed. Data for each sub-criterion must be addressed for each of the target schools or target areas for UB identified in the application.

Objectives: All applicants must include the four “standardized” objectives cited on the “Upward Bound Program Profile.” Applicants need only fill-in the blank indicating the proposed percentage level of achievement for each of these objectives. The “standardized” objectives may not be rewritten, restated or reworded. Applicants may add additional objectives, but are not required to do so. Applicants will not receive additional points or penalties for proposing additional objectives. All 8 points will be awarded based upon the extent to which the applicant's proposed percentages for the

objectives are determined to be both ambitious and attainable. Applicants must explain why the objectives are ambitious and attainable and provide data to support that explanation. The peer reviewers will determine the extent to which the objectives are both ambitious and attainable based upon the data and explanations the applicant provides in the NEED, Plan of Operation and Budget sections of the application. It is not necessary for applicants to address the remaining selection criteria found in 34 CFR 645.31(b)).

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

Applicant & Community Support: There are two sub-criteria that must be addressed. Applicants should not submit floor plans or letters of support or commitment in the application. This information can be described or summarized as narrative, or in a list, or in a chart. If submitted, these items will count towards the 50-page limit. Retain the letters of commitment on file for review upon request.

Quality of Personnel: Applicants must address all of the sub-criteria in this section. Applicants should provide the minimum qualifications for all project personnel positions. The minimum educational qualifications should include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position. Applicants are **not required** to submit resumes or job descriptions in the application—this information can be described or summarized. The “plan to employ personnel who have succeeded in overcoming barriers similar to the target population to be served” should 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.

Evaluation Plan: There are two sub-criteria in this section. 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 and the Performance Indicators for the program. [The performance indicators are identified in the closing date notice.] In addition, the evaluation plan should include program measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that has agreed to serve as evaluator for the project and describe the qualifications of the evaluator. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation. It is not necessary to obtain an evaluator who is not employed by the host organization; however the proposed evaluator may not be employed by a TRIO project within the host organization.

Budget: There are no sub-criteria for this section. In response to this criterion, applicants must provide a detailed, itemized budget AND a detailed budget narrative (budget notes) for the first-year (12-months) budget period, only. Additional budget instructions are cited below:

First Year Budget and Budget Summary Form (ED Form 524) Instructions:

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

NOTE: Applicants must submit (1) a budget summary form to categorize requested funds (ED Form 524), **AND** (2) a detailed itemized budget for the first 12-month budget period, **AND** (3) a budget narrative to explain or justify costs.

The budget summary is to be included on the "Budget Information – Non-Construction Programs" (ED Form 524). Both the federal and non-federal shares are to be included on both the summary form (ED Form 524) and the itemized budget.

Both the detailed itemized budget and budget narrative (for the first 12-month budget period only), are to be included as part of the **BUDGET selection criterion** in the 50-page program narrative which you must attach to the "Project Narrative Attachment Form" in the application package in Grants.gov.

For this competition, applicants may receive funding for up to five years. The Department is requesting that you complete the Budget Summary Form (ED Form 524) for the 2007-2008 year and provide **both an itemized budget and a detailed budget narrative for the first 12-month budget period, only**. It is not necessary to provide a budget summary for the total grant period requested, up to five years. The funding level for the first year is stipulated in the "Maximum Award" section of the Notice. The Department will determine the funding levels for each additional year of the grant award. All first-time applicants' budget period dates should begin September 1 and end August 31. All currently funded applicants' budget period dates should remain as prior grant budget period dates.

The UB Program selection criteria provide for an applicant to receive up to five points for its proposed budget. {See 34 CFR 645.31(f)} The budget must include all costs that are allowable, reasonable and necessary for carrying out the objectives of the UB Program. Among the costs that may be supported with grant funds are:

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

3. Travel: On line 3 (ED Form 524), provide the total cost of travel expenses for project personnel and student participants. [Consultants' travel should be included on line 8.] On the itemized 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/agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution/agency rate is permitted when an individual is away from home overnight on official project business (see OMB Circular A-21, J.48.c - Commercial Air Travel). No foreign travel will be authorized under the grant.

The Federal TRIO Programs has 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 staff development training opportunity under the Training Program for Federal TRIO Programs.

- Full-time Professional Staff Travel – Per Year

- A. One National, Regional, **or** State Meeting; **and**
- B. Travel for participation in one staff development training opportunity under the Training Program for Federal TRIO Programs.

4. Equipment: On line 4 (ED Form 524), indicate the total cost of equipment – which is defined as 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.] On the budget, include a list of all equipment in the following format: item, quantity, cost per unit, and total cost. In the budget narrative, explain why the requested equipment is necessary to carry out project activities.
5. Supplies: On line 5 (ED Form 524), include the total cost of all other tangible personal property that was not included as "equipment" on line 4. On 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 total 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, and communication costs, rental of space, utilities, custodial services, and printing costs. On 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/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 total amount of indirect costs that you propose to charge against the grant.

All of the grants awarded under the UB Program (84.047A) are designated training grants. The Education Department Administrative Regulations (EDGAR) of the Department of Education (ED) 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 costs agreement or a maximum of 8% of a modified total direct costs base, **whichever is less**. (**NOTE**: This limitation does not apply to State agencies, local governments, or federally recognized Indian tribal governments. [§75.562(c)(2)])

Modified total direct cost base is defined as the total direct costs less, stipends, tuition, and related fees, and capital expenditures of \$5,000 or more. Therefore, calculations for indirect cost may not include costs for equipment, training stipends, tuition related fees, room and board, and summer non-residential meals associated with the UB Program.

Grantees charging indirect costs to an ED 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 costs 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 costs agreement to claim the 8% rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect costs rate is at least 8% [§75.563(d)]. In the event that they receive an award under this program, applicants without a negotiated indirect costs 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% rate and a greater indirect costs rate negotiated with a cognizant agency may **not** be charged to direct costs categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [§75.563(c)(3)]

11. Training Stipends: Include student stipends.
12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting – the sum of lines 9,10, and 11. Note: This amount should also be the same as that shown as 18a on the “Application for Federal Assistance” (SF 424).

Regular Upward Bound Program Profile

INSTRUCTIONS: ALL applicants must complete this page. The completed page must be attached to the “Other Attachments Form” {as either a .doc, .rtf or .pdf document} in the application. **DO NOT MODIFY OR AMEND THIS PAGE.**

1. Institution/Agency/Organization (Legal Name): _____
2. Applicants must indicate the address where the project will be located:
 Project Address: _____
 City: _____
 State: _____ Zip: _____
3. Applicants currently funded under the UB Program must provide their current award number. This can be found in Block 5 of the Grant Award Notification. (New applicants should leave this item blank). P047A _____
4. Proposed total number of participants to be served each year by this project: _____
5. Multiple applications submitted: No: _____ Yes: _____ How many? _____
6. List the target schools and estimated number of participants to be served at each target school:

Target School Name	State	NCES Identification	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.

7. “Standardized” Program Objectives: (Please fill in the proposed percent (%) for each objective).
 - (a) **Academic Improvement on Standardized Test:**
 ____ % of all UB participants, who at the time of entrance into the project had an expected high school graduation date during the school year, will have achieved at the proficient level during high school on state assessments in reading/language arts and math.
 - (b) **Project Retention**
 ____ % of 9th, 10th, and 11th grade project participants served during each school year will continue to participate in the Upward Bound Project during the next school year.
 - (c) **Postsecondary Enrollment:**
 ____ % of all UB participants, who at the time of entrance into the project had an expected graduation date during the school year, will enroll in a program of postsecondary education by the fall term immediately following the expected graduation date from high school.
 - (d) **Postsecondary Persistence:**
 ____ % of all UB participants who enrolled in a program of postsecondary education during the fall term immediately following high school graduation will be enrolled for the fall term of the second academic year.

Application Checklist

Use This Checklist While Preparing Your Application. All items listed on this checklist are required.

- Application for Federal Assistance - (SF 424)
- Department of Education Supplemental Information Form for the SF 424
- Department of Education Budget Summary Form - (ED 524) – Sections A & B
- Program Abstract (not included in 50-page limitation) -- Attach this document to the “ED Abstract Form” in the Grants.gov application package.
- Program Narrative (50-page limit addressing the selection criteria) – Attach this document to the “Project Narrative Attachment Form” in the Grants.gov application package.
- Upward Bound Program Profile Page – Attach this document to the “Other Attachments Form” in the Grants.gov application package.
- GEPA Section 427 Requirement – Attach the response to the GEPA Form in the Grants.gov application package.
- Assurances and Certifications (These documents are included as “Mandatory Documents” in the “Application Package” in Grants.gov.)
- Assurances – Non-Construction Programs (ED 424B)
- Grants.gov Lobbying Form (Formerly ED Form 80-0013)
- Disclosure of Lobbying Activities (SF LLL)
- Survey on Ensuring Equal Opportunity for Applicants

Application for Federal Assistance SF-424

SEE LINK

**SUPPLEMENTAL INFORMATION
REQUIRED FOR
DEPARTMENT OF EDUCATION**

1. Project Director:

Prefix: *First Name: Middle Name: *Last Name: Suffix:

Address:

* Street1

Street2:

* City:

County:

* State * Zip Code: * Country:

* Phone Number (give area code) Fax Number (give area code)

Email Address:

2. Applicant Experience:

Novice Applicant Yes No Not applicable to this program

3. Human Subjects Research:

Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes
Provide Exemption(s) #:

No
Provide Assurance #, if available:

Please attach an explanation Narrative:

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back



**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004
Expiration Date: 10-31-2007

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No
- (2) If yes, please provide the following information:
 Period Covered by the Indirect Cost Rate Agreement: From: ___/___/___ To: ___/___/___ (mm/dd/yyyy)
 Approving Federal agency: ED Other (please specify): _____
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
 Is included in your approved Indirect Cost Rate Agreement? or Complies with 34 CFR 76.564(c)(2)?

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

SECTION C – BUDGET NARRATIVE (see instructions)

GRANTS.GOV LOBBYING FORM

Certification for Contracts, Grants, Loans and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other Federal appropriated funds have been paid or will be paid to any person 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 this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Applicant's Organization	
Printed Name of Authorized Representative	Printed Title of Authorized Representative

08/05

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

<p>1. Type of Federal Action:</p> <p>_____ a. contract</p> <p>_____ b. grant</p> <p>_____ c. cooperative agreement</p> <p>_____ d. loan</p> <p>_____ e. loan guarantee</p> <p>_____ f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p>_____ a. bid/offer/application</p> <p>_____ b. initial award</p> <p>_____ c. post-award</p>	<p>3. Report Type:</p> <p>_____ a. initial filing</p> <p>_____ b. material change</p> <p>For material change only:</p> <p>Year _____ quarter _____</p> <p>Date of last report _____</p>
<p>4. Name and Address of Reporting Entity:</p> <p>_____ Prime _____ Subawardee</p> <p style="padding-left: 100px;">Tier _____, if Known:</p> <p style="text-align: center;">Congressional District, if known:</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p style="text-align: center;">Congressional District, if known:</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>7. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ _____</p>	
<p>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</p>	<p>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No.: _____ Date: _____</p>	
<p>Federal Use Only</p>	<p>Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)</p>	

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 02/28/09

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Federal Program: _____ **CFDA Number:** _____

1. Has the applicant ever received a grant or contract from the Federal government?

Yes No

2. Is the applicant a faith-based organization?

Yes No

3. Is the applicant a secular organization?

Yes No

4. Does the applicant have 501(c)(3) status?

Yes No

5. Is the applicant a local affiliate of a national organization?

Yes No

6. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer 15-50
 4-5 51-100
 6-14 over 100

7. What is the size of the applicant's annual budget?

(Check only one box.)

Less Than \$150,000
 \$150,000 - \$299,999
 \$300,000 - \$499,999
 \$500,000 - \$999,999
 \$1,000,000 - \$4,999,999
 \$5,000,000 or more

