

FREQUENTLY ASKED QUESTIONS
Fiscal Year 2007
Upward Bound Program
Competition

This document reflects a compilation of the answers we have provided in response to questions received from potential applicants. We hope this information is useful in assisting you with developing a successful UB application.

Q1: What is the maximum award for an Upward Bound applicant that is seeking a first time award?

A: The maximum award for a new applicant is \$250,000 for regular Upward Bound, Upward Bound Math and Science and Veterans Upward Bound.

Q 2: For the past four years we have received the Upward Bound Initiative funds. Are we to include the amount of the UB Initiative funds in our base award for purposes of determining the maximum award under the FY 2007 competition?

A: No, the Upward Bound Initiative is a four-year project. The UB Initiative will not be renewed. However, in determining the maximum award under the FY 2007 competition, grantees may add one-half of their UB Initiative funds to their 2006 base award amount. The maximum award will be 103 percent of that combined amount. (In other words, the 3 percent increase is applied to BOTH the base amount AND one-half of the UB Initiative amount.) You should also note that the number of participants a project is required to serve will also increase by one-half of the number served under the UB Initiative.

Q3: Where in the budget do you put all costs that relates to students? Are these costs included in the indirect costs?

A: All costs related to stipends, room and board, meals, tuition and related fees should be placed under the "Training Stipends" category on the budget form (ED Form 524). These costs are not to be included in the calculation of indirect costs. Please identify the various categories of expenses in the budget summary. With the transition to grants.gov we are no longer able to modify the standard budget forms to accommodate the specifics of the TRIO programs as we have done in previous competitions.

Q4: May we use bullets in the program narrative and single-space the text following the bullets?

A: Yes and no. You may use bullets in the program narrative but the text must be double-spaced.

Q5: May more than one Upward Bound project or both a regular Upward Bound and Upward Bound Math and Science project serve the same target area and schools?

A: The number and type of Upward Bound projects that serve a particular target area or school is not an issue. What the relevant issue is whether there are a sufficient number of eligible students in the target area or school for each Upward Bound project to serve its required number of eligible students

without duplicating eligible students. Clearly, we would prefer that multiple Upward Bound projects not identify the same target schools. However, having more than one application proposing to serve students at the same target school(s) in itself will not render an application ineligible.

Q6: Is 2000 Census data acceptable if it is the latest available source data for the following Need Section sub-criteria: (a) family income levels and (b) educational attainment levels?

A: You should use the most recent data available to convince the reader of the need for the program in your target area and schools. It will be left to the reader's discretion as to whether the data presented in the application achieved its intended purpose.

Q7: Are Upward Bound Math and Science projects required to have an academic year component in addition to the summer component.

A: No. However, it is anticipated that all Upward Bound Math and Science applicants will propose both an academic year and summer component. If an applicant proposes only a summer component, the budget that is included in the application should cover only the costs of the summer component.

Q8: Are we correct to understand that Upward Bound Math and Science projects must provide math and science-specific services in addition to those services required of all types of Upward Bound projects?

A: Yes. The services that must be provided by all types of Upward Bound projects are found in section 645.11(a) and the additional services Upward Bound Math and Science projects must provide are found in section 645.13(a) of the program regulations. A copy of the regulations is in the application package.

Q9: I currently have a regional Upward Bound Math and Science project that serves students attending schools in three states. In the new proposal I wish to reduce my target area to serve students attending schools in one of the three states. Since I will no longer be serving all the same target areas and schools will my new proposal qualify for prior experience points?

A: Yes. The regulations provide that an applicant for a new grant that proposes to continue to serve substantially the same target population or schools qualify for prior experience points. In the example described, 100 percent of the proposed target population and schools are currently served by the existing grant. Therefore, the new application will have substantially the same target population and schools.

Q10: The absolute priority for the regular Upward Bound program allows projects to select new students from the 10th grade, BUT the 30 percent with a high academic risk for failure MUST be selected from students who have not completed the 9th grade. My Upward Bound project only serves target high schools that begin with the 10th grade. Will my project be exempt from the requirement to select students who have not completed the 9th grade?

A: No. Your application must include at least one target school from which you will select eligible students that have not completed the 9th grade, otherwise the application will be determined to be ineligible and not included in the competition.

Q11: The middle schools in my target area include the 9th grade. High schools include the 10th through 12 grades. The middle schools serve as "feeder schools" and students from the middle schools may enroll in any of 100 or more high schools. In selecting the 30 percent of students that have not completed the 9th grade who have a high academic risk for failure, we must select from the middle schools. We do not know which of 100 or more high schools the students will attend. Must we include all high schools as target schools?

A: No. The target schools are the schools for which a UB project proposes to focus its project services including the recruitment of eligible students. Simply because a student selected to participate in an Upward Bound project subsequently attends a different school than the school the student attended at the time of selection does not make the new school a target school. The target schools are the schools for which the applicant will address the "need for the project" selection criteria.

Q12: Further clarification is needed on Standardized Program Objective (Academic Improvement). Is the intent that we measure all students who ever participated in Upward Bound each year and not just seniors expected to graduate that particular year?

A: The standardized objective reads,
"(a) Academic Improvement on Standardized Test:
_____ percent 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."

ALL students have an expected high school graduation year at the time they are admitted into an Upward Bound project. This objective measures this entire cohort of students with the same expected graduation year, regardless of whether they enter any subsequent year of school or whether they enter any subsequent year of UB. What this objective does is-- Measures the results of the UB students' performance on the standardized tests by the time they reach, or would have reached, their senior year. The tests are given no later than the 11th grade. For example, a student in the 9th grade that enters the UB project in 2007 (at the time of entrance into the project) would have "an expected high school graduation date during the school year (2010). Likewise, a student in the 10th grade that enters the UB project in 2007 (at the time of entrance into the project) would have" an expected high school graduation date during the school year (2009). The objective does not measure only UB participants who are seniors, it measures students who participated in the UB project at any time who are or (if they had stayed in school) would have been seniors in the relevant year for which the annual performance report is being submitted.

Q13: The Standardized Objective (a)..." will have achieved at the proficient level during high school on state assessments in reading/language arts and math. This objective asks for only one percentage at the beginning of the objective but asks us to report proficiency levels on assessments in reading/language arts AND math. Our state reports a percentage in both math and reading. Which one should we choose? Should we choose an average of the two? Do we report both?

A: Both, but it is only those participants who will achieve at the proficient level on both tests. So there is only one percentage that will be included in the objective. The objective is measuring the percent of UB students that achieve at the proficient level on both tests by the time they reach, or would have reached, their senior year. For example, if a student achieves at the proficient level in reading/language arts, but not math, that student would not have achieved the requirement of this objective.

Q14: In my districts, they are only giving the state standardized tests in reading/language arts and math required for graduation in the 10th and 11th grade. Would this mean that all 30 percent of the new 9th grade students must have below a 2.5 GPA? Is it possible to look at the 7th grade test scores and project how a student may do? It was suggested to me that we could select any otherwise eligible 9th grade student because they have not passed the tests since they have not taken the tests yet.

A: Every State is required to give the tests in reading/language arts and math in the 8th grade. The 8th grade tests are two of the four options you may use to identify students who have a high risk of academic failure. The students' achievement on the 10th/11th grade tests in reading/language arts and math are used to determine the extent to which the project achieved the standardized objective --Academic Improvement on Standardized Test.

Q15: The Veterans Upward Bound (VUB) Objective (d) Postsecondary Persistence reads:

_____ percent of participants who enroll in postsecondary education during each budget period will be enrolled for the fall term of the second academic year.

Does the postsecondary persistence objective measure all VUB students who enroll in a program of postsecondary education during each budget period or only those that were scheduled to complete their VUB educational program during each budget period? For example, how is a VUB student counted that does not enroll in a program of postsecondary education by the fall term following the scheduled completion of the VUB educational program but does enroll by the second fall term and continues enrollment in subsequent periods?

A: The postsecondary persistence objective is intended to track only those VUB students who enroll in a program of postsecondary education by the fall term following their scheduled completion of the VUB educational program. In other words, the denominator of the postsecondary persistence objective is the numerator of the postsecondary enrollment objective from the previous year. The student in the example above would not be counted as achieving

either the postsecondary enrollment objective or the postsecondary persistence objective but would be reported in the annual performance report.

Q16: The Veterans Upward Bound (VUB) Objective (c) Postsecondary Enrollment reads:

_____ Percent of participants served during each budget period will enroll in a program of postsecondary education by the fall term following the scheduled completion of their prescribed VUB educational program.

By the use of the term "scheduled completion," does the objective measure the extent to which VUB participants enroll in programs of postsecondary education by the fall term, regardless of whether they actually completed the prescribed VUB educational program at the scheduled completion date?

A: Each VUB participant should have a scheduled completion date established at the time of entry into the VUB project. However, all VUB participants served during any given budget period will not necessarily be scheduled to complete the VUB educational program during the same budget period. The objective measures only those VUB participants who were "scheduled" to complete the VUB program during the budget period (regardless of whether they actually completed the VUB program during the budget period) who enroll in a program of postsecondary education by the fall term following the scheduled completion date.

10/19/2006