U.S. Department of Education

OFFICE OF POSTSECONDARY EDUCATION
Washington, DC 20202

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

FY 2022

APPLICATION FOR GRANTS

UNDER THE

VETERANS UPWARD BOUND PROGRAM

ALN: 84.047V

FORM APPROVED

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

DATED MATERIAL – OPEN IMMEDIATELY

CLOSING DATE: XX/XX/XXXX

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UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF POSTSECONDARY EDUCATION

Date: XX/XX/XXXX

Dear Applicant:

Thank you for your interest in applying for a grant under the Veterans Upward Bound (VUB) Program. We are pleased to provide the application package for the fiscal year (FY) 2022 grant competition. Included in this application package are information and instructions needed to submit a complete application package to the U.S. Department of Education (Department) through Grants.gov.

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

This letter highlights a few items in the application package that are important for prospective applicants. The "Competition Highlights" section notes some of the requirements for applying for a grant under the FY 2022 VUB competition. You should review the entire application package carefully before preparing and submitting your application. Information on the VUB Program is also accessible on the Department's website at:

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

Applications must be submitted electronically using the Grants.gov system. An applicant unable to submit an application through the Grants.gov system must submit a written request for a waiver of the electronic submission requirement at least two weeks before the deadline date. Additional information about Grants.gov submission requirements can be found in the Notice Inviting Applications (NIA) published in the Federal Register. Grants.gov is accessible through its portal page at http://www.Grants.gov.

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

It is essential that your application includes a strong evaluation plan. The evaluation plan should shape the development of the project from the beginning of the grant period and provide

benchmarks for the monitoring of progress, and measurement of that progress, throughout the grant award period. We encourage you to pay close attention to the information provided in the Instructions for the Application Narrative section of this application regarding the development of your evaluation activities.

The Notice published in the Federal Register is the official document describing the requirements for applying for a VUB grant. You should not rely upon any information that is inconsistent with the guidance contained within the official document.

Thank you for your interest in the VUB. We look forward to receiving your application. For further information regarding the VUB Program and competition, please contact Kenneth Foushee at (202) 453-7417 or via email: Kenneth.Foushee@ed.gov.

Sincerely,

/s/

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

COMPETITION HIGHLIGHTS

1. **Veterans Upward Bound (VUB) Program applications for FY 2022 must be submitted electronically using Grants.gov**. You are urged to acquaint yourself with the requirements of Grants.gov early as the registration procedures may require 5 or more days to complete. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at: http://www.Grants.gov**.** The requirements for obtaining an exception to the electronic submission requirement are included in the Notice for FY 2022. If you think you may need an exception, you are urged to review the requirements promptly.

   REGISTER EARLY – Grants.gov registration involves many steps including registration on SAM (www.sam.gov) which may take approximately one week to complete, but could take upwards of several weeks to complete, depending upon the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov.

2. Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.

3. Please note that you must submit your application by 11:59:59 p.m. (Eastern Time) on or before the application deadline date. Late applications will not be accepted. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

4. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the Notice for FY 2022 and qualify for one of the exceptions to the electronic submission requirement.

5. We recommend that you limit the application narrative, which includes the budget narrative, to the equivalent of no more than 65 pages.

6. **All attachments must be in Portable Document Format (PDF) or Microsoft Word**. **Other types of files will not be accepted**. We highly recommend that all attachments are in PDF format. You must provide the DUNS number that was used when your organization registered with the System for Award Management (SAM).

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

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

Also, refer to the "U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants" section found in this application booklet.

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

7. As you develop your application, we ask you to carefully consider the specific content that you will provide in the Objectives section of the application. This part of the application should address the appropriate standardized objectives related to academic performance as measured by standardized tests, education program retention and completion, postsecondary enrollment, and postsecondary completion, as stated on the VUB Program Profile Sheet.

8. In the Application Narrative, you must address each of the appropriate objectives, and explain how the objective is ambitious and attainable. Applicants should use comparative data to show why the proposed percentages are ambitious based on information provided in the Need section of the Application Narrative and attainable based on the information provided in the Plan of Operation and the resources available to the project. Applicants may not modify, amend, or delete any of these objectives.

9. Consistent with the Higher Education Act of 1965, as amended (HEA), applicants may submit multiple VUB Program applications to serve different target areas.

10. All applicants must complete the VUB Program Profile Form. The VUB Program Profile Form contains four standardized objectives. All applicants are required to propose the percentage or number—as indicated on the form—at which each of these objectives will be met. Applicants may not modify, amend, or delete any of these objectives. Instructions for submitting the form are included in the Instructions for Completing the Application Package.

11. All applicants must provide a one-page abstract. Complete instructions for submitting the abstract are included in the Instructions for Completing the Application Package in this application. The abstract must be uploaded into the ED Abstract Form in Grants.gov.

12. Information on the VUB Program is accessible at the Department's website at:

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

OVERVIEW
VETERANS UPWARD BOUND PROGRAM

Authorization

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

Program Regulations

34 CFR part 645 Upward Bound Program

What is the Upward Bound Program?

The Secretary shall carry out a program to be known as Upward Bound which shall be designed:
(1) To generate in program participants the skills and motivation necessary to complete a program of secondary education and to enter and succeed in a program of postsecondary education; and
(2) To provide Federal grants for the following three types of projects:
- a. Regular Upward Bound projects.
- b. Upward Bound Math and Science Centers.
- c. Veterans Upward Bound (VUB) projects.

Who is eligible to receive a grant?

The following are eligible to apply for a grant to carry out an UB Program project:
(a) Institutions of higher education
(b) Public or private agencies or organizations, including community-based organizations with experience in serving disadvantaged youth
(c) Secondary schools
(d) Combinations of institutions, agencies, and organizations, and secondary schools

What activities and services does a project provide?

Required Services-

Any project assisted under this section must provide--
- (1) Academic tutoring
- (2) Advice and assistance in secondary and postsecondary course selection
- (3) Preparation for college entrance exams
- (4) Information on federal student financial aid programs:
  - a. Federal Pell grant awards
  - b. Loan forgiveness
  - c. Scholarships
- (5) Assistance completing financial aid applications:

a. Federal Student Aid

(6) Guidance on and assistance in:

a. Secondary school reentry

b. Alternative education programs for secondary school dropouts that lead to the receipt of a regular secondary school diploma

c. Entry into postsecondary education

(7) Education or counseling services designed to improve the financial and economic literacy of students or the student's parent, including financial planning for postsecondary education

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

a. Mathematics through Pre-Calculus

b. Laboratory Science

c. Foreign Language

d. Composition

e. Literature

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

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

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

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

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

GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

Revised 04/2022

IMPORTANT – PLEASE READ FIRST

U.S. Department of Education

Grants.gov Submission Procedures and Tips for Applicants

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

Browser Support

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

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

ATTENTION – Workspace, Adobe Forms and PDF Files

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

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

1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

   a. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader. NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html.

   b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and Unique Entity Identifier (UEI) Number. Once it is completed, the information will transfer to the other forms.

3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

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

Helpful Reminders

1) **REGISTER EARLY** – Grants.gov registration involves many steps including registration on SAM (www.sam.gov), which usually takes approximately 7 to 10 business days, but can take longer depending on the completeness and accuracy of the data entered into the SAM database by an applicant. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. Please note that once your SAM registration is active, it will take 24-48 hours for the information to be available in Grants.gov, and before you can submit an application through Grants.gov. For detailed information on the Registration Steps, please go to: http://www.grants.gov/web/grants/register.html. Please note that your organization will need to update its SAM registration annually.

   To register in SAM.gov, click on the "Get Started" link under the "Register Your Entity…" heading in SAM.gov. Grantees, and other entities wanting to do business with the U.S. Department of Education (e.g., entities applying for a grant), that are not already registered in SAM.gov must complete the "Register Entity" registration option and NOT the "Get a Unique Entity ID" option. The "Get a Unique Entity ID" option, which is not a full registration, is only available to entities for reporting purposes. Failing to complete the "Register Entity" option may result in loss of funding, loss of applicant eligibility, and/or delays in receiving a grant award. Information about SAM is available at www.SAM.gov. To further assist you with registering in SAM or updating your existing SAM registration, see the Quick Start Guide for Grant Registrations and the Entity Registration Video at https://sam.gov/content/entity-registration.

2) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 11:59:59 p.m. Eastern Time on the deadline date.

   You must provide the UEI on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This UEI is assigned to your organization in SAM at the time your organization registers in SAM. If you do not enter the UEI assigned by SAM on your application, Grants.gov will reject your application.

3) **VERIFY SUBMISSION IS OK –** You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was

received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 11:59:59 p.m. Eastern Time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

If the date/time received is later than 11:59:59 p.m. Eastern Time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/web/grants/applicants/encountering-error-messages.html. For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Software Tip Sheet at: http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What Should You Do?

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

We discourage paper applications, but if electronic submission is not possible (e.g., you do not have access to the internet), (1) you must provide a prior written notification that you intend to submit a paper application and (2) your paper application must be postmarked by the application deadline date. If you submit your prior written notification by email, it must be received by the Department no later than 14 calendar days before the application deadline date. If you mail your notification to the Department, it must be postmarked no later than 14 calendar days before the application deadline date. (See the 2021 Common Instructions for detailed instructions regarding this procedure.)

Helpful Hints When Working with Grants.gov

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

Slow Internet Connections

When using a slow internet connection, such as 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. Failure to fully upload an application by the deadline date and time will result in your application being marked late in the G5 system. **If you do not have access to a high-speed internet connection, 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 14 calendar days before the application deadline date.** (See the Federal Register notice for detailed instructions and the 2021 Common Instructions.)

Attaching Files – Additional Tips

1. Please note the following tips related to attaching files to your application:
2.

- When you submit your application electronically, you must upload any narrative sections and all other attachments to your application as files in either Portable Document Format (PDF) or Microsoft Word. Although applicants have the option of uploading any narrative sections and all other attachments to their application in either PDF or Microsoft Word, we **recommend** applicants submit all documents as read-only flattened PDFs, meaning any fillable PDF files must be saved and submitted as non-fillable PDF files and not as interactive or fillable PDF files, to better ensure applications are processed in a more timely, accurate, and efficient manner.

3.

- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.

4.

- When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded file names must be fewer than 50 characters, and, in general, applicants should not use any special characters. However, Grants.gov does allow for the following UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

- Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package with all attachments is less than 5 MB. Therefore, you may want to check the total size of your package before submission.

APPLICATION TRANSMITTAL INSTRUCTIONS

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

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

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

Electronic Submission of Applications:

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (www.grants.gov) by 11:59:59 p.m., Eastern Time, on or before the deadline date.

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

For more information on using Grants.gov, please refer to the Grants.gov information found in this application package and visit www.grants.gov.

Submission of Paper Applications by Mail:

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

U.S. Department of Education
OFO/G5 Functional Application Team
Mail Stop 5C231
Attention: ALN 84.047V
400 Maryland Avenue, SW
Washington, DC 20202-4260

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

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

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

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

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

Note for Mailing of Paper Applications:

If you mail your application to the Department—

1. You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the Assistance Listing Number (ALN), including suffix letter, if any, of the competition under which you are submitting your application; and

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

Late Applications

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

NOTICE INVITING APPLICATIONS FOR NEW AWARDS

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Veterans Upward Bound Program

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice.

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

DATES:

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

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

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

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

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

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

If you are deaf, hard of hearing, or have a speech disability and wish to access telecommunications relay services, please dial 7-1-1.

SUPPLEMENTARY INFORMATION:

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Upward Bound (UB) Program is one of the seven programs collectively known as the Federal TRIO Programs. The UB Program is a discretionary grant program that supports projects designed to provide students with the skills and

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

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

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

Priorities: This notice contains three competitive preference priorities. Competitive Preference Priority 1 is from the Secretary's Notice of Administrative Priorities for

Discretionary Grant Programs, published in the *Federal Register* on March 9, 2020 (85 FR 13640) (Administrative Priorities). Competitive Preference Priorities 2 and 3 are from the Secretary's Supplemental Priorities and Definitions for Discretionary Grant Programs, published in the *Federal Register* on December 10, 2021 (86 FR 70612) (Supplemental Priorities).

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

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

These priorities are:

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

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

Note: A list of evidence-based practices that are relevant to the VUB Program is available at https://www2.ed.gov/programs/triovub/applicant.html. This list is not exhaustive. Additional information regarding What Works Clearinghouse practice guides and intervention reports that could also be relevant is posted on the Department's website at www.ies.ed.gov/ncee/wwc.

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

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

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

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

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

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

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

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

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

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

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

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

Note: In developing logic models, applicants may want to use resources such as the Regional Educational Laboratory Program's (REL Pacific) Education Logic Model Application, available at https://ies.ed.gov/ncee/edlabs/regions/pacific/elm.asp. Other sources include: https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL_2014025.pdf, https://ies.ed.gov/ncee/edlabs/regions/pacific/pdf/REL_2014007.pdf, and https://ies.ed.gov/ncee/edlabs/regions/northeast/pdf/REL_2015057.pdf.

Military- or veteran-connected student means a student who is a member of the uniformed services, a veteran of the uniformed services, or the spouse of a service member or veteran.[1]

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

(1) Served on active duty as a member of the Armed Forces of the United States for a period of more than 180 days and was discharged or released under conditions other than dishonorable;

(2) Served on active duty as a member of the Armed Forces of the United States and was discharged or released because of a service connected disability;

(3) Was a member of a reserve component of the Armed Forces of the United States and was called to active duty for a period of more than 30 days; or

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

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

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

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

(b) A student experiencing homelessness or housing insecurity.

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

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

Application Requirements: The following application requirements for FY 2022 are from section 402C(e) of the HEA (20

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(4) Was a member of a reserve component of the Armed Forces of the United States who served on active duty in support of a contingency operation (as that term is defined in section 101(a)(13) of title 10, United States Code) on or after September 11, 2001."

34 CFR 645.6(b).

U.S.C. 1070a-13(e)) and the program regulations at 34 CFR 645.21.

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

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

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

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

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

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

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and Budget Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and

amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474. (d) The regulations for this program in 34 CFR part 645. (e) The Administrative Priorities. (f) The Supplemental Priorities.

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

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested $1,297,761,000 for the Federal TRIO Programs for FY 2022, of which we intend to use an estimated $19,288,880 for the VUB Program. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for the Federal TRIO Programs.

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

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

Estimated Average Size of Awards: $373,768.

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

- For an applicant that is not currently receiving a VUB Program grant, the maximum award amount is $287,537, based upon a per-participant cost of no more than $2,300 and a minimum of 125 participants.
- For an applicant that is currently receiving a VUB Program grant, the maximum award amount is equal to the applicant's base award amount for FY 2021, and the minimum number of participants is the number of participants in the project's FY 2021 grant award notification.

Estimated Number of Awards: 60.

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

Project Period: Up to 60 months.

III. Eligibility Information

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

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

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

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

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

6. Other: An applicant may submit more than one application for a VUB Program grant so long as each application describes a project that serves a different target area (34 CFR

645.20(a)). The Secretary is not designating any additional populations for which an applicant may submit a separate application under this competition (34 CFR 645.20 (b)). The term “target area” is defined as a discrete local or regional geographical area served by a project (34 CFR 645.6(b)).

IV. Application Submission Information

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

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

under Executive Order 12372 is in the application package for this program.

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

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

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

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

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

- Use one of the following fonts: Times New Roman,

Courier, Courier New, or Arial.

The recommended page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract. However, the recommended page limit does apply to all of the application narrative. We recommend that any application addressing the competitive preference priorities include no more than three additional pages for each priority, for a total of up to nine additional pages for the competitive preference priorities if the three competitive preference priorities are addressed.

V. Application Review Information

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

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

(a) Need for the project. (Up to 24 points). The Secretary evaluates the need for a VUB project in the proposed target area on the basis of clear evidence that shows--

(i) The proposed target area lacks the services for eligible veterans that the applicant proposes to provide; (Up to 6 points)

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

(iii) A large number of veterans who reside in the target area who have not completed high school, or have completed high school but have not enrolled in a program of postsecondary education; (Up to 6 points) and

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

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

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

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

(iii) Postsecondary enrollment (3 points); and

(iv) Postsecondary completion (1 point).

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

(1) The plan to inform the faculty and staff at the applicant institution or agency and the interested individuals and organizations throughout the target area of the goals and objectives of the project (Up to 3 points);

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

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

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

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

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

(7) The plan to ensure effective and efficient administration of the project, including, but not limited to,

financial management, student records management, and personnel management (Up to 3 points);

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

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

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

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

(1) The applicant is committed to supplementing the project with resources that enhance the project such as: space, furniture and equipment, supplies, and the time and effort of personnel other than those employed in the project (Up to 8 points).

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

(i) An applicant that is an institution of higher education must include in its application commitments from the target schools and community organizations;

(ii) An applicant that is a secondary school must include in its application commitments from institutions of higher education, community organizations, and, as appropriate, other secondary schools and the school district;

(iii) An applicant that is a community organization must include in its application commitments from the target schools and institutions of higher education.

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

(1) The qualifications required of the project director, including formal training or work experience in fields related to the objectives of the project and experience in designing, managing, or implementing similar projects (Up to 3 points);

(2) The qualifications required of each of the other personnel to be used in the project, including formal training or work experience in fields related to the objectives of the project (Up to 3 points); and

(3) The quality of the applicant's plan for employing personnel who have succeeded in overcoming barriers similar to

those confronting the project's target population (Up to 2 points).

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

(1) The budget for the project is adequate to support planned project services and activities (Up to 3 points); and

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

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

(1) Are appropriate to the project and include both quantitative and qualitative evaluation measures (Up to 4 points); and

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

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying

out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

For this competition, a panel of non-Federal reviewers will review each application in accordance with the selection criteria in 34 CFR 645.31. The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the average peer reviewer score received in the review process. Additionally, in accordance with 34 CFR 645.32, the Secretary will award prior experience points to applicants that conducted a VUB Program project during budget periods 2017-18, 2018-2019, 2019-20, and 2020-21, based on their documented experience. Prior experience points, if any, will be added to the application's averaged reader score to determine the total score for each application.

If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographic areas in which there is a significant concentration of veterans, that have been underserved by the VUB program, in accordance with 34 CFR 645.30(c) and the following procedures. The Secretary will identify and recommend an award for--

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

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

Congressional Districts is for the 116th Congress. Therefore, the geographical boundaries used for the tie-breaker are drawn from the 116th Congress.

3. Risk Assessment and Special Conditions: Consistent with 2 CFR 200.206, before awarding grants under this program the Department conducts a review of the risks posed by applicants. Under 2 CFR 200.208, the Secretary may impose special conditions and, under 2 CFR 3474.10, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

4. Integrity and Performance System: If you are selected under this competition to receive an award that over the course of the project period may exceed the simplified acquisition threshold (currently $250,000), under 2 CFR 200.206(a)(2) we must make a judgment about your integrity, business ethics, and record of performance under Federal awards--that is, the risk posed by you as an applicant--before we make an award. In doing so, we must consider any information about you that is in the integrity and performance system (currently referred to as the

Federal Awardee Performance and Integrity Information System (FAPIIS)), accessible through the System for Award Management (SAM). You may review and comment on any information about yourself that a Federal agency previously entered and that is currently in FAPIIS.

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

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

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

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

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

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

VI. Award Administration Information

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

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

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

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

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

4. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting

requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

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

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

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

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

(c) The percentage of former VUB participants who enrolled in a program of postsecondary education and who in the first year of the program placed into college-level math and English without the need for remediation; and

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

All VUB Program grantees will be required to submit APRs.

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

In making a continuation award, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal

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

VII. Other Information

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

Electronic Access to This Document: The official version of this document is the document published in the *Federal Register*. You may access the official edition of the *Federal Register* and the Code of Federal Regulations at www.govinfo.gov. At this site you can view this document, as well as all other documents of this Department published in the *Federal Register*, in text or Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the *Federal Register* by using the article search feature at www.federalregister.gov. Specifically, through the advanced

search feature at this site, you can limit your search to documents published by the Department.

Dated:

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

AUTHORIZING LEGISLATION

The Veterans Upward Bound Program is authorized by the Higher Education Act (HEA) of 1965, as amended by the Higher Education Opportunity Act (HEOA) of 2008. The HEOA's amendments to the HEA may be found at the Department's website at the following address: http://www2.ed.gov/policy/highered/leg/hea08/index.html.

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

VETERANS UPWARD BOUND PROGRAM REGULATIONS

On October 26, 2010, the final regulations amending the Upward Bound Program regulations were published in the Federal Register. These final regulations may be accessed following address:

https://www.ecfr.gov/current/title-34/subtitle-B/chapter-VI/part-645

FEDERAL TRIO PROGRAMS
CURRENT-YEAR LOW-INCOME LEVELS

(Effective **January 12, 2022** until further notice)

Size of Family Unit	48 Contiguous States, D.C., and Outlying Jurisdictions	Alaska	Hawaii
1	$20,385	$25,485	$23,445
2	$27,465	$34,335	$31,590
3	$34,545	$43,185	$39,735
4	$41,625	$52,035	$47,880
5	$48,705	$60,885	$56,025
6	$55,785	$69,735	$64,170
7	$62,865	$78,585	$72,315
8	$69,945	$87,435	$80,460

For family units with more than eight members, add the following amount for each additional family member: $7,080 for the 48 contiguous states, the District of Columbia and outlying jurisdictions; $8,850 for Alaska; and $8,145 for Hawaii.

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

The figures shown under family income represent amounts equal to 150 percent of the family income levels established by the Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the Federal Register on January 21, 2022 and are effective as of January 12, 2022.

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INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372

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

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

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

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

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

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

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

SUPPLEMENTAL INFORMATION

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

1. Estimated Funding

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

The Department is not bound by these estimates.

2. Intergovernmental Review of Federal Programs

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

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at: https://www.whitehouse.gov/wp-content/uploads/2020/04/SPOC-4-13-20.pdf.

3. Length of New Award

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

4. VUB Program Assurances

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

5. VUB Program Profile

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

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

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

6. Evaluation of Applications for Awards

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

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

7. Selection Criteria

The selection criteria in 34 CFR Part 645.31 are used to evaluate applications. The selection criteria and maximum possible points are included in the application package.

8. Applicant Funding

Applicants should pay close attention to the "Maximum Award" section of the Notice.

9. Prior Experience

In accordance with 34 CFR 645.32, the Secretary will award prior experience (PE) points to applicants that have conducted a TRIO VUB Program project during these fiscal years: 2017-18, 2018-19, 2019-20, and 2020-21. Based on the applicant's documented experience set forth in the annual performance reports, up to 15 prior experience points will be added to the application's averaged reader score to determine the total score for each application.

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

10. Selection of Grantees

The Secretary will select an application for funding in rank order, based on the application's total score for the selection criteria including points earned under the Competitive Preference Priorities, plus any prior experience points earned, pursuant to 34

CFR sections 645.30 through 645.32. If there are insufficient funds for all applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas that have been underserved by the VUB Program.

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

11. Expectations of Successful Grantees

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

12. Notice to Unsuccessful Applicants

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

13. Second Review Process

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

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

14. Annual Performance Report Requirements

If you receive a FY 2022 new grant award, you will be required to submit annual performance reports during the five-year funding cycle using the Department's on-line function. This on-line system collects data about funded projects to enable program

specialists to determine if a grantee is making substantial progress toward meeting approved project objectives.

15. Contact Information

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

Program Specialist: Kenneth Foushee

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

or

Program Specialist: Dana Foreman

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

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

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

VETERANS UPWARD BOUND PROGRAM PROFILE

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

1. Applicants currently funded under the Veterans Upward Bound Program (FY 2017-2021) must provide their current grant award number. This can be found in Block 5 of the Grant Award Notification.

New applicants should leave this item blank.

PR/Award Number (Current Grantees Only): P047V (17) (18) (19) (20)____ ____ ____

Application designated to receive prior experience: Yes___ No ___

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

Competitive Preference Priorities

☐Competitive Preference Priority 1: Applications that Demonstrate a Rationale.
Under this priority, an applicant proposes a project that demonstrates a rationale (as defined in the Notice Inviting Applications).

☐Competitive Preference Priority 2: Meeting Student Social, Emotional, and Academic Needs.
Projects that are designed to improve students' social, emotional, academic, and career development, with a focus on underserved students, through the following priority areas:

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

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

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

☐Competitive Preference Priority 3: Strengthening Cross-Agency Coordination and Community Engagement to Advance Systemic Change.
Projects that are designed to take a systemic evidence-based approach to improving outcomes for underserved students by establishing cross-agency partnerships, or community-based partnerships with local nonprofit organizations, businesses, philanthropic organizations, or others, to meet family well-being needs.

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

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

Project Address: _____

_____
Street Address, City, State, Zip Code

4. Multiple applications submitted: No:__ Yes:__ How many? _____

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

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

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

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

7. ***Program Objectives:***
Please fill in the proposed percent for each objective.
*Note: These are the same objectives that **MUST** be stated in the Part III -- Application Narrative section of your application when addressing the Objectives and the Evaluation criteria.*

Academic Improvement on Standardized Test
_____% of participants who completed their VUB educational program during the project year will improve their academic performance as measured by a standardized test taken before and after receiving services from the project.

Education Program Retention and Completion
____% of participants served during the project year will complete their VUB educational program by the end of the project year or remain enrolled in the program.

Postsecondary Enrollment

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

Postsecondary Completion

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

Please note the following definitions:

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

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

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

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

VETERANS UPWARD BOUND PROGRAM ASSURANCES

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

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

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

2. The applicant assures that the remaining participants will be low-income, or potential first-generation college students, or veterans who have a high risk for academic failure.

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

_____ _____

_____ Authorized Certifying Official's Signature Printed Name of Authorized Certifying Official

_____ _____

_____ Title of Authorized Certifying Official Name of Applicant Institution/Organization

_____

Date Signed

<u>Attach this Assurance Form to the "Other Attachments Form" in the Grants.gov application package</u>

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

PRIOR EXPERIENCE

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

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

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

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

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

VUB PE criteria (34 CFR 645.32) and point allocations are shown below. A VUB project may earn up to a total of 15 points for each year assessed; the final PE score is the average of the two highest-scoring years of the four years assessed. Points will be awarded for meeting or exceeding each objective; no partial points will be awarded. A project that fails to serve at least 90 percent of its funded number for a project year will not receive any PE points for that year.

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

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

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

   Calculation:

   - The number of participants the project was funded to serve in the project year is compared to the number of participants the project actually served in that year.

   - To receive three points for this criterion, the number actually served must be equal to or greater than the number funded to serve.

2. **Academic improvement on standardized test (maximum of 3 points)**—Whether the percentage of students as calculated below equaled or exceeded the applicant's objective.

   Calculation:

   - The denominator is the number of participants completing the VUB program during the project year.

   - The numerator is the number of participants in the denominator who had improved their academic skills as measured by a standardized test taken before and after receiving services from the project.

3. **Program retention and completion (maximum of 3 points)**—Whether the percentage of students as calculated below equaled or exceeded the applicant's objective.

   Calculation:

   - The denominator is the greater of the number of participants the project was funded to serve, or the number actually served during the project year.

- The numerator is the number of participants served who at the end of the project year remained enrolled in the VUB program or had completed it.

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

   Calculation:

   - The denominator is the number of prior-year participants who completed their prescribed VUB educational program in the previous project year.

   - The numerator is the number of participants in the denominator who enrolled in postsecondary education within the range September 1 of the year before the project year through September 30 of the project year (for example, September 1, 2018 through September 30, 2020 for the 2020–21 project year).

5. **Postsecondary completion (maximum of 3 points)—**Whether the percentage of students as calculated below equaled or exceeded the applicant's objective.

   Calculation:

   - The denominator is the number of participants who are members of the postsecondary enrollment cohort year that is six years prior to the current project year.

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

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

INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE

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

Part I: **SF 424 Form**

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

***Notes:**

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

Part II: **ED Form 524**

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

Part III: **Attachments**

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

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

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

count against the 65 pages that are recommended for your responses to the selection criteria. **You must also include your budget narrative in this section as part of the selection criteria.** The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities. Include a description of any activities in the budget that respond to the announced Competitive Preference Priorities.

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

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

Part IV: Assurances and Certifications

ED-GEPA Section 427 Requirement
Grants.gov Lobbying Form (formerly ED Form 80-0013)
Disclosure of Lobbying Activities (SF-LLL)

INSTRUCTIONS FOR APPLICATION NARRATIVE - SELECTION CRITERIA

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

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

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

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

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

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

A.	Need (34 CFR 645.31(a))	(24 points)
B.	Objectives (34 CFR 645.31(b))	(9 points)
C.	Plan of Operation (34 CFR 645.31(c))	(30 points)
D.	Applicant and Community Support (34 CFR 645.31(d))	(16 points)
E.	Quality of Personnel (34 CFR 645.31(e))	(8 points)
F.	Budget and Cost Effectiveness (34 CFR 645.31(f))	(5 points)
G.	Evaluation Plan (34 CFR 645.31(g))	(8 points)
Total Maximum Score for Selection Criteria		100 points
Competitive Preference Priorities		(9 points)
Total Maximum Score for Selection Criteria and Competitive Preference Priorities		109 points

Formatting

We recommend that you use the following standards: A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Double-space all text in the application narrative, and single-space titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs. Use a 12-point font. Use an easily readable font such as Times New Roman, Courier, Courier New, or Arial. Page numbers and an identifier may be within the 1" margin. Each page on which there is text or graphics will be counted as one full page.

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

The recommended page limit does not apply to:

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

The notice contains specific instruction on page limits.

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

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

(A) **Need**: There are four sub-criteria in this section. In responding to this criterion, all four sub-criteria must be addressed. Data for each sub-criterion must be addressed for the target area (s) identified in the application.

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

In the Application Narrative, you must address each of the objectives and explain how the objectives are ambitious and attainable. For each of the objectives, applicants should use data to show why the proposed percentage is ambitious as documented in the baseline data and

information provided in the "Need" section of the Application Narrative and attainable based on information provided in the Plan of Operation and the resources available to the project. Applicants may propose additional objectives, but are not required to do so. Applicants will not receive additional points or penalties for proposing additional objectives.

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

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

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

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

(F) **Budget and Cost Effectiveness**: In response to this criterion, applicants must provide a detailed, itemized budget narrative for the first-year (2022-2023) budget period, **only**. The budget narrative is to be included in the *Application Narrative (Part III)* to be uploaded into the Grants.gov application. Additional guidance on the standard budget forms is cited in the instructions entitled "First Year Budget and Budget Summary Form (ED Form 524) Instructions" on the following pages.

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

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

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

COMPETITIVE PREFERENCE PRIORITIES FOR FY 2022

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

Competitive Preference Priority 1: Applications that Demonstrate a Rationale.
Under this priority, an applicant proposes a project that demonstrates a rationale (as defined in the Notice Inviting Applications).

Competitive Preference Priority 2: Meeting Student Social, Emotional, and Academic Needs.
Projects that are designed to improve students' social, emotional, academic, and career development, with a focus on underserved students, through the following priority areas:

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

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

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

Countless students have been exposed to trauma and disruptions in learning and have experienced disengagement, negatively impacting their mental health and well-being. It is critical, then, to prioritize support for students' social, emotional, and academic needs, not only to benefit students' social-emotional wellness, but also to support their academic success and prepare them for their future.

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

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

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

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

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

GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

What is GPRA?

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

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

As required by GPRA, the Department of Education has prepared a strategic plan for 2018-2022. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1: Support state and local efforts to improve learning outcomes for all P-12 students in every community.

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

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

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

What are the performance indicators for the VUB Program?

The performance indicators for the Upward Bound Projects are part of the Department's plan for meeting Goal 2. The UBMS Program is part of the Federal TRIO Programs. The overarching goal of the Federal TRIO Programs is "to increase the percentage of low-income and first-generation college students who successfully pursue postsecondary education opportunities."

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

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

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

INSTRUCTIONS FOR THE BUDGET SUMMARY AND ITEMIZED LINE ITEM BUDGET

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

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

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

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

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

The Department is requesting that you complete the Budget Information – Non-Construction Programs (ED Form 524) for ONLY the 2022-23 year. Please provide **a comprehensive and detailed budget narrative for the first 12-month budget period, only. Applicants should place an asterisk next to all budget items that relate to the costs associated with the announced Competitive Preference Priorities for FY 2022.**

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

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

1. Personnel: On line 1 (ED Form 524), enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff member. You should provide a breakdown of project personnel that includes: the position titles; the percent of time and number of months committed to the project for each key staff member; the salary for each key staff member; and the total salary costs to be charged to the grant.

2. Fringe Benefits: On line 2 (ED Form 524), enter the amount of fringe benefits. The institution or agency's normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part

of the indirect costs. In the budget, include an explanation and appropriate justification if the institution or agency's normal fringe benefit contribution exceeds 20 percent of salaries.

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

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

   - Project Director's Travel – Per Year

   A. One National Conference;
      One Regional Meeting;
      One State Meeting; **and**
   B. Travel for participation in **one** professional staff development training opportunity under the TRIO Training Program.

   - Full-time Professional Staff Travel – Per Year

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

4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.

5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget, provide an itemized list of the supplies.

6. Contractual: Not applicable. Leave blank.

7. Construction: Not applicable. Leave blank.

8. Other: On line 8 (ED Form 524), indicate all direct costs not covered on lines 1 through 5. The costs/fees for consultants and consultants' travel should be included here. Examples of "other" costs are: equipment rental, required fees, communication costs, rental of space, utilities, custodial services, and printing costs. In the budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

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

9. Total Direct Costs: On line 9 (ED Form 524), provide the total direct costs requested – the sum of lines 1 through 8.

10. Indirect Costs: On line 10 (ED Form 524), provide the amount of indirect costs that you propose to charge against the grant.

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

    §200.68 Modified Total Direct Cost (MTDC).
    MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs. Grantees charging indirect costs to a Department grant are required to have a negotiated rate with their cognizant agency (i.e., either the Federal agency from which it has received the most direct funding that is subject to indirect cost support, or a particular agency specifically assigned cognizance by the Office of Management and Budget). Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8 percent rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect cost rate is at least 8 percent [§75.563(d)]. In the event that they

receive an award under this program, applicants without a negotiated indirect cost rate with its cognizant agency should seek to identify that agency and contact it to obtain an approved rate as soon as possible after award notification.

Applicants should be aware that amounts representing the difference between the 8 percent rate and a greater indirect cost rate negotiated with a cognizant agency may **not** be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [§75.563(c) (3)]

11. Training Stipends: Include cost of stipends and capital expenditures of $5,000 or more per unit.

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

INSTRUCTIONS FOR STANDARD FORMS

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

Instructions for Standard Forms may be assessed at the following address:

https://www2.ed.gov/fund/grant/apply/appforms/appforms.html

APPLICATION CHECKLIST

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

Part I - Application for Federal Assistance - (SF 424)

Part I - Department of Education Supplemental Information for SF 424

Part II - Department of Education Budget Summary Information – Non-Construction Programs (ED Form 524) – Sections A & B

Part III - *Application Narrative* - The recommended page limit for the application narrative portion of the application for the FY 2022 VUB competition is 65 pages. However, those addressing the competitive preference priorities may include up to three additional pages each for the priorities, in a separate section of the application submission, to discuss how the application meets the priorities. Attach the *Application Narrative* document to the Project Narrative Attachment Form in the Grants.gov application.

Part III - Other Attachments - *VUB Program Profile*
VUB Program Assurances
Competitive Preference Priorities Narratives
Attach each of these documents to the Other Attachments Form in the Grants.gov application.

Part III - ED Abstract - *one-page limit* -- Attach this document to the ED Abstract Form in the Grants.gov application. This one page abstract, which may be single-spaced, will not count against the recommended 65 pages you are allowed for your response to the selection criteria.

Part IV – Assurances and Certifications, and Survey

GEPA Section 427 Requirement
Lobbying Form (Formerly ED Form 80-0013)
Disclosure of Lobbying Activities (SF LLL)

NOTE: **Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the Grants.gov Attachment Forms listed above.**

PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0823. Public reporting burden for this collection of information is estimated to average 32 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Title IV, Part A, Subpart 2 Section 402A of the Higher Education Act of 1965, as amended (HEA) and 34 CFR part 645 VUB Program for Federal TRIO Programs). If you have comments or concerns regarding the status of your individual submission of this application, please contact Student Service, U.S. Department of Education, 400 Maryland Avenue, SW, Room 2C229, Washington, DC 20202. Telephone: (202) 453-7700 or by e-mail: TRIO@ed.gov. [Note: Please do not return the completed application to this address.]