



# Fiscal Year 2012 Competition Highlights for the Veterans Upward Bound Program

---

Updated: 01/14/13

## Table of Contents

Veterans Upward Bound.....	3
Background and Focus .....	3
Funding History .....	3
Fiscal Year 2012 Funding.....	3
Awards Details .....	4
Fiscal Year 2012 Veterans Upward Bound Reforms .....	5
Competitive Preference Priorities.....	5
FY 2012 Competition Issues .....	6
Funding .....	6
Status of Existing Veterans Upward Bound Grantees.....	7
Appendices.....	8
Applicant Institution Profile .....	9
State Breakdown.....	10
Students Served per Project .....	11
Grant Recipients by State .....	123

## Veterans Upward Bound

### *Fiscal Year 2012 Competition*

#### Background and Focus

The Veterans Upward Bound (VUB) Program is one of three types of projects funded under the Upward Bound Program. It is also one of seven programs known collectively as the Federal TRIO Programs. The VUB Program prepares, motivates, and assists military veterans in the development of the academic and other skills necessary for admission and success in a program of postsecondary education. The goal of the VUB Program is to increase the rate at which participants enroll in and graduate from institutions of postsecondary education.

The program serves military veterans who are low-income, potential first-generation college students, or veterans who have a high risk of academic failure. A veteran who has a high risk for academic failure is a veteran who: (1) has been out of high school or dropped out of a program of postsecondary education for five or more years; (2) has scored on standardized tests below the level that demonstrates a likelihood of success in a program of postsecondary education; or (3) meets the definition of an individual with a disability as defined in [34 CFR 645.6\(b\)](#).

#### Funding History

Beginning with the fiscal year (FY) 2012 competition, successful VUB applicants have a five-year grant cycle. The last competition was conducted in 2007.

Total funding in VUB (FY 2007 competition): \$14,851,830. Congress appropriated additional funds in FY 2009 to fund additional projects from the FY 2007 competition. Those funds are included in the preceding total.

#### Fiscal Year 2012 Funding

In FY 2012, the Department awarded \$14,392,377 for 51 Veterans Upward Bound projects to serve 6,831 participants. This represented an increase from the 47 projects serving 5,780 participants which were funded in 2011-12, the last year of the previous grant cycle.

- In FY 2012, the Department awarded \$11,732,464 on the first VUB slate to 41 projects to serve 5,537 participants.

- On the second FY 2012 VUB slate, the Department awarded \$2,659,913 to 10 projects to serve 1,294 participants.

## Funding Band

The Department is statutorily required to conduct a second review of unsuccessful applications. Applicants who fell within this funding band were eligible to request a second review of their applications. The funding band included applications scoring above 109.67 points and below 114.67 points. The 194 applications that scored below the funding band were not eligible to participate in the second review.

- Thirty eight (38) applications were in the funding band; thirty two (32) new applications and six currently funded.

Of the 38 eligible applications, one requested a second review. The single request was determined not to have legitimate scoring or administrative errors and was not granted a second review.

## Awards Details

The Department received 304 applications of which 269 were deemed eligible and were reviewed.

The Department made 51 awards to serve 6,831 participants. This figure includes new grants and all continuation grants awarded in FY 2012. This includes:

- Forty new awards to prior VUB grantees totaling \$11,440,020. Within these forty new awards, six are for “new” grantees—applications not awarded a grant in the FY 2007 VUB competition.
- Eleven non-competing continuation grants (NCCs) totaling \$2,952,357 were awarded to grantees whose projects did not end in FY 2012. This figure includes NCC funding to two unsuccessful existing grantees.

## **Fiscal Year 2012 Veterans Upward Bound Reforms**

### *A New Funding Formula that Rewarded Productivity*

For the first time, the Department connected an applicant's maximum award level with its ability to serve more students at a lower cost.

- New applicants, or existing grantees proposing to serve a new target area, had a maximum award total equal to \$250,000 to serve at least 125 eligible participants, at a cost per participant that did not exceed \$2,000.
- Existing grantees applying for a grant to serve the same target area, had a maximum award amount equal to the greater of: (a) \$250,000 to serve at least 125 participants; or (b) an amount equal to the applicant's grant award amount for FY 2007, the first year of the previous grant cycle, to serve a number of participants such that the per participant costs did not exceed \$2,250. The applicant had to propose to serve at least 125 participants.

This framework created strong incentives for applicants to try to serve additional participants, while still ensuring that those that could not be as efficient would not be excluded from the competition entirely.

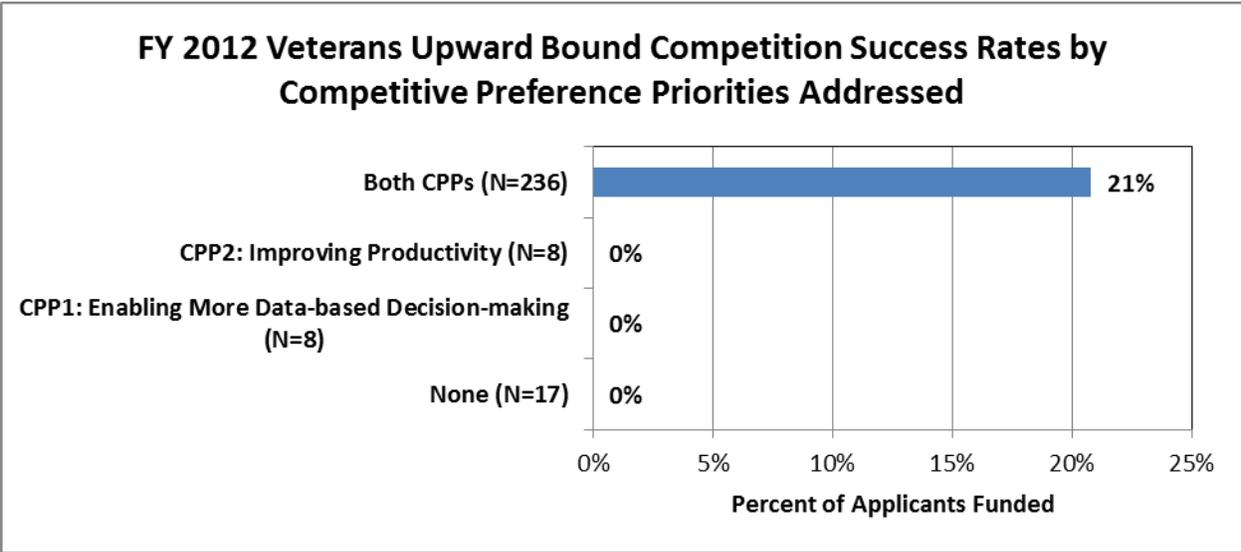
The per-participant levels were based on proposed costs, meaning that grantees that were above these levels in their prior grant had the opportunity to adjust their funding in their new applications.

## **Competitive Preference Priorities**

The Department took a number of steps to more strategically align VUB with overarching reform strategies for postsecondary completion and to further support the administration's 2020 college completion goal. It introduced two competitive preference priorities (CPP):

1. Enabling More Data Based Decision Making; and
2. Improving Productivity

As depicted in the table below, all those successful in the FY 2012 competition chose to address both competitive preference priorities. Among those addressing both competitive preference priorities, 21 percent were funded.



**Fiscal Year 2012 Competition Issues**

**Funding**

During the funding recommendation process for the VUB second slate, the Department determined that there were insufficient funds to support the 33 applications that scored 110.00 points, therefore, the Department was required to use the tie-breaker provision in 34 CFR 645.30(c) which states:

*If the total scores of two or more applications are the same and there are insufficient funds for these applications after the approval of higher-ranked applications, the Secretary uses the remaining funds to serve geographic areas and eligible populations that have been underserved by the VUB Program.*

To apply the tie-breaker provision to the 33 applications scoring 110 points, the Department first considered the applications submitted by states that did not receive an award under the first VUB Program slate.

Seven of the applications in the funding band were from five states that did not have a VUB Program. Three of the states had only one application in the funding band and two states had two applications in the funding band. To determine which of the applications from the two states that had two applications in the funding band should be funded, the Department used data from the American Community Survey (ACS) conducted by the United States Bureau of the

Census to determine which of the proposed geographic areas was the most underserved. The Department chose to use the ACS data since many of the applicants also used the ACS data to document the need for a VUB project in their area. The Department used the latest statistics available from each state; some of the available data are for the period of 2006-2010 and some data are for 2011.

After selecting which applications to fund in states that did not receive an award under the first VUB Program slate, the Department looked at applications from states that had at least one VUB project funded on the first slate or had an application recommended for funding on the second slate. The Department then looked at this group of applications from the point of view of the number of veterans in the state. Two states had large numbers of veterans but had only one VUB project funded on slate one. There were four applications in the funding band from one of the states and there were two applications in the funding band from the other state. To determine which application to fund, the Department again used data from ACS and two target areas to determine which of the proposed target areas had the largest veteran population. In that manner the areas that were most underserved by the VUB program were awarded grants.

### **Status of Existing Veterans Upward Bound Grantees**

Out of 47 operating VUB grants in FY 2011:

- 43 were successful in the FY 2012 competition (91 percent)
- 4 are not continuing (9 percent)
  - 3 were unsuccessful in the competition
  - 1 did not reapply

## Appendices

## Applicant Institution Profile

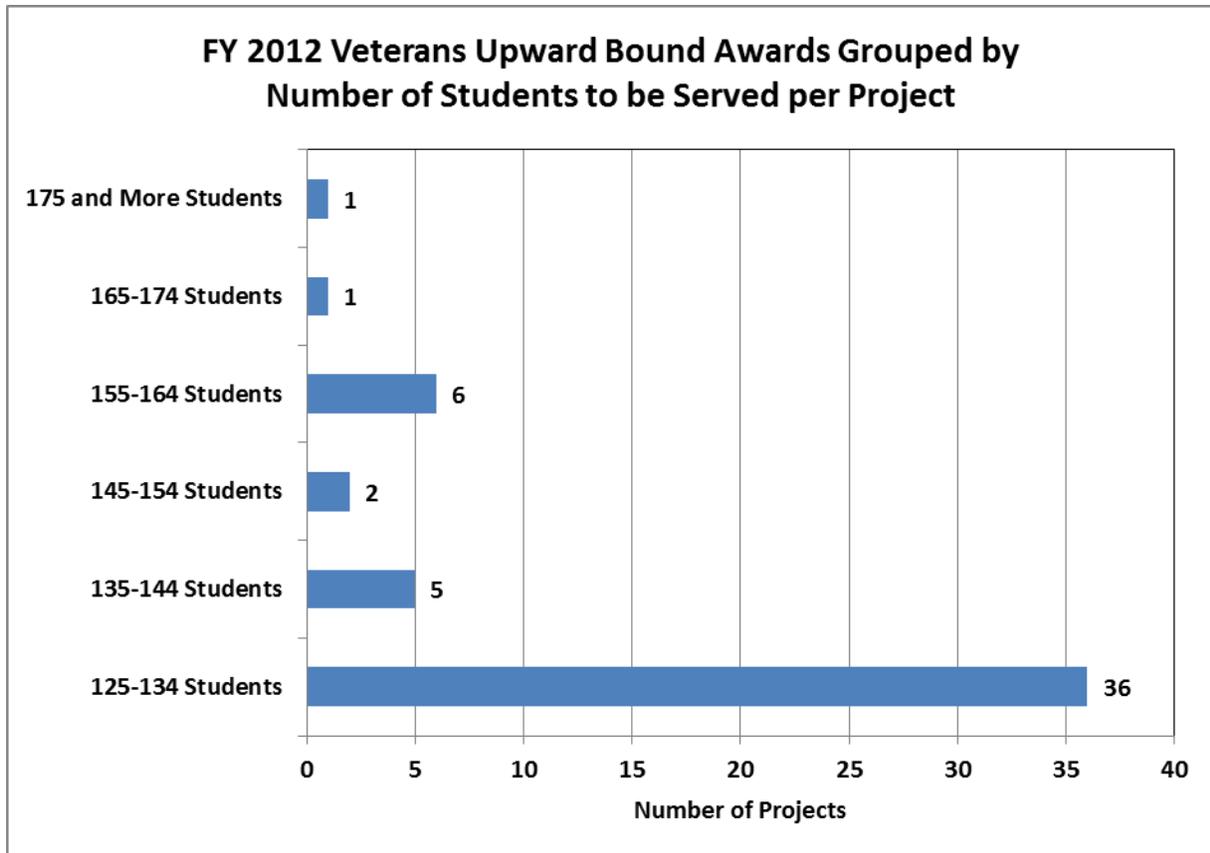
<b>FY 2012 Veterans Upward Bound Program Competition Applicant Institution Profile</b>		
	<b>Funded</b>	<b>Not Funded</b>
<b>Public 4 Year Institutions</b>	25%	76%
<b>Private 4 Year Institutions</b>	19%	81%
<b>Public 2 Year Institutions</b>	16%	85%
<b>Secondary Schools</b>	0%	100%
<b>Non-Profit Agencies</b>	11%	89%
<b>Other</b>	0%	100%
<b>Not an MSI</b>		
<b>AANAPISI</b>	13%	87%
<b>AANAPISI &amp; ANNH</b>	0%	100%
<b>AANAPISI &amp; HSI</b>	11%	89%
<b>HSI</b>	11%	89%
<b>HSI Agency</b>	29%	71%
<b>HSI &amp; HBCU</b>	0%	100%
<b>HBCU</b>	5%	95%
<b>Tribal Colleges &amp; Universities</b>	0%	100%
<b>Tribal Agencies</b>	0%	100%
<b>Urban<sup>1</sup></b>		
<b>Rural</b>	18%	82%
<b>City - Large</b>		
<b>City - Midsize</b>	16%	84%
<b>City - Small</b>	28%	72%
<b>Suburb - Large</b>	7%	93%
<b>Suburb - Midsize</b>	0%	100%
<b>Suburb - Small</b>	0%	100%
<b>Town - Fringe</b>	0%	100%
<b>Town - Distant</b>	14%	86%
<b>Town - Remote</b>	36%	64%
<b>Rural - Fringe</b>	9%	91%
<b>Rural - Distant</b>	17%	83%
<b>Rural - Remote</b>	0%	100%

<sup>1</sup> Urban and Rural data are based on the IPEDS classification of Institutions of Higher Education only. Non-IHEs are not covered in the Urban/Rural or City/Town breakdowns.

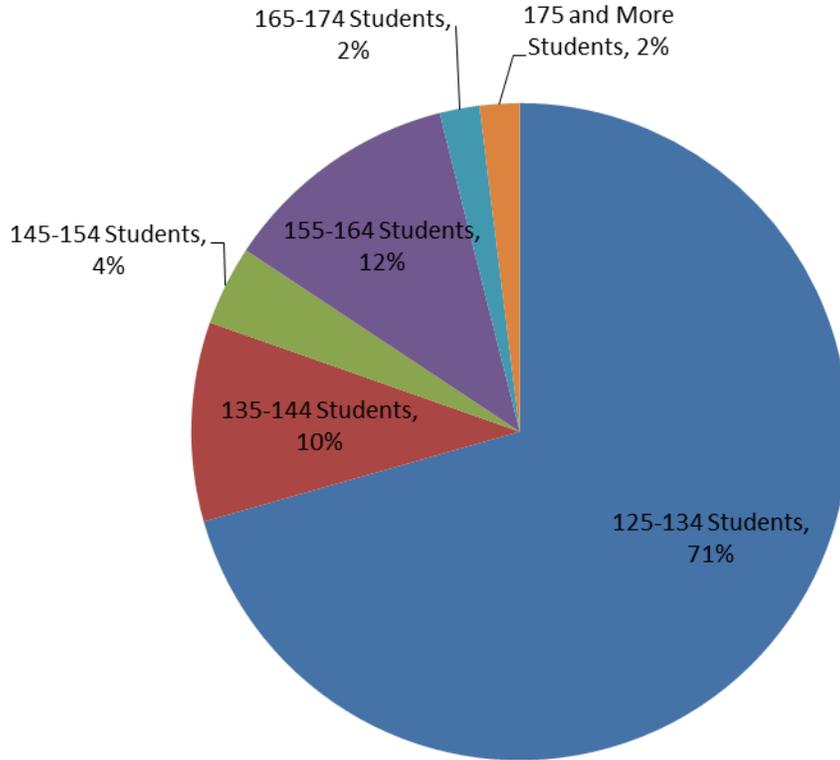
## State Breakdown

FY 2012 Veterans Upward Bound Awards		
State	Number of Projects	Number of Students to be Served
AL	2	250
AZ	2	265
AR	3	383
CA	2	250
CO	2	250
FL	1	130
GA	1	125
ID	1	125
IL	1	125
IN	1	125
KY	1	125
KS	2	250
LA	3	448
MA	2	291
MD	1	125
MI	1	178
MN	1	154
MO	1	125
MT	1	155
NE	1	125
ND	1	125
NV	1	164
NY	1	125
NM	1	125
NC	1	125
OH	2	256
OK	2	250
PA	1	160
PR	1	140
SC	1	130
TN	3	415
TX	2	260
UT	1	144
VA	1	125
WI	1	125
WV	1	158
<b>Total</b>	<b>51</b>	<b>6831</b>

## Students Served per Project



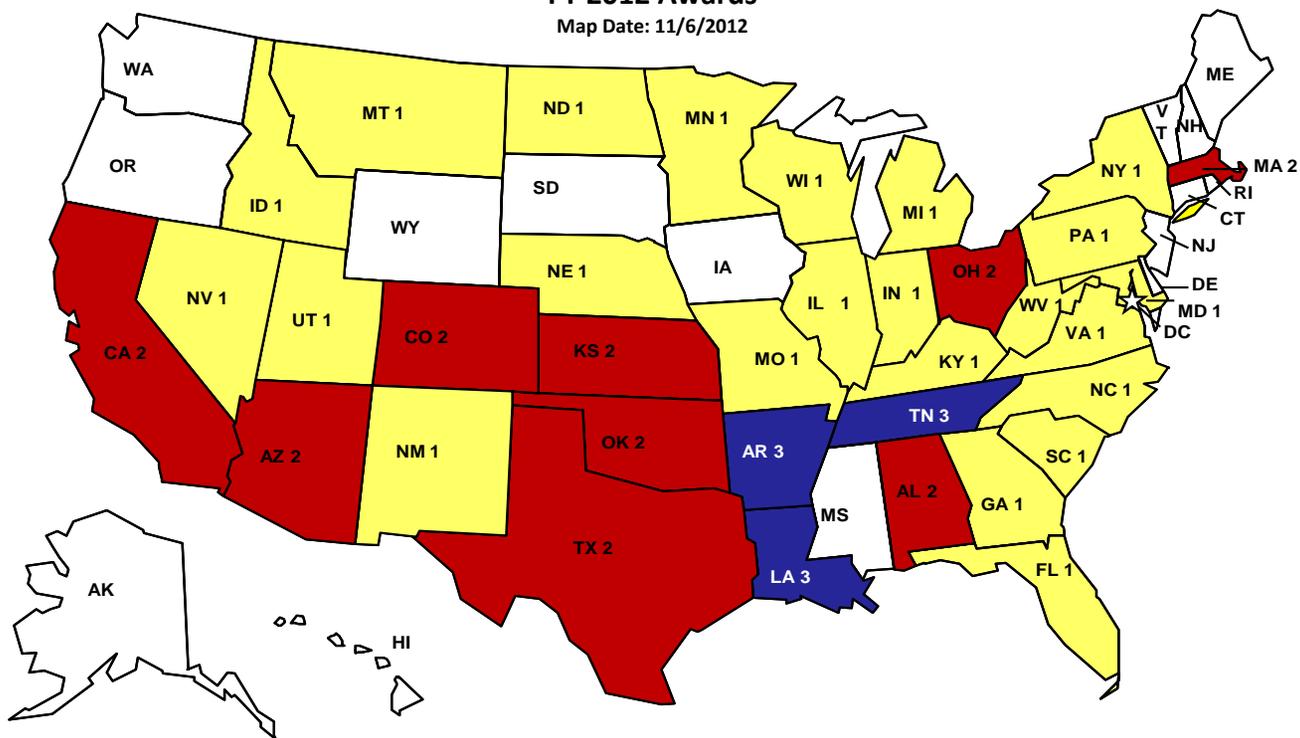
## FY 2012 Veterans Upward Bound Awards Grouped by Number of Students to be Served per Project



## Grant Recipients by State

### Veterans Upward Bound FY 2012 Awards

Map Date: 11/6/2012



**Others Not on the Map**  
 Puerto Rico – 1 award    Guam – 0 awards  
 Federated States of Micronesia – 0 awards    Palau – 0 awards

