



NEW PROJECT DIRECTORS MEETING

Upward Bound

Upward Bound Math & Science

Veterans Upward Bound

Educational Opportunity Centers

February 1, 2023

PURPOSE OF THIS WEBINAR

Program
Overview

Regulations &
Legislation

Budget
Management

Reporting &
Recordkeeping

Partnership &
Communication

PROGRAM OVERVIEW



Educational Opportunity Centers and Upward Bound programs administer grants that broaden access to higher education. The programs provide fundamental support to first generation lower income participants for postsecondary admissions, matriculation, and persistence.

PROGRAM OVERVIEW CONTINUED

Upward Bound - provides support to participants in their preparation for college entrance.

Upward Bound Math & Science - designed to strengthen the math and science skills of participating students.

Veterans Upward Bound - designed to assist veterans in the development of academic and requisite skills necessary for acceptance & success in postsecondary education

Educational Opportunity Centers - provides counseling and information on college admissions to qualified adults who want to enter or continue a program of postsecondary education.

UB, UBMS & VUB PROGRAM AUTHORIZATION



Legislation: Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402C
20 U.S.C. 1070a-13



Regulations: Official Final Regulations Amending TRIO Regulations, as published in the *Federal Register* on October 26, 2010. These final regulations amend the UB program regulations.



Title 34 Code of Federal Regulations, Part 645



Education Department General Administrative Regulations (EDGAR):

75,76,77,79,81,82,84,86,97,98, and 99

EDUCATIONAL OPPORTUNITY CENTERS PROGRAM AUTHORIZATION



Legislation: Higher Education Act of 1965, as amended, Subpart 2, Chapter 1, Sections 402A and 402F 20 U.S.C. 1070a-13



Regulations: Official Final Regulations Amending TRIO Regulations, as published in the *Federal Register* on October 26, 2010. These final regulations amend the EOC program regulations.



Title 34 Code of Federal Regulations, Part 644



Education Department General Administrative Regulations (EDGAR):
75,76,77,79,81,82,84,86,97,98, and 99

GAN ENCLOSURES

- Personnel (EDGAR 75.519 & CFR Part 200-Subpart E)
- Cost Principals (2 CFR 200 Subpart E)
- Indirect Costs (EDGAR 75.560-564 & 2CFR Part 200.414)
- Audit Requirement (2CFR Par 200 Subpart F)
- Property Management & Other Capital Expenditures (2CFR Part 200.313, 200.439)



REPORTING AND RECORDKEEPING

Please ensure that the necessary processes and systems are in place to comply with the reporting and recordkeeping requirements

REPORTING AND RECORDKEEPING REQUIREMENTS



- Established by program regulations, Uniform Guidance (2 CFR 200) and Education Department's General Administrative Regulations (EDGAR 34 CFR 75);
- Recordkeeping:
 - Participant eligibility and achievement of objectives, required services provided, project use of funds, program compliance and performance
 - Electronic files must be securely backed up, fully accessible to auditors
 - Upward Bound – 645.43(c)
Educational Opportunity Centers – 644.32 (c)

REPORTING AND RECORDKEEPING REQUIREMENTS PART 2



- Reporting:
 - Interim Performance Reporting (IPR)
 - Annual Performance Report (APR) requirements
 - Valid, reliable, and accurate data
 - Additional guidance and instructions regarding the reporting process and cycle are forthcoming

REPORTING AND RECORDKEEPING REQUIREMENTS PART 3

- NOTE: In order for a grantee to receive a non-competing continuation award, a project must demonstrate substantial progress.



- For projects to meet the criteria for substantial progress, the project must:
 - Serve the statutory requirement of two-thirds of participants being low-income individuals who are first generation college students; and
 - UB and UBMS: Serve 85% of the number of participants the project was funded to serve during each budget period.
 - VUB and EOC: Serve 60% of the number of participants the project was funded to serve during the first year and 75% for the remaining years



BUDGET MANAGEMENT

The budget includes all costs that are allowable, reasonable, and necessary for carrying out the objectives of the program.

Project Directors should keep their own project ledgers

- Know fund balance at any time
- Request to have access to view your grant balance in G5

Understand your internal processes and schedules

MANAGING YOUR GRANT BALANCE

MANAGING YOUR GRANT BALANCE CONTINUED

When are drawdowns too frequent/excessive?

- More than **50% of funds** are drawn before end of **1st quarter**
- More than **80% of funds** are drawn before **end of 2nd quarter**
- **100% of funds** are drawn before **end of 3rd quarter**

When are drawdowns too infrequent?

- **Ideally, you would draw down monthly**
- If **unable to draw down** for expenses incurred within a reasonable time (say 3 months), please **notify your program specialist**

YOUR ANNUAL PROJECT BUDGET

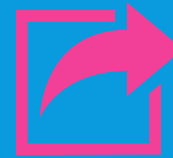
Which changes require prior approval?
2 CFR 200.308



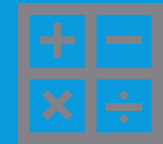
**Reduction in time
by 25% or more of
project director**



**Transfer of
participant
support costs to
other categories**



**Sub-awarding,
transferring, or
contracting out
any work**



**Changes in
approved cost-
sharing or
matching**



PARTNERSHIP AND COMMUNICATION

Partnerships can make it easier to have various needs met and engender systemic support for long-term effectiveness.

E-MAIL CORRESPONDENCE



- Include PR/Award Number and institution name in the Subject Line of your e-mail
- Include a direct phone number and extension in signature block
- Include a point of contact in your out of office notification

RESPONSIVENESS



- Allow 24-48 hours for acknowledgement of email receipt
- Forward your correspondence to the point of contact listed on the out of office notification, if an immediate response is needed
- Be sure to include all the necessary details in your narrative
- Include any previous correspondence between your Program Specialist and you

Program Specialist	Assigned States	Program Specialist	Assigned States	Program Specialist	Assigned States
Tahaya Buchanan (202) 453-6979 Tahaya.buchanan@ed.gov	Missouri Utah Idaho New York	Emily Maldonado (202) 453-1907 Emily.maldonado@ed.gov	North Carolina Connecticut Texas (VUB)	Princess Uzzelle (202) 453-7559 Princess.Uzzelle@ed.gov	Florida New Mexico Texas (EOC)
Tanisha Hamblin-Johnson (202) 453-6090 Tanisha.johnson@ed.gov	Ohio Virginia South Carolina	Tonja Lark-Willis (202) 453-7819 Tonja.Lark@ed.gov	Colorado District of Columbia Georgia Nebraska	Kenneth Waters (202) 453-6273 Ken.Waters@ed.gov	California (UBMS & EOC) Mississippi Massachusetts
Joyce Fadahunsi (202) 453-7673 Joyce.Fadahunsi@ed.gov	Illinois New Jersey Maryland	Tara Lawrence (202) 260-1475 Tara.Lawrence@ed.gov	Texas (UB)	Rachael Wiley (202) 453-6078 Rachael.Wiley@ed.gov	Arkansas Minnesota South Dakota Delaware Wyoming
Toyin Fasakin Videophone (202)539-4829 (202) 453-5542 Toyin.Fasakin@ed.gov	New Hampshire North Dakota Rhode Island Wisconsin Guam	Derrick Williams (202) 453-7411 Derrick.Williams@ed.gov	Alabama California Alaska	Andrea Wilson (202) 453-7034 Andrea.Wilson@ed.gov	Arizona Michigan Puerto Rico Texas (UBMS)
Dana Foreman (202) 453-7396 Dana.Foreman@ed.gov	California (UB & VUB)	Helen Seide (202) 453-6223 Helen.Seide@ed.gov	Kansas Kentucky Montana West Virginia	Karen Wilson (202) 453-6186 Karen.Wilson@ed.gov	Tennessee Oregon Washington
Shaketa Whitehead (202) 453-7036 Shaketa.Whitehead@ed.gov	Louisiana Nevada Pennsylvania Vermont Marshall Islands Micronesia Palau	Megan Singleton (202) 453-7265 Megan.Singleton@ed.gov	Hawaii Indiana Maine Iowa California (UB)		
Sharon Easterling (202)453-7425 Sharon.Easterling@ed.gov	UB/EOC DIRECTOR				

GUIDELINES FOR EFFECTIVE IMPLEMENTATION

Building Your Toolkit

- Program Statute (updated by HEOA)
- Program Regulations
- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
- Familiarity with GAN and Attachments
- Approved Application
- Project Profile Form
- Program Contacts
- G5 Help Line: (202) 401- 6238

RESOURCE WEBSITES

SS/Federal TRIO Programs:

- www2.ed.gov/about/offices/list/ope/trio/index.html

Uniform Guidance:

- <https://www2.ed.gov/policy/fund/guid/uniform-guidance/intex.html>





QUESTIONS

ED's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.