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# Upward Bound and Upward Bound Math-Science Programs

Project and Program Measures for Government Performance and Results Act (GPRA)  
Reporting Period: 2020-21

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## Introduction

The U.S. Department of Education (Department) is committed to ongoing improvement in managing its programs to improve the educational outcomes of students. In its efforts to strengthen the work of its programs, the Department provides grantees, key stakeholders, and the public with data on the programs’ performance and with contextual information to encourage reflection, action, and collaboration. The Department uses postsecondary enrollment rates and postsecondary degree completion rates, discussed in detail below, as its measures of the Upward Bound (UB) and Upward Bound Math-Science (UBMS) programs’ performance in supporting college entrance and graduation.

## Performance Measures for UB and UBMS Projects

The performance measures for UB and UBMS projects are:

* **Postsecondary enrollment rate**: the percentage of participants who graduated high school in 2020–21 with a regular diploma and for whom there is evidence of enrollment in a postsecondary educational institution by the fall term immediately following high school graduation (see more details in [Appendix A](#_Appendix_A._Calculation_1)).
* **Postsecondary degree completion rate**: the percentage of participants who completed high school during the 2014–15 academic year; enrolled in postsecondary education by the fall term immediately following the year they graduated from high school; and for whom there is evidence of completion of a bachelor’s degree within six years of high school graduation or an associate degree within three years of high school graduation (see more details in [Appendix B](#_Appendix_B._Calculation)).

### Postsecondary Enrollment Measure

Calculation rules for postsecondary enrollment were revised in the 2012–17 grant cycle (2012–13 through 2016–17) and differ from those of the previous cycle in three ways.

* The denominator of the postsecondary enrollment measure has changed from program participants who were ***expected* *to graduate*** high school in a particular reporting period to participants who ***actually graduated*** from high school with a regular diploma during that period. This change is consistent with the postsecondary enrollment prior experience objective used in the 2012–17 and 2017–22 grant cycles.
* Postsecondary enrollment rates are now based on one year of *Annual Performance Report* (APR) data rather than two, since the Department has determined that accuracy can be maintained using just one year of data. This change allows us to report postsecondary enrollment in a timelier manner.
* Data to complement the APRs are now drawn from the National Student Loan Data System (NSLDS) rather than from federal financial aid files. NSLDS data provide more up-to-date and comprehensive postsecondary enrollment information than the Pell Grant recipient data in the federal financial aid files.

Following recent years’ calculation for the postsecondary enrollment measure, this year’s calculation includes participants who graduated high school with a regular diploma in the current reporting year (i.e., 2020–21 high school graduates). In contrast, the 2014–15 postsecondary enrollment measure included participants who graduated high school in the prior year (i.e., 2013–14 high school graduates).

#### Selected Findings

Table 1 (see Excel workbook) displays the number and percentage of program participants who graduated high school with a regular diploma in 2020–21 and for whom there is evidence of enrollment in a postsecondary educational institution by the fall semester immediately following the year of high school graduation. The data are presented at the program and project levels, disaggregated by program type (UB or UBMS) and sector of grantee. The calculation methodology for Table 1 can be found in [Appendix A](#_Appendix_A._Calculation_1).

The UB and UBMS program-level postsecondary enrollment rate was 73.9 percent among all 2020–21 high school graduates. This is lower than the previous year’s enrollment rate of 79.0 percent for 2019–20 high school graduates and the Department’s program-level goal of 84.0 percent.

Regarding individual program rates for 2020–21, the postsecondary enrollment rate for regular UB projects was 73.5 percent, while the postsecondary enrollment rate for UBMS projects was 75.9 percent. For funded institutions, the average postsecondary enrollment rate for UB projects was lowest among those at four-year institutions (73.1 percent) and highest among those UB projects associated with secondary schools, nonprofit organizations, or other institutions (75.5 percent). Conversely, for UBMS projects, the average postsecondary enrollment rate was lowest among those projects associated with secondary schools, nonprofit organizations, or other institutions (72.2 percent) and highest for those UBMS projects at two-year institutions (77.1 percent).

There were 12 projects funded in 2020–21 that did not report serving any participants who graduated from high school with a regular diploma in 2020–21; two of these projects were newly funded in the 2017–22 grant cycle.

### Postsecondary Degree Completion Measure

The postsecondary degree completion rate was introduced in the 2014–15 assessment year. For the current year 2020–21, this measure was calculated as the percentage of participants who completed high school during the 2014–15 academic year and enrolled in postsecondary education by the fall term immediately following the year they graduated from high school (i.e., participants in the 2015 postsecondary education enrollment cohort) and who completed a bachelor’s degree within six years following high school graduation or completed an associate degree within three years of high school graduation.

#### Selected Findings

Table 2 (see Excel workbook) displays the number and percentage of program participants who were in the 2015 postsecondary education enrollment cohort for whom there is evidence of completion of a bachelor’s degree within six years following high school graduation or completion of an associate degree within three years following high school graduation. The data are presented at the program and project levels, disaggregated by program type (UB or UBMS) and sector of grantee. The calculation methodology for Table 2 can be found in [Appendix B](#_Appendix_B._Calculation).

The percentage of participants in the 2015 postsecondary education enrollment cohort who completed a bachelor’s degree within six years or an associate degree within three years was 43.5 percent: 37.8 percent completed a bachelor’s degree within six years and 5.6 percent completed an associate degree only within three years. In comparison, for the 2014 postsecondary education enrollment cohort, 44.0 percent completed a bachelor’s degree within six years or an associate degree within three years: 39.0 percent completed a bachelor’s degree within six years and 5.0 percent completed an associate degree only within three years. For UB projects, 42.7 percent of participants in the 2015 postsecondary education enrollment cohort completed a bachelor’s degree within six years or an associate degree within three years: 36.9 percent completed a bachelor’s degree within six years and 5.8 percent completed an associate degree only within three years. The percentage of UBMS participants in the 2015 postsecondary education enrollment cohort who completed a bachelor’s degree within six years or an associate degree within three years was 47.9 percent: 43.1 percent completed a bachelor’s degree within six years and 4.8 percent completed an associate degree only within three years.

Regarding sectors of funded institutions, UB projects at four-year institutions had a lower percentage of participants who completed a bachelor’s degree within six years or an associate degree within three years (42.3 percent) than UB projects at two-year institutions (43.0 percent) and secondary schools; nonprofit organizations; or other institutions (44.5 percent). For UBMS projects, the percentage of participants who completed a bachelor’s degree within six years or an associate degree within three years was lower for those projects associated with secondary schools, nonprofit organizations, or other institutions (32.5 percent) than those projects at four-year institutions (47.0 percent) and two-year institutions (52.8 percent).

There were 287 projects funded in 2020–21 (all of which submitted a 2020–21 APR) that did not serve any participants who were in the 2015 postsecondary education enrollment cohort. Of these projects, 282 were newly funded in the 2017–22 grant cycle; two were funded in the 2012–17 grant cycle; and three were funded prior to the 2012–17 grant cycle.

## Limitations of Performance Measures Data and Findings

While the postsecondary enrollment rate and postsecondary degree completion rate are outcome measures of project performance, the limitations of the dataset used for this analysis (the APRs) do not permit us to determine project impacts, such as the extent to which the postsecondary enrollment rate and postsecondary degree completion rates are a direct result of participation in UB or UBMS and not influenced by other factors.

In addition, the performance measures refer exclusively to outcomes of 2020–21 participants who received a regular high school diploma for the postsecondary enrollment measure and participants who graduated high school with a regular diploma in 2014–15 and enrolled in postsecondary education by fall 2015 for the postsecondary degree completion measure. The two program performance measures will include participants in later high school graduation and postsecondary education enrollment cohorts in upcoming years as high school participants move through postsecondary education.

Because the dataset does not permit analysis of all factors that may affect postsecondary enrollment rates and postsecondary degree completion rates in individual projects, the data should be interpreted with caution; comparing rates between projects could lead to unwarranted conclusions. For example, a project may have a lower-than-average postsecondary enrollment rate or postsecondary degree completion rate because the project may be serving proportionally more students who have a high risk of academic failure; who have low educational aspirations; and/or who have low levels of readiness for enrollment in postsecondary education.

For some projects, only a small number of students graduated high school in 2020–21 or, for the postsecondary degree completion measure, graduated high school with a regular diploma in 2014–15 and enrolled in postsecondary education by fall 2015. Where only a small number of graduates exist, small changes in numbers can cause substantial changes in percentages. For example, a project that served six students who graduated in 2020–21 will have an enrollment rate of 100 percent if all enroll in postsecondary education, but a rate of only 83.3 percent if just one student does not matriculate.

The postsecondary degree completion measure includes a cohort of participants who received UB and UBMS services in the 2014–15 reporting year or earlier. As such, current projects who were first funded in the 2017–22 grant cycle are not included in the calculation (220 UB projects and 62 UBMS projects) and two projects first funded in the 2012–17 funding cycle are also not included in the calculation (both are UB projects). Further, three additional UB projects that were funded in the two prior funding cycles are also not included in the calculation because they did not serve any participants who were in the 2015 postsecondary enrollment cohort. Overall, 24.4 percent of the UB and UBMS projects (23.4 percent of UB projects and 29.3 percent of UBMS projects) that were funded in 2020–21 are not included in the results for the postsecondary degree completion program performance measure.

Concerning the postsecondary enrollment measure, data from the NSLDS was used to augment APR data on enrollment status. Typically, for *Government Performance and Results Act* (GPRA) reporting, NSLDS records through fall 2021 would have been used, h but only NSLDS records through spring 2021 were available at the time of reporting; therefore, only these records (i.e., from spring 2021) were used for the match. Any program participant who had evidence of postsecondary enrollment in the NSLDS during the specified time frame was considered to have enrolled in postsecondary education. Evidence of enrollment from NSLDS data can be used to compensate for missing APR data and to confirm APR-based evidence of enrollment. Out of the 25,287 participants included in the enrollment rate calculation, 0.2 percent had evidence of enrollment from NSLDS data but not from APR data; 72.9 percent had evidence of enrollment from APR data but not from NSLDS data; and 0.8 percent had evidence from both sources.[[1]](#footnote-1) There are many reasons why a participant may have evidence from one source but not another. Most notably, and as mentioned above, NSLDS records were only available through spring 2021. In addition, projects may not have been aware of the postsecondary enrollment of participants who had enrollment evidence in NSLDS data. Finally, participants with evidence of enrollment from APR data but not NSLDS data may not have applied for financial aid or may not have been matched to the NSLDS database.

Because changes were made to the calculation rules for the postsecondary enrollment measure in the 2012–13, 2013–14, and 2014–15 assessment years, postsecondary enrollment results produced in 2015–16 through 2020–21 should not be directly compared with postsecondary education results from prior years.

## Efficiency Measure for UB and UBMS Projects

### Efficiency Measure

For UB and UBMS, the efficiency measure is the difference between the annual cost per participant served and the annual cost per participant served who had a “successful outcome,” also referred to as ”persistence”. The efficiency measure was revised in 2012–13 to consider grade promotion and to use only a single year of APR data. This year’s calculation includes participants who were served in 2020–21. These participants are considered to have persisted if they met one of the following criteria:

* They were promoted a grade level in high school between 2020–21 and 2021–22.
* They were no longer in high school at the beginning of the 2021–22 academic year and had enrolled in postsecondary education.

A smaller gap between the cost per participant and the cost per persister generally represents a larger proportion of successful participants; if all participants were successful, the efficiency measure would be $0.

#### Selected Findings

Table 3 (see Excel workbook) shows the efficiency measure calculations at the program and project levels. It also displays the efficiency measure calculations disaggregated by program type (UB or UBMS) and sector of grantee. The 964 UB projects and 211 UBMS projects reported 80,657 participants who were served in 2020–21 and 92.0 percent of these participants persisted into 2021–22. The annual cost per successful participant was $5,669, which was higher than the Department’s program-level goal of $4,510.

The 2020–21 program-level efficiency gap was $456. The gap was larger for UB projects ($468) than for UBMS projects ($396). As seen in Table 3, smaller efficiency gaps are generally found among projects with higher proportions of persisting participants. In comparison, the program-level efficiency gap for all projects in 2019–20 was $298 ($301 for UB projects and $278 for UBMS projects). Further, of the 83,814 participants who were served in 2019–20, 94.2 percent persisted into 2020–21.

Beginning in 2014–15, the efficiency measure calculation examined only one APR field for evidence of postsecondary education enrollment; comparatively, two or more fields were used in reporting years 2013–14 and earlier. Additionally, to identify participants promoted a grade level in high school, the efficiency measure calculations for 2013–14 through 2020–21 used a set of APR fields that differed from the set of fields used for this purpose in the 2012–13 efficiency measure calculations. Therefore, the results produced in 2013–14 through 2020–21 are not directly comparable to those produced in 2012–13. Finally, the efficiency results produced for 2012–13 through 2020–21 should not be compared to results from years prior to 2012–13because the cohort of participants and the definition of persistence used in the efficiency calculation both differed significantly in years prior to 2012–13.[[2]](#footnote-2)

Table 4 shows two UB projects and one UBMS project that were excluded from Table 3 due to either no 2020–21 APR data reported or significant omissions in fields critical to calculating persistence. The reported efficiency measure calculations include participants and funding from nonexcluded projects only; the excluded project accounted for $943,812 in program funding. The exclusion methodology is further explained in [Appendix C](#_Appendix_C._Calculation).

## Limitations of Efficiency Measure Data and Findings

These efficiency results should be viewed cautiously because they may be misleading in some cases. For example, projects serving higher percentages of students at high risk for academic failure may have lower percentages of successful participants. Therefore, it is important to consider the efficiency measure in the context of the other data in the table, particularly the percentage of successful participants. In sum, comparing rates among projects in Table 3 could lead to flawed conclusions.

## Appendix A. Calculation Methodology for Postsecondary Enrollment Rate (Table 1)

### High School Graduation Year Cohort

Participants in UB and UBMS programs who graduated with a regular high school diploma were assigned to a high school graduation cohort year based on the information reported in the APR fields for high school graduation status and the actual date of high school graduation. The Upward Bound longitudinal file (which contains data from 2000–01 through 2020–21 APR) maintains a single value for each participant’s actual high school graduation cohort year. (Note: This high school graduation cohort year is not a field in the APR but is derived from APR data.)

### Evidence of Postsecondary Enrollment

The methods and fields used to calculate postsecondary enrollment changed for reporting year 2012–13; additional changes were made in 2013–14 and 2014–15.

For 2020–21, evidence of postsecondary enrollment is calculated from NSLDS data in conjunction with one APR field for participants whose high school graduation cohort year was 2020–21:

* Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT): any date between September 2020 and November 2021 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2019–20, evidence of postsecondary enrollment is calculated from NSLDS data in conjunction with one APR field for participants whose high school graduation cohort year was 2019–20:

* Date of First Postsecondary School Enrollment (APR Field #53, *FirstEnrollDT*): any date between September 2019 and November 2020 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2018–19, evidence of postsecondary enrollment is calculated from NSLDS data in conjunction with one APR field for participants whose high school graduation cohort year was 2018–19:

* Date of First Postsecondary School Enrollment (APR Field #53, *FirstEnrollDT*): any date between September 2018 and November 2019 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2017–18, evidence of postsecondary enrollment is calculated from NSLDS data in conjunction with one APR field for participants whose high school graduation cohort year was 2017–18:

* Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT): any date between September 2017 and November 2018 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2016–17, evidence of postsecondary enrollment is calculated from NSLDS data in conjunction with one APR field for participants whose high school graduation cohort year was 2016–17:

* Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT): any date between September 2016 and November 2017 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2015–16, evidence of postsecondary enrollment is calculated from NSLDS data in conjunction with one APR field for participants whose high school graduation cohort year was 2015–16:

* Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT): any date between September 2015 and November 2016 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2014–15, evidence of postsecondary enrollment is calculated from NSLDS data in conjunction with one APR field for participants whose high school graduation cohort year was 2014–15:

* Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT): any date between September 2014 and November 2015 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2013–14, evidence of postsecondary enrollment is calculated from NSLDS data in conjunction with two APR fields for participants whose high school graduation cohort year was 2012–13:

* Source of Postsecondary Education Information (APR Field #52, SelfTranCD): response options 1, 2, 3, or 4
* Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT): any date between September 2012 and November 2013 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2012–13, evidence of postsecondary enrollment was calculated from two APR fields for participants whose *expected* high school graduation cohort year was 2011–12 (NSLDS data was not used or available for this calculation, though federal financial aid data were employed):

* Source of Postsecondary Education Information (APR Field #52, SelfTranCD): response options 1, 2, 3, or 4
* Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT): any valid entry that contains a year between 2010 and 2013 or a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term

For 2007–08 through 2011–12, evidence of postsecondary enrollment was calculated from six APR fields (NSLDS data was not used or available for this calculation, though federal financial aid data were employed):

* Reporting of Postsecondary Education Information (APR Field #44, SelfTranCD): response options 1, 2, 3, or 4
* First Postsecondary Enrollment Date (APR Field #45, FirstEnrollDT): any valid entry that contains a year between
  + 2008 and 2012, for 2011–12 calculation
  + 2007 and 2012, for 2010–11 calculation
  + 2006 and 2010, for 2009–10 calculation
  + 2005 and 2009, for 2008–09 calculation
  + 2005 and 2008, for 2007–08 calculation
* School Code for Postsecondary Institutions at First Enrollment (APR Field #46, PSECDFE): any valid institution code (6 digits, or E + 5 digits, except for reserve codes 000000, 888888, and 999999)
* College Status at beginning of academic year being reported, (APR Field #47, PSEGradeLV): response options 1–5 or 7
* Degree/Certificate Completed (APR Field #48, DegreeCD): response options 1–7 or 77
* Date of Undergraduate Degree (APR Field #49, DegreeDT): any valid entry that contains a year between
  + 2008 and 2012, for 2011–12 calculation
  + 2007 and 2012, for 2010–11 calculation
  + 2006 and 2010, for 2009–10 calculation
  + 2005 and 2009, for 2008–09 calculation
  + 2005 and 2008, for 2007–08 calculation

For this year’s calculation, 2020–21 APR data and fall 2020 through spring 2021 NSLDS data were examined for evidence of postsecondary enrollment. The 2013–14 through 2019–20 calculations similarly used APR and NSLDS data (i.e., the 2014–15 calculation examined 2014–15 APR data and fall 2014 through fall 2015 NSLDS data for evidence of postsecondary enrollment). In the past, multiple years of APR and federal financial aid data were examined for evidence of postsecondary enrollment. For the 2012–13 calculation for expected high school graduation cohort year 2011–12, 2010–11 through 2012–13 APR and federal financial aid data were checked to determine whether the participant enrolled in postsecondary education. Prior to 2012–13, all available years of APR data and federal financial aid data were examined for evidence of postsecondary enrollment.

### Enrollment Rate Calculation

Each project’s postsecondary enrollment rate (Table 1) was calculated by dividing the number of participants who graduated from high school in 2020–21 and had evidence of postsecondary enrollment between September 2020 and November 2021 by the number of participants in that high school graduation cohort and multiplying the result by 100.

### Projects Excluded from Table 1

One UB project (Embry-Riddle Aeronautical University [P047A170602]) that did not submit valid APR data in 2020–21 and was excluded from the calculation of postsecondary enrollment rate.

## Appendix B. Calculation Methodology for Postsecondary Degree Completion Rate (Table 2)

### Postsecondary Education Enrollment Cohort

The cohort for postsecondary degree completion measure includes participants who were in the 2015 postsecondary education enrollment cohort. The APR includes a postsecondary education enrollment cohort field (APR field #54; *PSECohort*) that provides information on participants’ assigned cohort year. The 2015 postsecondary enrollment cohort includes participants who completed high school during the 2014–15 academic year and enrolled in postsecondary education by the fall term immediately following the year they graduated from high school (by fall 2015) or who received notification from their institution of higher education of acceptance but deferred enrollment until the next academic semester.

### Evidence of Postsecondary Degree Completion

The APR degree completion fields were examined to determine whether cohort participants had evidence of completing a bachelor’s degree within six years following high school graduation or an associate degree within three years following high school graduation. Specifically, the bachelor’s degree attained (APR field #61; *BachDegreeCD*) and date of bachelor’s degree (APR field #62; BachDegreeDT) fields were examined for evidence of bachelor’s degree completion. The associate degree attained (APR field #59; Assoc*DegreeCD*) and date of associate degree (APR field #60; AssocDegreeDT) fields were examined for evidence of associate degree completion. For postsecondary bachelor’s degree completion, having both a response of “yes, attained bachelor’s degree” (option 1) in the bachelor’s degree attained field and the date of bachelor’s degree that was prior to September 2021 provided evidence of bachelor’s degree completion within six years. For cohort participants who had not completed a bachelor’s degree within six years, the APR data were examined to determine whether the participants had completed an associate degree within three years. Evidence of completing an associate degree within three years required having both a response of “yes, attained associate degree” (option 1) in the associate degree attained field and a date in the date of associate degree field that was prior to September 2018.

### Postsecondary Degree Completion Rate Calculation

Each project’s postsecondary degree completion rate (Table 2) was calculated by dividing the number of participants who were in the 2015 postsecondary education enrollment cohort and had evidence of completing either a bachelor’s degree within six years of high school graduation (by August 31, 2021) or an associate degree within three years of high school graduation (by August 31, 2018) by the number of participants in that postsecondary education enrollment cohort, and multiplying the result by 100.

### Projects Excluded from Table 2

One UB project (Embry-Riddle Aeronautical University [P047A170602]) that did not submit valid APR data in 2020–21 and was excluded from the calculation of postsecondary degree completion rate.

## Appendix C. Calculation Methodology for Efficiency Measure (Table 3)

The efficiency measure (Table 3) was revised in 2012–13 to consider grade promotion and to be calculated from a single year of data. Between the 2012–13 and 2013–14 reporting years, different APR fields were used to determine whether participants were promoted a grade level. For the 2014–15 reporting year, an additional change occurred in the examined APR data to determine whether participants had enrolled in postsecondary education. See more details below.

### Total Participants

The cohort of program participants was the number of new, continuing, reentry, and transfer participants served in 2020–21 (APR field #27, *PartCD* = 1, 2, 3, or 6).

### Persisting Participants

For the 2020–21 calculation, participants in the cohort were considered to be persisting if they met one of the following criteria:

* Promoted a grade level between 2020–21 and 2021–22: had information reported in the Grade Level at the Beginning of the Academic Year in Current Reporting Year (APR field #30, StartGradeLV) and in the Grade Level or Postsecondary Status at the Beginning of the Following Reporting Year (APR field #31; EndGradeLV) that indicated that participant had advanced one or two grade levels, or
* No longer in high school at the beginning of the 2021–22 academic year and had enrolled in postsecondary education: Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had a date between September 2020 and November 2021; a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term; or NSLDS data indicated enrollment in any term between fall 2020 and spring 2021.

For the 2019–20 calculation, participants in the cohort were considered to be persisting if they met one of the following criteria:

* Promoted a grade level between 2019–20 and 2020–21: had information reported in the Grade Level at the Beginning of the Academic Year in Current Reporting Year (APR field #30, StartGradeLV) and in the Grade Level or Postsecondary Status at the Beginning of the Following Reporting Year (APR field #31; EndGradeLV) that indicated that participant had advanced one or two grade levels, or
* No longer in high school at the beginning of the 2020–21 academic year and had enrolled in postsecondary education: Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had a date between September 2019 and November 2020; a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term; or NSLDS data indicated enrollment in any term between fall 2019 and fall 2020.

For the 2018–19 calculation, participants in the cohort were considered to be persisting if they met one of the following criteria:

* Promoted a grade level between 2018–19 and 2019–20: had information reported in the Grade Level at the Beginning of the Academic Year in Current Reporting Year (APR field #30, StartGradeLV) and in the Grade Level or Postsecondary Status at the Beginning of the Following Reporting Year (APR field #31; EndGradeLV) that indicated that participant had advanced one or two grade levels, or
* No longer in high school at the beginning of the 2019–20 academic year and had enrolled in postsecondary education: Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had a date between September 2018 and November 2019; a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term; or NSLDS data indicated enrollment in any term between fall 2018 and fall 2019.

For the 2017–18 calculation, participants in the cohort were considered to be persisting if they met one of the following criteria:

* Promoted a grade level between 2017–18 and 2018–19: had information reported in the Grade Level at the Beginning of the Academic Year in Current Reporting Year (APR field #30, StartGradeLV) and in the Grade Level or Postsecondary Status at the Beginning of the Following Reporting Year (APR field #31; EndGradeLV) that indicated that participant had advanced one or two grade levels, or
* No longer in high school at the beginning of the 2018–19 academic year and had enrolled in postsecondary education: Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had a date between September 2017 and November 2018; a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term; or NSLDS data indicated enrollment in any term between fall 2017 and fall 2018.

For the 2016–17 calculation, participants in the cohort were considered to be persisting if they met one of the following criteria:

* Promoted a grade level between 2016–17 and 2017–18: had information reported in the Grade Level at the Beginning of the Academic Year in Current Reporting Year (APR field #30, StartGradeLV) and in the Grade Level or Postsecondary Status at the Beginning of the Following Reporting Year (APR field #31; EndGradeLV) that indicated that participant had advanced one or two grade levels, or
* No longer in high school at the beginning of the 2017–18 academic year and had enrolled in postsecondary education: Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had a date between September 2016 and November 2017; a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term; or NSLDS data indicated enrollment in any term between fall 2016 and fall 2017.

For the 2015–16 calculation, participants in the cohort were persisting if they met one of the following criteria:

* Promoted a grade level between 2015–16 and 2016–17: had information reported in the Grade Level at the Beginning of the Academic Year in Current Reporting Year (APR field #30, StartGradeLV) and in the Grade Level or Postsecondary Status at the Beginning of the Following Reporting Year (APR field #31; EndGradeLV) that indicated that participant had advanced one or two grade levels, or
* No longer in high school at the beginning of the 2016–17 academic year and had enrolled in postsecondary education: Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had a date between September 2015 and November 2016; a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term; or NSLDS data indicated enrollment in any term between fall 2015 and fall 2016.

For the 2014–15 calculation, participants in the cohort were persisting if they met one of the following criteria:

* Promoted a grade level between 2014–15 and 2015–16: had information reported in the Grade Level at the Beginning of the Academic Year in Current Reporting Year (APR field #30, StartGradeLV) and in the Grade Level or Postsecondary Status at the Beginning of the Following Reporting Year (APR field #31; EndGradeLV) that indicated that participant had advanced one or two grade levels, or
* No longer in high school at the beginning of the 2015–16 academic year and had enrolled in postsecondary education: Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had a date between September 2014 and November 2015; a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term; or NSLDS data indicated enrollment in any term between fall 2014 and fall 2015.

For the 2013–14 calculation, participants in the cohort were persisting if they met one of the following criteria:

* Promoted a grade level between 2013–14 and 2014–15: had information reported in the Grade Level at the Beginning of the Academic Year in Current Reporting Year (APR field #30, StartGradeLV) and in the Grade Level or Postsecondary Status at the Beginning of the Following Reporting Year (APR field #31; EndGradeLV) that indicated that participant had advanced one or two grade levels, or
* No longer in high school at the beginning of the 2014–15 academic year and had enrolled in postsecondary education: Source of Postsecondary Education Information (APR Field #52, SelfTranCD) had a response of 1, 2, 3, or 4; or Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had a date between June 2013 and November 2014; a response of 66/66/6666 that indicates that the participant had received notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term; or NSLDS data indicated enrollment in any term between summer 2013 and fall 2014.

For the 2012–13 calculation, participants in the cohort (participants who were served 2012–13) were persisting if they met one of the following criteria:

* Still in high school at the beginning of the 2013–14 academic year (APR field #34, HsGRAD = 1) and promoted a grade level between 2012–13 and 2013–14 (APR field #34, SchoolPersistNum = 1), or
* No longer in high school at the beginning of the 2013–14 academic year and had enrolled in postsecondary education: Source of Postsecondary Education Information (APR Field #52, SelfTranCD) had a response of 1, 2, 3, or 4; Date of First Postsecondary School Enrollment (APR Field #53, FirstEnrollDT) had any date between 2012 and 2013; or had a disbursement amount in the 2012–13 federal financial aid data.

### Annual Cost Per Participant

Each project’s annual cost per participant was calculated by dividing the 2020–21 funding by the total number of participants served included in Table 3, as defined in the Total Participants section above.

### Annual Cost Per Successful Participant

Each project’s annual cost per participant was calculated by dividing the 2020–21 program funding by the total number of persisting participants, as defined in the Persisting Participants section above.

### Efficiency Measure Calculation

Each project’s efficiency measure was calculated by subtracting the annual cost per participant from the annual cost per successful participant.

### Projects Excluded from Table 3

Projects that did not submit APR data in 2020–21 or had a high percentage (15 percent or more) of participants who had invalid responses in one or more of the APR fields used to calculate whether participants had a successful outcome (promoted to the next grade level or had enrolled in postsecondary education) are excluded from the efficiency measure calculation. One UB project (Embry-Riddle Aeronautical University [P047A170602]) did not submit valid APR data and was excluded. One UB project (Wichita State University [P047A171395]) and one UBMS project (Northern Michigan University [P047M170133]) were excluded from the efficiency calculations due to a high percentage of participants who had unknown or other responses in grade level at the beginning of the following reporting year (EndGradeLV). The excluded projects are included as a stand-alone reference in Table 4.

To determine whether a project met the threshold for exclusion of 15 percent or more of participants who had invalid responses, all participants served in the 2020–21 reporting year were included in the denominator. Of those, all participant records having invalid data in fields critical to calculating whether participants were promoted a grade level or had enrolled in postsecondary education were identified. A participant record was deemed to have invalid data if it met one or more of the following criteria:

* for participants who had unknown response in the grade level at the beginning of the current reporting year (StartGradeLV = 0) and no evidence of postsecondary enrollment;
* for participants who were in grade levels 8 through 12 at the beginning of the current reporting year; unknown or other response in the grade level at the beginning of the following reporting year (EndGradeLV = 0 or 14); and no evidence of postsecondary enrollment; or
* for participants who had a response of 11–15, 99, or 0[[3]](#footnote-3) in the grade level at the beginning of the current reporting year (StartGradeLV) field; unknown response in the date of first postsecondary enrollment field and no evidence of postsecondary enrollment in the NSLDS data; and no evidence of grade level promotion.

1. The latest NSLDS data matching was made in spring 2021, so the participants who applied for financial aid after the data matching may not be captured in the 2000–21 longitudinal file. As such, the evidence of postsecondary enrollment from NSLDS data is small for 2020–21 high school graduates. [↑](#footnote-ref-1)
2. Beginning in 2012–13, the cohort for the efficiency measure consisted of participants served in the current funding year. “Persisting” was defined as promotion to the next grade level in high school or enrolling in postsecondary education. In prior years, the efficiency measure cohort included participants who were served in the prior funding year; “persisting” was defined as staying in the UB/UBMS program or persisting in school. [↑](#footnote-ref-2)
3. For the grade level at the beginning of the current reporting year (StartGradeLV) field, a response of 11 indicates 11th grade; a response of 12 indicates 12th grade; a response of 13 indicates enrolled in or completed postsecondary education; a response of 14 indicates 5th year of high school; a response of 15 indicates “other”; a response of 99 indicates not applicable, enrolled neither in high school nor postsecondary; and a response of 0 indicates “unknown.” [↑](#footnote-ref-3)