

**Frequently Asked Questions for the Upward Bound  
and Upward Bound Math-Science Programs  
Annual Performance Report for Budget Period 2009–10**

(revised 12/09/10)

**COLLEGE COST REDUCTION AND ACCESS ACT**

**Are there any special considerations in completing the APR for grantees that received funding under the CCRAA, with a project year from December 1–November 30?**

**Answer:** For students whose participation under CCRAA grants began in academic year 2009–10, no special instructions are necessary. For students first served after the beginning of the fall 2010 academic year, for field #26 (Grade Level at beginning of academic year being reported [2009–10]), please provide the accurate grade level, even though the student was not served in UB until the following academic year. In field #27, report the student's grade at the beginning of AY 2010–11--his or her first year of service under the project. In field #33 (retention in the project at the beginning of 2010–11), choose 8, "Not applicable, participant served for the first time after the beginning of the 2010–11 academic year."

**PROJECTS WITH SUMMER STARTS**

**For the 2009–10 APR, the Department amended the instructions for field #33, "Participant Retention in Project," to clarify that a project should include rising ninth- and rising 12<sup>th</sup>-graders served in 2009–10 in the pool of participants who did (option #1) or did not (option #2) continue to participate in the project in 2010–11. Given this new aspect of the field, when TRIO calculates prior experience (PE) points for retention, will there be any differences in the approach to calculating points for projects with June 1 versus September 1 start dates?**

**Answer:** TRIO staff thought that including rising ninth- and rising 12<sup>th</sup>-graders would permit projects to count in field #33 all UB participants who continued to participate in the UB project into 2010–11. TRIO has since become aware that dealing with data for these participants in projects with June 1 start dates is very convoluted. TRIO has therefore removed the new data edits for this field from the Web application and will pursue this issue further to ensure that all projects, regardless of start date, will be treated equitably and fairly in the PE calculations for project retention.

**If a project with a June 1 start date served participants who graduated in June 2009, may the project consider those students to be current participants for the 2009–10 reporting period?**

**Answer:** Students who graduated in June 2009 would be current participants for the 2009–10 reporting period of a project with a June 1 start date only if the students were enrolled in the *summer bridge program* in 2009.

## **MATCH TO PRIOR REPORT AND EXPECTED HIGH SCHOOL GRADUATION COHORT YEAR REPORT**

The online Web application used for APR data collections since 2007–08 includes the Match to Prior (MTP) report designed to ensure that your APR data file includes one record for each participant served by your project in the reporting year (e.g., 2009–10) and in previous years who had an expected high school graduation cohort year of 2008 or beyond. These participant records are used to calculate prior experience (PE) points for your project. The MTP report compares the participant records on your 2009–10 data file with the UB system of records and displays a list of participants missing from the 2009–10 file with a graduation cohort year of 2008 or later. The MTP report prompts you to add missing student records to the database by clicking on the appropriate checkbox. You should add missing records to the data file even if your project did not serve those students in the reporting year. If you have carefully reviewed your student records and the instructions from the Department, and still believe that the UB system of records is incorrect for a student or students in the MTP report, you are to contact the Help Desk. Be mindful that, if you have changed the SSN or the spelling of the name of a student in this year or an earlier APR, the UB system of records may not recognize that the participant record on your 2009–10 data file is for the same person already in the UB system of records because it uses SSN and name to match participant records between years. If this happens, you may be prompted to add a record to your 2009–10 APR for a participant who is already on your 2009–10 data file with a different SSN or name. If you are being asked to add a record for a participant who is already on your 2009–10 data file, please call the Help Desk.

**In order to receive an accurate calculation of PE points, you must report on every participant you have ever served who is a part of the 2008 or later cohorts.** If you do not report on every member of a cohort, your PE points may be negatively affected. For information on how to report on a participant with whom you are no longer in contact, or for more details on exactly who must be included, please refer to the list of frequently asked questions below.

As a reminder, each participant's expected high school graduation cohort year should be calculated when that participant is first served. Cohort years are based on the date the student first received UB or UBMS services and on the grade at time of first service (not date of acceptance unless the two dates happen to coincide). For example, if a student was first served as a ninth-grader in 2004–05, his or her expected high school graduation cohort year would be 2008. Note that, in the case of a participant first served during the summer session, the student needs to have a date of first program service *no earlier* than June 1 in order to be counted in the correct cohort. Please refer to the attached Grade-Date-Cohort Table for further information on how cohorts are established.

**Cohort years should not change unless you realize that erroneous data were used in the past or that an error occurred in calculation.** Circumstances in a student's life or academic experience following first service in UB or UBMS do not constitute a valid reason for changing the cohort. In the example above, the student's cohort would remain 2008 even if he or she dropped out in the 10th grade, returned a year later, and will now graduate in 2009 because of time away from school.

What follows are common questions and problems along with their answers. Please check the questions below to see if any of them apply to your participants.

## FAQs RELATED TO THE MATCH TO PRIOR (MTP) REPORT

To see the answer for a question you can either press the control key and click on the question in the following list or scroll down to the relevant answer.

**Question 1:** Which participant records must be included on the 2009–10 UB APR?

**Question 2: (Reporting on Prior-Year Participants):** Must a project report on participants that were **not** served by the UB project during the reporting year (i.e., prior-year participants)?

**Question 3: (Reporting on Transfer Students):** In the last competition for new Upward Bound and Upward Bound Math-Science grants (FY 2007), several grantees applied for and received multiple grants. Some grantees that received a new UB grant in the competition have chosen to redistribute the target schools and students among the new and previously-funded UB projects. Should both projects report on the student's academic progress through secondary and postsecondary education?

**Question 4:** How does a project track a student who starts with one UB (regular) program and then transfers to a different UB (regular) program?

**Question 5: (Reporting Requirements for CCRAA-funded Projects):** If a student participated in Upward Bound before, but the program was de-funded and then was re-funded with a new grant, can a student served under the old grant be served under the new grant? How should the student be counted on the APR?

**Question 6: (Reporting Requirements for CCRAA-funded Projects):** Must CCRAA-funded projects continue to track project participants served under the previous grant?

**Question 7: (Reporting on prior-year participants for projects starting a new grant cycle):** Must a project that has started a new grant cycle continue to track project participants served under the previous grant?

**Question 8:** A participant's graduation date is changed by the school system. Does the project also change the expected high school graduation date?

**Question 9:** A participant completes high school prior to his or her expected high school graduation cohort year and enrolls in college the fall after high school graduation. When is the student counted towards the project's postsecondary enrollment objective?

**Question 10:** Does a participant who does not complete high school until after his or her expected high school graduation cohort year but enrolls in college the fall after high school graduation count towards the project's postsecondary enrollment objective in the year he/she graduates high school?

**Question 11:** Must a project report on a prior participant for whom there has been no recent contact and/or who attends a target school that is no longer served by the UB project?

**Question 12:** If a project has no additional information on a participant (for example, the project has had no contact with the participant for several years), why must the project restore this

participant to the 2009–10 APR, in response to the MTP report, if the grantee will just select the “unknown” options for most data fields?

**Question 13:** How should a project report on a participant who is deceased?

### **FAQs RELATED TO THE EXPECTED HIGH SCHOOL GRADUATION COHORT YEAR (EHSGCY) REPORT**

**Question 14:** For a participant first served during the summer program, how should the project determine his or her grade level at entry?

**Question 15:** For a participant who is first served during the summer program, what should be the participant’s date of first service?

**Question 16:** How does a grantee determine the participant’s EHSGCY at time of entry?

**Question 17:** What should a grantee do if he or she agrees that the EHSGCY data in the UB system of records is correct?

**Question 18:** Should a project update the EHSGCY for a participant who graduated before or after his or her expected high school graduation cohort year?

### **FAQs RELATED TO THE MATCH TO PRIOR (MTP) REPORT**

**Question 1:** Which participant records must be included on the 2009–10 UB APR?

**Answer:** First, in regular Upward Bound and Upward Bound Math-Science, a student must be served for a minimum period of time if he or she is to be included in the APR. Under Upward Bound regulations (34 CFR 645.6), to meet the definition of a participant, a student must have been allowed to continue for at least 10 days in a summer component if he or she first enrolled in the project's summer component, or 60 days if the individual first enrolled in the project's academic year component. Note that, if a student joined the project too late in the 2009–10 reporting period to meet the definition, he or she could be counted in the next year's APR, assuming the student remains with the project for the period specified in the regulations.

A grantee **must** report on all participants served by the project in program year 2009–10. For proper calculation of your PE points, your project **must also** include and, to the extent possible, provide updated information on the academic progress of each participant whose expected high school graduation cohort year (field #23) was **2008 or beyond** (i.e., the student was expected to graduate from high school in either the spring or summer of 2008 or later). This requirement applies regardless of the student's length of participation in the project.

**Question 2: (Reporting on Prior-Year Participants):** Must a project report on participants that were **not** served by the UB project during the reporting year (e.g., prior-year participants)?

**Answer: Yes.** For purposes of calculating whether your project met its approved PE objectives for academic improvement and postsecondary enrollment, a participant is counted in the applicable cohort based on his or her expected high school graduation date established at entry into the project. **All project participants in the applicable cohort are included in the**

**denominator used for the PE calculations for the reporting year even if some of the participants have left the project, were dismissed for academic or conduct issues, dropped out of school, completed high school early, or transferred to another UB project.** The numerator for the postsecondary enrollment objective then would be the number of participants in the applicable cohort (e.g., 2008) who enrolled in postsecondary education by the fall term immediately following the expected graduation date from high school. For the academic improvement objective, the numerator would be the number of students in the cohort who had achieved at the proficient level on state assessments in reading/language arts and mathematics during high school.

**Question 3: (Reporting on Transfer Students):** In the last competition for new Upward Bound and Upward Bound Math-Science grants (FY 2007), several grantees applied for and received multiple grants. Some grantees that received a new UB grant in the competition have chosen to redistribute the target schools and students among the new and previously-funded UB projects. Should both projects report on the student's academic progress through secondary and postsecondary education?

**Answer:** Yes. To allow TRIO to determine to what extent projects reach their objectives, both projects should report on the academic status of any participant who transfers from one project to the other. For purposes of calculating the extent to which a project met its objectives, a student remains in a project's expected high school graduation year cohort (field #23) whether or not the student participates in the project through high school graduation. The expected high school graduation year cohort does not change for a participant who moves (or transfers) to another UB project.

**Question 4:** How does a project track a student who starts with one UB (regular) program and then transfers to a different UB (regular) program?

**Answer:** Since both of these programs are required to maintain this student in their databases and are responsible for tracking this student, we expect the new UB project to assist the former project by providing the former project with updated information on the status of the participant. We expect the former project to inform the new project with relevant information about the student, including his or her date of first project service, grade at first service, and expected high school graduation cohort year.

**Question 5: (Reporting Requirements for CCRAA-funded Projects):** If a student participated in Upward Bound before, but the program was de-funded and then was re-funded with a new grant, can a student served under the old grant be served under the new grant? How should the student be counted on the APR?

**Answer:** Yes, this student can be counted as a continuing or reentry participant (whichever applies), but not as a new participant.

**Question 6: (Reporting Requirements for CCRAA-funded Projects):** Must CCRAA-funded projects continue to track project participants served under the previous grant?

**Answer:** If a CCRAA project previously funded under the UB program wants to earn **any** prior experience points for the academic improvement, postsecondary enrollment, and postsecondary persistence objectives for the current funding cycle, the project must report on all participants with an expected high school graduation date of 2008 and beyond that were served under the previous UB grant, even if the participants did not continue to participate in the project during the current funding cycle. The reason for this is that, if some students are excluded from the calculations for the objectives, the calculations become distorted and inaccurate. The new project should include prior participants from the previous grant who have cohort years of 2008 or later on the APR data file as prior-year participants.

**Question 7: (Reporting on prior-year participants for projects starting a new grant cycle):**

Must a project that has started a new grant cycle continue to track project participants served under the previous grant?

**Answer:** Yes. If a project previously funded under the UB program wants to earn **any** prior experience points for the academic improvement, postsecondary enrollment, and postsecondary persistence objectives for the current funding cycle, the project must report on all participants with an expected high school graduation date of 2008 and beyond that were served under the previous grant, even if the project did not serve the participants during the current funding cycle. The reason for this is that, if some students are excluded from the calculations for the objectives, the calculations become distorted and inaccurate. The new project should include this participant on the APR data file as prior-year participants.

**Question 8:** A participant's graduation date is changed by the school system. Does the project also change the expected high school graduation date?

**Answer: No.** The expected high school graduation date should be established when the participant is initially selected to participate in UB and **remains the same**, regardless of any circumstance.

**Question 9:** A participant completes high school prior to his or her expected high school graduation cohort year and enrolls in college the fall after high school graduation. When is the student counted towards the project's postsecondary enrollment objective?

**Answer:** The student will be included in the calculation for his or her cohort year. If, for example, a student with a 2009 cohort year graduated early and enrolled in postsecondary education in fall 2008, he or she would still be part of the calculation for the 2009 cohort (2008–09 project year). Using the language of the standard objective, such a student would have enrolled in postsecondary education "by the fall term immediately following the expected graduation date"; the student indeed enrolled by fall 2009.

**Question 10:** Does a participant who does not complete high school until after his or her expected high school graduation cohort year but enrolls in college the fall after high school graduation count towards the project's postsecondary enrollment objective in the year he/she graduates high school?

**Answer:** No. The calculation for the standard objective would only include those students who have enrolled in postsecondary education “by the fall term immediately following the students’ expected high school graduation date.” For example, if a student in the 2008 cohort graduated from high school in the spring of 2009, and enrolled in college in the fall of 2009, he or she did not enroll in postsecondary education by the fall of 2008.

**Question 11:** Must a project report on a prior participant for whom there has been no recent contact and/or who attends a target school that is no longer served by the UB project?

**Answer:** Yes. The participant record must remain on the APR data file. If no current information is available on the participant, the project may select the “unknown” options for those data fields.

**Question 12:** If a project has no additional information on a participant (for example, the project has had no contact with the participant for several years), why must the project restore this participant to the 2009–10 APR, in response to the MTP report, if the grantee will just select the “unknown” options for most data fields?

**Answer:** Several important data fields are not normally updated in each APR, including the participant’s name and other identifying information and variables such as the participant’s date of first program service, grade level at time of first service, and cohort. You are required to add such participants to your 2009–10 APR in order to confirm that these variables are correct in the UB system of records and to ensure that your 2009–10 APR includes all the participant records needed to calculate PE points for the reporting period.

**Question 13:** How should a project report on a participant who is deceased?

**Answer:** Include on the data file current and prior-year project participants with an expected high school graduation cohort year of 2008 or beyond, including records for deceased participants. Select option #5 in field #24 (participant status).

### **FAQs RELATED TO THE EXPECTED HIGH SCHOOL GRADUATION COHORT YEAR (EHSGCY) REPORT**

The online Web application used since 2007–08 for APR data collection includes the Expected High School Graduation Cohort Year (EHSGCY) report, which is designed to ensure that the cohort years reported on your APR data file for each student are correct. It is important that the data in this field be accurate because it is used to calculate PE points for academic improvement and postsecondary enrollment.

The EHSGCY report compares the participant records on your 2009–10 data file with the UB system of records and displays a list of students for whom the EHSGCY data on your 2009–10 file differed from the EHSGCY data in the UB system of records. If you determine that the EHSGCY data in the UB system of records is accurate, you are to correct your 2009–10 data file so that it matches the UB system of records. If, after careful review of your student records and

of instructions from the Department, you believe the UB system of records is incorrect, you are to contact the Help Desk.

Be mindful that, if you reported the SSN and/or name of a student inconsistently over years of reporting, the online system may interpret the data as representing *more than one participant*; thus the UB system of records may not match to the correct record for your student. If you think the Expected High School Graduation Cohort Year report is prompting you to accept an incorrect cohort year, the Help Desk is ready to assist you. Also note that, if you changed a participant's date of first service and/or grade level at first service from your 2008–09 APR, the cohort year in our system of records may not agree with your data. Here also you will need to contact the Help Desk.

**Question 14:** For a participant first served during the summer program, how should the project determine his or her grade level at entry (field #22)?

**Answer:** If the student is first served during the summer program (from June 1 through August 31), the student's grade level at entry into the programs should be as follows:

- Rising 9<sup>th</sup> grader (option 8) if the participant will be in the 9<sup>th</sup> grade in the fall academic term following the summer program;
- 10<sup>th</sup> grader (option 10) if participant has finished or will finish the 9<sup>th</sup> grade prior to or during the summer program and thus will be in the 10<sup>th</sup> grade in the fall academic term following the summer program;
- 11<sup>th</sup> grader (option 11) if participant has finished or will finish the 10<sup>th</sup> grade prior to or during the summer program and thus will be in the 11<sup>th</sup> grade in the fall academic term following the summer program; or
- Rising 12<sup>th</sup> grader (option 12) if participant will be in the 12<sup>th</sup> grade in the fall academic term following the summer program.

**Question 15:** For a participant who is first served during the summer program, what should be the participant's date of first service?

**Answer:** To ensure that the EHS GCY is calculated correctly, for a student first served in the summer program, the grantee should provide a date of first service **no earlier than June 1** even if the student's acceptance date into the project was earlier than June 1. The program regulations in 34 CFR 645.3(d) stipulate that a participant, at time of initial selection, must have completed the 8th grade; therefore, a **“rising 9<sup>th</sup> grader” may be recruited into the program while still in 8<sup>th</sup> grade but would not be served until the summer program between the student's 8<sup>th</sup> and 9<sup>th</sup> grades.** In these situations, the date of first service for the participant should be reported as no earlier than June 1.

**Question 16:** How does a grantee determine the participant's EHS GCY at time of entry?

**Answer:** After you have verified that you have entered the correct grade level at entry and date of first project service as discussed in the responses to questions 14 and 15, please refer to the attached Grade-Date-Cohort Table to determine the EHS GCY for the participant. Once this

cohort year is established, it should not change, even if the participant's academic progress has changed (e.g., graduated early; failed grade).

**Question 17:** What should a grantee do if he or she agrees that the EHS GCY data in the UB system of records is correct?

**Answer:** If you determine that the EHS GCY data in the UB system of records is correct, you should click on the checkbox aligned with the student's name; the system will then amend the cohort year for the participant in your 2009–10 APR file. If the change in cohort year triggers data checks, the system will take you to the "Table View" screen of Tier 1 so that you can correct other data fields as needed.

**Question 18:** Should a project update the EHS GCY for a participant who graduated before or after his or her expected high school graduation cohort year?

**Response:** No. A participant remains in the applicable cohort based on his or her expected high school graduation cohort (field #23) which is established at time of entry into the project.

## GRADE-DATE-COHORT TABLE

If a student was first served on any day in June, consider that student to have been first served in the summer before the coming fall grade, even if school was still in session on the student's first day of service. For example, if your UB or UBMS project first served a student on June 3 in the waning days of grade 9, consider that student to have been first served in the summer before grade 10 (lines 8–13 of the table), not in grade 9 (lines 1–7). Moreover, students first served in the summer program must have a date of first project service *no earlier* than June 1.

Line	If your student first received services from your project in the summer before 9 <sup>th</sup> grade (that is, student was a rising 9 <sup>th</sup> -grader in field 22 of the APR) or during 9 <sup>th</sup> grade in this time period...	...then his or her Expected High School Graduation Cohort Year should be...
1	June 1, 2004–May 31, 2005	2008
2	June 1, 2005–May 31, 2006	2009
3	June 1, 2006–May 31, 2007	2010
4	June 1, 2007–May 31, 2008	2011
5	June 1, 2008–May 31, 2009	2012
6	June 1, 2009–May 31, 2010	2013
7	June 1, 2010–May 31, 2011	2014
	If your student first received services from your project during 10 <sup>th</sup> grade or in the summer before 10 <sup>th</sup> grade in this time period...	...then his or her Expected High School Graduation Cohort Year should be...
8	June 1, 2005–May 31, 2006	2008
9	June 1, 2006–May 31, 2007	2009
10	June 1, 2007–May 31, 2008	2010
11	June 1, 2008–May 31, 2009	2011
12	June 1, 2009–May 31, 2010	2012
13	June 1, 2010–May 31, 2011	2013
	If your student first received services from your project during 11 <sup>th</sup> grade or in the summer before 11 <sup>th</sup> grade in this time period...	...then his or her Expected High School Graduation Cohort Year should be...
14	June 1, 2006–May 31, 2007	2008
15	June 1, 2007–May 31, 2008	2009
16	June 1, 2008–May 31, 2009	2010
17	June 1, 2009–May 31, 2010	2011
18	June 1, 2010–May 31, 2011	2012

	If your student first received services from your project during the summer before 12 <sup>th</sup> grade (that is, student was a rising 12 <sup>th</sup> -grader in field 22 of the APR) in this time period...	...then his or her Expected High School Graduation Cohort Year should be...
19	June 1, 2007–end of summer before school began in fall 2007	2008
20	June 1, 2008–end of summer before school began in fall 2008	2009
21	June 1, 2009–end of summer before school began in fall 2009	2010
22	June 1, 2010–end of summer before school began in fall 2010	2011