

**Frequently Asked Questions for the Upward Bound  
and Upward Bound Math-Science Programs  
Annual Performance Report for Budget Period 2011–12**

**ACADEMIC IMPROVEMENT ON STANDARDIZED TEST**

**If a state administers a multi-part assessment for reading/language arts, must the student pass all components of the assessment at the proficient level to be counted as a "yes" (option 3) in field #34 (Met HS State Academic Achievement Standard at Proficient Level)?**

**Answer:** Yes. Field #34 was intended to provide information on a participant's proficiency in both reading and language arts, not his or her accomplishment in one component or the other.

**COLLEGE COST REDUCTION AND ACCESS ACT**

**What period does the 2011–12 APR cover for grants with December 1 start dates awarded under the CCRAA?**

**Answer:** The 2011–12 APR should reflect only the period December 1, 2011 through May 31, 2012. Since these projects will not report in this APR any participants first served after the beginning of the fall 2012–13 academic year, we have removed option 7 in field #24, Participant Status.

**PROJECTS WITH SUMMER STARTS**

**If a project with a June 1 start date served participants who graduated in June 2011, may the project consider those students to be current participants for the 2011–12 reporting period?**

**Answer:** Students who graduated in June 2011 would be current participants for the 2011–12 reporting period of a project with a June 1 start date only if the students were enrolled in the *summer bridge program* in 2011.

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

For a significant number of UB and UBMS projects, participants appeared in the APR's Match to Prior and Expected High School Graduation Cohort reports in the 2009–10 APRs, signifying the presence of inconsistencies between the projects' submissions and the UB system of records. TRIO staff worked intensively with projects to resolve these issues in spring and summer of 2011.

The APRs submitted for 2009–10 and 2010–11 are now considered correct and final, and therefore essential data (such as cohorts) in your 2011–12 APRs will be matched against the

2010–11 APRs. This means that, except for new students, 2011–12 cohorts must match 2010–11 cohorts, and grantees must restore records for any participants who may appear in the 2011–12 Match to Prior report. With more than 75,000 UB and UBMS participants in the 2008–09 through 2011–12 cohorts, TRIO cannot accommodate correction of any errors that grantees might have made in earlier APRs.

**Avoiding mismatches:** Occasionally, a project unintentionally ends up in the confusing situation of having two records for one student, generally due to inconsistencies in how the project recorded identifying data for the student (first name, last name, SSN, and date of birth). **Identifying data for each participant in your APR file (except for new students) must match the data in your 2010–11 APR, even if you have discovered that last year's data contained errors or misspellings;** for the sake of the UB system of records, consistency trumps other considerations.

What follows are common questions and problems related to the Match to Prior and Expected High School Graduation Cohort Year reports, along with their answers. **Note that the Department will not calculate or use prior experience points based on 2011–12 data, since PE points for the 2012 competition were based on APR data from 2008–09, 2009–10, and 2010–11.**

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

**Question 1: (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)?

**Answer: Yes.** For the academic improvement and postsecondary enrollment objectives, a participant is counted in the applicable cohort based on his or her expected high school graduation date established at entry into the project.

**Question 2: (Reporting on Transfer Students):** In the FY 2007 competition for new Upward Bound and Upward Bound Math-Science grants, 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 3:** 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 4:** 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 5:** 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 2011 cohort year graduated early and enrolled in postsecondary education in fall 2010, he or she would still be part of the calculation for the 2011 cohort (2010–11 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 would therefore be included in the calculation because he or she had enrolled by the fall of 2011.

**Question 6:** 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 2010 cohort graduated from high school in the spring of 2011 and enrolled in college in the fall of 2011, he or she had not enrolled in postsecondary education by the fall of 2010 and thus would not count towards the objective.

**Question 7:** 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**

**Question 8:** 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 9:** 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 EHSGCY 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 10:** How does a grantee determine the participant's EHSGCY 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 8 and 9, please refer to the attached Grade-Date-Cohort Table to determine the EHSGCY for the participant. Once this cohort year is established, it must not change, even if the participant's academic progress has changed (e.g., graduated early; failed grade).

## 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 9–15 of the table), not in grade 9 (lines 1–8). 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, 2005–May 31, 2006	2009
2	June 1, 2006–May 31, 2007	2010
3	June 1, 2007–May 31, 2008	2011
4	June 1, 2008–May 31, 2009	2012
5	June 1, 2009–May 31, 2010	2013
6	June 1, 2010–May 31, 2011	2014
7	June 1, 2011–May 31, 2012	2015
8	June 1, 2012–May 31, 2013	2016
	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...
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
14	June 1, 2011–May 31, 2012	2014
15	June 1, 2012–May 31, 2013	2015
	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...
16	June 1, 2007–May 31, 2008	2009
17	June 1, 2008–May 31, 2009	2010
18	June 1, 2009–May 31, 2010	2011
19	June 1, 2010–May 31, 2011	2012
20	June 1, 2011–May 31, 2012	2013
21	June 1, 2012–May 31, 2013	2014

	If your student first received services from your project in 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) or during 12 <sup>th</sup> grade in this time period...	...then his or her Expected High School Graduation Cohort Year should be...
22	June 1, 2008-May 31, 2009	2009
23	June 1, 2009-May 31, 2010	2010
24	June 1, 2010-May 31, 2011	2011
25	June 1, 2011-May 31, 2012	2012
26	June 1, 2012-May 31, 2013	2013