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Upward Bound (UB), Upward Bound Math-Science (UBMS), and Veterans Upward Bound (VUB) Programs

General Instructions for Completing the Annual Performance Report For Program Year 2010–11

1. WHAT IS THIS PACKAGE?

This package contains the forms and instructions needed to prepare the annual performance report (APR) for the Upward Bound (UB), Upward Bound Math-Science (UBMS), and Veterans Upward Bound (VUB) programs. The Department of Education uses the information conveyed in the performance report to assess a grantee's progress in meeting its approved goals and objectives and to evaluate a grantee's prior experience in accordance with the program regulations in 34 CFR 645.32. Grantees' annual performance reports also provide information on the outcomes of projects' work and help allow the Department to respond to the requirements of the *Government Performance and Results Act*.

2. WHAT ARE THE LEGISLATIVE AND REGULATORY AUTHORITIES TO COLLECT THIS INFORMATION?

- Title IV, Part A, Subpart 2, Chapter 1, Section 402A(c)(2) and Section 402C, of the *Higher Education Act of 1965*, as amended;
- The program regulations in 34 CFR Part 645; and
- Sections 75.590 and 75.720 of the *Education Department General Administrative Regulations* (EDGAR).

3. WHO MUST FILE THIS REPORT?

All grantees funded under the Upward Bound, Upward Bound Math-Science, and Veterans Upward Bound programs must submit annual performance reports as a condition of the grant award.

4. WHAT PERIOD OF TIME IS COVERED IN THE REPORT? FOR WHICH STUDENTS SHOULD THE GRANTEE PROVIDE DATA?

The report covers the 12-month grant (budget) period for which the grant has been made. This information can be found in Block 6 of the Grant Award Notification.

In determining which participant records to include, a grantee must use the regulatory definition of a participant in 34 CFR 645.6. For the 2010–11 APR, a grantee must of course report on all participants served in project year 2010–11. In addition, so that the Department can determine the extent to which regular UB and UBMS projects met their approved objectives for project year 2010–11, these projects **must** include in their participant data files a record for all participants whose expected high school graduation cohort year (field #23) was 2011 (that is, the student was expected to graduate from high school in the spring or summer of 2011), even for those participants who have left the project.

Extent to which prior participants must remain on projects' data files: Note that, on October 26, 2010, the Department released regulations amending the TRIO regulations in response to the *Higher Education Opportunity Act of 2008* (HEOA). The revisions in TRIO's regulations will not apply directly to the current APR or to the way objectives and prior experience (PE) points are calculated under the current grant cycle, but they will of course apply to the 2012 competition and the resultant grant cycle. Because the HEOA's outcome (PE) criteria include a new objective for postsecondary completion**,** in preparation for the next competition and grant cycle, **grantees must include *indefinitely* (that is, for a period that may extend beyond six years) every participant with a graduation cohort of 2008 or later (UB and UBMS) or with a scheduled completion year of 2007–08 or later (VUB); to the extent possible, projects must provide updated information on these participants' academic progress.** This requirement applies regardless of the participant's course of life after high school graduation or after leaving the project, and regardless of the student's length of participation in the project. If a participant completes postsecondary education, the project needn't keep tracking the student (that is, needn't keep trying to get updated information about him or her), but must keep the student on each year's APR file. When projects submit annually a complete APR file of participants with a cohort of 2008 or later (UB and UBMS) or with a scheduled completion year of 2007-08 or later (VUB), TRIO will be able to run prior experience calculations from one year's file so as to make the PE process more quick and efficient and to ensure accuracy.

Finally, please note that participants with cohort years *earlier* than 2008 (UB and UBMS) or scheduled completion years *earlier* than 2007–08 (VUB) may be dropped from the APR file, since future PE calculations will not include these students (though if projects wish to submit data on such participants, they may do so).

5. WHAT INFORMATION MUST BE SUBMITTED?

The report consists of two sections.

--Section I requests project-identifying information; and

--Section II contains detailed instructions for preparing a data file of information on individual participants.

6. WHEN SHOULD THE REPORT BE FILED?

The annual report is normally submitted electronically within 90 days after the end of each 12-month grant (budget) period, which is November 30 for most regular UB and VUB projects and December 31 for most UBMS projects. For the regular UB projects with twelve-month project periods that begin June, July, or August, the Department normally extends the report due date to November 30, so that all UB projects can report on the postsecondary enrollment status for the fall term following the budget period. For Upward Bound projects with December 1 start dates, reports will be due January 20, 2012.

7. HOW MAY THE REPORT BE SUBMITTED?

All UB, UBMS, and VUB grantees must complete the APR online using the online Web application first used for reporting on project year 2007–08. *In addition, a grantee must fax a signed copy of Section I of the report form that certifies that the information submitted electronically is readily verifiable and the information reported is accurate and complete.*

Because the APR requests personal and confidential information on project participants, the secured Web site meets the Department of Education's data security standards for sensitive data, including improved password and site access procedures. Further, to ensure that the data is accessible only to authorized individuals and protected from unauthorized uses, a grantee must submit the participant level data via the Web application; under no circumstances should a grantee transmit the data to the Department or the APR Help Desk via e-mail.

The Web application and instructions for completing and submitting the report online will be available for Upward Bound and Upward Bound/Math-Science on November 1, 2011, and for Veterans Upward Bound on November 21, 2011, at the following Web addresses:

http://www.ed.gov/programs/trioupbound/report.html (Upward Bound)
http://www.ed.gov/programs/triomathsci/report.html (UBMS)
http://www.ed.gov/programs/triovub/report.html (VUB)

The Web application that UB grantees must use to submit the annual performance report has the following features:

- A Web form for completing Sections I and II online.
- Access to the grantee's previous year's APR data. A grantee may choose to download from the secured Web site its prior year's APR

data, without the participants' social security numbers, as a comma-delimited file (CSV) or as an Excel (XLS) spreadsheet.

- Functionality to upload a file with the individual participant records (Section II) to the Web application using a CSV or XLS file format.
- Functionality to view/delete/add participant data online.
- Online data field validations and error checks. In order for a grantee to be able to submit the APR, all sections of the APR must pass the first level of data field validations. Following the initial submission of the participant data, additional data quality checks will be run. If any errors or data inconsistencies are found, the grantee will be informed of needed corrections and the due date for resubmitting Section II data.
- A print button to make a hard copy of the information entered online for Section I.
- Functionality to download an electronic file with the individual participant records (Section II).
- A submit button to send the entire report to the Department of Education.
- An e-mail confirmation that the report has been submitted (a valid e-mail address must be provided in Section I).

A project may receive confirmation that the report has been successfully submitted. When completing Section I of the report on the Web, the person entering the performance report data will be asked to provide an e-mail address. After you have completed the report and clicked on the "Submit" button, a message will indicate that your performance report has been successfully submitted. A confirmation will also be automatically e-mailed to the e-mail address provided**.** If for any reason, and *prior to the deadline date*, you need to revise your performance report data after it has been submitted, please contact the APR Help Desk.

Except for Section I, the Department of Education only requires an electronic version of the performance report information. As noted above, a grantee must submit, via fax, a signed copy of Section I of the report form that certifies that the information submitted electronically is accurate, complete, and readily verifiable. The signed copy of Section I *only* of the report should be faxed to 703-832-1360. *Please do not fax in a copy of the entire report.*

8. WHO MAY BE CONTACTED FOR ADDITIONAL INFORMATION CONCERNING THE SUBMISSION OF THE PERFORMANCE REPORT?

Please contact your assigned program specialist directly if you have questions regarding the performance report requirements.

If you have technical problems accessing the Web site or using the Web application, please contact the Help Desk either by telephone (703-846-8248) or e-mail (UBWEB@cbmiweb.com).

Upward Bound (UB), Upward Bound Math-Science (UBMS), and Veterans Upward Bound (VUB) Programs
Specific Instructions for Completing the Performance Report

SECTION I: PROJECT IDENTIFICATION, CERTIFICATION, AND WARNING

A. Identification

1. To begin completing this report online, from the Department's Web page you will need to click on https://trio.ed.gov/ub, a Web site hosted by our contractor to support submittal of annual performance reports.
2. Once at the contractor's Web site (entitled "Upward Bound Online Annual Performance Report for Program Year 2010–11"), you will need to register to receive a user ID and temporary password. Registration requires entry of the project director's first and last names and e-mail address and the project's PR award number (found on the Grant Award Notification); you will also need to select and answer two security questions (to be used in the event that you need to use the "Forgot Password" function). If the project's identifying information matches the data that the Department currently has on file, a user ID and temporary password will be sent to the e-mail address on file. If discrepancies exist, you will be directed to a "Registration Failed" page; if necessary, your program specialist and the Help Desk will be sent an e-mail message requesting verification of data on the project. Verification will occur within 24 hours if the program specialist can readily confirm a change in project director or e-mail address, or up to three days if the program specialist has no prior knowledge of the change. You will be notified if confirmation cannot occur in short order, and you should contact your program specialist (who will also be attempting to reach you). Once the Help Desk has received verification from the program specialist, the grantee will be notified that he or she can continue with registration.
3. Once you have your user ID and temporary password, you may enter those on the site and click "Log in." You will be guided to select a new password, then to log in again.
4. You will be asked to confirm that the PR/Award number and associated grantee name are correct; you will then see the page for Section I. Your PR/Award number will be automatically inserted into line 1 of Section I of the report form.
5. The system will also pre-populate most of the other data fields in Section I. Please review the pre-populated fields, including the project director's e-mail address, and update these fields as needed. You may change the data in all fields except for the project's PR/Award Number, the Grantee Name, and the Report Period.
6. Please provide information for any fields that are not pre-populated.
7. In item 8 of Section I, part A, Upward Bound Math-Science grantees are asked to indicate whether their projects are regional or non-regional. Regional projects are those that serve more than one state; non-regional projects operate within a

state or locality. An exception to this definition occurs when a project serves students from two or more states, yet serves only a compact and cohesive area; for example, a UBMS grant working exclusively in Kansas City, Missouri, and Kansas City, Kansas, would be a non-regional project, despite its service to students from two states.

B. Certification

The project director is the person responsible for administering the project in accordance with the terms and conditions of the grant.

The certifying official is the individual (successor or designee) who signed the grant application on behalf of the institution.

C. Warnings

Any person who knowingly makes a false statement or misrepresentation on this report is subject to penalties, which may include fines, imprisonment, or both, under the United States Criminal Code and 20 U.S.C. 1097.

Further federal funds or other benefits may be withheld under these programs unless this report is completed and filed as required by existing law (20 U.S.C. 1231a) and regulations (34 CFR 75.590 and 75.720).

You will be asked to verify the information in Section I and will need to place a checkmark next to the statement, "I have verified the information in this section," before you will be allowed to proceed to Section II of the APR.

SECTION II – A: RECORD STRUCTURE FOR PARTICIPANT LIST
(Regular Upward Bound and Upward Bound Math-Science Projects)
Instructions for Completing Section II – A

General Instructions for the Participant List

(1) Who should be included on the annual data file?

Please see page 2 of these instructions for information on participants for whom the grantee should provide data. A project should also use the regulatory definition of a project participant in 34 CFR 645.6 to determine which participants should be included in the data file:

Participant means an individual who –
(1) Is determined to be eligible to participate in the project under 34 CFR 645.3;
(2) Resides in the target area, or is enrolled in a target school, at the time of acceptance into the project; and
(3) Has been determined by the project director to be committed to the project as evidenced by being allowed to continue in the project for at least –
   (i) Ten days in a summer component if the individual first enrolled in an Upward Bound project's summer component; or
   (ii) Sixty days if the individual first enrolled in an Upward Bound project's academic year component.

Be sure to include each participant—whether new, continuing, reentry, transfer, or prior-year—**only once** in the file the project submits for the reporting period.

(2) What are the data fields?

The UB/UBMS APR contains 52 data fields. Three of the fields are file identifiers. The remaining fields are of two types: those data fields that, except in unusual situations, will not need to be updated annually; and those data fields that must be reviewed annually and updated, as needed.

Important note: To avoid mismatches between 2010–11 APR data and the UB system of records, identifying data for each participant in your APR file (except for new students) must match the data in your 2009–10 APR, even if you have discovered that last year's data contained errors or misspellings. Identifying data comprises four fields: SSN (#4), Last Name (#5), First Name (#6), and Date of Birth (#8).

File Identifiers:

#1	PR/Award Number
#2	Batch Year

#3	Program Type

Fields that do not need to be updated annually:

#4	Social Security Number
#5	Student's Last Name
#6	Student's First Name
#7	Student's Middle Initial
#8	Student's Date of Birth
#9	Gender
#10	Ethnicity
#11–#15	Race
#16	Limited English Proficiency
#17	Eligibility, at first entry into project
#18	Academic Need
#19	Target School Identification Number
#20	UBMS Participant
#21	Date of First Project Service
#22	Grade Level at First Service
#23	Expected High School Graduation Cohort Year
#28	High School Cumulative GPA, at date of first service

Fields that need to be reviewed and updated annually, as needed:

The asterisk (*) indicates fields for which a grantee may select the option "Not applicable for participants still in high school."

#24	Participant Status
#25	Participation Level
#26	Grade Level, beginning of academic year
#27	Secondary Grade Level or Postsecondary Status, beginning of following academic year
#29	High School Cumulative GPA, beginning of academic year
#30	High School Cumulative GPA, at end of academic year
#31	High School Graduation Status
#32	Date of High School Graduation
#33	Participant Retention in Project
#34	State High School Achievement Standard, reading/language arts
#35	State High School Achievement Standard, math
#36	Date of Last Project Service
#37	Reasons for Leaving Project
#38	Work Study Position (current year participants only)
#39	Employment (current year participants only)
#40	Cultural Activities (current-year participants only)
#41	Community Service (complete for current year participants only)

#42	Instruction for LEP students (current year participants only)
#43	Mathematics Instruction (current year participants only)
#44	Source of Postsecondary Education Information *
#45	Date of First Postsecondary Enrollment *
#46	School Code for Postsecondary Institution last attended *
#47	College Status, beginning of academic year*
#48	Undergraduate Degree/Certificate Completed *
#49	Date of Undergraduate Degree *
#50	Postsecondary enrollment objective*
#51	Postsecondary persistence objective--denominator*
#52	Postsecondary persistence objective--numerator *

(3) How should the date fields be formatted (fields #8, #21, #32, #36, #45, and #49)?

Please review carefully the **Valid Field Content** column to ensure that the data submitted are in the correct format. All date fields should be eight digits and formatted as follows: two digits for month; two digits for day; two digits for century; and two digits for year. For the student's date of birth (field #8), you are required to provide the full, precise date (month, day, and complete year). For the other date fields accuracy is important only for the month and year. If the day is unknown, use 15. For example, a participant's date of first project service of September 2008 would be formatted as follows: 09/15/2008. If the exact month or year is uncertain, use an estimate. If there is no basis for estimating the month, but the year is known or can be estimated, use 01 for the month (e.g., 01/15/2008). If there is no basis for estimating the year, use 00/00/0000 ("Unknown").

To ensure that the date is properly imported, always use the zero before one-digit months and days and insert slashes between the month and day, and between the day and year.

(4) How should "Not Applicable" and "Unknown" be reported?

With the exception of fields #6 and # 7 and #10–#15, leaving a field blank is *not* an option. In general, the format for the data fields uses "0" or a series of "0s" to allow a project to indicate "Unknown"; "9" or a series of "9s" indicates "Not Applicable." Since some exceptions to this practice were unavoidable, please observe the specific options stated for each field.

(5) Where are the objectives found?

The objectives for the programs are found in the "Definitions That Apply" pages at the end of the UB/UBMS and VUB sections of this document.

SUPPLEMENTAL INSTRUCTIONS FOR SPECIFIC FIELDS

Field #2 Batch Year

Use the four-digit year provided on the form. This number will change with each year's submission. The Batch Year designates the fiscal year funding for the project period reported. TRIO grants are forward-funded. Therefore, as an example, fiscal year 2010 funds would be used to support project activities in the 2010–11 program year. Thus, the data file for Batch Year 2010 would include information on project participants served or tracked during program year 2010–11.

Field #4 Social Security Number (SSN)

SSNs are very important as they allow the Department to match participant lists with the federal financial aid files for purposes of tracking participant outcomes. If a project does not know the SSN for a student, please enter "0s" rather than enter other forms of identification numbers.

Fields #5 - #9 Student's Identifying Information

These fields are self-explanatory.

Fields #10–15 Race and Ethnicity

On October 19, 2007, ED released revised, Department-wide guidance on how institutions should collect and maintain data on race and ethnicity and on how they should report such data in the aggregate:

> http://www.ed.gov/legislation/FedRegister/other/2007-4/101907c.pdf ; or
> http://www.ed.gov/legislation/FedRegister/other/2007-4/101907c.html

Because Upward Bound grantees report individual data, they should not follow the portions of the guidance that cover aggregate reporting; they must, however, collect and maintain data as indicated in the guidance. The Department required the new guidance to be implemented by the fall of 2010 for the 2010–11 school year, though grantees were encouraged to implement earlier, if possible. **(Note that projects may leave the race and ethnicity fields blank for prior participants.)**

Collection procedures in the guidance require grantees to collect data on race and ethnicity on all participants using a two-part question: first, the grantee asks the respondent--typically a parent or guardian if the participant is at the secondary level, or the participant himself or herself if older--whether the participant is Hispanic/Latino; second, the grantee asks the respondent to select one or more races from the five racial groups listed. The grantee reports the responses in fields 10–15 of the APR. If, for example, a UB participant's parent identifies the student as Hispanic, Asian, and White, entries for the fields would appear thus:

Field 10: 1, Yes, participant is identified as Hispanic/Latino
Field 11: 2, No, participant is not identified as American Indian/Alaskan Native
Field 12: 1, Yes, participant is identified as Asian
Field 13: 2, No, participant is not identified as Black or African American
Field 14: 1, Yes, participant is identified as White.
Field 15: 2, No, participant is not identified as Native Hawaiian or Other Pacific Islander.

If the participant or parent declines to answer questions about race and ethnicity, the grantee should use observation, as discussed in the guidance. While grantees should make a good effort to collect data on race and ethnicity for all participants, if for some highly unusual reason the race and/or ethnicity of a particular student is unknown, as a last resort the grantee may leave the race and/or ethnicity fields blank. For further details on the guidance for collecting data, please see the full *Federal Register* notice. Grantees are responsible for implementing all relevant aspects of the guidance. Note that the Department encourages institutions to allow all current students to re-identify their race and ethnicity using OMB's 1997 standards (see page 59276 of the notice), but does not require institutions to do so.

For definitions of the ethnicity and race categories, refer to the "Definitions That Apply" section of these instructions.

Field #16 Limited English Proficiency

Refer to the section on "Definitions that Apply" to determine if the participant, at time of initial selection into the project, was of "limited English proficiency".

Field #17 Eligibility

The statute and regulations governing the Upward Bound program require that an individual, at the time of initial selection for the project, must be a "low-income individual" or a "potential first-generation college student." (These terms are defined in the section on "Definitions that Apply.") Two-thirds of project participants each year must be both low-income and potential first-generation college students; the remaining one-third can be either low-income or potential first-generation college student.

Field #18 Academic Need

In accordance with 34 CFR 645.3 (c), a project, in selecting individuals to participate in an Upward Bound program, must determine that an individual needs academic support if he or she is to pursue successfully a program of education beyond high school. Field #18 lists criteria commonly used by projects to determine an individual's need for services; please choose whichever criterion was primary for the student.

Field #19 Target School Identification Numbers

Provide the 12-digit NCES school identification number for the secondary school the Upward Bound student attended at time of entry into the project. For "rising" ninth-graders (those first served the summer between completing eighth grade and starting ninth grade), provide the NCES school identification number for the school the student attended (or will attend) as a ninth-grader.

The number can be obtained from the following Web site:
http://nces.ed.gov/ccd/schoolsearch

Field #21 Date of First Project Service

For new students, use the date the student first received service from the Upward Bound project that is submitting this report. Do not use date of *acceptance* into the project unless that is the same as the date of *first service.* So as to ensure their proper placement in an expected high school graduation cohort year (field #23), students first served in the summer program should have a date of first project service no earlier than June 1.

Use the original month and year of service at this project even if the student subsequently left and reentered. If the students transferred from another UB project, in this field give the month and year of first service at the project submitting the report.

For continuing and prior participants, use the date entered in the earlier APR, even if it was a date of entry that differed from the date of first service. (Note that field #17, regarding eligibility, refers to date of entry because eligibility should be ascertained at that time.)

Field #22 Grade Level at First Service

For new participants, enter the student's grade at the time he or she first received UB services from the project that is submitting the report. For students served first during the summer component, select "rising" ninth-grader for those students who had completed eighth grade and would be entering ninth grade in the fall term; ninth grade itself is not a valid option for students first receiving service in the summer program. Select "rising" 12th-grader for those students who had completed 11th grade and would be entering 12th grade in the fall term. For all other students first served during the summer component, enter the grade the student would enter for the fall academic term (i.e., for students first served in the summer between ninth and 10th grades, the correct code is 10; for those first served in the summer between 10th and 11th grades, the correct code is 11).

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 project first served a student on June 3 in the waning days of grade 9, consider that student to have been served in the summer before grade 10; thus you would select option 10 (10th grade) in field #22.

If a student transferred from another UB project, in this field give the grade level at first service in the project submitting the report.

For continuing and prior participants, use data entered in the earlier APR.

Field #23 Expected High School Graduation Cohort Year

For all individuals who participated in UB for the first time in this reporting period (new and transfer), please select the year in which the student was expected to graduate in

spring or summer (e.g., June 2011). The year should be chosen assuming that the student would progress without delay from year to year and indeed graduate. The year should be chosen when the student originally entered the program and should not be adjusted in later years. For details of how cohorts are established, please see the Grade-Date-Cohort table below.

A transfer's cohort year should agree with the expected high school graduation date established by his or her project of origin. For continuing, reentry, prior, and transfer participants, do not change or update the cohort year except to correct previously entered erroneous data.

Note that, for purposes of calculating the extent to which projects met their objectives for academic improvement on standardized tests and postsecondary enrollment, all participants originally established in a cohort will remain in that cohort, even if they leave 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 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 9th grade (that is, student was a rising 9th-grader in field 22 of the APR) or during 9th 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
8	June 1, 2011–May 31, 2012	2015
	If your student first received services from your project during 10th grade or in the summer before 10th grade in this time period…	…then his or her Expected High School Graduation Cohort Year should be…
9	June 1, 2005–May 31, 2006	2008
10	June 1, 2006–May 31, 2007	2009
11	June 1, 2007–May 31, 2008	2010
12	June 1, 2008–May 31, 2009	2011
13	June 1, 2009–May 31, 2010	2012
14	June 1, 2010–May 31, 2011	2013
15	June 1, 2011–May 31, 2012	2014
	If your student first received services from your project during 11th grade or in the summer before 11th grade in this time period…	…then his or her Expected High School Graduation Cohort Year should be…
16	June 1, 2006–May 31, 2007	2008
17	June 1, 2007–May 31, 2008	2009
18	June 1, 2008–May 31, 2009	2010
19	June 1, 2009–May 31, 2010	2011
20	June 1, 2010–May 31, 2011	2012
21	June 1, 2011–May 31, 2012	2013

	If your student first received services from your project during the summer before 12th grade (that is, student was a rising 12th-grader in field 22 of the APR) in this time period…	…then his or her Expected High School Graduation Cohort Year should be…
22	June 1, 2007–end of summer before school began in fall 2007	2008
23	June 1, 2008–end of summer before school began in fall 2008	2009
24	June 1, 2009–end of summer before school began in fall 2009	2010
25	June 1, 2010–end of summer before school began in fall 2010	2011
26	June 1, 2011–end of summer before school began in fall 2011	2012

Field #24 Participant Status

For each participant record, the grantee must review the options available and select or update this field as appropriate. The participant status options include:

- New participant
- Continuing participant
- Reentry participant, previously served by project submitting report
- Prior-year participant
- Prior-year participant, deceased or permanently incapacitated
- Transfer participant
- New participant served for the first time after the beginning of the 2010–11 academic year (only for projects with December 1, 2007, start dates)

Please refer to field #21, Date of First Project Service, on establishing the date of first service for new participants served initially in the summer program.
Students who leave a UB project to join a UBMS project, or leave a UBMS project to join a UB project, are **not** considered transfer participants.

Field #25 Participation Level

Self-explanatory

Fields #26 and #27 Grade Levels

Field #26 requests the participant's grade level at the beginning of the academic year coincident with the reporting period (i.e., 2010–11); field #27 asks for the student's grade level or postsecondary status at the beginning of the academic year *following* the reporting period (i.e., 2011–12). These fields are used to determine if the participant had progressed to the next grade or graduated. Field #26 includes an option for eighth-graders so as to allow reporting of students who joined the project as rising ninth-graders in the summer of 2011. For field #27 (secondary grade level or postsecondary status at the beginning of the academic year *following* the reporting period), please classify a student within a given secondary grade if that student has met the requirements for progression to that grade. For example, a student should be classified as an 11th-grader if he or she successfully completed 10th grade in 2010–11 (or if he or she met requirements for 11th grade by doing extra work in the summer of 2011).

In some cases, a student may be enrolled both in high school and in some postsecondary classes. If the student has not yet graduated from high school, select the appropriate high school grade level for the student.

Fields #28–#30 Grade Point Averages (GPAs)

A student's grade point average (GPA) is an indicator of a student's need for Upward Bound services and can provide a measure of improvement in academic skills and of success in high school education. Projects are encouraged to report data on GPA carefully. If information is not available for any of these fields, it is best to enter 0.000 ("Unknown"), rather than to copy the previous period's information, giving the impression that GPA did not change. The cumulative grade point averages provided should be calculated on all courses taken. Because middle school GPAs and high school GPAs are generally not comparable, middle school grades should not be used in calculating any of the high school GPA fields.

A high school GPA presumably would not be available till the end of the first term of the first year in high school (usually ninth grade), at the earliest. For participants who entered prior to the availability of a high school GPA, for fields #28 and 29 choose 9.999, "Not applicable." Depending on starting and ending dates of the reporting period, in field #30 projects may or may not need to use 9.999 for rising ninth-graders. For example, in the case of a project with an August 31, 2011, ending date, if a student joins in summer 2011 as a rising ninth-grader, he should be reported as 9.999 in field #30 since academic year 2010–11 ended prior to his completing ninth grade. On the other hand, for a student who joined a project with a May 31, 2011, ending date in summer 2010 as a rising ninth-grader, in field #30 the project should report a ninth-grade GPA at the end of academic year 2010–11.

Please report the GPA based on a four-point scale. If the participant's school used a four-point scale, enter the GPA provided by the school; if not, convert other scales to four-point to the extent possible. If a student's GPA on a four-point scale exceeded 4.000 for such a reason as completing honors or Advanced Placement courses, the project may enter a score that exceeds 4.000; the allowable scale, however, remains four-point. For schools that do not use a convertible scale, please enter "8.888" to indicate that the grading scale could not be converted to a four-point scale. Use 0.000 for unknown GPA and, in fields #29 and #30, for prior-year participants who have completed high school.

Field #31 High School Graduation Status

Use 5, "Other," for students who completed the twelfth grade but failed to meet state or local requirements for graduation (e.g., passing an exit exam).

Field #32 Actual Date of High School Graduation

Report only high school graduation dates that have already occurred by the time the APR is submitted. For those participants completing a high school equivalency certificate, please provide the completion date. If a student completed the twelfth grade but did not meet state or local requirements for graduation, use 99/99/9999, "Not Applicable." Should the student subsequently meet the state or local requirement, update this field in a subsequent year's APR.

Field #33 Participant Retention in Project

This field provides data needed to determine, on an annual basis, the extent to which the grantee has meet its approved project retention objective for the reporting period. Thus, it is necessary to know if the rising ninth-, ninth-, 10th-, 11th-, and rising 12th-grade participants served during the reporting year (2010–11) continued to participate in the UB (or UBMS) project during the subsequent reporting year (2011–12). The data reported in field #33 should reflect information available to the project as of the date on which the APR is submitted (fall 2011). For students who were served as 12th-graders in 2010–11, and who were not served as new, rising 12th-graders in summer 2010, choose option 9. Option 8, "Not applicable, participant served for the first time after the beginning of the 2011–12 academic year," should be used only by projects with December 1, 2007, start dates.

Fields #34 and #35 State High School Achievement Standards

Fields #34 and #35 provide data needed to determine the extent to which the grantee has met its approved academic improvement objective for current and prior project participants with an expected high school graduation cohort year of 2008 or beyond. To be counted toward meeting this objective, a participant must achieve at the proficient level on state high school assessments. Projects must use only assessments that specifically indicate whether the student achieved at the proficient level. (Assessments designed for *No Child Left Behind* accountability are examples of such tests.) If a student did not originally meet the standard, but then subsequently did so prior to the end of his or her expected high school graduation cohort year, the project should choose option 1, "Yes, met standard." Because fields #34 and #35 concern attainment, all UB and UBMS grantees should respond to these fields for all current students, updating each year as necessary. So as to allow accurate calculation of the extent to which grantees met their targets for the objective on academic improvement, grantees should also attempt to provide information for these fields on all prior participants with an expected high school graduation cohort year of 2008 or later.

Important note: In the 2007 and earlier data collections, the APR's field for state academic achievement standards did not refer to meeting the standard *at the proficient level*. If a student with an expected high school graduation cohort year of 2008 or later was entered in the 2007 or earlier data collection as having met the standard, he or she will be counted as a success for the standardized test objective and for corresponding prior experience (PE) points only if the project now reenters the student as having met the standard *at the proficient level* (assuming the student did indeed achieve at that level).

A few grantees have reported experiencing difficulty in getting reliable data for students' results on state achievement tests. If a grantee does not think that test data are reliable for a student, the grantee should choose "Unknown" for field #34 and/or #35 for that student. It is of course in the project's interest to make every effort to collect reliable test data so as to be able to demonstrate the extent to which the project has met its targets for the academic achievement objective.

Field #36 Date of Last Project Service

If a student is still a participant in the Upward Bound project, enter "9s" ("Not applicable; participant is still in program"). Report a date of last service only for those students who the project believes will not return, e.g., those who have graduated or moved out of the project's target area. When reporting a date of last service, please do so regardless of the amount of time the student spent in the program. Providing these dates will allow the Department to obtain an accurate measure of the length of time in the program for each cohort of participants. If a project omitted in last year's report a "Date of Last Project Service" for a given student who subsequently did not participate in the year on which the project is now reporting, please include that student in this year's report as a prior participant and record a date of last project service for him or her, even if the date occurred in the prior reporting period.

For those Upward Bound participants who dropped out of the program, it would be best to use the date the participant last attended an Upward Bound activity or received any kind of help from the project. This could include contacting a student regarding attendance in project activities, providing advice, counseling, etc. If that information is not available, you may use the date the project dropped the student from its list of active participants.

For those students who stay in the program until high school graduation, the date of last program service would be either the high school graduation date or, for those participants in the summer bridge program, the end of the summer program.

Field #37 Reason for Leaving Project

Please select the code that best describes the reason the participant withdrew from the project.

Fields #38–#43 Select Project Services/Activities

Complete these fields only for those project participants who participated in these activities during the reporting period. **Use 9s, Not applicable, for prior participants.** Since all UB and UBMS projects must and do provide the academic instruction and services required or permitted by the authorizing statute and implementing regulations, the Department dropped almost all of the services data fields included in APRs prior to 2007–08. Thus, the revised APR only includes six services/activities of special interest to the Department and for which evaluation data and other analyses have shown to be informative.

Report only on those services/activities the Upward Bound participant received during the reporting period. If the project did not offer the service, choose "8."

Please refer to the section on “Definitions that Apply” for definitions of the services/activities.

Fields #44–52 Postsecondary Information

For these fields, please note that the Department wants to know about students’ postsecondary status (both for recent high school graduates and prior participants) at the first opportunity. If you gather data about a student’s postsecondary status after the end of the reporting period, but before the due date for the report, please include those data in your report. (Note: In addition, for projects with a reporting period of June 1 through May 31, please report on summer bridge participants’ postsecondary status at the first opportunity, i.e., in the fall after summer bridge, even though the summer bridge students will be included in the next year’s data file as “continuing participants” [field #24]. For example, for a project with a reporting period of June 1, 2010, to May 31, 2011, the grantee should report data on the postsecondary status of summer 2011 bridge participants in fall 2011even though the grantee will include the bridge students as continuing participants in the data file for 2011–12.)

Please enter "7" or a series of "7s," where requested, for students who have left a program of postsecondary education without completing it; enter “8” or a series of “8s” as specified for participants who have not yet completed high school. Students in dual enrollment programs should not be reported as enrolled in postsecondary education until after their high school graduation. Please enter “9” or a series of “9s” for high school graduates who were not enrolled in a program of postsecondary education during or prior to the reporting period. "Students who have left a program of postsecondary education without completing it" is an umbrella category including, among others, students on leave of absence, those away from postsecondary education for a humanitarian or religious purpose or for military duty, and those who have dropped out and may eventually return.

A participant is considered enrolled if he or she has completed registration requirements (excluding payment of tuition and fees) at the institution he or she is attending.

Fields #44–#45

Self-explanatory.

Field #46 School Code for Postsecondary Institution

Provide the Federal School Code/OPE ID Number (Office of Postsecondary Education Institutional Number) for the postsecondary institution the Upward Bound participant last attended. This is a six-digit number that is required on all federal financial aid documents. Information regarding this number is included in Federal School Code Directory and can be accessed on the World Wide Web:

https://fafsa.ed.gov/FAFSA/app/schoolSearch?locale=en_EN

Since the Department does not request school names, these codes are particularly important, as they are the means by which the Department is able to identify the institutions that UB students attend. Use "555555" only in unusual cases in which the project is sure that the institution is not in the Federal School Code Directory.

If the student began attendance in fall 2011 (that is, after the end of the 2010–11 reporting period), please do provide the code of the institution.

Fields #47–#49 College Status, Undergraduate Degree/Certificate Completed, and Degree Date

For current year and prior-year participants whose postsecondary education status is known, in field #47 provide information on the student's college status at the beginning of academic year 2011–12. If applicable, in fields #48 and #49 provide the highest undergraduate degree/certificate completed and the degree date.

Fields #50–#52 Postsecondary Enrollment and Persistence

Fields #50, #51, and #52 provide the data needed to determine, on an annual basis, the extent to which the grantee has met its objectives for postsecondary enrollment and persistence:

Postsecondary Enrollment: X% of all UB participants, who at the time of entrance into the project had an expected graduation date during the school year, will enroll in a program of postsecondary education by the fall term immediately following the expected graduation date from high school.

Postsecondary Persistence: X% of all UB participants who enrolled in a program of postsecondary education during the fall term immediately following high school graduation will be enrolled for the fall term of the second academic year.

Note that the enrollment objective refers to enrollment *by* the fall term and thus could include enrollment in the summer of the year. The persistence objective, on the other hand, specifically refers to enrollment *for* the fall term, since what we want to determine is which students actually continued their postsecondary education into the next academic year.

For the **postsecondary enrollment objective** (field #50), we are considering students whose expected graduation date occurred during the budget period (generally May or June 2011)--i.e., the members of the 2011 expected high school graduation cohort. All members of the cohort should be coded either1, 2, or 0 in this field. If such a student enrolled in summer or fall 2011, he or she would have contributed to the project's success in meeting its target for this objective and should be coded option 1. Other members of the cohort who did not enroll (whether or not they actually graduated in their expected year) should be coded option 2. If the project has been unable to determine whether a student enrolled, use 0 for unknown. As noted in the instructions for date of first

postsecondary enrollment (field #45), a student in a dual enrollment program should not be reported as enrolled in postsecondary education until after high school graduation. For participants in a cohort of 2010 or earlier, select 10 or 0; for those in a cohort of 2012 or later, select 8 or 0.

(Field #50 also allows grantees to provide information for the enrollment objective for students who graduated high school early. If, for example, a student in the 2011 cohort actually graduated in June 2010 and then enrolled in postsecondary education in fall 2010 and/or fall 2011, the project should select option 1. This student, however, will remain in the 2011 cohort for purposes of calculating the extent to which the project met its postsecondary objective.)

For the **postsecondary persistence objective**, we are considering students who enrolled in postsecondary education during the fall term of 2010 immediately following high school graduation in academic year 2009–10. If such a student subsequently enrolled for the fall term of 2011, he or she would have contributed to the project's success in meeting its target for this objective.

Field #51 reflects the denominator and field #52 the numerator for the persistence objective. Cohorts do not pertain to these fields because the language of the objective refers to actual graduation, not expected graduation. In field #51 grantees will distinguish between those academic year 2009–10 high school graduates who enrolled in postsecondary education for the fall 2010 term and those who did not; for academic year 2009–10 high school graduates whose enrollment status is unknown, choose 0. Grantees should code all other participants 8, 10, or 0.

In field #52 grantees will distinguish among participants coded 1 in field #51 (i.e., those participants who graduated high school in academic year 2009–10 and enrolled in postsecondary education for the fall term of 2010). Option 1 in field #52 refers to participants who persisted in postsecondary education from fall 2010 into fall 2011; option 2 refers to participants who did not persist in postsecondary education into the fall 2011 term. If a grantee does not know whether such a participant enrolled or not, chose 0 for Unknown. All other participants should be coded 3.

Some possible scenarios:

1. A student in the 2011 expected high school graduation cohort enrolls in a program of postsecondary education for the summer 2011 term and continues in postsecondary into the fall 2011 term. For field #50, choose 1, enrolled; for field #51, choose 8, not completed high school by spring/summer 2010 term; for #52, choose 3, not applicable, participant not coded 1 in field 51. This student contributes to the project's success in meeting its target for the enrollment objective.

2. A student in the 2010 expected high school graduation cohort graduates in May 2010, enrolls in a program of postsecondary education for the fall 2010 term, and remains enrolled for the fall 2011 term. For field #50, choose 10 (not applicable, participant had

an expected high school graduation cohort year prior to 2011); for field #51, choose 1 (enrolled in 2010); for field #52, choose 1 (enrolled in 2011). This student contributes to the project's success in meeting its target for the persistence objective.

3. A student in the 2010 expected high school graduation cohort graduates in May 2010, enrolls in a program of postsecondary education for the fall 2010 term, remains enrolled for the spring 2011 term, but then suspends his postsecondary education. For field #50, choose 10 (expected cohort year prior to 2011); for field #51, choose 1 (enrolled in 2010); for field #52, choose 2 (not enrolled in fall 2011). This student does not contribute to the project's success in meeting its target for either objective.

Note that, given the wording of the objective on postsecondary enrollment, if a student enrolls in summer 2011 following her expected graduation date in May 2011, but then suspends her education (not enrolling in fall 2011), the grantee may still select option 1 (enrolled) in field #50.

The data reported in fields #50–#52 should reflect information available to the project as of the date on which the APR is submitted (fall 2011).

DEFINITIONS THAT APPLY

Upward Bound and Upward Bound Math-Science

Upward Bound and Upward Bound Math-Science Standard Objectives from 2007 competition

Academic improvement on standardized test: X% of all UB/UBMS participants who at the time of entrance into project had an expected high school graduation date during the school year will have achieved at the proficient level during high school on state assessments in reading/language arts and math.
Project retention: X% of 9th, 10th, and 11th grade participants served during each school year will continue to participate in the UB/UBMS project during the next school year.
PSE enrollment: X% of all UB/UBMS participants who at time of entrance into project had an expected high school graduation date during the school year will enroll in a program of postsecondary education by the fall term immediately following the expected high school graduation date.
PSE persistence: X% of all UB/UBMS participants who enrolled in a program of postsecondary education during the fall term immediately following high school graduation will be enrolled for the fall term of the second academic year.

Ethnicity (field #10)

Hispanic or Latino - A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

Race categories (fields #11–15)

American Indian or Alaska Native - A person having origins in any of the original peoples of North and South America (including Central America), and who maintains a tribal affiliation or community attachment.

Asian - A person having origins in any of the original peoples of the Far East, Southeast Asia, and the Indian subcontinent. This area includes, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Black or African American - A person having origins in any of the Black racial groups of Africa.

White - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Native Hawaiian or Other Pacific Islander – A person having origins in any of the original peoples of Hawaii or other Pacific islands such as Samoa and Guam.

Limited English Proficiency (field #16)

Limited English proficiency, with reference to an individual, means an individual whose native language is other than English and who has sufficient difficulty speaking, reading, writing, or understanding the English language to deny that individual the opportunity to learn successfully in classrooms in which English is the language of instruction.

Participant Eligibility (field #17)

Low-income individual means an individual whose family taxable income did not exceed 150 percent of the poverty level amount in the calendar year preceding the year in which the individual initially participated in the project. The poverty level amount is determined using criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce.

First-generation college student means an individual neither of whose natural or adoptive parents received a baccalaureate degree; or a student who, prior to the age of 18, regularly resided with and received support from only one natural or adoptive parent and whose supporting parent did not receive a baccalaureate degree.

Academic year (field #26, #27, #29, #30, #31, #33, and #47)

For purposes of completing these fields of the APR, the academic year runs from September 1 to August 31. If a given target secondary school starts its fall term in late August, the project should consider its academic year to begin on an August date. (Note that, for purposes of determining a student's expected high school graduation cohort year, June 1 is the beginning date for grade at first entry; see instructions for field #22.)

Services and Activities (fields #38–43)

Work-study positions (as the term is used in the *Higher Education Act of 1965*, as amended in 1998, Section 402C(b)(10)) means internships and/or employment provided or arranged for by the project for the purpose of exposing participants to careers requiring a postsecondary degree. Upward Bound students participating in one of these work-study positions may be paid a stipend of $300 per month during June, July, and August. Include in this field only those work-study positions for which the Upward Bound participant received a stipend from the project.

Employment means jobs of at least 10 hours per week arranged either by the project or by the Upward Bound participant that are separate from the Upward Bound program. In contrast to the "work-study" positions, these jobs are primarily to allow participants to earn some income while participating in the program.

Cultural activities means any project-sponsored activities, such as field trips, special lectures, and symposiums, that have as their purpose the improvement of the project participants' academic progress and personal development.

Community service refers to a student's participation, facilitated by the Upward Bound project, in an activity or activities designed to serve a community. Under this definition, community service need not be explicitly integrated into the student's academic work in Upward Bound or at his or her school.

Instruction/tutorials means a formal, structured method for transmitting facts, information, understanding of the concept, and skills to students. Instruction usually includes lesson plans and assignments designed to help students achieve learning objectives.

Integrated Math (an option in field #43) means learning in the context of real-world applications. It synthesizes practical application with theoretical knowledge to help students learn better from hands-on, applications-oriented instruction. It emphasizes applications of theory, problem-solving, and critical thinking to provide students with the skills in literacy, numeracy, computing, scientific methodology, and technology that postsecondary institutions recognize as a necessary foundation for further study in most fields.

Postsecondary fields (#44–52)

For the definition of postsecondary institutions, please see language concerning Title IV programs in sections 101 and 102 of Title I of the 1998 Amendments to the *Higher Education Act of 1965* (P.L. 105-244) (http://www.ed.gov/policy/highered/leg/hea98/sec101.html).

Undergraduate Degree/Certificate (field #48)

Equivalent of bachelor's degree (option 06) is to be used only for UB participants enrolled in dual degree programs who have completed four years of undergraduate study and are working towards a graduate degree.

Dual degree program is a program of study that awards an individual both the bachelor's and a graduate degree upon successful completion of the program of study.