

## Instructions for the Student Support Services Program Annual Performance Report 2011–12

### A. What does this package contain?

This package contains the instructions needed to prepare the annual performance report for the Student Support Services (SSS) Program. The Department of Education (Department) uses the information provided in the performance report to assess a grantee's progress in meeting its approved goals and objectives and to determine a grantee's prior experience points in accordance with the SSS program regulations (34 CFR Part 646).

### B. What are the legislative and regulatory authorities to collect this information?

Title IV, Section 402D, of the Higher Education Act of 1965, as amended; the program regulations in 34 CFR Part 646; and 34 CFR Sections 75.590 and 75.720 of the Education Department General Administrative Regulations (EDGAR).

### C. Who must submit this data report?

All grantees funded under the SSS Program must submit an annual performance report as a condition of the grant award.

### D. What period of time is covered in the report?

The individual participant information provided in the report should cover the 12-month academic year of the grantee institution that most closely aligns with the 12-month budget year for the grant that is found in Block 6 of the Grant Award Notification. The 2011-12 academic year is generally August/September 2011 through August 2012.

### E. What information must be submitted?

The report consists of two sections, and all grantees will be required to complete both sections:

- Section I, Part 1—Project Identification, Characteristics, Certification, and Warning Statement,
- Section I, Part 2—Project Required Services, and
- Section II, Record Structure for Participants.

### F. When must the report be filed?

The annual performance report (APR) must be submitted via the Web within 90 days after the end of each 12-month budget period. However, because of changes to the APR necessary to assure that grantees get their Prior Experience points for the reporting period under consideration at the time of submission, (i.e., for the 2011–2012 assessment year), the due date for submitting the report is **March 22, 2013**.

### G. How may the report be submitted?

All SSS grantees must complete the APR online using the Web application. 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 user, 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 at the following Web address:

<http://www.ed.gov/programs/triostudsupp/report.html>

The Web application that SSS 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 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 the 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.
- An e-mail confirmation that the report has been submitted (a valid e-mail address must be provided in Section I, Part 1).

A project will receive confirmation that the report has been successfully submitted, if the person entering the performance report data provided a valid e-mail address in Section I. After the report has been submitted, a confirmation will be automatically sent to the e-mail address provided. If you do not receive an e-mail confirmation, contact the APR Help Desk.

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 as soon as possible but only prior to the **deadline date**.

#### **H. What's New-Cohort Interpretation for the Graduation and Transfer Objective?**

Two-year institutions have two objectives related to the PE criterion for graduation and transfer. For the first objective (C1), you established in your approved application the rate

at which new participants will graduate with an associate's degree or certificate within four years.

With regard to the second objective (C2—the percentage of new participants that will transfer with an associate's degree or certificate within four years), grantees established their objective based on two different interpretations as to what constitutes the cohort (denominator). Therefore, in order for the Department to correctly calculate your PE points for objective C2, you must indicate, by selecting the appropriate option, which of the following interpretations of the cohort (denominator) you used in establishing the rate for your C2 objective. **Please note that you cannot change your selection during the 2010-15 grant cycle.**

*(Please select only one when completing your APR.)*

- All new participants served in the cohort year (i.e., all new participants served in 2008-09). By selecting this option, the denominator for objectives C1 and C2 are the same (e.g., all new participants served in the cohort year).

**OR**

- All new participants served in the cohort year (i.e., all new participants served in 2008-09) who attained an associate's degree or certificate. This includes those participants who attained an associate's degree or certificate and transfer from a 2-year to a 4-year institution. By selecting this option, the denominator for objective C2 includes only those new participants served in the cohort year who also attained an associate's degree or certificate.

#### **I. Will SSS projects be able to receive their Prior Experience (PE) points after they submit their annual performance report?**

Yes. So as to foster a more transparent process, the Department's goal is to provide SSS projects their PE scores on an annual basis. New to the 2011-12 reporting period, SSS projects will receive their PE scores for assessment year 2011-2012 upon successful submission of their annual performance report. In subsequent years, projects will receive reports for the remaining two reporting periods used for PE calculations (2012-13 and 2013-14).

The PE report will contain the policies used to assess your PE points, a table that summarizes the project's approved and actual attained rates along with the PE scores (i.e., for each criteria).

The formulae for the PE calculations are provided in the Appendix to the PE report will also be available for download via a link (web application) once the project has successfully submitted their APR data.

#### **J. Who may be contacted for additional information concerning the submission of the performance report?**

Please contact your program specialist directly if you have questions regarding the performance report requirements. A state listing of program specialists and contact information is available at the Web address provided above.

If you have technical problems accessing the Web site or using the Web application, please contact the APR Help Desk at (703) 846-8248 or via e-mail at: [sssweb@cbmiweb.com](mailto:sssweb@cbmiweb.com).

### **GETTING STARTED**

**Step 1—Access the web site.** To begin completing this report online, from the Department's Web page click on:

<https://trio.ed.gov/sss>

**Step 2--Registration.** Once at the contractor's Web site (entitled "SSS Online, Program Year 2011-12"), you will need to register; you may do so well in advance of actual submittal of reports. So as to allow time to resolve any problems that might occur with registration, we ask you to register as early as possible.

To register, click on "**First Time User? Register Here**," you will then enter 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 be required to answer two security questions. If the project director's 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; if the program specialist has no prior knowledge of the

change, it may take longer. Once the Help Desk has received verification from the program specialist, you will be notified to continue with registration.

**Step 3—Set Password.** Once you have your user ID and temporary password, you may enter them on the site in the top box of the left side of the page; click "Log in." You will be guided to select a new password.

Your new password must be at least eight characters, and include combinations of the following:

- at least one English uppercase character (A-Z)
- at least one English lowercase character (a-z)
- at least one numeric number (0-9)
- at least one non-alphanumeric special character (e.g.: !, @, #, \$, &, \*, %, /, +, -)

**Forgot Password.** Beginning in 2010-11, a new feature allows grantees to retrieve their passwords by answering the two security questions provided at initial registration. A "forgot password" link is available. Nonetheless, if you require additional assistance, you may call or e-mail the Help Desk at: **703-846-8248** or [sssweb@cbmiweb.com](mailto:sssweb@cbmiweb.com)

**Step 4—Complete and Submit.** Follow the instructions for completing and submitting the report via the World Wide Web.

#### **Section I, Part 1—Project Identification, Characteristics, Certification and Warning Statement**

**A. Project Identification.** Fields #1 through #4 and #6 are pre-populated. You cannot change the data in these fields.

**B. Project Director and Data Entry Person Information.** Fields #8a through #8d are pre-populated. Please review these fields, including the project director's e-mail address, and make revisions as needed. Also, please provide information for any fields that are not pre-populated such as the information on the data entry person.

**C. Project Characteristics.** If your project has a formal summer bridge program, please select "Yes" in field #10a; otherwise select "No". If you select "Yes", please enter the number of participants in your summer bridge program in field #10b.

Select "Yes" in field #10c if your project used Federal funds to provide grant aid; otherwise select "No".

Select "Yes" in field #10d if your project was required to provide matching funds for Grant Aid, then provide the amount of matching funds in #10e.

Select “Yes” in field #10f, if your project received institutional or other non-federal funds, and then provide the amount of institutional and other non-federal funds in #10g.

#### **D. Certification**

You must fax a signed copy of Section I of the report form that certifies that the information submitted electronically is accurate, complete, and readily verifiable to the best of your knowledge. Section I, Part 1 must be signed by both the project director and the certifying representative at the grantee institution and faxed to **(703) 832-1360**. With the exception of Section I, Part 1 of the report, do not fax a paper copy of the performance report.

**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).

#### **Section I, Part 2—Project Required Services**

Part 2 aims to capture information on a project’s provision of required services. For instructions and definitions, please refer to 2011-12 Annual Performance Report document, Section 1, Part 2—Project Required Services.

#### **Section II: APR Record Structure**

##### **General Instructions for the Participant List**

##### **Who should be included on the annual data file?**

A project should use the SSS Program’s regulatory definition of a project participant in 34 CFR 646.7(c) to determine which *project participants* should be included on the data file.

**Participant** means an individual who –

- Is determined to be eligible to participate in the project under 34 CFR 646.3; and
- Received project services the grantee has determined to be sufficient to increase the individual’s chances for success in a postsecondary educational program.

Since the Department needs to be able to track the academic progress of SSS participants from one academic

year to the next, this performance report needs to follow the 12-month academic year of the grantee institution instead of the 12-month budget/project year for the grant. For example, the 2011-12 academic year is generally August/September 2011 through August 2012 while the budget/project year for SSS grants is September 1, 2012 through August 31, 2012. As such, three possible scenarios are described below:

**Scenario #1:** The grantee institution’s fall term begins in August/September 2012 and the new participants for the 2012-13 academic year were enrolled during the summer of 2012, but significant project services began at the beginning of the fall term 2012. These SSS participants should not be included on the 2011-12 APR; they should be reported as “new” participants on the 2012-13 APR.

**Scenario #2:** The SSS student was enrolled at the grantee institution for the first time during the 2012 summer term and/or participated in a formal summer academic program offered by the SSS project for new SSS participants. These individuals should be included on the 2011-12 APR and reported as a “new participant (for summer session only—option #8 or #9)” and are part of the 2012-13 cohort.

**Scenario #3:** The SSS student was accepted for enrollment at the grantee institution and received significant pre-enrollment services (i.e., academic advising, assistance with class selection and registration, orientation workshops, financial aid advising) from the project during the summer prior to enrolling at the institution. This may include transfer students. These individuals should be included on the 2011-12 APR and reported as “new participant (for summer session only—option #8 or #9);” these students are part of the subsequent year’s cohort (i.e., 2012-13).

##### **Additional Reporting Requirements**

To enable the Department of Education to more accurately report on student outcomes, particularly the persistence and completion rates of SSS participants (e.g., calculation of prior experience points, GPRA, etc.), beginning in the 2010-11 reporting period and thereafter, a project must include a record for all current and prior-year participants including prior-year participants no longer enrolled. Records should be updated annually for all participants still enrolled at the grantee institution. Participant records for students no longer enrolled must remain on the file but do not need to be updated.

- **For 4-year institutions,** a project must retain the participant record for **six (6)** years from the time of first service. For example, a student who was first

served by the project in 2006-07, needs to be kept in the data file through 2011-12. Note that any participant first served prior to 2006-07 can be dropped from the data file.

- For 2-year institutions, a project must retain the participant record for four (4) years from the time of first service. For example, a student who was first served by the project in 2008-09, needs to be kept in the data file through 2011-12. Note that any participant first served prior to 2008-09 can be dropped from the data file.

Definitions for current and prior-year participants are included in the section “Definitions that Apply.”

### What are the data fields?

The SSS APR contains 36 data fields of which two are file identifiers. The remaining 34 fields are student data fields and may or may not require updates as noted below.

### How should the date fields be formatted (i.e., fields #7, #17, #18, #28, and #32)?

Please review carefully the Valid Field Content column to ensure that the data submitted is in the correct format. All date fields should be formatted as follows: 2 digits for month; 2 digits for day; 2 digits for century; and 2 digits for year. Also, please include slashes between the month, day and year. For example, a participant’s birth date of January 1, 1992, would be formatted as follows: 01/01/1992. To ensure that the date is properly imported, always use the zero before one-digit months and days and insert slashes.

File Identifiers (pre-populated)	
Field #	Field Name
1	PR/Award Number
2	Batch Year

The following fields should never be updated because these are the primary fields used to match participant records across project years and to verify pre-established cohorts.

Fields that SHOULD NOT be updated	
Field #	Field Name
3	Social Security Number
4	Student’s Last Name
5	Student’s First Name
7	Student’s Date of Birth
21	Student Cohort Year

Unless the grantee provided incorrect information in a previous reporting period, the following fields do not need to be updated annually. As such, we ask that grantees refrain from updating the fields below.

Fields that SHOULD NOT be updated	
Field #	Field Name
6	Student’s Middle Initial
8	Gender
9	Ethnicity—Hispanic
10	Race—American Indian/Alaskan Native
11	Race—Asian
12	Race—Black or African American
13	Race—White
14	Race—Native Hawaiian or Other Pacific Islander
15	Eligibility
16	Academic Need
17	First Enrollment Date
18	Date of First Project Service
19	College grade level ( <i>entry into project</i> )
20	Enrollment status ( <i>in academic year first served</i> )

The following fields require that the grantee review the data and update annually, as needed.

Fields that need to be updated annually, as needed	
Field #	Field Name
22	Participant Status ( <i>during academic year</i> )
23	Enrollment Status ( <i>at the end of the academic year</i> )
24	Academic Standing
25	Cumulative GPA
26	College Grade Level ( <i>at the beginning of the academic year</i> )
27	College Grade Level ( <i>at the end of the academic year</i> )
28	Date of Last Project Service
29	Reason for Withdrawal or Not Returning
30	Transfers
31	Undergraduate Degree/Certificate Completed at Grantee Institution
32	Date of Undergraduate Degree/Certificate
33	Field of Study Degree/Certificate Earned
34	Persistence Status ( <i>at the beginning of the 2012-13 academic year</i> )
35	Amount of Financial Aid Received
36	Amount of SSS Grant Aid Awarded

### Specific Instructions for Participant List

#### Field #1—PR/Award Number (*pre-populated*)

Once the grantee has successfully logged in to the SSS APR Web application, this field will be pre-populated for each participant record.

## Field #2—Batch Year (*pre-populated*)

The four-digit year will be pre-populated. The Batch Year designates the budget period that is the subject of this report. The Batch Year changes with each annual submission of individual participant records. The Department designates the Batch Year as the beginning year of the 12-month budget period. This may or may not be the same as the school year or academic year designations for some institutions. The Batch Year was chosen because TRIO projects are current-year funded, (e.g., Federal Fiscal Year 2011 funds were used to support Project Year [PY] 2011-12). Thus, the data file for Batch Year 2011 would include information on both project participants served and prior participants tracked during PY 2011-12.

## PARTICIPANT DEMOGRAPHIC INFORMATION, ELIGIBILITY AND COHORT STATUS, AND PROJECT ENTRY INFORMATION

### Field #3 - #8—Student Identifying Information

These fields are self-explanatory. Please pay special attention to the required formatting for each field.

Also, as mentioned previously, fields 3, 4, 5, and 7 should not be changed from previously reported data because these are the primary fields used to match participant records across project years.

### Fields #9 - #14—Ethnicity (Hispanic) and Race

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 Student Support Services 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 new guidance was implemented by the fall of 2010 for the 2010–11 academic year. (Note that projects may leave the race and ethnicity fields blank for prior-year participants if the project is unable to determine the race and ethnicity of these 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 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 #9 through #14 of the APR.

If, for example, a SSS participant is identified as Hispanic, Asian, and White, the entries for the fields would be: “Yes” to field #9 (Hispanic/Latino), #11 (Asian), and #13 (White) and “No” to fields #10, #12, and #14.

If the participant 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 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 #15—Eligibility

The authorizing statute and regulations governing the SSS Program require that an individual, at the time of initial selection in the project, must be a “low-income individual,” a “first-generation college student,” or “an individual with disabilities.” (These terms are defined in the section on “Definitions that Apply.”) At least two-thirds of each year’s project participants must be both low-income and first-generation, or be individuals with disabilities; the remaining participants can be either low-income, first-generation, or individuals with disabilities, or a combination of these. At least one-third of the individuals with disabilities must also be low-income individuals. A student must be counted only once in this breakdown.

### Field #16—Academic Need (*at initial selection*)

In accordance with 34 CFR 646.3(c), a project, in selecting individuals to participate in a SSS project, must

determine the individual's need for academic support in order to pursue successfully a postsecondary educational program. This field contains a list of criteria commonly used by projects to determine an individual's need for services. For each participant on the data file, you must select the option that best describes the participant's need for academic support at the time of initial selection into the project. Do not update this field in subsequent reporting years. Although many students may qualify for project services based on more than one of the options listed in field #16, please select from the options provided the main criterion used to determine the individual's need for academic support.

**Field #17—First Enrollment Date** (*at grantee institution*)

Provide the date the individual first enrolled at the grantee institution. The enrollment date is the date when the participant has completed the registration requirements, paid their tuition and fees and attends first day of classes at the grantee institution. If you do not know the exact date, use 15 for the day and use your best estimate for the month.

Since a student accepted for enrollment at the grantee institution may receive services from the SSS project, the school enrollment date may be after the project entry date and/or the date of first project service.

**Field #18—Date of First Project Service**

Provide the date of first project service. If you do not know the exact date, use 15 for the day and use your best estimate for the month.

**Field #19—College Grade Level** (*entry into project*)

In determining the student's postsecondary grade level, use the criteria of the grantee institution regarding grade level classifications and academic standing. Most postsecondary institutions use credits earned and grade point average to determine the college grade level. Use options 3, 4, 5, and 6 only for students who have the required number of credits and GPA to be classified at the institution as sophomore, junior, senior, and other undergraduate, respectively. For students who have earned college credits during high school or through placement testing but have not previously been enrolled in college, use option "1—1<sup>st</sup> year, never attended." However, in determining these students college grade level at the end of the reporting year (field #27), count the earned credits in determining the end of the reporting year grade level.

To ensure uniformity in reporting, two-year institutions should use first-year (freshman) and second-year (sophomores) to designate the college grade levels of their participants in fields #19, #26, and #27.

**Field #20—Enrollment Status in Academic Year First Served**

The purpose of this field is to calculate the performance measures for SSS projects (i.e., the GPRA persistence and graduation rates) for cohorts of full-time, freshman participants who enrolled at the grantee institution in a particular year.

Therefore, please enter the enrollment status of the participant in the academic year the participant was first served. If a participant is "New" or a new summer participant in this reporting period, then the Enrollment Status in the academic year the participant was first served (field #20) and the Enrollment Status at the end of the reporting period (field #23) are the same. For example, if the participant is a new summer participant who did not earn college credits in this reporting period, please select option #10.

Another example is if a participant who was first served in 2006-07 (i.e., Participant Status = New) was enrolled full-time in academic year 2006-07, then the enrollment status in the academic year the participant was first served would also be "1 = Full-time (at least 24 credit hours or 36 clock hours in an academic year)".

**Field # 21—Student Cohort Year**

Select, from the list provided, the cohort year that coincides with the academic year the student entered the SSS project.

**Note:** A "new" participant served only during the 2012 summer session and not previously enrolled in postsecondary education would be in the 2012-13 cohort year (option "14"). Option "14" should only be used for an individual served by the project for the first time in the 2012 summer session preceding the participant's first academic year (i.e., 2012-13) at the grantee institution. Therefore, if option #8 or #9 was selected in field #22—Participant Status, then you must select option #14 in field #21.

A student enrolled at the grantee institution prior to the summer 2012 but who received services from the SSS project for the first time during the summer 2012 would be in the 2011-12 cohort year (option "13").

All other new participants served for the first time in the 2011-12 reporting period would be in the 2011-12 cohort year (option “13”).

## PARTICIPANT’S STATUS AND ACADEMIC STATUS

### **Field #22—Participant Status**

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

**Select option #1** if the participant was served by the SSS project for the **first time** in this reporting period (PY 2011-12) and meets the definition of participant in 34 CFR 646.7(c) of the SSS program regulations. These participants are part of the 2011-12 cohort year (field #21, option “13”).

**Select option #2** if the participant was served by the SSS project for the first time in any prior reporting period and also received services in the 2011-12 reporting period. A reentry participant who left the grantee institution in a previous reporting period but reentered the institution and was served by the project in 2011-12, is considered a “continuing” participant.

**Select option #3** if the participant was served by the SSS project in any prior reporting period and was enrolled at the grantee institution during the current reporting period but did not receive project services on a continual basis during the reporting period. This definition includes a prior-year participant who received a certificate/diploma from a program that is less than two years in duration and is pursuing an associate’s degree at the grantee institution. A reentry participant who left the grantee institution in a previous reporting period but reentered the institution and **was not** served by the project in 2011-12, is considered a prior-year participant enrolled at the grantee institution.

**Select option #4** if the participant was not enrolled at the grantee institution during the current reporting period (2011-12).

**Options #5 through #7 are no longer used.**

In order to calculate one rate for the PE objective, Good Academic Standing (GAS), it is necessary to differentiate between new summer participants who earned college credits versus those who did not earn college credits.

**Select option #8** if the participant was served by the SSS project for the first time during the summer session preceding the participant’s first academic year at the grantee institution (i.e., served during summer 2012 prior

to the 2012-13 academic year) **AND** earned college credits during the time the student was being served. Note that this student is part of the next year’s cohort (i.e., 2012-13, option “14”, field #21). This definition does not include a student enrolled at the grantee institution prior to the summer session but who received services from the SSS project for the first time during the summer 2012. This individual would meet the definition of “new participant” (option “1”, field #22 and would be in the 2011-12 cohort (option “13”, field #21).

**Select option #9** if the participant was served by the SSS project for the first time during the summer session preceding the participant’s first academic year at the grantee institution (i.e., served during summer 2012 prior to the 2012-13 academic year) **AND did not** earn college credits during the period the participant was served. This student is part of the next year’s cohort (i.e., 2012-13, option “14”, field #21). This definition does not include a student enrolled at the grantee institution prior to the summer session but who received services from the SSS project for the first time during the summer 2012. This individual would meet the definition of “new participant” (option “1”, field #22 and would be in the 2011-12 cohort (option “13”, field #21).

**Note: The sum of new (option #1); continuing (option #2); and new summer session only (options #8 and #9) participants should equal the total number of participants the project served during the 2011-12 academic year.**

### **Field #23—Enrollment Status** (at end of the academic year)

This field provides information on a participant’s annual progress toward graduation and can also be used to identify groups of full-time and less than full-time students. A grantee should report the enrollment status equivalent for the academic year based on credits or clock hours **enrolled** in for the full academic year (fall through summer terms). For example, a student would be classified as a full-time student if he/she enrolled in 24 semester credits during the academic year being reported even if the student did not earn 12 credits each semester.

To determine a participant’s enrollment status, use the sum of the credit or clock hours a student was **enrolled** in at the end of each academic term during the reporting year (i.e., sum of credits or clock hours **enrolled** in at the end of the fall, spring, and summer terms). Do not count the credit or clock hours the student officially dropped during any of the terms in the calculation of enrollment status. Please note that the enrollment status is based on the number of hours a student **ENROLLED** in, not the number of hours

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the student earned. If a student received an “Incomplete” or failed the course, those hours should be included in the number of hours a student enrolled. Courses that are audited are not counted towards the number of hours enrolled.

### Three examples follow:

Scenario 1: A student is enrolled for 9 credit hours (three-quarter time) for 3 semesters (fall, spring, and summer) enrolling for a total of 27 credit hours for the academic year. Since full-time status is 24 credits for the academic year, the student would be reported as a full-time student (option #1).

Scenario 2: A student is enrolled for 9 credit hours in the fall semester and 15 credits in the spring semester enrolling for a total of 24 credits. Since full-time status is 24 credits for the academic year, the student would be reported as a full-time student (option #1).

Scenario 3: A student is enrolled for 9 credits in both the fall and spring semesters enrolling for a total of 18 credits. Since 18 credits equal three-quarters of the full-time equivalent, the student would be reported as a three-quarter time students for the reporting year (option #2).

If you do not know the enrollment status of a student, use “0-Unknown/No response.” If the individual is a prior-year participant no longer enrolled, use “9 = Not applicable (prior-year participants no longer enrolled).” Use option “10” (Not applicable, New participant—2012 summer session participants who did not earn college credits) only for students whose participant status was option #9 in field #22.

### Field #24—Academic Standing

Use your institution’s criteria for determining good academic standing. Provide information on the academic standing of all current year SSS participants and prior-year participants still enrolled. Select option “9” (Not applicable) for prior-year participants no longer enrolled. Select option “10” for new summer participants who **did not** earn college credits.

### Field #25—Cumulative GPA

Please provide information on the cumulative grade point average of all current year SSS participants at the end of the 2011–2012 academic year. Also please provide the cumulative GPA for prior-year participants still enrolled. Enter “9.999” for prior-year participants no longer enrolled and for new summer participants who **did not** earn college credits.

**Fields #26 through #34 may require annual updates, dependent on a per-participant basis.**

**Fields #26 and #27**—To ensure uniformity in reporting, two-year institutions should use first-year (freshman) and second-year (sophomores) to designate the college grade levels of their participants in fields #19, #26, and #27.

**Field #26—College Grade Level** (*at the beginning of the academic year*)

For “college grade level at the beginning of the academic year”, provide information on the participant’s grade level at the beginning of the 2011-12 academic year for all new, continuing, and prior-year participants still enrolled at the grantee institution. Use option “15” for participants who were served by the SSS project for the first time during the summer session preceding the participant’s first academic year because these participants were high school seniors at the beginning of the academic year. Use option “99” for students who are prior-year participants no longer enrolled at the institution during 2011-12 and for students who received a bachelor’s degree or equivalent in a previous reporting period.

**Field #27—Current College Grade Level** (*at the end of the academic year*)

For the “current college grade level”, provide information on the individual’s grade level at the end of the 2011-12 academic year for all new, continuing, and prior-year participants still enrolled. Use option #6 if a student received a bachelor’s degree or equivalent in this reporting period.

If the student received a bachelor’s degree or equivalent in a previous reporting period, use option “99”. Use option “10” for participants who were served by the SSS project for the first time during the summer session preceding the participant’s first academic year **AND did not** earn college credits at the grantee institution. Use “99” for students who are prior-year participants no longer enrolled at the institution during 2011-12.

**Field #28—Date of Last Project Service**

Provide the date of last project service for all prior-year participants – those prior participants still enrolled at the grantee institutions, those prior participants no longer enrolled, and for current year participants who have graduated, transferred or withdrawn from the institution. It would be best to use the date the participant last attended a SSS activity or received a service from the

project. If the date is not available, you may use the date the project dropped the student from its list of current participants. For those students who stay in the program until graduation, the date of last project service would be the college graduation date. Enter “88/88/8888” (Not applicable) in this field for an individual still participating in the SSS project at the end of the reporting year (or the beginning of the next academic year).

#### **Field #29—Reason for Withdrawal/Not Returning**

Please use the option that best describes the reason the participant withdrew from the grantee institution or did not return. Provide the requested information for all participants who withdrew/did not return during or at the end of the academic year being reported (i.e., 2011-12). Use option “8” (Not applicable) for students still enrolled, completed certificate/diploma program, graduated or transferred.

#### **Field #30--Transfers**

Select the appropriate option for participants who have transferred to another institution. Use option “8” (Did not transfer, still enrolled or graduated) if the participant is still enrolled at the grantee institution, completed certificate program, or graduated with an associate’s (but did not transfer) or graduated with a bachelor’s degree. Use option “9” (Did not transfer, not enrolled at grantee institution) if the participant withdrew, did not return, was called for military service, or is deceased.

#### **Field #31—Undergraduate Degree/Certificate Completed at Grantee Institution**

In Field #31, indicate the degree/certificate completed during the 2011-12 academic year.

**Select option #1 or #2** if the student received a certificate only.

**Note:** Select option #12 if the student received a certificate and transferred from a 2-year to a 4-year institution within the academic year or by the beginning of the next academic year.

**Option #3** is no longer used.

**Select option #4** if a student received a first bachelor’s degree. Once you report the first bachelor’s degree, please do not update this information in subsequent reporting periods.

If the participant received a first bachelor’s degree and later on received a second bachelor’s

degree within the six year time frame, please select option #4 and provide the date the first bachelor’s degree was awarded in field #32. Once a first bachelor’s degree has been reported, please do not update this response in subsequent reporting years.

If the participant did not receive a first bachelor’s degree but received a second bachelor’s from your institution, please select option #9.

**Select option #5** is no longer used.

**Select option #6** if the student is enrolled in a dual degree program and has completed four years of instruction. By selecting option #6 the grantee is indicating the student has obtained the equivalent of a bachelor’s degree, even though a bachelor’s degree was not awarded. This option is only applicable for students who have completed four years of instruction and are working towards a graduate degree. Once you report a dual degree, please do not update this information in subsequent reporting periods.

**Option #7** is no longer used.

**Select option #8** if the student is still enrolled at the grantee institution but has not yet completed their undergraduate program of study.

**Select option #9** for current or prior-year participants who withdrew from the grantee institution prior to obtaining a degree/certificate, did not return to grantee institution, or transferred without receiving a degree including students who transferred from a 2-year to a 4-year institution. Also select this option if the participant attained a second bachelor’s without attaining a first bachelor’s from the grantee institution.

**Select option #10** if the student received an associate’s degree only.

**Note:** Select option #11 if the student received an associate’s degree and transferred from a 2 year to a 4 year institution.

**Select option #11** if the student received an associate’s degree and transferred from a 2 year to a 4 year institution within the academic year or by the beginning of the next academic year. However, if the participant did not transfer by the beginning of the next academic year after receiving a degree, please select option 10, accordingly.

**For 2-year institutions only**, once you report the attainment of an associate’s degree and transfer to a 4 year

institution, please do not update this information in subsequent reporting periods.

**Select option #1**, if the student received a certificate and transferred from a 2-year to a 4-year institution within the academic year or by the beginning of the next academic year. However, if the participant did not transfer by the beginning of the next academic year after receiving a certificate, please select option 1 or 2, accordingly.

**For 2-year institutions only**, once you report the attainment of a certificate and transfer to a 4-year institution, please do not update this information in subsequent reporting periods.

**Select option #0, No response/Unknown** for those students whose degree/certificate status is unknown.

### **Field # 32—Date of Undergraduate Degree/Certificate**

For current and prior-year participants who obtained a certificate or degree during the reporting period, provide the date the certificate or degree was awarded. If you do not know the exact date, use 15 for the day and use your best estimate for the month.

### **Field #33—Field of Study Degree/Certificate Earned**

For students who have **obtained** a degree or certificate, please indicate the student's major field of study in which the degree or certificate was attained. For a more detailed field of study listing, please refer to Appendix A.

If you do not know the field of study in which the degree or certificate was earned, please select option "0—Unknown/No response."

Option #14 is for two-year institutions who do not offer a degree/certificate in a specific field of study. Select this option if the student has met all of the requirements for a degree, certificate, and/or transfer. All other two year institutions who do offer a degree/certificate in a specific field of study should indicate the student's major field of study in which the degree or certificate was **attained**.

If the student has not earned a degree or certificate, or if the student withdrew/did not return without attaining a degree/certificate from the grantee institution, please select option #16.

### **Field #34—Persistence Status** (*at the beginning of the 2012-13 academic year*)

Field #34 provides the data needed to determine, on an annual basis, the extent to which the grantee has met its

approved persistence objective (i.e., for prior experience points) for the academic year as well as to determine the performance measures (e.g., GPRA) for cohorts of full-time, freshman participants who enrolled at the grantee institution in a particular year. Since the persistence objective measures the persistence of SSS participants from one academic year to the next at the grantee institution, it is necessary to know whether participants served in the current reporting year (i.e., 2011-12) enrolled at the grantee institution for the first term in the next academic year (i.e., Fall 2012). Field #34 may require grantees to collect data on the enrollment status of project participants after the end of the budget period (i.e., August 31, 2012) but before the due date for submitting the APR.

**Select option #1** if the student was enrolled at the grantee institution at the beginning of the Fall 2012 term.

**Options #2, #3, and #4 only apply to 2-year institutions.**

**Select option #2** if the student graduated with an associate's degree or received a certificate from the grantee institution **AND** transferred to a 4-year institution.

**Select option #3** if the student transferred to a 4-year institution **without** receiving an associate's degree or certificate from the grantee institution.

**Select option #4** if the student graduated with an associate's degree or received a certificate from the grantee institution **but did not transfer** to a 4-year institution.

**Option #5 only applies to 4-year institutions.**

**Select option #5** if the student graduated with a first bachelor's degree or equivalent from the grantee institution.

**Select option #6** if the student is no longer enrolled at the grantee institution, that is, the student did not return to the grantee institution in the Fall 2012 term. These include all other transfers except students who transferred from a 2-year to a 4-year institution.

## **STUDENT FINANCIAL ASSISTANCE**

Fields #35 and #36 require annual updates and should be completed for current year participants and prior-year participants still enrolled.

### **Fields #35 and #36—Amount of Financial Aid Received and Amount of SSS Grant Aid Awarded**

Complete these fields for current year participants and prior-year participants still enrolled. Leave these fields blank for all prior-year participants no longer enrolled.

In field #35, enter the amount of financial aid received as determined by the financial aid office. Do not include the amount of the expected family contribution or the amount of SSS Grant Aid.

In field #36, provide the amount of SSS grant aid awarded for the 2011-12 project year. For this reporting period, individual grant aid awards should not be less than the minimum Pell Grant award of \$555 nor exceed the maximum Pell Grant award of \$5,550. (This term is defined in the section on “Definitions that Apply.”)

## DEFINITIONS THAT APPLY

### **Section 1, Part 2—Required Services**

The “*Number of participants receiving service that was provided by project*” is defined as those participants that were offered services by the project and subsequently received services from the project. This figure *does not* include participants that were offered services by the project but declined them (e.g., due to lack of need, participant refused the service, etc.).

The “*Number of participants referred to another service provider*” is defined as those participants that were offered services by the project but were subsequently referred to another service provider. Note that the Department is not asking projects to report on whether participants actually received services from the service provider or for projects to follow-up with these participants to ensure services were rendered. The Department is only requesting that the grantee report on the number of participants that were referred to another service provider.

### **Ethnicity and Race categories (field #9-14)**

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

**American Indian or Alaska Native** - American Indian/Alaskan Native refers to a person having origins in any of the original peoples of North and South America (including Central America), and who maintains 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, China, India, Japan, Korea, and the Philippine Islands.

**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.

### **Participant Eligibility (field #15)**

*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 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.

*Individual with disabilities* as defined by ADA Amendments Act of 2008 means a person who has a:

- (a) physical or mental impairment that substantially limits one or more major life activities of such an individual, and
- (b) record of such an impairment, or
- (c) being regarded as having such an “impairment.”

### **Academic Need (field #16)**

*Predictive indicator* is a composite variable for estimating the potential success of a student in college using a variety of factors that may include indicators such as high school GPA, SAT or ACT test scores, high school preparedness, etc.

*Academic proficient tests* include tests used for clinical purposes such as to determine learning disabilities as well as placement tests and study skills inventories.

### **Student Cohort Year (field #21)**

For the exception of new summer participants (field #22, options 8 and 9) who belong in the subsequent cohort year (2012-13), the cohort consists of a group of students who were first served by the project in the same academic year. Please use the 12-month academic year as a guide for determining a participant’s cohort. An individual student is a member of the same cohort for reporting purposes even if that student leaves the program and returns (e.g., reentries). Further, a student remains in the same cohort group for each successive year.

### **Participant Status (field #22)**

A ***new participant*** is an individual who was served by the SSS project for the **first time** in this reporting period (PY 2011-12) and meets the definition of participant in 34 CFR 646.7(c) of the SSS program regulations.

A ***new participant--summer session only*** is an individual served by the SSS project for the first time during the summer session preceding the participant's first academic year at the grantee institution (i.e., served during summer 2012 prior to the 2012-13 academic year). This student is thus part of the next year's cohort (i.e., 2012-13 option "14," field #21). This definition does not include a student enrolled at the grantee institution prior to the summer session but who received services from the SSS project for the first time during the summer 2012. This individual would meet the definition of "new participant" (field #22, option "1," and would be in the 2011-12 cohort (field #21, option "13").

*Note: A participant who is a "new participant—summer session only" (option "8" or "9") on the 2011-12 APR should be coded as a "new participant" (option "1") on the 2012-13 APR.*

A ***continuing participant*** is an individual who was served by the SSS project in a prior reporting period and also received services in the 2011-12 reporting period. This includes a reentry participant (receiving **project services**) who left the grantee institution in a previous reporting period, then reentered the institution and was served by the project in 2011-12.

A ***prior-year participant enrolled at grantee institution*** is an individual served by the SSS project in a prior reporting period that was enrolled at the grantee institution during the current reporting period but did not receive project services on a continual basis during the reporting period. This definition includes a prior-year participant who received a certificate/diploma from a program that is less than two years and is pursuing an associate's degree at the grantee institution.

A ***prior-year participant not enrolled at the grantee institution*** is an individual who was not enrolled at the grantee institution during the 2011-12 academic year. This includes a **reentry participant (not receiving project services)** who left the grantee institution in a previous reporting period, then reentered the institution and was not served by the project in 2011-12.

**Note:** The sum of new, continuing, and new summer session only (options #1, #2, #8 and #9) participants should equal the total number of participants the project served during the 2011-12 reporting period.

***Current participant*** is defined as a participant who was served by the project during the reporting period (field #22, options #1, #2, #8 and #9).

### **Undergraduate Degree/Certificate at Grantee Institution (field #31)**

***Equivalent of bachelor's degree*** is to be used only for SSS participants enrolled in dual degree program that 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.

### **SSS Grant Aid (field #36)**

***SSS grant aid*** is financial grant aid that a SSS project may award to current year participants in the project who are in their first two years of postsecondary education and who are receiving Federal Pell Grants. Grant aid may be awarded to students who have completed their first two years of postsecondary education and are receiving Federal Pell Grants, if the institution demonstrates that these students are at high-risk of dropping out and the financial needs of all its eligible first and second-year students have been met. For this reporting period, individual grant aid awards should not be less than the minimum Pell Grant award of \$555 nor exceed the maximum Pell grant award of \$5,550.

### **Summer Bridge Program (Section I, Part 1, C, #10a and #10b)**

***Summer Bridge Program*** provides participants with service and activities, including college courses, aiding in the transition from secondary to postsecondary education. This service is typically provided to SSS participants who have graduated from high school and intend to enroll in postsecondary education in the fall term.

## APPENDIX A

### List of Major Fields of Study

<b>Humanities</b>	
Area/ethnic/cultural/gender studies	Liberal arts, sciences and humanities
Arts--visual and performing	Philosophy and religious studies
English language and literature/letters	Visual and performing arts
Foreign languages/literature/linguistics	Theology and religious vocations
History	
<b>Social/Behavioral Sciences</b>	
Anthropology	Political Science & Government
Criminology	Public Policy
Criminal Justice & Corrections	Psychology
Economics	Social Sciences/General/Other
Geography	Sociology
International Relations & Affairs	Urban Affairs Studies
Linguistics	
<b>Life Sciences</b>	
Agriculture & Related Sciences	Multi-interdisciplinary Studies
Biological & Biomedical Sciences (e.g., Anatomy, Microbiology, Zoology, Ecology, etc.)	Natural Resources & Conservation
Environmental Science	Natural Sciences
Food Science	Parks, Recreation, & Fitness Studies
Forest/Resource & Management	Plant Sciences
Forest Science & Biology	Soil Sciences
Forest Science & Technology	Wild Life/Range Management
<b>Physical Sciences</b>	
Astronomy	
Atmospheric Science & Meteorology	
Chemistry	
Geological & Earth Sciences	
Ocean/Marine Sciences	
Physics	
<b>Mathematics</b>	
Algebra	Logic
Applied Mathematics	Statistics
Geometry/Geometric Analysis	Topology/Foundations
<b>Computer/Information Sciences</b>	
Computer Science	
Information Science & Systems	
<b>Engineering</b>	
Aerospace, Aeronautical & Astronautical	Environmental/Health
Agricultural Engineering	Industrial/Manufacturing
Bioengineering/Biomedical	Mechanical
Chemical	Metallurgical
Civil	Mining & Mineral
Computer	Nuclear
Electrical, Electronics, & Communications	Ocean
Engineering Management & Administration	Petroleum & Natural Gas
Engineering Physics	Polymer & Plastics
Engineering Science	Systems Engineering

## APPENDIX A

### List of Major Fields of Study

<b>Teacher Education (Teacher Prep)</b>	
Adult & Continuing Tech Ed	
Elementary & Secondary Education	
Pre-elementary & Early Childhood	
Special Education	
<b>Education--Research &amp; Administration</b>	
Counseling/Guidance	Educational Statistics/Research Methods
Curriculum & Instruction	Higher Education/Evaluation & Research
Educational Administration/Supervision	Special Education Research
Educational Assessment/Testing/Measurement	
Educational Instruction/Media Design	
<b>Business Management</b>	
Accounting	International Business/Trade/Commerce
Banking/Financial Support Services	Marketing, Management, & Research
Business Administration & Management	Management Information Systems/Business Statistics
Managerial Economics	
Finance	
Human Resources	
<b>Health Professions and Related Sciences</b>	
Environmental Health	Epidemiology
Environmental Toxicology	Health Systems/Services Administration
Medical/Pharmaceutical	Kinesiology/Exercise Science
Nursing	Public Health
Speech-Language, Pathology & Audiology	Rehabilitative/Therapeutic Sciences
Veterinary Sciences	Medical Technology
<b>Vocational/Technical</b>	
Science technologies/technicians	Precision production
Security and protective services	Transportation and materials moving
Construction trades	
Mechanic and repair technologies	
<b>Communication/Journalism/Technologies</b>	
Communication Theory	Mass Communication/Media Studies
Film, Radio, TV & Digital Communication	General Communication
<b>Other Technical/Professional</b>	
Architecture and related services	Library science
Personal and culinary services	Military technologies
Family and consumer/human sciences	Public administration and social service
Legal professions and studies	