

**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 2011–12**

**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 2011–12 APR, a grantee must of course report on all participants served in project year 2011–12. In addition, so that the Department can determine the extent to which regular UB and UBMS projects met their approved objectives for project year 2011–12, these projects **must** include in their participant data files a record for all participants whose expected high school graduation cohort year (field #23) was 2012 (that is, the student was expected to graduate from high school in the spring or summer of 2012), 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 of course applied 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.

## 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.

For all grantees in the Upward Bound programs, the Web application and instructions for completing and submitting the report online will be available on November 14, 2012, 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 2011–12"), 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 - B: RECORD STRUCTURE FOR PARTICIPANT LIST  
(Veterans Upward Bound Projects)  
Instructions for Completing Section II – B**

**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. For the Veterans Upward Bound program, a participant is defined as an individual who enrolled in and participated in the educational programs offered by the project during the project year being reported. Be sure to include each participant—whether new, continuing, reentry, or prior-year—**only once** in the file the project submits for the reporting period.

**(2) What are the data fields?**

The VUB APR contains 39 data fields, three of which 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 that must be reviewed annually and updated, as needed.

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	Eligibility
#17	Recruitment
#18	Educational Status at date of first project service
#19	Scheduled Completion Year
#20	Revised Scheduled Completion Year
#21	Circumstances of Rescheduling
#22	Reason for Rescheduling
#23	Date of First Project Service
#24	Employment Status at date of first project service
#25	Disability Status

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

#26	Participant Status
#27	Called to Active Duty during reporting period
#28	Improved Test Score on Standardized Test
#29	Date of Last Program Service
#30	Reason for Leaving VUB Program
#31	Source of Postsecondary Education Information
#32	Date of First Postsecondary Enrollment
#33	School Code for Postsecondary Institution last attended
#34	College Status, beginning of academic year
#35	Undergraduate Degree or Certificate Completed
#36	Date of Undergraduate Degree
#37	Postsecondary Enrollment Objective
#38	Postsecondary Persistence Objective--denominator
#39	Postsecondary Persistence Objective--numerator

**(3) How should the date fields be formatted (fields #8, #23, #29, #32, and #36)?**

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 data of first project service of September 2011 would be formatted as follows: 09/15/2011. 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., 01/15/2011). 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–#7 and #10–#15, leaving a field blank is *not* an option. In general, the format uses "0" or a series of "0s" to allow a project to indicate "Unknown;" "9" or a series of "9s" indicates "Not Applicable."

**(5) Where are the objectives found?**

The objectives for the VUB program are found in the "Definitions That Apply" pages at the end of these instructions.

## 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 2011 funds would be used to support project activities in the 2011–12 program year. Thus, the data file for Batch Year 2011 would include information on project participants served or tracked during program year 2011–12.

### **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 Veterans 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 who left the project before the project implemented the guidance.)**

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 he or she 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 VUB participant identifies himself or herself 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 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 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 "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 students.

**Field #17 Recruitment**

Please indicate how the participant came to your project.

**Field #18 Educational Status (at time of first project service)**

Self-explanatory.

**Field #19 Scheduled Completion Year**

At the outset of service to a participant, projects must schedule a completion year for his or her prescribed VUB program. The chosen completion year must match a budget period (for example, September 2011–August 2012 or September 2012–August 2013) and must be based on the project's assessment of the participant's educational needs. Please provide the scheduled completion year for all participants (including continuing participants) served during the budget period; for prior participants, enter 9 for "Not

applicable." Even if the project enters a revised scheduled completion year in field #20, the year in field #19 should not be changed.

**Field #20**                      **Revised Scheduled Completion Year**

Compelling circumstances in the life or educational progress of the participant may necessitate revising a scheduled completion year. Note that rescheduling should be considered and should occur only when the student is either in continuous active participation or when the student had left and then returned to active participation. Thus, if a student has left the project, the correct choice for field #20 is option 8, "Not applicable, scheduled completion year is unchanged"; a new completion year should be established only if the student returns. Projects may not reschedule a completion year to a year *earlier* than that originally established.

**Field #21**                      **Circumstances of Rescheduling**

Note that the completion year is used in the objective for enrollment in postsecondary education, which reads: "X % of participants served during each budget period will enroll in a program of postsecondary education by the fall term following the scheduled completion of their prescribed VUB educational program." If the originally scheduled completion year for a participant is 2011–12, the participant would need to enroll in postsecondary education by fall 2012 to contribute to the project's success in meeting the objective. Only under certain circumstances will TRIO defer a participant with a revised scheduled completion date to a subsequent year's calculation for this objective. If a participant has not had a hiatus in participation from one budget year to the next and if the project reschedules the completion year while the participant is actively involved in the VUB program, the Department will include the participant in the subsequent year's calculation, not the 2011–12 calculation. Also, if a participant is called to active duty and therefore unable to enroll in postsecondary education, the Department will exclude the individual from the numerator and denominator for the calculation. If, however, rescheduling a participant's completion into a subsequent year occurs because the individual suspended his or her participation in the project for a significant period for reasons other than return to active duty, the student will be included in the calculation for the original scheduled completion year. Field #21 reflects these options.

**Field #22**                      **Reason for Rescheduling**

Self-explanatory.

**Field #23**                      **Date of First Project Service**

For new students, use the date the student first received service from the VUB project that is submitting this report. Do not use date of *acceptance* into project unless that is the same as the date of *first service*. Use the very first month and year of service at this project even if the student subsequently left and reentered. If the students transferred

from another VUB 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 #16, regarding eligibility, refers to date of entry because eligibility should be ascertained at that time.)

**Fields #24 and 25      Employment Status and Disability Status**

Self-explanatory.

**Field #26                      Participant Status**

Please refer to the form for definitions of all of the participant status options.

**Field #27                      Called to Active Duty**

Please indicate whether the participant was called to active duty during the reporting period. If a participant was so called, he or she will be counted neither in the numerator nor the denominator for the project's objectives.

**Field #28                      Improved Test Score on Standardized Test**

This field refers to the first objective included in the application package for the fiscal year 2007 competition: applicants were required to indicate what percentage of participants served during each budget period would improve their academic skills as measured by a pre and post standardized test taken by the participant. In field 28, for all participants served during the 2011–12 budget period, indicate whether the student so demonstrated improvement in academic skills; this information should be accurate as of the end of the budget period. Grantees should keep records of the test each student took, the dates of administration, and the student's scores. Grantees should also document their rationale for determining whether a change in scores constituted improvement; such a rationale should presumably be based on the design and content of the test, on background information the test publisher provided about the test, and on the experience of the project with similar students using the test.

**Field #29                      Date of Last Project Service in VUB**

This field provides more precise data than was offered by the field used in the version of the APR form used before project year 2007–08, which requested length of participation in months. Please provide information as of the end of the budget period. If a student was still a participant in the Upward Bound project as of the end of the budget period, enter “9s” (“Not applicable, participant was still in program”). Report a date of last service only for those students who the project believes will not return—for example, those who have completed the program 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.

For VUB participants who dropped out of the program, it would be best to use the date the participant last attended a VUB 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.

### **Field #30 Reason for Leaving VUB Program**

Grantees should be careful to ensure accuracy in completing this field as it will be used in determining whether the student met the objective on retention and completion included in the fiscal year 2007 application package: grantees were required to indicate what percentage of participants served by the project during each budget period would remain enrolled or complete their prescribed program. Participants coded 1 ("Successfully completed program") and 88 ("Not applicable, participant is still in program") will count towards the project's targeted percentage for the objective. Information should be accurate as of the end of the budget period.

### **Fields #31–36 Postsecondary Information**

For these fields, please note that the Department wants to know about students' postsecondary status (both for participants who have recently completed the program and for 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.

Please enter "7" or a series of "7s," where requested, for students who have left a program of postsecondary education without completing it; "8" or a series of "8s" as specified for participants who have not yet completed the educational program offered by the project; and "9s" or a series of "9s" for those participants who have completed the educational requirements to be eligible for a program of postsecondary education, but who have not yet enrolled in such a program. Enter "6" or a series of "6s" for participants who have died or are permanently incapacitated. "Students who have left a program of postsecondary education without completing it" is an umbrella category including, among others, students on leave of absence, students called to active military duty, and those who have dropped out and may eventually return.

If a participant has begun course work in postsecondary education but is still participating in VUB (for example, if the student is taking postsecondary English courses but still completing preparatory work in other content areas in the VUB program), the student should **not** be reported as enrolled in a program of postsecondary education.

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 #31–#32**

Self-explanatory

## **Field #33                      School Code for Postsecondary Institutions**

Provide the Federal School Code/OPE ID Number (Office of Postsecondary Education Institutional Number) for the postsecondary institution the VUB participant last attended after participating in the program. This is the six-digit code 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](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 TRIO 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 Title IV School Code Directory.

If the student began attendance in fall 2012 (that is, after the end of the 2011–12 reporting period), please do provide the code of the institution.

## **Fields #34–#36                      College Status, Undergraduate Degree or Certificate Completed, and Degree Date**

For current year and prior-year participants whose postsecondary education status is known, in field #34 provide information on the student's college status at the beginning of academic year 2012–13. If applicable, in fields #35 and #36 provide the highest undergraduate degree or certificate completed and the degree date.

## **Fields #37–39                      Postsecondary Enrollment Status and Postsecondary Persistence**

Fields #37, 38, and 39 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 participants served during each budget period will enroll in a program of postsecondary education by the fall term following the scheduled completion of their prescribed VUB educational program.

**Postsecondary Persistence:** X% of all participants who enroll in postsecondary education during each budget period 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 objective on postsecondary enrollment, TRIO will determine to what extent participants who were originally scheduled for completion of their VUB program, or whose completion was rescheduled in accordance with instructions provided for fields #19–21, enrolled in postsecondary education by fall 2012. TRIO will use data from the **postsecondary enrollment objective field** (#37) and from fields #19–21 to make the determination. (Options for field #37 have been simplified from those used in fall 2009.) Note that, if a participant's original completion date of 2011–12 was rescheduled (as reflected in field #20), and if the circumstances of rescheduling were shown as option 1 or 2 in field #21, then the Department will defer calculation of the postsecondary enrollment objective to the year shown in field #20. If a participant's original completion date of 2011–12 was rescheduled (field #20) but neither option 1 nor 2 was chosen in field #21, then the participant will be included in the calculation for 2011–12.

Current participants who were called to active duty during the reporting period (field #27, option 1) will not be included in the calculation for the 2011–12 success rate.

Note that a participant did not have to complete his or her program within the scheduled completion year, or even complete the program at all, to contribute to the project's success in meeting the objective *if* the student fulfilled the objective as stated. Example: a 2011–12 participant was scheduled to complete the program in that year, but dropped out of the VUB program in April 2012; nevertheless, he still enrolled in postsecondary education by fall 2012. The participant would contribute to the program's success in meeting the enrollment objective because he fulfilled the objective as written.

As indicated in the discussion of postsecondary information (fields #31–36), if a participant has begun course work in postsecondary education but is still participating in VUB (for example, if the student is taking postsecondary English courses but still completing preparatory work in other content areas in the VUB program), the student should **not** be reported as enrolled in a program of postsecondary education.

For the **postsecondary persistence objective**, we are considering students who enrolled in postsecondary education for at least some part of budget period 2011–12 for the first time since participating in VUB (option 1 in field #38). If such a student subsequently enrolled for the fall term of 2012, he or she would have contributed to the project's success in meeting this objective. Option 1 in field #39 allows grantees to show that such a student enrolled for his or her second academic year, beginning in fall 2012; option 2 shows that such a student did not enroll. Prior participants who were called to active duty during the reporting period (field #27, option 2) will not be included in the calculation for the 2011–12 success rate for persistence. All students in option 1, field #38 should be shown in field #39, option 1, 2, or 0.

Note that some students will contribute to the project's success in meeting *both* objectives.

Some possible scenarios:

1. A student served in 2011–12 with scheduled completion in that year enrolls in a program of postsecondary education for the summer 2012 term and continues into the fall 2012 term. For fields #37–39, choose 1 (enrolled) in each field. This student will contribute to the project's success in meeting both objectives.

2. A student scheduled for completion in 2010–11 finishes his VUB program in summer 2011 and enrolls in a program of postsecondary education for the fall 2011 term. He continues throughout academic year 2011–12 and is enrolled again for fall 2012. For field #37, choose 9 (prior year participant during 2011–12); for field 38, choose 1 (enrolled for at least part of 2011–12); for field 39, choose 1 (enrolled in fall 2012). This student will contribute to the project's success in meeting the objective on postsecondary persistence; he will not contribute to meeting the objective on postsecondary enrollment for reporting year 2011–12 because, for that objective, we are considering only participants with a scheduled completion year of 2011–12. His enrollment in 2011 would have contributed to his project's success in meeting the postsecondary enrollment objective in reporting year 2010–11.

3. A student served in 2011–12 with scheduled completion in that year enrolls in a program of postsecondary education for the summer 2012 term but discontinues her postsecondary enrollment after that term. For field 37, choose 1 (enrolled); for field 38, choose 1 (enrolled); for field #39, choose 2 (not enrolled). This student will contribute to the project's success in meeting the enrollment objective; she will not contribute to success in meeting the persistence objective because, though enrolled in the 2011–12 budget period, she did not enroll for the fall term of the second academic year.

4. A project realizes that a student with an original scheduled completion year of 2011–12 will need significant additional help with mathematics to help ensure the student's success in the postsecondary nursing program he wishes to undertake. The student is continuously active in the VUB program; the project reschedules his completion date to 2012–13 and chooses option 1 in field #21 (circumstances of rescheduling). As indicated in the instructions for field #21, TRIO will defer the student to budget year 2012–13's calculation for the enrollment objective. He enrolls in postsecondary education in summer 2013 and continues into fall 2013. For field #37, choose 2, participant did not enroll by fall 2012; for field #38, choose 2, not applicable; for field #39, choose 3, not applicable. The student does not contribute to the project's success in meeting the enrollment or persistence objectives in 2011–12 but could do so in the next year.

## DEFINITIONS THAT APPLY

### Veterans Upward Bound

#### **Veterans Upward Bound Standard Objectives from the 2007 competition**

**Academic improvement on standardized test:** X% of participants served during each budget period will improve their academic skills as measured by a pre and post standardized test taken by the participant.

**Education program retention and completion:** X% of participants served during each budget period will remain enrolled or complete their prescribed VUB educational program.

**PSE enrollment:** X% of participants served during each budget period will enroll in a program of PSE by the fall term following the scheduled completion of their prescribed VUB educational program

**PSE persistence:** X% of participants who enroll in PSE during each budget period will be enrolled for the fall term of the second academic year.

#### **Ethnicity categories (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.

### **Participant Eligibility (field #16)**

**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.

### **Postsecondary fields (#31–39)**

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 or Certificate (field #35)**

**Equivalent of bachelor's degree (option 06)** is to be used only for VUB 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.