

**U. S. Department of Education  
Office of Postsecondary Education/Federal TRIO Programs  
Policies and Procedures for Prior Experience (PE) Assessments  
Upward Bound and Upward Bound Math-Science Programs  
2012–17 Grant Award Cycle**

*Brief summary of policies and procedures for assessing prior experience (PE) points*

- The PE assessment years are 2013–14, 2014–15, and 2015–16.
- Calculating PE points for the three assessment years is based on:
  - A project’s approved number of participants to be served;
  - A project’s approved objectives; and
  - The student-level data a project submits in its annual performance report (APR) for each assessment year.
- A project may earn up to 15 points for each year assessed (see 34 CFR 645.30(a)(2)). The final PE score is the average of the scores for the three years assessed. A project that fails to submit an APR in the year being assessed is ineligible to earn any PE points for that assessment year.
- **A project that served less than 90 percent of the number of students the project was funded to serve in the assessment year is not eligible to earn points for any of the PE criteria in the assessment year (see 34 CFR 645.32(b)).**
  - To determine if a project has served at least 90 percent of the approved number of student to be served, standard rounding rules are applied; if the calculated Number Served rate is between 89.5 and 89.9 percent, it is rounded up to 90%.
  - To earn PE points for the Funded Number criterion, a project must serve at least the number funded to serve. Except for the one situation noted above, no rounding is applied to the Number Served rates. For example, if the calculated rate is 99.6%, the rate will be 99%, not 100%.
- Any UB or UBMS project funded in the current grant cycle (2012–17) that submits an APR for the assessment year, and serves at least 90 percent of the number of students it was funded to serve, is eligible to earn PE points for the following PE criteria: Funded Number, Academic Performance—GPA, Academic Performance on Standardized Tests, Secondary School Retention and Graduation, Secondary School Graduation (Rigorous Program), and Postsecondary Enrollment.
- The point of measurement for the Postsecondary Education Completion objective is six years; therefore, any project first funded in the 2012-17 grant cycle will not be eligible to earn PE points for this objective during the grant cycle. A UB or UBMS project first funded prior to the 2012-17 grant cycle will only be eligible to earn PE points for the Postsecondary Education Completion objective if the project served at least one participant who qualified for the cohort year applicable to the PE assessment year (e.g., applicable postsecondary education cohort year [field #54, PSEcohort] is 2008 for the 2013–14 assessment year).
- PE points are awarded based on meeting or exceeding the approved objectives. No partial credit is given. If the calculated (i.e., actual) rate for the PE criterion is greater than or equal to the approved rate, PE points are awarded. Standard rounding rules are used (e.g., 79.6% rounds to 80%) for all objectives other than Funded Number, which is handled as described in the fourth bullet on this page.

## Appendix

- Participants who died or became permanently incapacitated are included in the Funded Number criterion for any assessment year in which they were served. For all other criteria, as applicable, current and prior-year participants who died or became permanently incapacitated are not included in the calculations.
- The Department will not accept any changes to the project's APR data once the APR has been submitted for the assessment year.

The formulae for calculating PE are provided below.

### ***How is the Funded Number Criterion Calculated?***

PE points are awarded if the project served the approved number of participants for the reporting period. The actual number of participants served must be equal to or greater than the number of participants the project was funded to serve.

- The **denominator** is the project's approved number of participants to be served.
- The **numerator** is the actual number of participants served during the assessment year and is the sum of field #27 (Participant Status), options 1, 2, 3, and 6.

### ***How is the Rate for Academic Performance—GPA Calculated?***

PE points are awarded based on the percentage of participants served during the reporting period who had a cumulative grade point average (GPA) of 2.5 or better on a four-point scale at the end of the school year.

The calculation rules for the persistence rate are as follows:

- The **denominator** is the greater of the number to be served or the number served.
  - Number to be served is from project's approved objective.
  - Number served is derived from field #27 (Participant Status), options 1 (new), 2 (continuing), 3 (reentry), and 6 (transfer).
  - Excluded are those for whom no high school GPA is possible, i.e., those coded in field #32 (High School Cumulative GPA) as 8.888 (NA, academic year ended before the participant had completed the first year of high school).
- The **numerator** is the number of participants in the denominator for whom field #32 (High School Cumulative GPA) is 2.5 or higher.

**Note:** Participants who were served during the reporting period but who subsequently died or became permanently incapacitated are not included in the calculation (see field #26, options 3 and 4).

### ***How is the Rate for Academic Performance on Standardized Tests Calculated?***

PE points are awarded to grantees based on the percentage of seniors served during the reporting period who achieved at the proficient level on state assessments in reading/language arts and mathematics. **Note:** If a project did not serve any seniors in the assessment year, the project will not earn any PE points for this objective.

- The **denominator** is the number of participants who meet two criteria:
  - Field #27 (Participant Status) is option 1 (new), 2 (continuing), 3 (reentry), or 6 (transfer) **and**
  - Field #30 (Grade Level at Beginning of Academic Year Being Reported) is option 12 (12<sup>th</sup> grade).
- The **numerator** is the number of participants in the denominator who meet two criteria:

Appendix

- Field #38 (Met High School State Academic Achievement Standard at Proficient Level—Reading/Language Arts) is option 3 (yes, met proficient level on state assessments) **and**
- Field #39 (Met High School State Academic Achievement Standard at Proficient Level—Math) is option 3 (yes, met proficient level on state assessments)

**Note:** Participants who were served during the reporting period but who subsequently died or became permanently incapacitated are not included in the calculation (see field #26, options 3 and 4).

***How is the Rate for Secondary School Retention and Graduation Calculated?***

PE points are awarded to grantees based on the percentage of participants served during the reporting period who continued in school for the next academic year at the next grade level, or who graduated from secondary school with a regular secondary school diploma.

- The **denominator** is the greater of the number to be served or the number served.
  - Number to be served is from project’s approved objective.
  - Number served is derived from field #27 (Participant Status), options 1 (new), 2 (continuing), 3 (reentry), and 6 (transfer).
- The **numerator** is the number of participants in the denominator who meet one of two criteria:
  - Field #31 (End Grade Level) is one or two grades higher than field #30 (Start Grade Level); **or**
  - Field #34 (High School Graduation Status) is option 3 (received regular secondary school diploma). **(Please see table below for details of the calculation.)**

**Note:** Participants who were served during the reporting period but who subsequently died or became permanently incapacitated are not included in the calculation (see field #26, options 3 and 4).

<b><i>StartGradeLV (field #30)</i></b>	<b><i>EndGradeLV (field #31)</i></b>	<b><i>HsGRAD (field #34)</i></b>
<i>8 (8<sup>th</sup> grade)</i>	<i>9 (9<sup>th</sup> grade) or 10 (10<sup>th</sup> grade)</i>	<i>Not applicable</i>
<i>9 (9<sup>th</sup> grade)</i>	<i>10 (10<sup>th</sup> grade) or 11 (11<sup>th</sup> grade)</i>	<i>Not applicable</i>
<i>10 (10<sup>th</sup> grade)</i>	<i>11 (11<sup>th</sup> grade) or 12 (12<sup>th</sup> grade)</i>	<i>Not applicable</i>
<i>11 (11 grade)</i>	<i>12 (12<sup>th</sup> grade); 15 (5<sup>th</sup> year of HS); <b>or</b></i>	<i>3 (received regular secondary school diploma)</i>
<i>12 (12<sup>th</sup> grade)</i>	<i>15 (5<sup>th</sup> year of HS); <b>or</b></i>	<i>3 (received regular secondary school diploma)</i>
<i>14 (5<sup>th</sup> year of HS)</i>	<i>Not applicable</i>	<i>3 (received regular secondary school diploma)</i>

**Note:** For summer-start projects (i.e., those whose reporting period began in June or July), a summer bridge participant (field #28, Participation Level, options 2 and 5) is included in the numerator if the student's postsecondary education cohort year (field #54, PSECoort) matches the year in which the student was in summer bridge (these participants are already included in the denominator); for example, a participant in the bridge program in summer 2013 whose PSECoort is also 2013 is included in the numerator.

A participant is coded in a particular postsecondary education cohort year (field #54) if the student graduates from high school with a regular diploma within one school year and enrolls in postsecondary education by the fall term immediately following the high school graduation date, or if the student receives notification from the institution of higher education of acceptance but deferred enrollment until the next academic term. For example, if a participant graduates with a regular diploma in school year 2012–13 and enrolls in postsecondary education by fall 2013, he or she is a member of the 2013 cohort.

### ***How is the Rate for Secondary School Graduation (Rigorous Secondary School Program of Study) Calculated?***

PE points are awarded to grantees based on the percentage of current and prior-year participants, graduating from high school during the school year with a regular secondary school diploma, who completed a rigorous secondary school program of study.

- The **denominator** is the number of participants who meet two criteria:
  - Field #34 (High School Graduation Status at End of Academic Year Being Reported) is option 3 (received regular secondary school diploma) **and**
  - Field #35 (Actual High School Graduation Date) is between September 1 and August 31 of the assessment year.
- The **numerator** is the number of participants in the denominator for whom Field #36 (Rigorous Secondary School Program of Study Completed) is option 1 (Current or prior-year participant who graduated high school during the school year with a regular secondary school diploma, and completed a rigorous secondary school program of study).

**Note:** Current and prior-year participants who died or became permanently incapacitated are not included in the calculation (see field #26, options 1, 2, 3 and 4).

### ***How is the Postsecondary Enrollment Rate Calculated?***

PE points are awarded to grantees based on the percentage of current and prior-year participants, graduating from high school during the school year with a regular secondary diploma, who enroll in a program of postsecondary education by the fall term immediately following high school graduation, or who receive notification by the fall term from an institution of higher education of acceptance for deferred enrollment in the next academic term.

**Note:** If the project did not serve any participants who graduated from high school during the school year with a regular diploma, the project will not earn any PE points for this objective for the assessment year.

- The **denominator** is the number of participants who meet two criteria:
  - Field #34 (High School Graduation Status at End of Academic Year Being Reported) is option 3 (received regular secondary school diploma) **and**
  - Field #35 (Actual High School Graduation Date) is between September 1 and August 31 of the assessment year.

- The **numerator** is the number of participants in the denominator for whom field #63 (Postsecondary Enrollment Objective—Numerator) is option 1 (current or prior-year participant who graduated from high school during school year with a regular secondary school diploma and who enrolled in postsecondary education by fall term) or option 2 (current or prior-year participant who graduated high school during school year with a regular secondary school diploma and who received notification by fall term from an institution of higher education of acceptance but deferred enrollment until next academic term).

**Note:** Current and prior-year participants who died or became permanently incapacitated are not included in the calculation (see field #26, options 1, 2, 3 and 4).

***How is the Postsecondary Education Completion Rate Calculated?***

PE points are awarded to grantees based on the percentage of prior-year participants in a specific postsecondary education enrollment cohort year (field #54) who attained either an associate or bachelor’s degree within six years following graduation from high school. For example, for the 2013–14 assessment year, the relevant postsecondary education enrollment cohort year is 2008 (six years prior to 2013–14); to count toward the objective in the 2013-14 assessment year, a participant with a cohort year of 2008 must have attained either an associate or bachelor’s degree by August 31, 2014.

**Note:** Using data grantees reported in prior-year APRs, the Department established a postsecondary enrollment cohort year (field #54) for each prior participant who qualified for a cohort year of 2008 through 2012; the 2013 and subsequent PSE cohort years are established at the time the applicable APR is submitted. Once established, data in this field will not be adjusted in later years. To be eligible to earn PE points for the postsecondary education completion objective, a project must have served at least one participant with an applicable cohort year. No project first funded in 2012 is eligible to earn PE points for this objective in the 2012-17 grant cycle.

<i>Assessment Year</i>	<i>PSECohort (field #54)</i>
<i>2013-14</i>	<i>2008</i>
<i>2014-15</i>	<i>2009</i>
<i>2015-16</i>	<i>2010</i>

- The **denominator** is the number of participants in the applicable cohort for the assessment year (field #54, Postsecondary Education Enrollment Cohort).
- The **numerator** is the number of participants in the denominator for whom field #65 (Postsecondary Completion Objective—Numerator) is option 1 (yes, in applicable postsecondary education enrollment cohort and attained either an associate or bachelor’s degree within six years following high school graduation). The APR Web application contains data validations for field #65 to ensure that option 1 can only be selected for a participant who has attained either an associate or bachelor’s degree within six years following high school graduation with a regular diploma. Data validations are based on fields #59 and #60 (associate degree attained and date) and/or fields #61 and #62 (bachelor’s degree attained and date).

**Note:** Prior-year participants in the applicable PSE cohort year who died or became permanently incapacitated are not included in the calculation (see field #26, options 1 and 2).

[This document is dated November 2014.]