United States Department of Education (ED)
Office of Postsecondary Education (OPE)
Federal TRIO Programs (TRIO)

User Guide
For the
UB/UBMS Program
Annual Performance Report
Website

December 2009

Submitted by

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Table of Contents

1 Overview 5
1.1 Introduction 5
1.2 Features of the Site 5
2 Accessing the Site 6
2.1 Register as a First Time User 8
2.1.1 Registration Failed: 9
2.1.2 Registration Successful: 9
2.2 Log in as a Registered User 11
2.3 Forgot Password 12
2.4 Successful Login 13
3 Navigating the Site 14
4 Section I: Project Identification, Certification, and Warning 15
5 Section II: Record Structure for Individual Participants 18
5.1 Section II Main Page 18
5.2 Getting Started Page 19
5.2.1 Download last year's submitted data 20
5.2.2 Upload an Excel file to the Web Data Entry Form. 21
5.2.3 Transfer last year's submitted data directly into the on-line form. 22
5.2.4 The "Continue" button 25
5.3 Review Participant List and Data Error Report (table view) 26
5.4 Participant Data Form 28
5.4.1 Personal Tab 29
5.4.2 Participation A Tab 30
5.4.3 Participation B Tab 30
5.4.4 Participation C Tab 32
5.4.5 Postsecondary Tab 32
5.4.6 Screen Navigation Instructions: 33
5.5 Unsuccessful upload of Excel file 33
5.5.1 Incorrect number of columns, missing data, or missing/misspelled column headers 33
5.5.2 Error due to empty file 35
5.6 Unsuccessful Upload of CSV Files 35
5.6.1 Incorrect Number of Columns 35
5.6.2 Invalid PR Number 37
5.6.3 Column Name Missing or Misspelled, or Column Out of Order 37
5.6.4 Invalid Batch Year 39
5.7 Successful Transfer or Upload – Table View Page 39
6 Section III: Review and Submit (Tier 1) 40
6.1 Review and Submit Main Page: 40
6.1.1 Review and Submit - Step 1: (With Errors) 41
6.1.2 Review and Submit - Step 1: (no Errors) 41
6.2 Review and Submit - Step 2 41

6.2.1 Funded Rate Report (Outside Range) 42
6.2.2 Funded Rate Report (Within Range) 44
6.3 Critical Fields Verification Report - Step 3 45
6.3.1 Critical Fields Verification Report (without errors) 45
6.3.2 Critical Fields Verification Report (with errors) 46
6.4 Review and Submit - Step 4: 48
6.4.1 Review and Submit - Step 5: 48
6.5 Submission with Tier 2 Data Validation – Step 6 49
6.6 Tier 2 Verification Reports 49
6.6.1 Match to Prior Report 49
6.6.2 Expected High School Graduation Cohort Year report 52
6.6.3 Tier 2 - New Participant Verification Report 55
6.7 Review and Submit – APR Submitted 57

1 Overview

1.1 Introduction

The Federal TRIO Programs office, within the Office of Postsecondary Education (OPE) at the United States Department of Education (ED), has designed the UB/UBMS Online Annual Performance Report (APR) site so that grantees can prepare and submit the APR data.

1.2 Features of the Site

Features of the UB/UBMS site include:

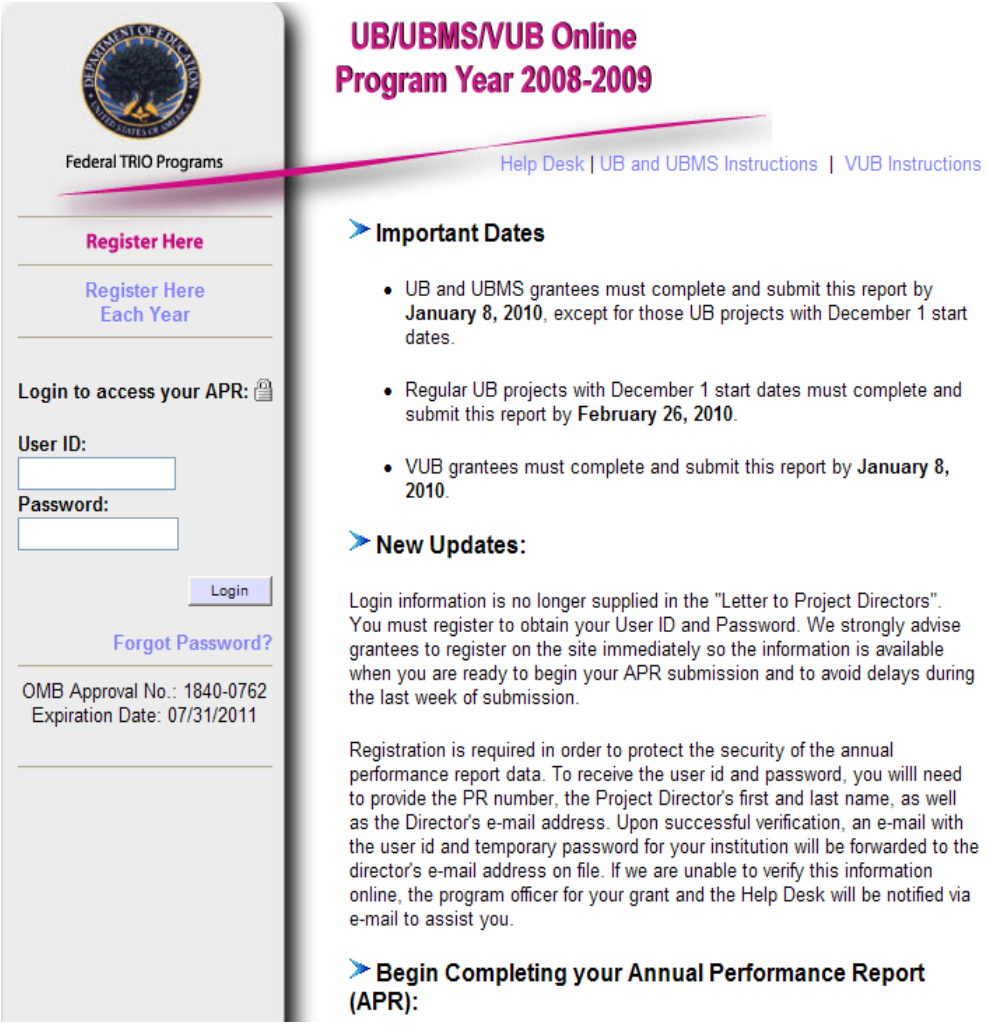
- An online user guide and online help;
- A Web form for completing Section I online;
- A feature that allows you to upload an electronic file with the individual participant records (Section II);
- A "***print***" button to produce a hard copy of the information entered;
- A "***submit***" button to send the entire report to the Department; and
- An e-mail confirmation that the report has been submitted (if you provide an e-mail address in Section I).

2 Accessing the Site

The main page of the UB/UBMS/VUB site is shown below. You must register on the site to obtain a user id and password. An overview of the registration process follows.

Note: Even if you registered last year, you must register again in order to access the 2008-2009 APR Web site.

For initial access, click ***Register Here Each Year.***



This Web site contains the forms and instructions needed to prepare and submit on-line the annual performance report for UB/VUB/UBMS for program year 2008-09. Before accessing the Web site, you may want to download, for your reference, an electronic copy or print a hard copy of the report at: **Upward Bound/Upward Bound Math-Science** or the **Veterans Upward Bound** Web site.

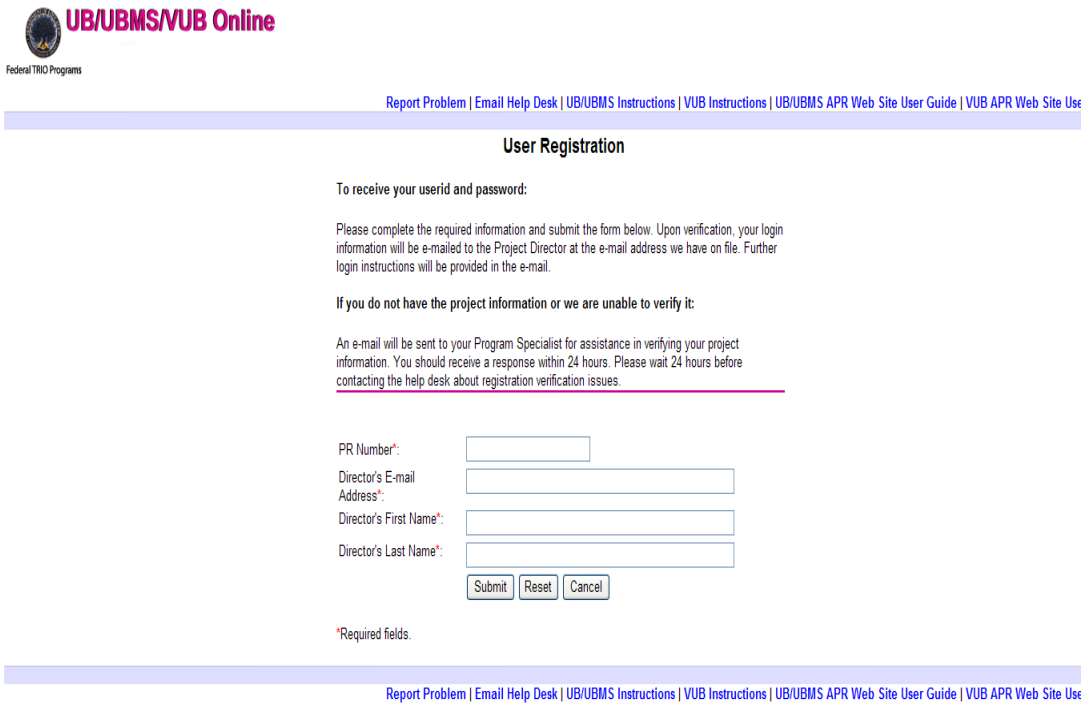
- To begin completing your APR, enter your user id and password.
- If you do not have a user id or password, click on the **"Register Here Each Year"** link to register.

Paperwork Reduction Act | Warning

2.1 Register as a First Time User

To register as a first time user, enter your PR Number, your project director's email address, first and last name. If the information matches the UB programs' system of record, the system will email your user id and password to the project director; otherwise, it will email your program specialist to verify your information.

Note: You should receive a response within 24 hours. Please wait at least 24 hours before contacting the help desk about registration verification issues.



2.1.1 Registration Failed:

If the system is unable to verify the information you entered, it will display the ***Registration Failed*** page, shown below. This page describes the secondary verification process.

- If you think you made a mistake on the registration page, click the "***Go back to registration form"*** button to try again.
- If you are a new project director, you must enter the information requested on the lower half of the page.

Once the program specialist has verified your information, the help desk will contact you within 24 hours using **the email address that you provide on this page.** Please allow 24 hours for verification and response.

Director's information provided does not match the records in the system.

Registration Failed

The information you entered on the project director does not match the information on file. The information on file may not reflect recent changes in the project director and/or e-mail address. An e-mail will be sent to your program specialist requesting verification of the information you submitted.

Upon verification from your program specialist, the Help Desk will contact you using the e-mail address you provide below. Please allow 24 hours for verification and a response.

You may contact the TRIO Help Desk for further assistance but keep in mind that we can not disclose username and passwords over the phone or without further verification from your Program Specialist.

Please enter the following contact information and then click on "Submit" button to process the verification request with your Program Specialist.

OR

If you want to go back and try again, click the "Go back to registration form" button.

Director's First Name*:

Director's Last Name*:

Are you a new director?*: ○ Yes ◉ No

Do you have a new e-mail address?*: ○ Yes ◉ No

Provide your current e-mail address*:

Director's Phone Number: e.g.:999-999-9999

ext.

2.1.2 Registration Successful:

If the system successfully verifies your information, it will email your login information to your project director and redisplay the main page with the message shown below.

Federal TRIO Programs

UB/UBMS/VUB Online
Program Year 2008-2009

Help Desk | UB and UBMS Instructions | VUB Instructions

Register Here

Register Here
Each Year

Login to access your APR:

Your user id and password have been e-mailed to the program director's e-mail account we have on file.

User ID:

Password:

Login

Forgot Password?

OMB Approval No.: 1840-0762
Expiration Date: 07/31/2011

Important Dates

- UB and UBMS grantees must complete and submit this report by **January 8, 2010**, except for those UB projects with December 1 start dates.
- Regular UB projects with December 1 start dates must complete and submit this report by **February 26, 2010**.
- VUB grantees must complete and submit this report by **January 8, 2010**.

New Updates:

Login information is no longer supplied in the "Letter to Project Directors". You must register to obtain your User ID and Password. We strongly advise grantees to register on the site immediately so the information is available when you are ready to begin your APR submission and to avoid delays during the last week of submission.

Registration is required in order to protect the security of the annual performance report data. To receive the user id and password, you willl need to provide the PR number, the Project Director's first and last name, as well as the Director's e-mail address. Upon successful verification, an e-mail with the user id and temporary password for your institution will be forwarded to the director's e-mail address on file. If we are unable to verify this information online, the program officer for your grant and the Help Desk will be notified via e-mail to assist you.

Begin Completing your Annual Performance Report (APR):

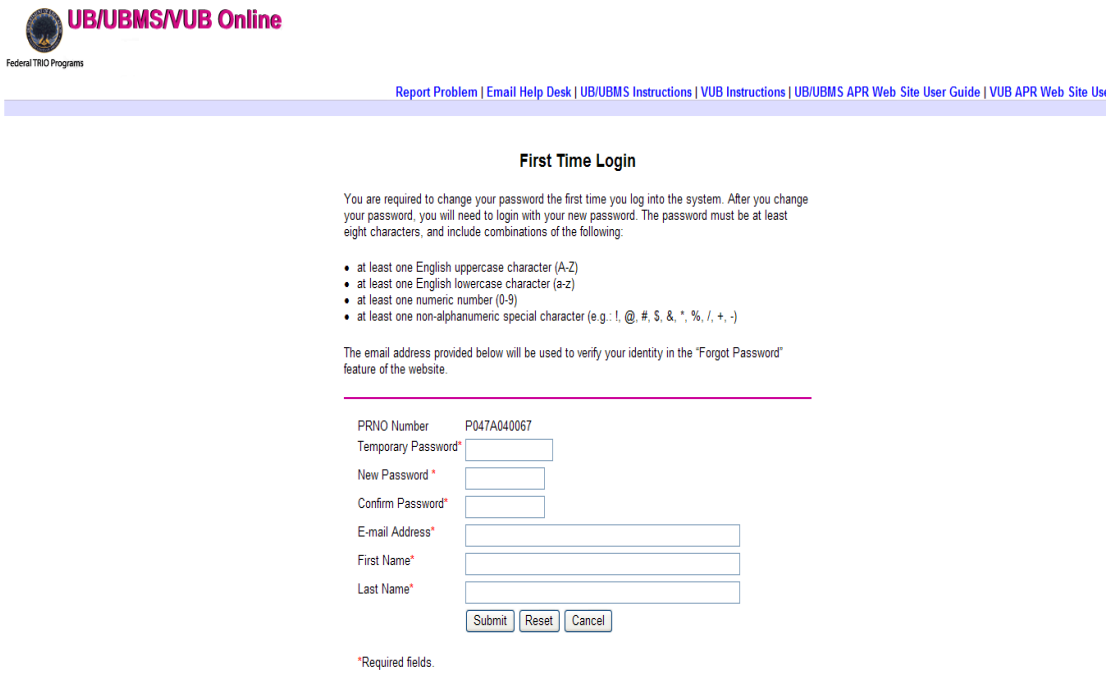
This Web site contains the forms and instructions needed to prepare and submit on-line the annual performance report for UB/VUB/UBMS for program year 2008-09. Before accessing the Web site, you may want to download, for your reference, an electronic copy or print a hard copy of the report at: Upward Bound/Upward Bound Math-Science or the Veterans Upward Bound Web site.

- To begin completing your APR, enter your user id and password.
- If you do not have a user id or password, click on the "Register Here Each Year" link to register.

Paperwork Reduction Act | Warning

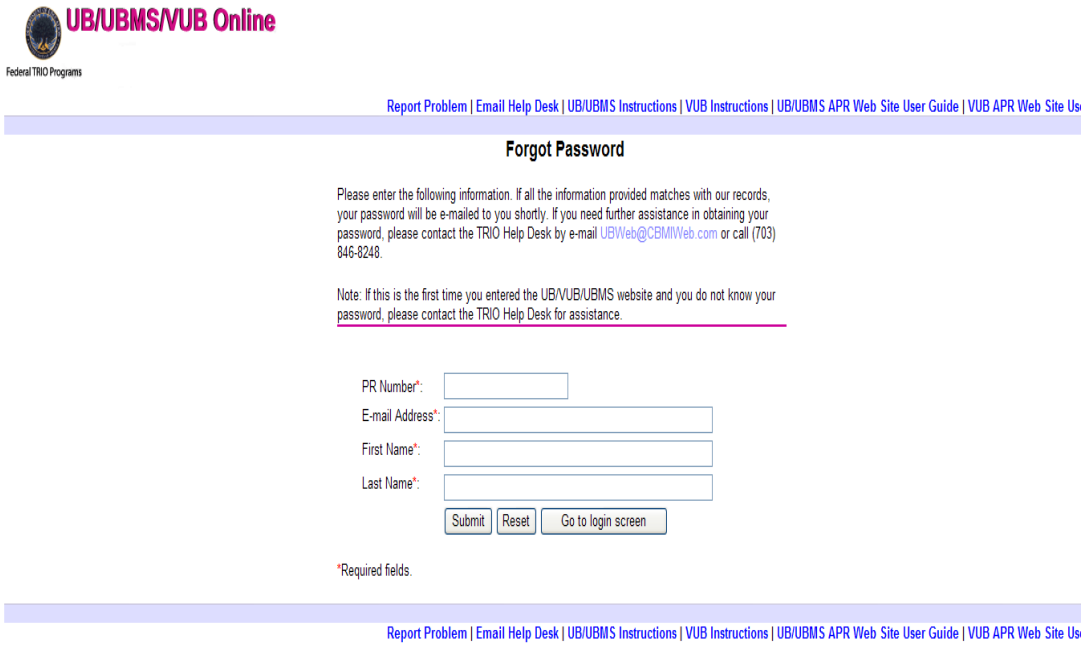
2.2 Log in as a Registered User

Log in to the system with your new user id and password. After your initial login, the system will prompt you to change your temporary password. Your new password must include at least one upper case letter, one lower case letter, one number, and one special character.



2.3 Forgot Password

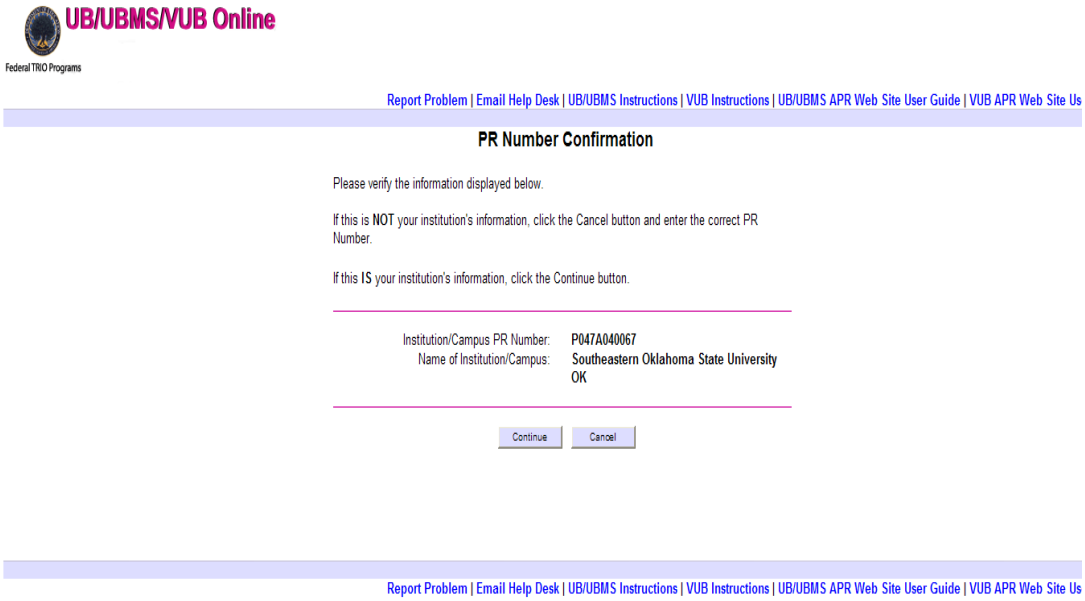
If you forget your password after you have logged in and changed it, click on the ***Forgot Password*** link on the Main Page. Enter and submit the requested information and the system will email your password to you.



2.4 Successful Login

A warning message regarding authorized use and privacy will display after you log in successfully. Click "***Ok***" to continue.

Confirm that the correct PR number and institution are displayed by clicking "***Continue***". If the information is incorrect, please click *"**Cancel**"* and report the problem to the help desk.



3 Navigating the Site

The APR has three sections. After initial login, the system displays the Section I page. To navigate between sections, click on the individual tabs at the top of the page, ***Section I, Section II,*** **and** ***Review and Submit***. The current tab is highlighted in light blue.

The PR /Award Number and institution name are displayed at the upper left corner of each page.

At the upper right corner, note that there are six hyperlinks:

- The ***Report Problem*** link allows you to report a problem with the site to the Help Desk;
- The ***Email Help Desk*** link lets you generate an e-mail message to the Help Desk requesting assistance;
- The ***UB/UBMS Instructions*** link displays the Department of Education (ED) site's UB/UBMS APR page. From there, you can download APR instructions and the participant record structure. The Department strongly suggests that you review these documents before working with the Web application.
- The ***VUB Instructions*** link displays the Department of Education (ED) site's VUB APR page. From there, you can download APR instructions and the participant record structure.
- The links for the ***UB/UBMS and VUB APR Web Site User Guides*** connect users to this downloadable guide and the companion guide for VUB grantees.
- The ***Log Out*** link logs you off the application and displays the main page.

The section tabs and hyperlinks are repeated at the bottom of the page for convenience.

Once you have completed Section I, click on the "***Save and go to next section***" button. You may tab from one section to another, or log off and return at another time to complete a section. If you do, be sure to save the current page before exiting. The system will validate your entries and will not allow you to submit the APR if it detects errors or omissions.

4 Section I: Project Identification, Certification, and Warning

Section I of the report will display with pre-populated information about your grantee institution. Verify the information and update as needed. If you would like an email confirmation when you successfully submit your report, enter your email address on this page.

The project director and certifying official for the institution must sign and date Section I of the 2008-09 APR to certify that the information reported and submitted electronically is readily verifiable, accurate, and complete. After you complete the APR online, print a hard copy of the completed report and obtain the required signatures. After both the director and the certifying official have signed the report, fax the signed **Section I only** of the APR to: **(703) 832-1360**.

Please do not fax the entire report. For your records, you should keep in your files Section I with the original signatures and a copy of the two parts of your APR submission: (1) the PDF version of Section I and the data validation reports, which you will be able to print at the end of your submission; and (2) the Excel file of your individual participant records. These items are discussed later in this user's guide.

Section I - Project Identification, Certification and Warning

A. Identification: (Fields marked with an asterisk "*" are required.)

1. PR/Award Number: P047A040021
2. Name of Grantee Institution/Agency: Occidental College

3. Address:
   - Campus: 1600 Campus Road
   - Street:*
   - City:* Los Angeles
   - State:* CA Zip:* 90041

4. Name of Project Director:
   - Prefix:
   - First Name: * test1
   - MI:
   - Last Name: * test2

5. Telephone Number: * 823-255-5545 ex.:999-999-9999 ext.
   - Fax Number: 823-999-9999 ex.:999-999-9999 ext.
   - E-mail Address:* test@OXY.EDU

6. Report Period: 06/01/2008 to 05/31/2009

7. Type of Project: Upward Bound

8. For UBMS projects *only*, please indicate whether project is *:
   - regional (i.e., serves at least two states) or
   - non-regional (i.e., operates within a state or a locality).

9. Project Characteristics (to be completed by all UB and UBMS projects; ***not applicable to VUB***)*
   a. Summer residential program (select one below)
   - Yes
   - No
   - Some participants are residential, others commute

   b. Number of weeks of summer program (insert #)

   c. Frequency of academic year contacts between project staff and participants (select only one)
   - Weekly
   - Twice a month
   - Once a month
   - Quarterly
   - No face-to-face contact
   - Other

10. Data Entry Person:
    - Prefix:
    - First Name: *
    - MI:
    - Last Name: *
    - Telephone Number: * ex.:999-999-9999 ext.

If you would like to receive an email confirmation upon successful submission of your Annual Performance Report, please enter your email address:

B. Certification

The Project Director and Certifying Official are required to sign and date Section I of the 08-09 Annual Performance Report form to certify the accuracy and completeness of the information submitted electronically. After completing the entire report online, you will be able to print a copy of Section I, which will include signature lines for the project director and certifying official. Please print and fax SECTION I only to the U. S. Department of Education at (703) 832-1360. Please use the Print button provided on the Submit page.

Please review the information in this section for accuracy and make needed changes before proceeding to the next section of the report form.

☐ **I have verified the information in this section.**

C. Warning

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.

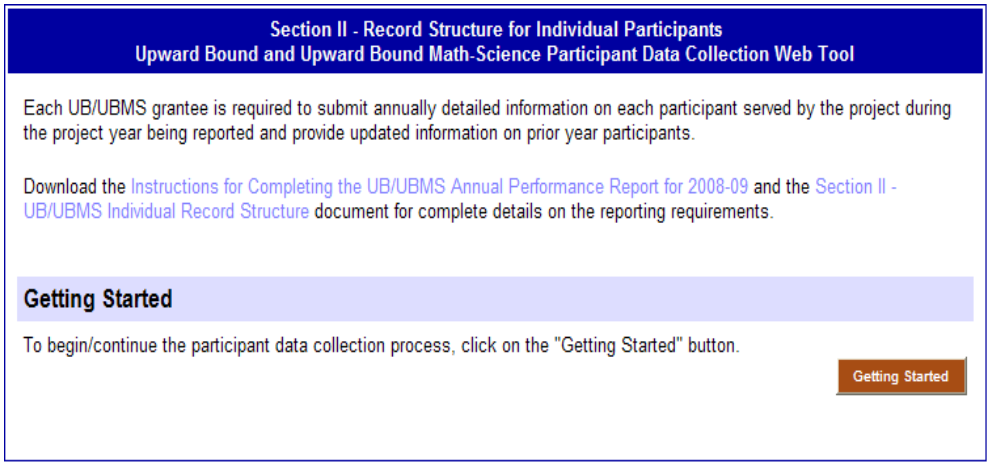
Further federal funds or other benefits may be withheld under these programs unless this report is completed and filed as required by existing law (20 U.S.C. 1231a) and regulations (34 CFR 75.590 and 75.720).

5 Section II: Record Structure for Individual Participants

5.1 Section II Main Page

To access Section II, click the ***Section II*** tab at the top or bottom of the page, or complete Section I and click on the "S***ave and go to next section***" button.

Download:
Instructions for Completing the UB/UBMS Annual Performance Report for 2008-09
and
Section II –UB/UBMS Individual Record Structure through the hyperlinks on this page.
Click on the "***Getting Started***" button to continue.



5.2 Getting Started Page

This page identifies four options for reporting and submitting participant data:

- Download an Excel file of last year's submitted data; update the file and then upload directly to the Web form.
- Upload an Excel/CSV file directly to the Web form.
- Transfer last year's data submission to the Web form, and update and add records online.
- Enter Participant data directly into the Web form.

Section II - Record Structure for Individual Participants
Getting Started

Section II - The UB/UBMS online application provides four options for starting the data submission process:

- Download an Excel file of last year's submitted data; update the file and then upload directly to the Web form.
- Upload an Excel/CSV file directly to the Web form.
- Transfer last year's data submission to the Web form and update and add records online.
- Enter Participant data directly into the Web form.

Please be advised that for security reasons, when downloading your file, we will not include your participants' social security numbers (SSN). Therefore, you should provide your participants' SSNs when uploading the file, as this is the primary identifier used to match participant records across project years.

If you are unable to prepare an Excel (or CSV) file using your existing database, you have the option of transferring last year's data directly into the Web form or entering participant data directly into the Web form.

Continue Participant Data

Our records indicate that you started the participant data collection process. To continue working on your participant data, click the "Continue" button.

Continue

Download Last Year's Data to an Excel File

You may obtain last year's data in an Excel spreadsheet for editing on your desktop. The download file contains the data from 2007-08 that generally remains accurate for the 2008-09 file, though updates may be necessary in the case of some fields for some students. Fields that usually need updates or new data are not included in the download file. Please see pages 7-8 of the general instructions for lists of fields that typically are or are not in need of updates. The download file can be updated offline using Excel or by import into another database (e.g., Access).

As noted above, please be advised that for security reasons, when downloading your file, we will not include your participants' social security numbers (SSN). Therefore, you should provide your participants' SSNs when uploading the file, as this is the primary identifier used to match participant records across project years.

Once you have completed the participant data file you must save the file as an Excel spreadsheet or a comma delimited format with **"csv"** extension, then upload the file using the "Upload an Excel File to the Web Data Entry Form" function.

The download file for your grantee has been generated in our system. Please click on the file name to open the file or right click on it to save the file on your PC.

P047A040007_2007-08.xls

Upload an Excel File to the Web Data Entry Form

Prior to uploading your file (1) verify that you have the correct number of fields and that they are in the correct sequence as specified in SECTION II: RECORD STRUCTURE FOR PARTICIPANTS (i.e, a valid upload file should have 52 columns) and (2) the file you are uploading contains the participants' social security numbers as this is the primary identifier used to match participant records across project years.

Please use the Browse button to select the file or type the file name and directory path in the box below. The participant data file must be in an **Excel** spreadsheet or a comma delimited format with **"csv"** extension. Then click on the "Upload File" button to proceed.

File to Upload [ ] Browse...

Upload File

What is a CSV file?

Transfer Last Year's Data to the Web Form

The 2007-08 Participant Data submitted last year is available. To transfer last year's data to the web data entry form for online data entry, click the "Transfer Data" button.

Please note: For this reporting year, several modifications were made to the individual record structure fields. Last year's data may contain errors which the web tool will display. You will be required to correct all errors prior to submitting.

Download Section II - UB/UBMS Individual Record Structure document for complete details.

Transfer Data

Enter New Participant Data

You may enter the individual participant data directly on the web data entry form. Click the "Add New" button.

Add New

5.2.1 Download last year's submitted data

You can download last year's participant data in an Excel file, modify it on your desktop, and later upload it to the site**.**

If you choose to download the Excel file with your last year's data, please note that the download feature does not include the social security numbers (SSNs) of your participants, even though the file you provided us contained this information. This change was made to better protect the personal information contained on the data file and prevent inadvertent misuse of information provided by the Department. However, *the participant data file you prepare for the 2008–09 APR should include the SSNs of all participants*, as this is the primary identifier used to match participant records across project years.

Also, the data from last year's file for certain fields that need to be updated each year will not be on the Excel file you download. You will need to complete these data fields with information from your 2008–09 project year. In the general instructions, please see pages 7-9 for a list of fields that should not change from year to year unless you have discovered that erroneous data had been entered in the past.

To download last year's data file, click on the "***Download Data***" button. A file name will display as a blue hyperlink.

To save the file to your desktop:

- Right click your mouse and select the "***Save Target As***" option. Identify a folder on your desktop (e.g., My Documents) to save the file. You may then open the file on your desktop with Excel.

Or

- Click on the file name hyperlink to open it, and save it to your desktop.

After downloading the file, you can update the Excel file or import the data into a database application such as MS Access. Follow the ***Instructions for Completing the UB/UBMS Annual Performance Report for 2008-09*** to update the prior year's data and add records for new 2008-09 participants.

As noted above, for security reasons, we do not include participant social security number (SSNs) in the data file. You will need to add these to the file before uploading it.

When you have made all necessary modifications and saved the file as an Excel spreadsheet or a comma-delimited CSV file, return to this page, and follow the instructions to "***Upload an Excel File to the Web Data Entry Form***".

Download Last Year's Data to an Excel File

You may obtain last year's data in an Excel spreadsheet for editing on your desktop. The download file contains the data from 2007-08 that generally remains accurate for the 2008-09 file, though updates may be necessary in the case of some fields for some students. Fields that usually need updates or new data are not included in the download file. Please see pages 7-8 of the general instructions for lists of fields that typically are or are not in need of updates. The download file can be updated offline using Excel or by import into another database (e.g., Access).

As noted above, please be advised that for security reasons, when downloading your file, we will not include your participants' social security numbers (SSN). Therefore, you should provide your participants' SSNs when uploading the file, as this is the primary identifier used to match participant records across project years.

Once you have completed the participant data file you must save the file as an Excel spreadsheet or a comma delimited format with **"csv"** extension, then upload the file using the "Upload an Excel File to the Web Data Entry Form" function.

The download file for your grantee has been generated in our system. Please click on the file name to open the file or right click on it to save the file on your PC.

P047A040067_2007-08.xls

5.2.2 Upload an Excel file to the Web Data Entry Form.

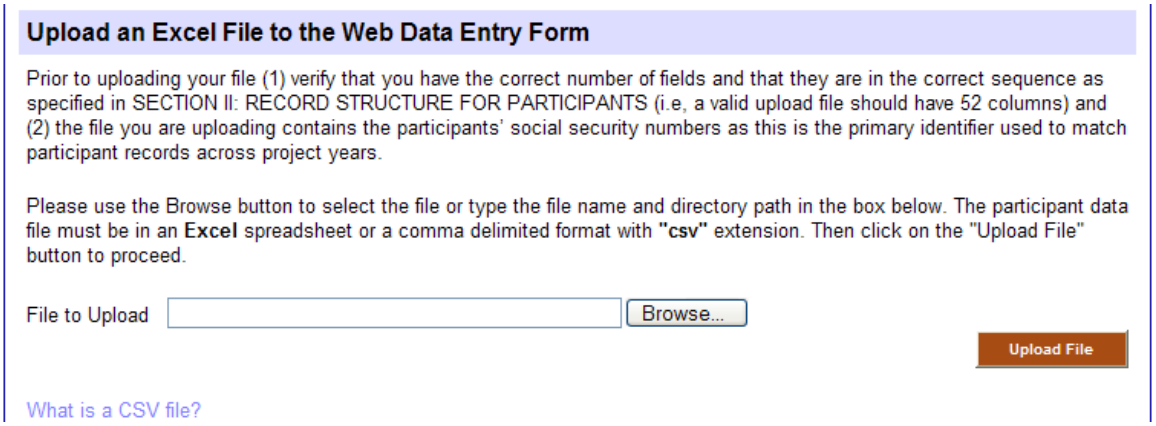
This option lets you upload the 2008-09 file in an Excel spreadsheet format or as a CSV file (comma-delimited text file). Most databases can covert a file to either CSV or Excel format. For instructions on creating a CSV file, click the ***What is a CSV file?*** hyperlink. Before uploading your participant data file, verify that:

- The file is either an Excel spreadsheet or a comma-delimited CSV file;
- You have the correct number of fields (52) and they are in the sequence specified in ***Section II - Individual Record Structure***;
- If your file is an Excel spreadsheet, it should use the column names identified in ***Section II - Individual Record Structure***; and

- The file contains the participants' social security numbers. (SSN is the primary identifier we use to match participant records across project years.)

Use the "***Browse"*** button to select the file, or type the file name and directory path. Click on the "***Upload File***" button to proceed.

If your file is formatted correctly, you may proceed to the ***Review Participant List and Data Error Report (Table View)*** page; otherwise, the system will display the errors it has detected with your file format, and provide instructions for correcting them. See Section 5.5 for sample errors



If you are unable to provide an Excel or CSV file, you may elect to:

5.2.3 Transfer last year's submitted data directly into the on-line form.

To transfer the 2007-08 participant data that you successfully submitted last year to the on-line data entry form, click on the "***Transfer Data***" button. On the ***Review Participant List and Data Error Report (Table View)*** page, you can edit data for prior participants and add new ones.

Note: If you choose to transfer last year's data directly to the Web form, the data from last year's file for certain fields that need to be updated each year will not transfer to the Web form. You will need to complete these data fields with information from your 2008–09 project year. In the general instructions, please see pages 7–9 for a list of fields that should not change from year to year unless you have discovered that erroneous data had been entered in the past.
You will need to provide missing information and correct all errors before submitting.

Download Section II – UB/UBMS Individual Record Structure for complete details.

The Transfer Data option is not available for new grantees.

Transfer Last Year's Data to the Web Form

The 2007-08 Participant Data submitted last year is available. To transfer last year's data to the web data entry form for online data entry, click the "Transfer Data" button.

Please note: For this reporting year, several modifications were made to the individual record structure fields. Last year's data may contain errors which the web tool will display. You will be required to correct all errors prior to submitting.

Download Section II - UB/UBMS Individual Record Structure document for complete details.

Transfer Data

Click the "***Add New***" button to enter the data for each participant directly into the form.

Enter new participant data directly into the on-line form.

Enter New Participant Data

You may enter the individual participant data directly on the web data entry form. Click the "Add New" button.

Add New

You may enter or update the individual participant data in the web form below. If this is the first time you have accessed this screen, we advise you to click here to see more navigational instructions and information about the screen.

The record number for this student record in the upload spreadsheet is **1**.

Click on the "Back to Table View" button to return to the participant list.

Personal Fields 1-15	Participation A Fields 16-27	Participation B Fields 28-37	Participation C Fields 38-43	Postsecondary Fields 44-52

Participant Name: **SSN:**		Error Description	Imported value
1. PR/Award Number:	P047A040007		
2. Batch Year:	2008		
3. Program Type:	1 = Upward Bound		
4. Social Security Number:			
5. Last Name:			
6. First Name:			
7. Middle Initial:			
8. Date of Birth:	(MM/DD/CCYY)		
9. Gender:	Select One		
10. Ethnicity-Hispanic:	Select One		
11. Race-American Indian/Alaskan Native:	Select One		
12. Race--Asian:	Select One		
13. Race-Black or African American:	Select One		
14. Race-White:	Select One		
15. Race-Native Hawaiian or Other Pacific Islander:	Select One		

Save | Delete | Reset | Back to Table View

Click "Save" before moving to another participant record.

<< Prev **Student Data** 1 **of 531** Next >>

Screen Navigational Instructions:

The participant data has been divided into four sections/tabs - Personal, Participation A, Participation B, Participation C and Postsecondary. The web form displays the participant's name and social security number on the left side of the screen, below the tabs.

- To navigate through the sections and view the data provided in each section, click on the Personal, Participation A, Participation B, Participation C, and Postsecondary tabs.
- To make changes to any field for a participant, use the pull-down menus provided, or enter text as appropriate (e.g., Last Name).
- To save changes, click on the "Save" button or click on another tab.
- To delete a record, click on the "Delete" button.
- To reset the data after you have already made changes, but have not saved, click on the "Reset" button.
- To advance to another participant's record, click on the "Next" or "Previous" link. You may also use the pull-down menu to select a record. Please note that you must click on the "Save" button before advancing to the "Next" or "Previous" record.

Error Descriptions:

The web form provides three types of error descriptions for the individual: (1) invalid data format/values; (2) data validation errors, and (3) soft check validation error. The invalid data format/value appear in the "Error Description" column. The data validation errors appear at the top of the screen in red. To correct these errors, grantees should choose a valid value from the pull-down menu, enter data where applicable, or update their file offline. For further instructions on how to update your file offline, click on the Back to Table View button, then select the "see more navigational instructions and information about the data errors" hyperlink.

The original value, if applicable, will be displayed in the "Transferred or Imported Value" column.

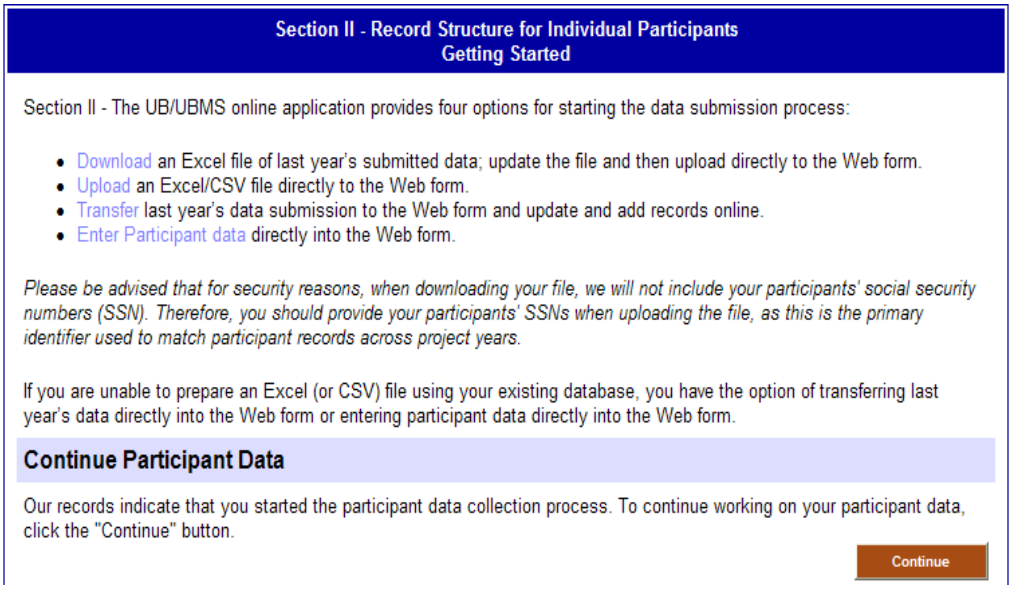
Back to Top

5.2.4 The "Continue" button

Whether you choose to upload, transfer, or enter data directly, you may save data without submitting and come back to it later.

The system detects whether you have begun the data collection process and provides the option to continue entering/updating participant date on-line. The "***Continue"*** button will not display until you have already uploaded, entered, or transferred data, exited the system and logged back in.

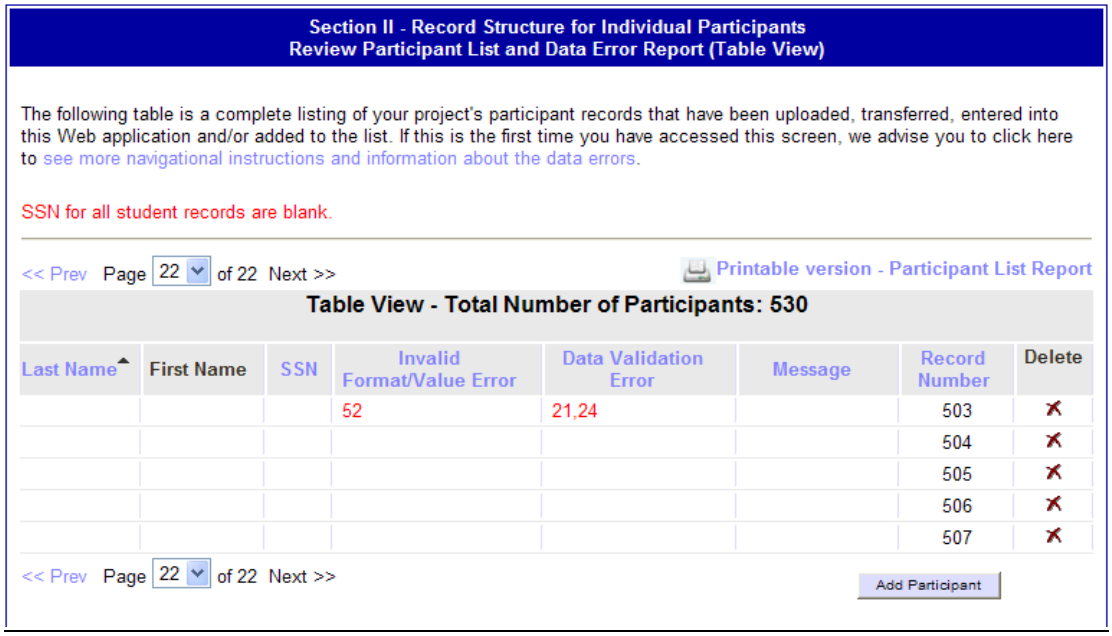
After clicking on the "***Getting Started***" button on the main Section II page, you can choose to continue with your data, or select one of the other options.



5.3 Review Participant List and Data Error Report (table view)

If you selected the ***Continue***, ***Upload***, or ***Transfer*** option on the ***Getting Started*** page, you will proceed to the ***Table View*** page shown below. This page lists the participants in the file, the total number of participants in the file, any formatting or value errors, and any data validation errors, and provides a printable report of those errors.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.



Section II - Record Structure for Individual Participants
Review Participant List and Data Error Report (Table View)

The following table is a complete listing of your project's participant records that have been uploaded, transferred, entered into this Web application and/or added to the list. If this is the first time you have accessed this screen, we advise you to click here to see more navigational instructions and information about the data errors.

SSN for all student records are blank.

<< Prev Page 22 of 22 Next >> Printable version - Participant List Report

Table View - Total Number of Participants: 530

Last Name	First Name	SSN	Invalid Format/Value Error	Data Validation Error	Message	Record Number	Delete
			52	21,24		503	✗
						504	✗
						505	✗
						506	✗
						507	✗

<< Prev Page 22 of 22 Next >> Add Participant

If you have made changes to the participants' data on the web application, at anytime you may obtain a downloadable file to edit offline and re-upload the data file by returning to the "Section II - Getting Started". By clicking on the "Download Participant Data" button the system will generate a current participants' data file and this screen will be refreshed to show a link to this data file.

Download Participant Data

Navigational Instructions and Data Error Information

You have the following options when editing the participant errors:

- If you uploaded or transferred your file, you may obtain last year's data and/or edit your data offline and re-upload the data file by returning to "Section II - Getting Started".
- To identify the participant records with errors, you will need to scroll through several Web pages (each page displays 25 records). Or you may click on the "printable version" hyperlink to print the entire report.

Or you may edit the data directly on the Web application:

- You may click the Last Name hyperlink to edit participant data or correct data errors.
- You may click the "✗" image in the "Delete" column to delete a participant data record.
- You may click the "Add Participant" button to add a new participant data record.
- You may sort by Last Name, SSN, Invalid Value/Validation Error, Data Validation Error, Soft Check Validation Error, or Record Number by clicking on the column title hyperlinks.

If you have a large number of participant records with errors, we recommend correcting the data offline and uploading a corrected file.

This report also displays three types of errors: (1) invalid data format/values, (2) data validation errors, and (3) soft check validation error. You must correct all the data errors in (1) invalid data format/values and (2) data validation errors before you will be able to submit the APR.

- An invalid format/value error is when the data field(s) for the participant record includes a value(s) other than one of the "Valid Field Content" options provided in column 4 of Section II. To correct these types of errors online, you may click on the Last Name hyperlink and then enter a valid option in the identified data field(s).
- A data validation error identifies data fields that are in conflict with data you provided in another data field. By clicking on the Last Name hyperlink, you will see an error message that explains the error. You may then correct the data online.
- A soft check validation error is similar to data validation error, but the system does not require you to correct the error before APR submission.

If you uploaded participant data, the Record Number column will display the record numbers in your upload file for each individual participant record. The record numbers will help you to find the records with errors easily if you want to correct errors offline.

Back to Top

Section I | Section II | Review & Submit

Report Problem | Email Help Desk | UB/UBMS Instructions | VUB Instructions | UB/UBMS APR Web Site User Guide | VUB APR Wel

The ***Table View*** page displays up to 25 records. To view additional students, click on the ***Prev*** or ***Next*** links displayed above and below the table.

Records are sorted by data validation error. Click on another column heading to sort by that column.

To view a participant's record, click the ***Last Name*** hyperlink. This will direct you to the Web form where you can enter information for the participant.

To delete a participant record, click the "✗" image in the "***Delete***" column for the participant.

To add a participant record, click on the "***Add Participant***" button below the table. This will direct you to the Web form where you can enter information for the participant. See Section 5.4 of this document for further instructions about the participant data Web form.

To generate a printable report of the errors on the file, click on the ***Printable Version – Participant List Report*** link above the table.

The table view displays three types of errors:

- invalid data format/values;
- cross validation errors; and
- soft check validation errors.

You must correct all invalid data and cross validation errors before you can submit the APR. The number in the "Error Description" column represents the field in error.

- An invalid format/value error occurs when a data field includes a value that is not a valid response for the question. To correct this type of error online, click on the ***Last Name*** hyperlink and select a valid option or enter text, if applicable, in the identified data field.
- A cross validation error occurs when the value in one field conflicts with the value in another field. Click on the ***Last Name*** hyperlink to see a message explaining the error. This message will appear in red below the participant's SSN. You may then correct the data online.
- A soft check validation error represents a validation that may be correct, but should be verified.

If there are several participant records with errors, you may choose to correct the data offline and to later upload the corrected file. To download the file, which will include any updates you have saved, click on the "***Download Participant Data***" button under the participant list. After editing the data offline, return to ***Section II – Getting Started*** to upload the revised file. See **Section 5.5** for instructions on uploading a file.

If you are viewing the page for the first time, click on the ***See more navigational instructions and information about data errors*** hyperlink at the top of the page. This link will provide additional information about navigating the site. Click on the ***Back to Top*** hyperlink to return to the top of the page and edit participant records.

5.4 Participant Data Form

To access the online participant data entry page, which displays data about each individual student:

From the ***Section II - Getting Started*** page:

- Click on the "***Add New"*** button; or
- Transfer or upload data, or click on the "***Continue"*** button; on the **Section III - Getting Started** tab.

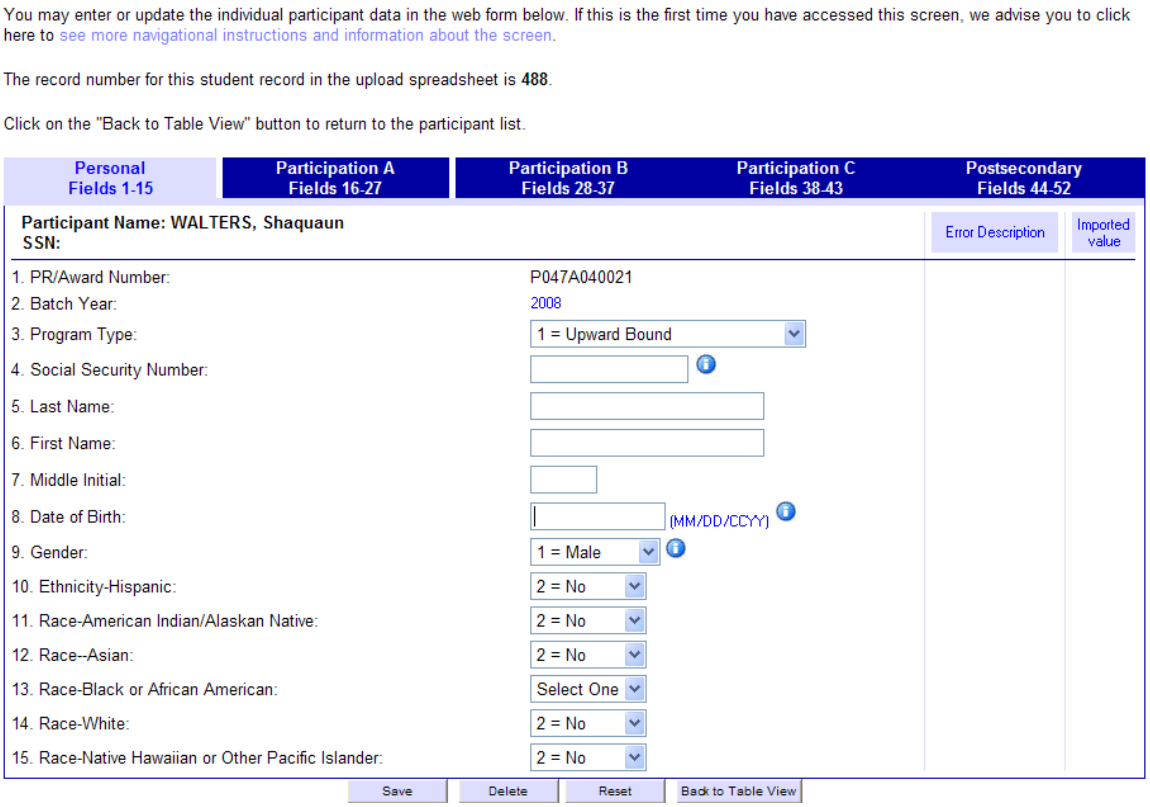
From the ***Table View*** page:

- Click on the ***Last Name*** hyperlink for a participant.

For most data fields on the participant data form tabs, dropdown menus will display valid field content. Clicking on the blue "information" icons that are found next to many fields will produce a pop-up box displaying valid options and instructions from the data structure as it appears on the TRIO Web pages. When you are finished with a box, you must click on the "x" to make it disappear before you can pop up another one.

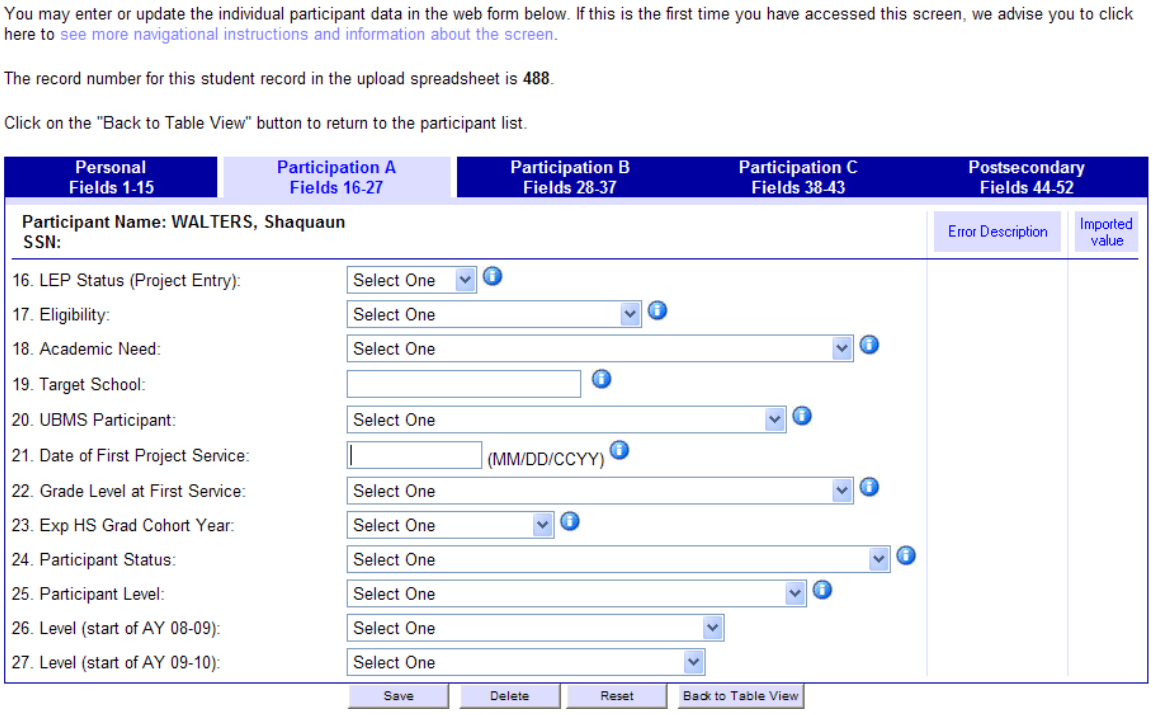
5.4.1 Personal Tab

Enter or update fields 1 through 15. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to "***Save***", "***Delete***", "***Reset***", or go "***Back to table view***". To move to the next student, click the "***Save"*** button before clicking the ***Next >>*** link or the "***Back to table view"*** button.



5.4.2 Participation A Tab

Enter or update fields 16 through 27. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to "***Save***", "***Delete***", "***Reset***", or go "***Back to Table View***". To move to the next student, click the "***Save"*** button before clicking the ***Next >>*** link or the "***Back to table view"*** button.



5.4.3 Participation B Tab

Enter or update fields 28 through 37. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to "***Save***", "***Delete***", "***Reset***", or go "***Back to table view***". To move to the next student, click the "***Save"*** button before clicking the ***Next >>*** link or the "***Back to table view"*** button.

You may enter or update the individual participant data in the web form below. If this is the first time you have accessed this screen, we advise you to click here to see more navigational instructions and information about the screen.

The record number for this student record in the upload spreadsheet is **488**.

Click on the "Back to Table View" button to return to the participant list.

Personal Fields 1-15	Participation A Fields 16-27	Participation B Fields 28-37	Participation C Fields 38-43	Postsecondary Fields 44-52

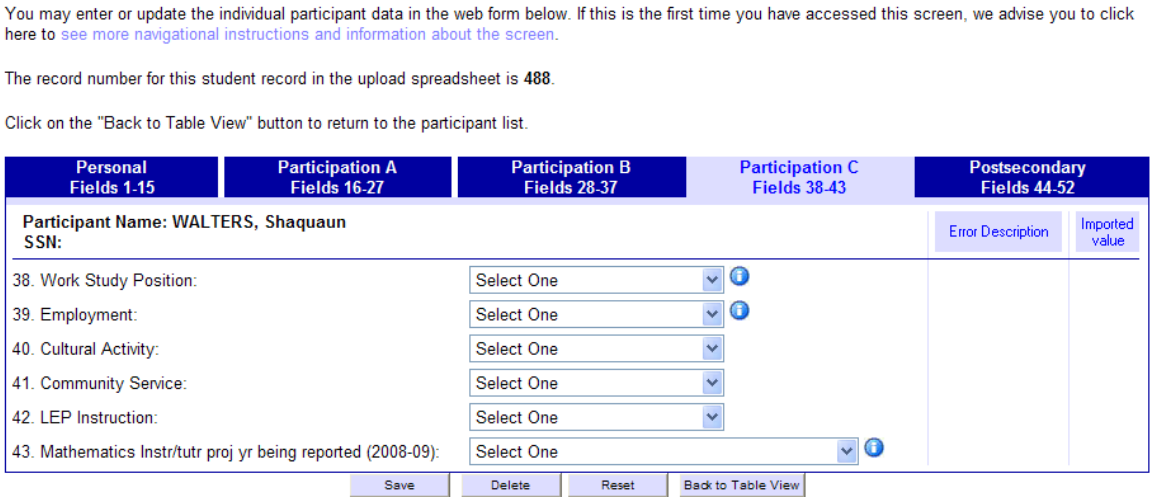
Participant Name: WALTERS, Shaquaun
SSN:

		Error Description	Imported value
28. HS Cum GPA:			
29. HS Cum GPA (Beg. of rep AY):			
30. HS Cum GPA (End of rep AY):			
31. HS Graduation Status:	Select One		
32. Actual HS Graduation Date:	(MM/DD/CCYY)		
33. Retention in Project (begin of AY 09-10):	Select One		
34. State Assessment-RLA:	Select One		
35. State Assessment-Math:	Select One		
36. Last Service Date:	(MM/DD/CCYY)		
37. Leave Reason:	Select One		

Save | Delete | Reset | Back to Table View

5.4.4 Participation C Tab

Enter or update fields 38 through 43. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to "***Save***", "***Delete***", "***Reset***", or go "***Back to table view***". To move to the next student, click the "***Save"*** button before clicking the ***Next >>*** link or the "***Back to table view"*** button.



5.4.5 Postsecondary Tab

Enter or update fields 44 through 52. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to "***Save***", "***Delete***", "***Reset***", or go "***Back to table view***". To move to the next student, click the "***Save"*** button before clicking the ***Next >>*** link or the "***Back to table view"*** button.

You may enter or update the individual participant data in the web form below. If this is the first time you have accessed this screen, we advise you to click here to see more navigational instructions and information about the screen.

The record number for this student record in the upload spreadsheet is **488**.

Click on the "Back to Table View" button to return to the participant list.

Personal Fields 1-15	Participation A Fields 16-27	Participation B Fields 28-37	Participation C Fields 38-43	Postsecondary Fields 44-52

Participant Name: WALTERS, Shaquaun
SSN:

		Error Description	Imported value
44. Source of Postsecondary Education Info:	Select One		
45. First Enrollment Date:	(MM/DD/CCYY)		
46. School Code for last attended inst.:			
47. College Status at beginning of AY (2009–10):	Select One		
48. Undergrad Degree/ Certificate Completed:	Select One		
49. Date of Undergrad Degree:	(MM/DD/CCYY)		
50. PSE enroll. obj. for 2008-09:	Select One		
51. PSE persistence-denominator:	Select One		
52. PSE persistence-numerator:	Select One		

Save | Delete | Reset | Back to Table View

5.4.6 Screen Navigation Instructions:

Screen Navigational Instructions:

The participant data has been divided into four sections/tabs - Personal, Participation A, Participation B, Participation C and Postsecondary. The web form displays the participant's name and social security number on the left side of the screen, below the tabs.

- To navigate through the sections and view the data provided in each section, click on the Personal, Participation A, Participation B, Participation C, and Postsecondary tabs.
- To make changes to any field for a participant, use the pull-down menus provided, or enter text as appropriate (e.g., Last Name).
- To save changes, click on the "Save" button or click on another tab.
- To delete a record, click on the "Delete" button.
- To reset the data after you have already made changes, but have not saved, click on the "Reset" button.
- To advance to another participant's record, click on the "Next" or "Previous" link. You may also use the pull-down menu to select a record. Please note that you must click on the "Save" button before advancing to the "Next" or "Previous" record.

Error Descriptions:

The web form provides three types of error descriptions for the individual: (1) invalid data format/values; (2) data validation errors, and (3) soft check validation error. The invalid data format/value appear in the "Error Description" column. The data validation errors appear at the top of the screen in red. To correct these errors, grantees should choose a valid value from the pull-down menu, enter data where applicable, or update their file offline. For further instructions on how to update your file offline, click on the Back to Table View button, then select the "see more navigational instructions and information about the data errors" hyperlink.

The original value, if applicable, will be displayed in the "Transferred or Imported Value" column.

Back to Top

Report Problem | Email Help Desk | UB/UBMS Instructions | VUB Instructions | UB/UBMS APR Web Site User Guide | VUB APR Web Site User Guid

5.5 Unsuccessful upload of Excel file

If the system detects errors in your uploaded Excel file, it will display an error message and instructions for correcting the error(s). Samples of typical errors are illustrated below.

5.5.1 Incorrect number of columns, missing data, or missing/misspelled column headers

Section II - Record Structure for Individual Participants
Upload an Excel File

Error!

There are errors in the file you attempted to upload. For this report year a valid upload file should have 52 columns. The system detected the following column contains errors:

- PR

The file may have the following errors:

- Missing Column(s)
- Missing or Misspelling on Column Header(s)
- Missing Data in Column

To correct the error:

1. Open the spreadsheet you used for the upload.
2. Verify that you have the correct number of fields, they are named according to the Section II - Individual Record Structure.
3. After the file has been corrected return to Section II and click "Getting Started" the Upload process or click on the Go Back button below.

Go Back

5.5.2 Error due to empty file

Section II - Record Structure for Individual Participants
Error Occurred !!!

The following error occurred while trying to process your request.
Please fix the problem below by clicking the Go Back button at bottom.

Column headers cannot be blank.
Please check column headers and cell format in the upload file and upload again.

Go Back

5.6 Unsuccessful Upload of CSV Files

If the system detects errors in your uploaded CSV file, it will display an error message and instructions for correcting the error(s). Samples of typical errors are shown below.

5.6.1 Incorrect Number of Columns

Section II - Record Structure for Individual Participants

Error!

The column names in the file you attempted to upload were either missing, misspelling, or not in the correct order. See the error report below for detail(s). To correct the error (s):

1. Open the spreadsheet you used for the upload.
2. Verify that the column names are correct and in the sequence specified in Section II - Individual Record Structure.
3. After the file has been corrected return to Section II and click "Getting Started" the Upload process or click on the Go Back button below.

Error Report

	Expected Column Name	Column Name in Upload File	Error Fields
1	PR	PR number	Error
2	BatchAY	BatchAY	
3	Type	Type	
4	SSN	SSN	
5	LastNM	LastNM	
6	FirstNM	FirstNM	
7	MI	MI	
8	DOB	DOB	
9	GenderCD	GenderCD	
10	Ethnic	Ethnic	
11	Race1	Race1	
12	Race2	Race2	
13	Race3	Race3	
14	Race4	Race4	
15	Race5	Race5	
16	LEPEntry	LEPEntry	
17	EligibilityCD	EligibilityCD	
18	NeedCD1	NeedCD1	
19	NCESSchID	NCESSchID	
20	UBMSPart	UBMSPart	

21	ProjEntryDT	ProjEntryDT	
22	EnterGradeLV	EnterGradeLV	
23	ExpHSGradCohort	ExpHSGradCohort	
24	PartCD	PartCD	
25	PartLV	PartLV	
26	StartGradeLV	StartGradeLV	
27	EndGradeLV	EndGradeLV	
28	CumGPAEntry	CumGPAEntry	
29	HSGPA1	HSGPA1	
30	HSGPA2	HSGPA2	
31	HsGRAD	HsGRAD	
32	HsgradDT	HsgradDT	
33	ProjRetain	ProjRetain	
34	HSProficientRLA	HSProficientRLA	
35	HSProficientMATH	HSProficientMATH	
36	LastSerDT	LastSerDT	
37	Reason	Reason	
38	WorkStd	WorkStd	
39	Employ	Employ	
40	CultAct	CultAct	
41	CmtySer	CmtySer	
42	LEPInstruct	LEPInstruct	
43	MathAcad	MathAcad	
44	SelfTranCD	SelfTranCD	
45	FirstEnrollDT	PSECDFE	Error
46	PSECDFE	PSEGradeLV	Error
47	PSEGradeLV	DegreeCD	Error
48	DegreeCD	DegreeDT	Error
49	DegreeDT	PSEEnrollObj	Error
50	PSEEnrollObj	PSEPersistDenom	Error
51	PSEPersistDenom	PSEPersistNum	Error
52	PSEPersistNum		Error

Go Back

5.6.2 Invalid PR Number

Section II - Record Structure for Individual Participants
Error Occurred !!!

The following error occurred while trying to process your request.
Please fix the problem below by clicking the Go Back button at bottom.

The PRNO in your upload file is P247A080149. This is an invalid PRNO.
The PRNO for your institution should be P047A080149.
Please update the upload file and try again.

Go Back

5.6.3 Column Name Missing or Misspelled, or Column Out of Order

Section II - Record Structure for Individual Participants

Error!

The column names in the file you attempted to upload were either missing, misspelling, or not in the correct order. See the error report below for detail(s). To correct the error (s):

1. Open the spreadsheet you used for the upload.
2. Verify that the column names are correct and in the sequence specified in Section II - Individual Record Structure.
3. After the file has been corrected return to Section II and click "Getting Started" the Upload process or click on the Go Back button below.

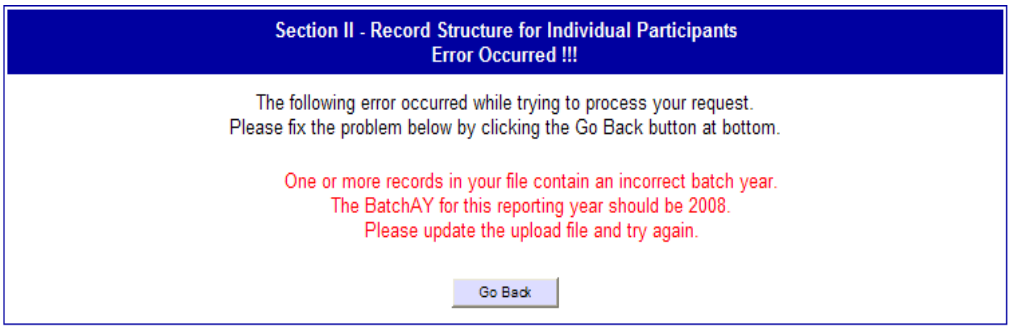
Error Report

	Expected Column Name	Column Name in Upload File	Error Fields
1	PR	PR	Error
2	BatchAY	BatchAY	
3	Type	Type	
4	SSN	LastNM	Error
5	LastNM	FirstNM	Error
6	FirstNM	MI	Error
7	MI	DOB	Error
8	DOB	GenderCD	Error
9	GenderCD	Ethnic	Error
10	Ethnic	Race1	Error
11	Race1	Race2	Error
12	Race2	Race3	Error
13	Race3	Race4	Error
14	Race4	Race5	Error
15	Race5	LEPEntry	Error
16	LEPEntry	EligibilityCD	Error
17	EligibilityCD	NeedCD1	Error
18	NeedCD1	NCESSchID	Error
19	NCESSchID	UBMSPart	Error
20	UBMSPart	ProjEntryDT	Error

21	ProjEntryDT	EnterGradeLV	Error
22	EnterGradeLV	ExpHSGradCohort	Error
23	ExpHSGradCohort	PartCD	Error
24	PartCD	PartLV	Error
25	PartLV	StartGradeLV	Error
26	StartGradeLV	EndGradeLV	Error
27	EndGradeLV	CumGPAEntry	Error
28	CumGPAEntry	HSGPA1	Error
29	HSGPA1	HSGPA2	Error
30	HSGPA2	HsGRAD	Error
31	HsGRAD	HsgradDT	Error
32	HsgradDT	ProjRetain	Error
33	ProjRetain	HSProficientRLA	Error
34	HSProficientRLA	HSProficientMATH	Error
35	HSProficientMATH	LastSerDT	Error
36	LastSerDT	Reason	Error
37	Reason	WorkStd	Error
38	WorkStd	Employ	Error
39	Employ	CultAct	Error
40	CultAct	CmtySer	Error
41	CmtySer	LEPInstruct	Error
42	LEPInstruct	MathAcad	Error
43	MathAcad	SelfTranCD	Error
44	SelfTranCD	PSECDFE	Error
45	FirstEnrollDT	PSEGradeLV	Error
46	PSECDFE	DegreeCD	Error
47	PSEGradeLV	DegreeDT	Error
48	DegreeCD	PSEEnrollObj	Error
49	DegreeDT	PSEPersistDenom	Error
50	PSEEnrollObj	PSEPersistNum	Error
51	PSEPersistDenom		Error
52	PSEPersistNum		Error

Go Back

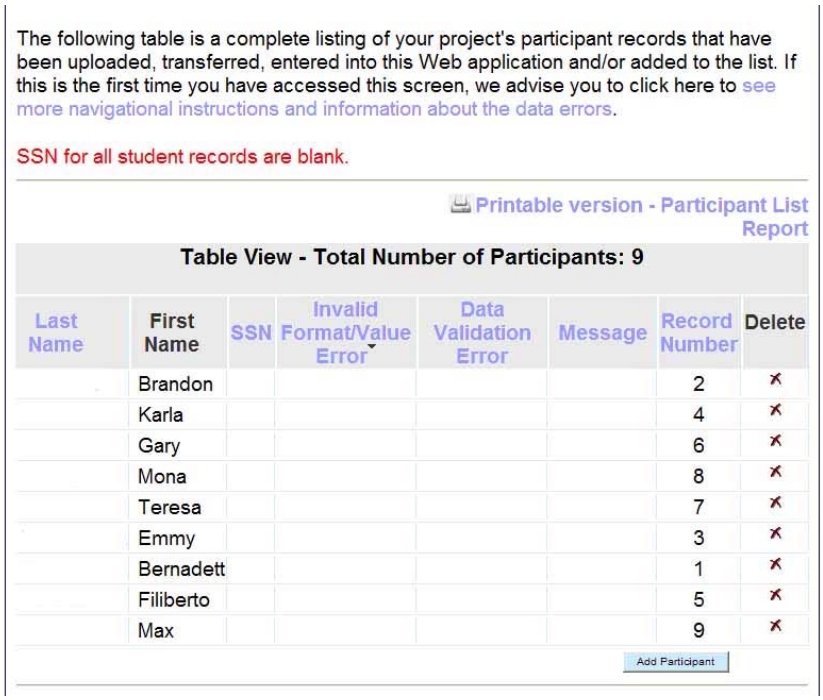
5.6.4 Invalid Batch Year



5.7 Successful Transfer or Upload – Table View Page

After a successful upload of your participant data file, if there are no errors displayed on the ***Table View*** page, proceed to "***Review and Submit***".

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.



6 Section III: Review and Submit (Tier 1)

6.1 Review and Submit Main Page:

Access this page by clicking the "***Review & Submit***" tab on top.

This page describes the two-tier validation process. Read the description and click the "***Start Submission***" button.

Review and Submit
Start Submission

The Review and Submit section will guide you through the submission process. Your APR is not considered submitted until you have completed the entire process that includes a two-tiered system for evaluating the quality of the participant data.

The first tier data checks include the following:

- **Funded/Served Rate report.** Compares the number of current year participant records on the data file with the number of participants the grantee was approved to serve in 2008-09. We are using a range of between 85% and 120% of the funded number as an indicator of potential data errors. If your data submission falls outside this range, you will be asked to review the data file to determine if you correctly updated the participant status field and/or included records for all participants served in 2008-09. If you determine that the data file accurately reflects your participants, you will be asked to provide an explanation for the high or low funded rate. In addition, a pop up window will alert you if your report indicated that you did not meet your funded number, even if only by one participant. Any such deviation is significant because failure to meet your funded number will adversely affect your prior experience points.
- **Critical Fields report.** Provides a percentage of participant records with "unknown/no response" for 13 data fields that we have determined are critical for analyzing project and program outcomes. Since "unknown/no response" do not provide usable information for data analysis, we are asking you to review fields for which 10% or more of the records have "unknown/no response" and either correct (or update) the data or provide an explanation as to why the data are not available.

If your data file passes the first tier data checks, you may submit the APR. However, please note that your APR will not be accepted until the participant data also passes the second tier data checks.

After the initial submission of the APR, the second tier data checks compare the 2008-09 participant data with the participant data submitted in prior years (that is, the UB system of records). If this is your first year of funding or you have not submitted an acceptable participant data file in prior years, you are excluded from these data quality checks.

The second tier data checks include the following:

- **New Participants Verification report.** Compares the participants listed as "new" on the 2008-09 APR with those listed as "new" on the 2007-08 APR. Those participants listed as "new" in both years are displayed. You must update the student records accordingly or provide an explanation for the apparent conflict.
- **Match to Prior report.** Compares the participants on the 2008-09 APR with the UB system of records for your project to ensure that you have included all participants on the 2008-09 file where the expected high school graduation cohort year (field #23) is 2008 or later. Those participants from the UB system of records not included on the 2008-09 file whose graduation cohort year is 2008 or later are displayed on the screen. You should add all the student records on this report to the 2008-09 file and update the data fields for these participants.

- **Expected High School Graduation Cohort Year report.** The Web application runs this report after you add and update any student records required by the Match to Prior report; those students then become part of the 2008-09 file. This report compares the data provided in field #23 (graduation cohort year) of the 2008-09 file with the UB system of records for your project. Those participants on the 2008-09 data file whose graduation cohort year (field #23) is different from the UB system of records are displayed on the screen. You must either correct the data in field #23 to match the UB system of records for each participant record on the report or you must provide an explanation as to why you believe the graduation cohort year in the UB system of records for that student is incorrect. You may access a student record by clicking on the hyperlink.

If your participant data file does not meet the Tier 2 criteria, you will be provided with reports and instructions for resubmission. A one-week extension to revise and upload your data will be granted. It is important that you review your APR for accuracy. You will not be allowed to access the APR once your report is submitted. You must contact the Department of Education for any modifications. You will receive an e-mail message confirming the submission of your APR.

Click the "Start Submission" button to begin.

Start Submission

6.1.1 Review and Submit - Step 1: (With Errors)

If there are any sections of the APR that you have not completed, they will display with an "X" on this page. You must complete any section marked with an "X" before you continue.

Review and Submit
Step 1

Verify that you have completed all sections of the APR. You will not be able to submit the APR until you have completed or passed all validation errors for all the sections.

Section I ✘
Section II ✓

An "✘" indicates that the section has not been completed or has data error. You must complete the sections or fix the data error in the sections marked with an "✘" before continuing with the submission process. Click on the appropriate section tab at the top or bottom of the screen to return to a section.

6.1.2 Review and Submit - Step 1: (no Errors)

When you submit with all sections of the APR complete, the following page will display. Click on the "***Continue***" button.

Review and Submit
Step 1

Verify that you have completed all sections of the APR. You will not be able to submit the APR until you have completed or passed all validation errors for all the sections.

Section I ✓
Section II ✓

Continue

6.2 Review and Submit - Step 2

The first tier validation compares the number of current participant records with the number of participants the grantee was approved to serve in 2008-09. If your data

submission does not fall within the specified range, you will be asked to review certain aspects of your data, as described on the page below. If you review your data and determine that it is correct, you will be asked to provide an explanation for the high or low funded rate.

6.2.1 Funded Rate Report (Outside Range)

If the percentage of students participating in the project does not fall within the established range, you may correct a student's status by clicking on his or her name, or submit an explanation in the box provided.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students and will display 20 records at a time.

Review and Submit
Step 2 - Funded Rate Report

For 2008-09, your project was funded to serve **110** participants and you reported **91** current year participants. Your funded-to-serve rate is **83%**.

TRIO established a range between 85% and 120% of the funded number as an indicator of potential data submission errors. Since your data file falls outside this range, you should review your participant data file to determine if you correctly updated the participant status field and/or included records for all participants served in 2008-09.

This report compares the current year participants reported for 2008-09 with your approved number of participants to be served. Your "current participants" are coded in Participant Status field (#24) as a 1, 2, 3, 6, or 7. The total number of current participants should be equal or close to the number you were funded to serve. The table below provides a list of your new, continuing, reentry, and transfer participants (1, 2, 3, 6, or 7). Please review the information carefully.

- Verify that the participant status code is correct. New, continuing, reentry, and transfer participants should have codes of 1, 2, 3, 6, or 7; prior participants should have codes of 4 or 5.
- Verify that all students reported as current participants (1, 2, 3, 6, or 7) were actually served during this reporting period.
- Verify that you correctly updated the participant status field for all participants served in a previous reporting period.
- If any of the students listed were not served during the reporting year, click the participant's name hyperlink to return to Section II and update the participant's status to prior participant.
- If you need to add participants, you may return to Section II to upload a file.

Prev Page 1 of 5 Next >>

Current Students for 2008-09 (Participant Status = 1, 2, 3, 6, or 7)

Student's Name	Participant Code
1	2 = Continuing participant
2	2 = Continuing participant
3	2 = Continuing participant
4	2 = Continuing participant
5	2 = Continuing participant
6	2 = Continuing participant
7	2 = Continuing participant
8	2 = Continuing participant
9	2 = Continuing participant
10	2 = Continuing participant

11	2 = Continuing participant
12	2 = Continuing participant
13	2 = Continuing participant
14	2 = Continuing participant
15	2 = Continuing participant
16	2 = Continuing participant
17	2 = Continuing participant
18	2 = Continuing participant
19	2 = Continuing participant
20	2 = Continuing participant

Prev Page 1 of 5 Next >>

There are some circumstances in which a grantee may have a calculated funded rate outside the established range. In these situations, you must provide an explanation for the large discrepancy between the funded number and the number served. Type your explanation in the text box below (limit 1,000 characters and spaces).

Submit Explanation and Continue

The pop-up message displays as follows when the participants served is less than the number funded.

6.2.2 Funded Rate Report (Within Range)

If your data falls within the established range, no changes are necessary and you may click the "***Continue***" button to continue your submission.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

Review and Submit
Step 2 - Funded Rate Report

For 2008-09, your project was funded to serve **110** participants and you reported **119** current year participants. Your funded-to-serve rate is **108%**.

TRIO established a range between 85% and 120% of the funded number as an indicator of potential data submission errors. Since your data file falls within this range, NO FURTHER EDITS ARE REQUIRED. You may review your participant data file to determine if you correctly updated the participant status field and/or included records for all participants served in 2008-09.

This report compares the current year participants reported for 2008-09 with your approved number of participants to be served. Your "current participants" are coded in Participant Status field (#24) as a 1, 2, 3, 6, or 7. The total number of current participants should be equal or close to the number you were funded to serve. The table below provides a list of your new, continuing, reentry, and transfer participants (1, 2, 3, 6, or 7). Please review the information carefully.

- Verify that the participant status code is correct. New, continuing, reentry, and transfer participants should have codes of 1, 2, 3, 6, or 7; prior participants should have codes of 4 or 5.
- Verify that all students reported as current participants (1, 2, 3, 6, or 7) were actually served during this reporting period.
- Verify that you correctly updated the participant status field for all participants served in a previous reporting period.
- If any of the students listed were not served during the reporting year, click the participant's name hyperlink to return to Section II and update the participant's status to prior participant.
- If you need to add participants, you may return to Section II to upload a file.

Prev Page 1 of 6 Next >>

Current Students for 2008-09 (Participant Status = 1, 2, 3, 6, or 7)

Student's Name	Participant Code
1	2 = Continuing participant
2	2 = Continuing participant
3	2 = Continuing participant
4	2 = Continuing participant
5	2 = Continuing participant
6	2 = Continuing participant
7	2 = Continuing participant
8	2 = Continuing participant
9	2 = Continuing participant
10	2 = Continuing participant

11	2 = Continuing participant
12	2 = Continuing participant
13	2 = Continuing participant
14	2 = Continuing participant
15	2 = Continuing participant
16	2 = Continuing participant
17	2 = Continuing participant
18	2 = Continuing participant
19	2 = Continuing participant
20	2 = Continuing participant

Prev Page 1 of 6 Next >>

Continue

6.3 Critical Fields Verification Report - Step 3

6.3.1 Critical Fields Verification Report (without errors)

The next step of the Tier 1 process is the **Critical Fields Verification Report**. This page lists fields that TRIO considers critical for analyzing project and program outcomes. The system calculates the percentage of these fields in your participant records with "***No Response/Unknown***".

Click on the **"*Continue*"** button.

Review and Submit
Step 3 - Critical Fields Verification Report

Your funded/served rate has met the established threshold of between 85% and 120%

TRIO has identified the following fields as critical. TRIO would like to ensure a minimal number of "No Response/Unknown" entries. In most cases these are valid responses, however, high percentages of these responses are not desired. The table below lists the critical fields and the number and percentage of participants with a 'No Response/Unknown' entry in that field.

Please provide data for these critical fields for as many participants as possible. If you have critical fields with a high percentage of "No response/Unknown", we recommend correcting the data offline and uploading the corrected file. You may return to Section II to update any fields with a "No Response/Unknown" entry.

For participants for whom data was not available for these critical fields, provide an explanation in the text block at the end of this report.

Note that grantees should have no unknowns for fields #21 and #22 (Date of First Project Service and Grade Level at First Service).

You have 406 participant records.

	Field Name	Number with No Response/Unknown	Percent
8.	Student DOB	4 records	1%
21.	Date of First Project Service	5 records	1%
22.	Grade Level at First Service	5 records	1%
23.	Exp HS Grad Cohort Year	1 records	0%
24.	Participant Status	0 records	0%
26.	Level (start of AY 08-09)	1 records	0%
27.	Level (start of AY 09-10)	20 records	5%
33.	Retention in Project (begin of AY 09-10)	0 records	0%
36.	Last Service Date	3 records	1%
45.	First Enrollment Date	20 records	5%
50.	PSE enroll. obj. for 2008-09	11 records	3%
51.	PSE persistence--denominator	10 records	2%
52.	PSE persistence--numerator	1 records	0%

Continue

6.3.2 Critical Fields Verification Report (with errors)

We ask that you review fields for which 10% or more of the records have "***No Response/Unknown***" and either correct/update the data or provide an explanation as to why the data is not available.

To change a participant's record so as to provide data on critical fields, click on the ***Section II*** hyperlink. Once you have made the necessary changes, click on the ***Review and Submit*** tab to resubmit your data. If you are unable to update all data, enter an explanation in the text box.

Review and Submit
Step 3 - Critical Fields Verification Report

Your funded/served explanation has been saved and will be reviewed by TRIO.

TRIO has identified the following fields as critical. TRIO would like to ensure a minimal number of "No Response/Unknown" entries. In most cases these are valid responses, however, high percentages of these responses are not desired. The table below lists the critical fields and the number and percentage of participants with a 'No Response/Unknown' entry in that field.

Please provide data for these critical fields for as many participants as possible. If you have critical fields with a high percentage of "No response/Unknown", we recommend correcting the data offline and uploading the corrected file. You may return to Section II to update any fields with a "No Response/Unknown" entry.

For participants for whom data was not available for these critical fields, provide an explanation in the text block at the end of this report.

Note that grantees should have no unknowns for fields #21 and #22 (Date of First Project Service and Grade Level at First Service).

You have 531 participant records.

	Field Name	Number with No Response/Unknown	Percent
8.	Student DOB	0 records	0%
21.	Date of First Project Service	0 records	0%
22.	Grade Level at First Service	0 records	0%
23.	Exp HS Grad Cohort Year	0 records	0%
24.	Participant Status	0 records	0%
26.	Level (start of AY 08-09)	0 records	0%
27.	Level (start of AY 09-10)	2 records	0%
33.	Retention in Project (begin of AY 09-10)	0 records	0%
36.	Last Service Date	0 records	0%
45.	First Enrollment Date	14 records	3%
50.	PSE enroll. obj. for 2008-09	66 records	12%
51.	PSE persistence--denominator	2 records	0%
52.	PSE persistence--numerator	35 records	7%

Type in your explanation in the text box below. Your explanation will be reviewed by TRIO.

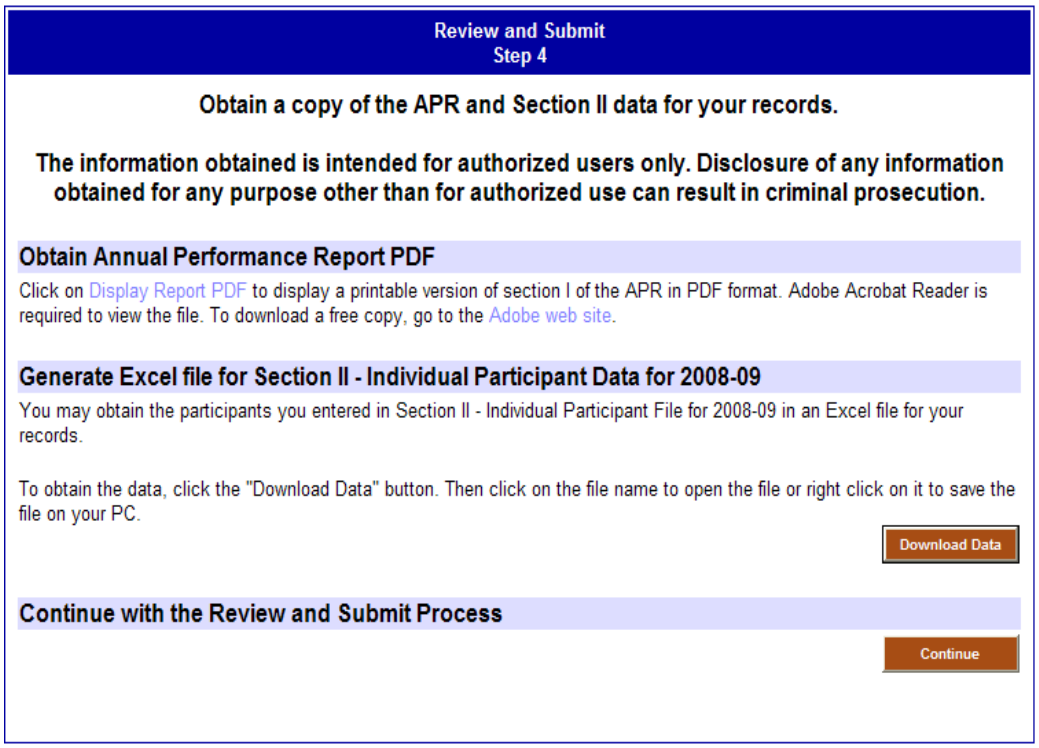
Submit Explanation and Continue

Click '***Submit Explanation and Continue'*** button to proceed to the next step.

6.4 Review and Submit - Step 4:

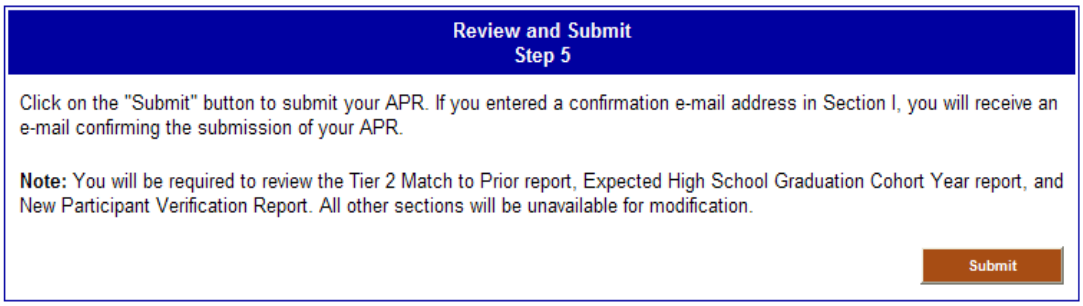
This page lets you display a printable PDF version of your APR through the "Funded Rate" and "Critical Fields" reports. Click on ***Display Report PDF*** to view Sections I and II of the report. Print the file for your records. If your project presents issues needing resolution in the Tier 2 data checks, you will have an opportunity to obtain an updated PDF at the end of Tier 2.

If you do not already have a final copy of your data, or have made changes to the data since you uploaded it, click the "***Download Data***" button to create an Excel spreadsheet of the data you entered in Section II. Save this file to your workstation. Click on the "***Continue***" button.



6.4.1 Review and Submit - Step 5:

Click on the "***Continue***" button. The APR is not complete until the participant data passes the second tier data checks. If the Tier 2 review finds errors in Section II of your report, we will grant you a one-week extension to revise and upload that portion of the APR only. Instructions will display after you submit. No other sections will be available after submission.



6.5 Submission with Tier 2 Data Validation – Step 6

After initial submission of the APR, the Tier 2 validation process compares the 2008-09 participant data with the UB system of records. If this is your first year of funding, your report is excluded from these data quality checks.

The second tier data checks include the ***Match to Prior, Expected High School Graduation Cohort Year*** and ***New Participant*** reports.

Review and Submit APR Submitted (with Tier 2 errors):

If Tier 2 data validation identifies errors in Section II of your report, the Review and Submit Tier 2 page will display identifying the APR submission date. Please note that if you make any changes to the participant data file, the participant data error report and the Tier 1 and Tier 2 data quality reports will be re-run. If there are additional data errors, you must correct these prior to resubmitting the APR.

Click on the "***Continue***" button to review the Match to Prior Report, Expected High School Graduation Cohort Year report, and the New Participants report and begin the Tier 2 submission process.

6.6 Tier 2 Verification Reports

6.6.1 Match to Prior Report

The ***Match to Prior*** report compares participants on your 2008-09 APR with the UB system of records for your project to ensure that you have included on the 2008-09 report all participants for whom the Expected High School Graduation Cohort Year (field #23) is 2008 or later. Any such participant whom you did not include in 2008-09 file will display. Participants with a blank Expected High School Graduation Cohort Year on the system of records will also be displayed. For each participant shown, you must either add the participant record to your participant file and update the data fields or provide an explanation as to why you have not included this student on the 2008-09 APR.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

Tier2 - Submission Verification Reports

Match to Prior report

This report compares the participants on your 2008-09 APR with the UB system of records for your project to ensure that you have included in your APR all participants for which the Expected High School Graduation Cohort Year (field #23) is 2008 or later. Those participants not included on your 2008-09 APR whose graduation cohort year is 2008 or later are displayed on the screen.

Also displayed are any participants from the UB system of records that are blank for field #23, Expected High School Graduation Cohort Year.

For each of the student records listed below, you must add the record to the 2008-09 file and update the data fields for the participant or indicate that the participant should not be added back; in the latter case, you will need to add an explanation. In the list below, click the box for all students who should be added back to the file; then click on "Update 2008-09 file." In updating any students records with a blank field #23 (Expected High School Graduation Cohort Year), please supply a cohort year that aligns with the date of first project service and the grade level at first project service; refer to the Grade-Date-Cohort table in the APR instructions by using the "Instructions" link at the top or bottom of the screen. The records in the UB system of records with a blank field #23, once updated with a cohort year by the grantee, will not appear in the subsequent Expected High School Graduation Cohort Year report.

For records that you do not wish to add back to the file, leave the box unchecked; then click the "Provide explanations" button below to indicate on a subsequent screen why you believe the record should not be restored to the 2008-09 file. Note: the "Provide explanations" button will send ALL unchecked records on ALL pages to the explanations screen.

Page 1 of 1

Total participants in the UB system of records not listed in the 2008-09 submission: 1

#	Participant Name	Expected HS Graduation Cohort Year	Check All on Current Page
1		2008	☐

Update 2008-09 file

Page 1 of 1

To explain why you believe the unchecked students on ALL pages of the Match to Prior report shouldn't be added to the current APR, click the "Provide explanations" button below to go to the next screen.

Provide explanations

To add the participants, click "***Check all on current page***" or click on the box for each participant that you want to add to your file. Then click on "***Update 2008-09 file***." This will return you to Section II and allow you to update the participant records. After updating participant records, click on the "***Return to Tier 2 Match to Prior report***" button.

Note: When you update a record with a blank field #23 (Expected High School Graduation Cohort Year), be sure to provide a cohort year that aligns with the date and grade level of first project service; refer to the Grade-Date-Cohort table in the ***Instructions for Completing the UB/UBMS Annual Performance Report for 2008-09***. Once you have updated a record to supply a cohort year, the record will not appear in the subsequent Expected High School Graduation Cohort Year report.

For records that you do not wish to add back to the file, leave the box unchecked and click the "***Provide explanations***" button. On the subsequent screen, provide an explanation for why you believe the record should not be restored to the 2008-09 file.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

Tier2 - Submission Verification Reports

Match to Prior report (explanations)

You did not check the box for one or more students on the Match to Prior report page, indicating that you believe that these participants in the UB system of records should not be restored to the 2008-09 file. The unchecked student records appear below. For each of these, in the box(es) below please explain why you think the record should not be added back.

Acceptable explanations generally pertain to "near-duplicate" situations; for example, your student record and the UB system of records for that student differ only in SSNs (with one being inaccurate). The same phenomenon can occur with records that lack SSNs and that therefore are matched on date of birth and first and last name; in these cases, some difference exists between the DOB and names of the two records. Acceptable reasons may also pertain to certain students for whom the UB system of records did not have an expected high school graduation cohort year. In acceptable cases, the student had actually participated long before a cohort year of 2009 was possible--for example, the student graduated in 2003. Please refer to these acceptable situations in the explanation boxes by entering one of the following:

1 = Near duplicate w/08–09 record; one record has inaccurate SSN
2 = Near duplicate w/08–09 record; one record has inaccurate DOB or last or first name
3 = UB system of records has student without cohort year; student participated before cohort year of 2008 was possible

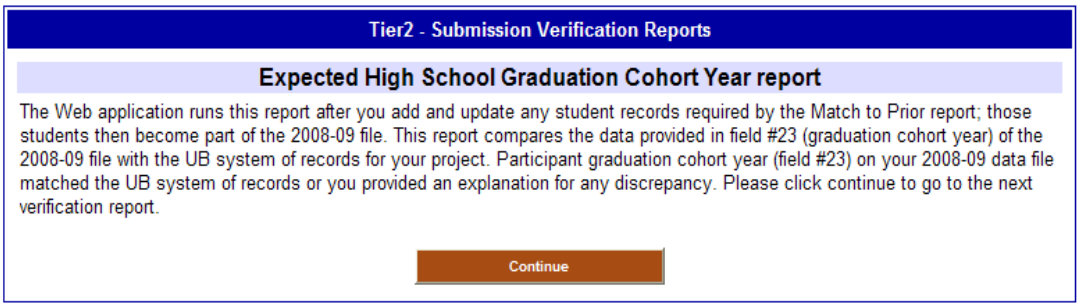
Please provide a brief but detailed explanation for any other situation in which you think a student should not be restored to the 2008–09 file.

Note that TRIO will find certain explanations unacceptable. Changes in a student's life, academic experience, or attitude towards the project following first service in UB or UBMS are not acceptable reasons for dropping the participant from your file. "Student left project," "Student dropped out of school," and "Student lost interest," for example, are unacceptable explanations that should not appear in the text boxes below.

#	Participant Name	Expected HS Graduation Cohort Year	Explanation
1		2008	

Submit Explanation and Continue

If you made corrections or provided an explanation on the ***Match to Prior*** report, a confirmation message will display. Any explanations are subject to TRIO review. If all the participants' graduation cohort year (field #23) on your 2008-09 data file matched the UB system of records or you provided an explanation for discrepancies, the following screen displays.



Click on "***Continue***" to proceed to the ***New Participant Verification*** report. If there are discrepancies, you will proceed to the Expected High School Graduation Cohort Year report.

6.6.2 Expected High School Graduation Cohort Year report

The ***Expected High School Graduation Cohort Year*** report compares the data provided in the ***Expected High School Graduation Cohort Year*** field (field #23) of the 2008-09 file with the UB system of records for the project. Participants on the 2008- 09 data file whose *Graduation Cohort Year* differs from that in the system of records are displayed on the screen. You must either elect to have the system automatically correct the data in field #23 to match the UB system of records for each participant on the report, or provide an explanation as to why you believe the *Graduation Cohort Year* in the UB system of records for that student is incorrect.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

Tier2 - Submission Verification Reports

Expected High School Graduation Cohort Year report

Your explanation regarding students in the Match to Prior report has been saved and will be reviewed by TRIO.

After adding and updating any student records required on the Match-to-Prior Report, the Expected High School Graduation Cohort Year Report compares the data provided in Graduation Cohort Year field (field #23) of the 2008-09 file with the UB system of records for your project.

Those participants on the 2008-09 data file whose Graduation Cohort Year (field #23) is different from the UB system of records are displayed on the screen below. You must either correct the data in field #23 to match the UB system of records for each participant record on the report, or provide an explanation as to why you believe the graduation cohort year in the UB system of records for that student is incorrect.

To correct the Graduation Cohort Year (field #23) to match the UB system of records for each participant below, click on the individual checkbox. To correct the data in field #23 to match the UB system of records for ALL the participants listed on **current page** click on the "Check All on Current Page" button, then click on the "Update HS Graduation Cohort Year on 2008-09 file" button at the bottom of the page. For multiple pages of participants, you must view each page.

In some cases, the UB system of records had no cohort for a participant, either because data was missing in your earlier APR(s) or because the data was so inconsistent or ambiguous that TRIO could not arrive at a cohort. For any participants in the table below with no cohort appearing in the "UB System of Records" column, no box will be available for you to check. You have to review your data on the participant with a fresh eye and utilize the "Grade-Date-Cohort" table (see information on field #23 in the instructions) to determine a cohort; if you realize you had entered an inaccurate cohort in field #23, please correct it. In the explanations box in the next screen, indicate that you have reviewed the data and the "Grade-Date-Cohort" table to arrive at the correct cohort.

Page 1 of 1

Total students on the 2008-09 data file whose Graduation Cohort Year is different from that in the UB system of records: 2

#	Participant Name	UB System of Records' Expected HS Graduation Cohort Year	Expected HS Graduation Cohort Year in 08-09 APR	Check All on Current Page
1		2009	2010	☐
2		2010	2011	☐

Update HS Graduation Cohort Year on 2008-09 file

Page 1 of 1

To explain why you believe the graduation cohort year in the UB system of records for one or more students is incorrect, leave the box UNCHECKED in the relevant row(s); then click the "Provide explanations" button below to go to the next screen.

Provide explanations

To correct field #23 for a participant to match the UB system of records, click on the individual checkbox. To correct the data in this field for ALL participants listed on the **current page,** click on the "***Check All on Current Page***" button, then click on the "***Update HS Graduation Cohort Year on 2008-09 file***" button at the bottom of the page. For multiple pages of participants, you must do this on each page. The system will automatically update these participant records to match the system of records.

In some cases, the UB system of records had no cohort for a participant, either because data was missing in your earlier APR(s) or because the data was so inconsistent or ambiguous that TRIO could not arrive at a cohort. For any participants in the table below with no cohort appearing in the "UB System of Records" column, no box will be available for you to check. You are to review your data on the participant with a fresh eye and utilize the "Grade-Date-Cohort" table (see information on field #23 in the

instructions) to determine a cohort; if you realize you had entered an inaccurate cohort in field #23, please correct it. In the explanations box in the next screen, indicate that you have reviewed the data and the "Grade-Date-Cohort" table to arrive at the correct cohort.

If you want to submit an explanation as to why the graduation cohort year in the UB system of records for one or more students is incorrect, leave the student name boxed unchecked and click on the "Provide Explanations" button to move to the explanations screen.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

Tier2 - Submission Verification Reports

Expected High School Graduation Cohort Year report (explanations)

You did not check the box for one or more students on the Expected High School Graduation Cohort Year report page, indicating that you believe that the cohort year in the UB system of records is incorrect for one or more participants in your database. Your calculation of the cohort year should be based on the date the student first received UB services and on the grade at time of first service. For example, if a student was first served as a ninth-grader in 2005–06, his or her expected high school graduation cohort year would be 2009.

The unchecked student records appear below. For each of these, please explain why you think the UB system of records is inaccurate for this student's cohort. Please use the following wording if any of these reasons applies:

1 = Cohort yr reported in past reflected inaccurate data on date and/or grade at first service.
2 = Project had accurate data on date and grade at first service but miscalculated cohort.
3 = Project lacked data or did not report in past but now has accurate data.

Please provide a brief but detailed explanation for any other situation in which you think a cohort year in the UB system of records is incorrect. Note that circumstances in the student's life or academic experience following first service in UB or UBMS do not constitute a reason for changing the expected high school graduation cohort. For example, if a student was first served as a ninth-grader in 2005–06, his or her expected HS graduation cohort year remains 2009 even if the student subsequently dropped out in 10th grade, returned a year later, and now will graduate in 2010 because of the time away from school.

Regardless of the reason you choose, be sure that your data in fields #21 (Date of First Project Service) and #22 (Grade Level at First Service) are correct and that these fields align with the cohort year in field #23, as in the example in the first paragraph. You may refer to the "Grade-Date-Cohort" table in the instructions for field #23 using the "Instructions" link at the top or bottom of the screen.

#	Participant Name	UB System of Records' Expected HS Graduation Cohort Year	Expected HS Graduation Cohort Year in 07-08 APR	Explanation
1		2009	2010	

Submit Explanation and Continue

Provide Explanation

The system displays any unchecked student records from the previous screen. For each participant, you must explain why you think the UB system of records is inaccurate. If any of the following explanations apply, use the wording provided.

1 = Cohort yr reported in past reflected inaccurate data on date and/or grade at first service.

2 = Project had accurate data on date and grade at first service but miscalculated cohort.
3 = Project lacked data or did not report in past but now has accurate data.

Note that you should base your calculation of the cohort year on the date the student first received UB services and on the grade at time of first service. For example, if a student was first served as a ninth-grader in 2005–06, his or her expected high school graduation cohort year would be 2009.

Note also that you need to verify that the data in field 21 (Date of First Project Service) and #22 (Grade Level at First Service) are correct and that these fields align with the cohort year in field #23, as in the example above; refer to the Grade-Date-Cohort table in the instructions for field #23.

After entering the explanations, click "***Submit Explanation and Continue***" to proceed to the New Participant Verification Report.

6.6.3 Tier 2 - New Participant Verification Report

This report compares participants listed as "new" on your APR with those listed as "new" on the prior year's APR. A participant should not be classified as "new" in two consecutive reporting cycles. If a participant was new last year, and is listed as new again this year, you must update the participant status code for that individual for the current reporting year.

If the system detects errors, the screen shows participants listed as "new" in the current and prior reporting year. The most likely reason for this is that you did not update the participant status code for the current reporting year. You must update the records or provide an explanation before continuing with the APR submission process.

Correct the participant's status by clicking on his/her name to return to the Section II Web form. Update the participant status to a "continuing" or "prior-year" participant status, or submit an explanation in the box provided.

New Participant Verification Report - (with errors)

To correct a participant record, click on the student name hyperlink to return to Section II. Here you can change the participant status code (field 24) to "continuing" or "prior-year". Save each record and click "***Back to New Student***" to return to the Tier 2 report. In those rare cases in which you believe the prior year's data was incorrect and the current year's data is correct, you must provide an explanation. Type the explanation in the text box at the bottom of the screen. Click on the "***Submit Explanation and Continue***" button to proceed.

Tier2 - Submission Verification Reports
New Participant Verification Report

Your explanation regarding students in the Expected High School Graduation Cohort Year report has been saved and will be reviewed by TRIO.

This report compares the participants listed as "new" on the 2008-09 APR with those participants listed as "new" on the 2007-08 APR. A participant cannot be classified as "new" during two consecutive reporting cycles. If you reported a participant as "new" on the 2007-08 file (that is, coded the student as "1" in the Participant Status field of the 2007-08 APR), that individual's participation status must be updated for the current reporting year.

The table below shows the participants listed as "new" for 2007-08 who are also coded as "new" for 2008-09.

To update the participant record, click the link on the participant's name to return to Section II where you can update the participant's status to a "continuing" or "prior-year" participant status. Save each record and click "**Back to New Student**" to return to the Tier 2 report. In those rare cases in which you believe the prior year's data was incorrect and the current year's data is correct, you must provide an explanation. Type the explanation in the text box at the button of the screen. Click on the "**Submit Explanation and Continue**" button to proceed.

Prev Page 1 of 5 Next >>

Total number of participants reported as new both this year and last year: 99

#	Participant's Name	Participant Code	Matched on
1		1=New Participant	SSN
2		1=New Participant	SSN
3		1=New Participant	SSN
4		1=New Participant	SSN
5		1=New Participant	SSN
6		7=New Participant(2008-09)	Name/DOB
7		1=New Participant	SSN
8		1=New Participant	SSN
9		1=New Participant	SSN
10		1=New Participant	SSN
11		1=New Participant	SSN
12		1=New Participant	SSN
13		1=New Participant	SSN
14		7=New Participant(2008-09)	Name/DOB
15		1=New Participant	SSN
16		1=New Participant	SSN
17		1=New Participant	SSN
18		1=New Participant	SSN
19		1=New Participant	SSN
20		1=New Participant	SSN

Prev Page 1 of 5 Next >>

Submit Explanation and Continue

Click on the "***Submit Explanation and Continue***" button. Your explanation will be acknowledged at the head of the next report:

Tier2 - Submission Verification Reports
Funded Rate Report

Your duplicate new participant report explanation has been saved and will be reviewed by TRIO.

For 2008-09, your project was funded to serve **130** participants and you reported **129** current year participants. Your funded-to-serve rate is **99%**.

Tier 2 - New Participant Verification Report - (no errors)

If your file passes the ***New Participant*** review, you will see a screen similar to the one below. Click on the "***Continue***" button.

Tier2 - Submission Verification Reports
New Participant Verification Report

This report compares the participants listed as "new" on the 2008-09 APR with those participants listed as "new" on the 2007-08 APR. A participant cannot be classified as a "new" during two consecutive reporting cycles. If you reported a participant as "new" on the 2008-09 file, or coded them as "1" or "7" in the Participant Status field of the 2007-08 APR, that individual's participation status must be updated for the current reporting year.

The "New Participant Report" was not displayed, since none of the "new" participants listed on your 2008-09 APR were also listed as "new" participants on your 2007-08 APR. Please continue to the next step.

Continue

Click on the "***Continue"*** button to proceed with the APR submission. The Funded Rate and Critical Fields reports from Tier 1 will be run against any changes made in Tier 2. These reports are explained in more detail in Sections 6.2 and 6.3.

6.7 Review and Submit – APR Submitted

Once you have successfully made the changes required for Tier 2 validation the following screen displays acknowledging your APR submission is complete:

Review and Submit
Tier 2

APR Successfully Submitted!

Your participant data file has passed the data quality checks or you provided explanations. No additional changes to your participant data file are required. Your APR will now be accepted provided you submit via fax a signed copy of Section I of the APR.

Obtain Signature Page in PDF Format

Click on the Display Signature Page PDF for a printable version of the signature page in PDF Format. Adobe Acrobat Reader is required to view the file. To download a free copy, go to the Adobe web site.

Please fax the signed copy of Section I of the APR to the following fax number: **(703) 832-1360**.

For your records, you should keep in your files Section I with the original signatures and a copy of the two parts of your APR submission: (1) the PDF version of Section I and the data validation reports; and (2) the Excel file of your individual participant records.

Obtain Annual Performance Report PDF

Click on the "Generate PDF" button to generate a printable version of your APR submission in PDF format.

Generate PDF

Generate Excel file for Section II - Individual Participant Data for 2008-09

Click the "Download Data" button to obtain an Excel file of the individual participants records (Section II of the APR).

Download Data

Once your APR has been successfully submitted, no additional revisions are needed. If you provided an email address in Section I, a confirmation email will be sent.

To generate a print copy of the APR, including the Section I signature page, click on the "***Generate PDF***" button. The APR will display as a PDF. Print the first page, collect the required signatures and send the fax. (This PDF will provide information and reports updated from the PDF available at the end of Tier 1, which included only the Funded Rate and Critical Fields reports.)

Adobe Acrobat Reader is required to view PDF files and can be downloaded from the Adobe site via the hyperlink on this page. Once the PDF is displayed, select "***File-Print***" from the menu or click on the printer image.

To download an Excel version of the 2008-09 data file, click on the "***Download Data***" button. A blue hyperlink file (e.g. *P047AYYXXS9_2008-09_final.xls*) will appear on the screen.

To open the file in your browser window, click on the hyperlink.

To save the file to your desktop, right click using your mouse and select the "***Save Target As***" option. Select a location on your desktop (e.g., My Documents) to save the file.

Click on the "***Log Out***" button to end the session and return to the UB/UBMS/VUB main page. No further revisions to your file can be made.