

**(7) The plan to ensure effective and efficient administration of the project, including, but not limited to, financial management, student records management, and personnel management is of high quality [645.31(c)(8)].**

**Financial Management:**

Project financial management is supervised by the Financial Services Office of Harvey Mudd College and the Grants and Contracts Office of the Claremont University Center, the central administrative and support services body for the five independent Claremont Colleges, to ensure compliance with all appropriate federal regulations for grant funds as specified in Edgar 34 CFR 75.

The Financial Services office supervises the formulation of budget proposals and revisions and ensures compliance with all federal and state statutes, regulations and applications (34 CFR 74.700). The Grants and Contracts office of the Claremont University center insures that proper fiscal control and fund accounting procedures are followed (34 CFR 75.702) by processing and monitoring all expenditures, maintaining financial records/documentation, and issuing monthly, quarterly and annual expenditure reports to the Director.

In compliance with 34 CFR 730, the Grants and Contracts Office keeps records that fully show: 1) the amount of funds under the grant, 2) how the project has used grant funds, 3) the total cost of the project, 4) the share of that cost provided from other sources, and 5) other records to facilitate an effective audit. The Grants and Contracts office also directly issues all financial reports to the Department of Education (34 CFR 75.720) and performance reports are issued to the Upward Bound office via certification by the Harvey Mudd Development Office. Each year, the Claremont Colleges and Harvey Mudd are subjected to an independent audit by a major accounting firm.

In the Upward Bound office, the Director and Senior Secretary maintain a backup system of documentation for requested expenditures and financial reports to ensure all of the requirements cited above are met and that the project is in compliance with allowable cost regulations in EDGAR (34 CFR 75 and 34 CFR 74) and program regulations 645.40 and 645.41. Documentation is kept in our office filing system and on a budget tracking system identified as HMAD designed by the Harvey Mudd College Department of Academic Computing. The reports from Grants and Contracts and the Upward Bound system totals are reconciled monthly and at the end of the grant year.

**Student Records Management:**

All staff members share responsibility for collecting, interpreting, and storing student records and documentation but the Director and Senior Secretary have primary responsibility for managing and maintaining the system. The Director conducts audits of the student file system once each semester to certify the project is in compliance with record keeping requirements outlined in 34 CFR 645.43.©. The Director also ensures student record management is in compliance with 34 CFR 75. 740.

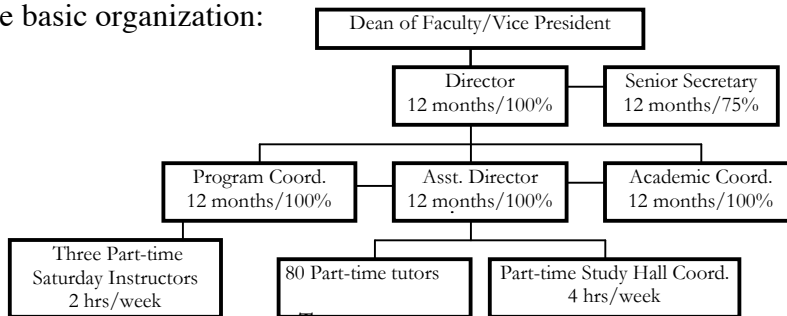
The student record system has two components: 1) a filing system made up of separate color-coded folders, and 2) a computerized tracking system. The color-coded filing system separates students records into the following folder sequence: 10<sup>th</sup> = blue, 11<sup>th</sup> = yellow, 12<sup>th</sup> = green. Each folder documents program services, evaluation and assessment tools, and college placement information acquired throughout the student's participation in the program. We also use a computerized tracking system (Filemaker Pro) that organizes, summarizes, evaluates, and presents in report format much of the information kept in the filing system. Outlined below is the student records management system:

Federal Requirements	Office Filing System	Computer Tracking System
<b>Original Application and Documentation of Need</b>		
Participant low income and/or first-generation eligibility [645.45.43©(1)]	RED Folder Student application, admission eligibility documentation including a signed financial statement, signed parental statement, and appropriate tax or income records	Demography: Residence, ethnicity, sex, and citizenship status
Participant initial academic need for program services [645.45.43©(2)]	Admissions assessment and initial plan for provision of program services, original educational plan and contract, and grade improvement plan	Needs Assessment: Income, first-generation, and academic need eligibility data; initial plan for provision of program services, career and college plans
<b>Documentation of Services and Formal Assessment</b>		
Documentation of program services [645.45.43©(3)]	BLUE/YELLOW/GREEN Folder Weekly Saturday profiles and weekly study hall/tutorial reports with student signatures, summer program grade & internship transcripts, academic year and summer educational and cultural enrichment activities, stipend and fee waiver rosters, and other services provided	Academic Year Tracking: Monitor attendance of Saturday programs, study hall/tutorials, and academic year activities to facilitate student advising, parent & counselor follow up and program evaluation.
Monitoring of student academic progress [645.45.43©(4)]	Yearly Stanford 9 standardized test results, PSAT, SAT I and II results, quarterly and semester school grade reports, summer writing, science and math portfolios	Transcript Evaluation: Input of courses/grades to monitor college GPA and requirement fulfillment
Ongoing assessment of participant needs	All assessment and evaluation instrument results, Final Evaluation of Student Progress (summer assessment materials), formal written assessments from internship mentor, summer residential coordinator, instructor, and academic tutor, student self-evaluations, and summative year-end evaluations	Testing Evaluation: Input of standardized test scores used to tailor academic resources and student advising  Summer: Input of placement information to keep mentors involved in student progress
<b>College Placement Information</b>		
Student achievement of outcome objectives [645.45.43©(4)]	GREEN Folder Final high school transcript, copies of college applications, financial aid applications and school offers, letters of acceptance, confirmation of post secondary enrollment and follow up alumni tracking	College Placement: Post secondary institutions applied to, accepted to, and enrolled in; financial aid info, school address, intended major, & alumni tracking updates

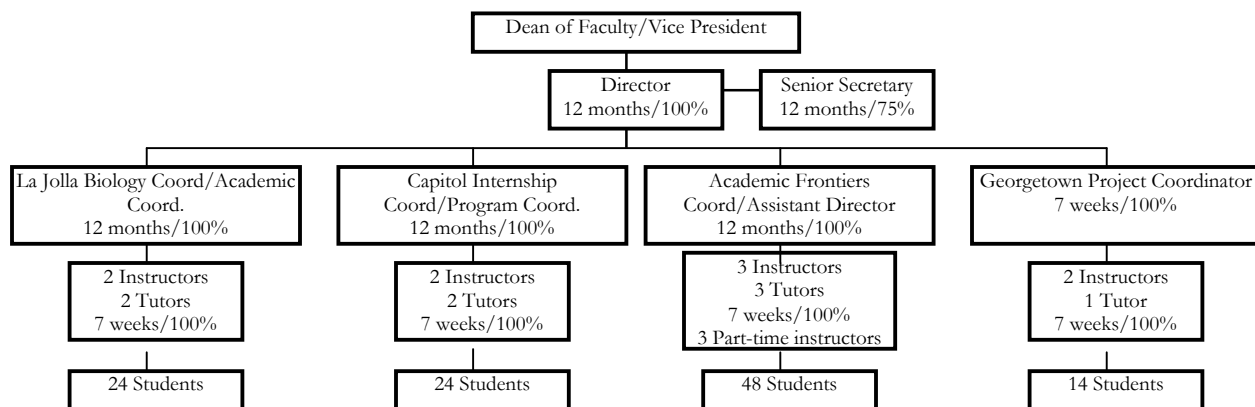
## Personnel Management

Academic Year: Although the Director is responsible for the initial hiring, training and supervision of academic year and summer staff, all full-time staff is responsible for supervising part-time staff and tutors on site at tutorials, Saturday programs, activities, and summer residential sites. The Assistant Director is responsible for additional training of the part-time tutorial coordinator and tutors while part-time Saturday instructors report to the Program Coordinator. Because the Academic Coordinator is an entry-level position, there is no additional supervision responsibility. Full-time staff training includes: Harvey Mudd procedures, federal regulation, program goals/objectives, planning/implementation of project, weekly staff meetings and yearly formal evaluations. Appendix C: *Plan of Operations Supplemental Materials* contains detailed job descriptions and training schedules. The personnel diagram below visually

represents the basic organization:



Summer: The Director supervises four independently operated summer satellite projects through site coordinators. The Assistant Director, Program Coordinator, and Academic Coordinator serve as summer site coordinators supervising instructors, tutors, and students. Coordinators act as the Director's representative at each site but report to the director each day by phone. The senior secretary remains at the central office maintaining overall administrative support. The diagram that follows visually represents our summer staff management:



Staff training is extensive and occurs one week before the summer programs begin. The Director conducts the overall training design supplemented with administrative training manuals developed during the school year. The academic year staff provides additional training support by site. Training topics are outlined below with Appendix C containing further topics in detail.

Training	Coordinators	Instructors	Tutors
Overall Procedures	Program objectives, student residential supervision, classroom management, community building, program assessment and evaluation (staff/course/student), communication, documentation requirements, health & safety procedures		
Admin. And Classroom Management	<ul style="list-style-type: none"> <li>Office filing system</li> <li>Computer tracking system</li> <li>Student cultural activities</li> <li>Financial procedure/budget</li> <li>Transportation</li> <li>Evaluation of staff</li> <li>Internship logistics</li> </ul>	<ul style="list-style-type: none"> <li>Curriculum development</li> <li>Evaluation of student progress</li> <li>Instructional strategies</li> <li>Technology use</li> </ul>	<ul style="list-style-type: none"> <li>Study hall/tutorial strategies</li> <li>Classroom management</li> <li>Mentoring</li> <li>Student empowerment</li> </ul>
Residential Life	<ul style="list-style-type: none"> <li>Communication with host institution</li> <li>Supervision of staff</li> </ul>	<ul style="list-style-type: none"> <li>Supervision of students/tutor</li> <li>Student advising</li> </ul>	<ul style="list-style-type: none"> <li>Teaching outside the classroom</li> <li>Role modeling</li> </ul>

The Director attempts to visit each site once a week. The visits emphasize administrative procedures, residential supervision, evaluation issues, internship monitoring and academic issues such as pedagogy, student assessment/evaluation, and curricula design and implementation. The Director completes formal observations and evaluations of each site. The coordinator supervises on-site instructional and tutorial staff and completes evaluations of each staff member and student. **Harvey Mudd College Upward Bond is in compliance with all federal assurances and certifications as noted in Part IV.**

**(8) The plan to use resources and personnel to achieve project objectives and to coordinate the Upward Bound project with other projects for disadvantaged students is of high quality [645.31©(7)].**

**Coordination with other projects for disadvantaged students:** The three main programs on campus for disadvantaged students are Upward Bound, MESA (Mathematical and Engineering Science Achievement), and the Harvey Mudd Summer Bridge Program. Communication between the projects occurs throughout the year through phone calls and two annual meetings to prevent duplication of services, make referrals, and coordinate use of campus resources.

The Upward Bound program also maintains working relationships with other programs for disadvantaged students that service our communities such as the Rio Hondo Upward Bound, Cal State Los Angeles Talent Search, and the U.C. Riverside Educational Opportunity Program to ensure the projects work together to maximize resources and not duplicate services.

Participation and membership in professional organizations such as Westop and COE provide staff with the opportunity to coordinate and share program resources with other TRIO programs such as, Cal Poly Pomona and University of Southern California’s Upward Bound program.

**Plan to use personnel and resources to achieve project objectives:** The charts below map out our plan for the use of personnel and resources to achieve project objectives.

**Objective 1 (Process):** 130 participants will be served each year. A minimum of 67% or 87 of these students will be both low income and first generation and a maximum of 33% or 43 will be either low income or first generation.

<b>Personnel</b>	<b>Resources</b>
<ul style="list-style-type: none"> <li>• <u>Director</u>: coordinate recruitment process; final selection and verification</li> <li>• <u>Assistant Director and Program Coordinator</u>: recruitment, identification, and selection at two target schools</li> <li>• <u>Academic Coordinator</u>: recruitment, identification, and selection at one target school</li> <li>• <u>Secretary</u>: administrative and clerical support for computer and file system</li> </ul>	<ul style="list-style-type: none"> <li>• Program application, information, and assessment publications, and instruments</li> <li>• Computers and program designed software</li> <li>• Office space, filing system, supplies, telephones, fax machines at Harvey Mudd</li> <li>• Classroom and library space, and office and clerical support at target schools VCR, video camera, video tape</li> <li>• Overhead projector units for presentation and laptops for Powerpoint presentations</li> </ul>

**Objective 2 (Process):** 70% of the participants recruited each year will qualify as higher risk students as identified by the Department of Education *Invitational Priority Initiative*. These students will meet one or more of the following criteria: 1) an academic GPA of 2.9 or lower 2) enrolled in less than 3 academic classes, and 3) has potential to pursue secondary education, but no plans to do so.

**Personnel**

- Director: final selection and verification; evaluation of needs assessments for newly admitted students to verify compliance with eligibility criteria
- Assistant Director and Program Coordinator: review transcripts of all student applicants; completion of needs assessments for newly admitted students at two target high schools each
- Academic Coordinator: review transcripts of all student applicants; completion of needs assessments for newly admitted students at one target high school
- Secretary: administrative and clerical support for computer and office file tracking systems

**Resources**

- Program application, information, and assessment publications, and instruments
- Program needs assessment forms
- Computer generated program designed software
- Office space, filing system, supplies, telephones, photocopiers, fax machines at Harvey Mudd
- Access to student transcripts and office space to verify applications at target schools
- Administrative and clerical support from target schools
- Counselor and teacher recommendations of potential higher risk students for program recruitment at target schools

**Objective 3 (Process):** The program will provide a six-week summer component for a minimum of 90 participants each summer.

**Personnel**

- Director: staff selection, staff training and overall supervision; budget and financial management, long term planning; Washington D.C. internship development, and curriculum and evaluation design and development; evaluation and visits to all summer sites; daily supervision contact (by phone) with Capitol Internship and Georgetown
- Assistant Director: support of summer staff academic and instructional training; set up of logistics for Academic Frontiers site; design math curriculum
- Program Coordinator: set up internships and logistics at Capitol Internship site; develop English curriculum for all sites
- Academic Coordinator: La Jolla Science Internship set up and classroom instructor; develop science curriculum for sites
- Secretary: administrative and clerical

**Resources**

- Relevant program generated documentation and evaluation forms
- Office computer program design software
- Portable Apple computers and printers for instructional and administrative use at satellite sites
- Office space, filing system, supplies, telephones, photocopiers, fax machines at Harvey Mudd and equivalent space and supplies at satellite sites
- Conference space ,office and clerical support at target schools (for selection)
- Curriculum materials including texts, program generated materials, teacher resources, calculators, educational software, grading programs and other academic materials and supplies
- Site management file and computer tracking system
- Program generated staff and student

**Objective 3 (Process):** The program will provide a six-week summer component for a minimum of 90 participants each summer.

<p>support for satellite projects and management of site and main office file system and computer tracking programs</p> <ul style="list-style-type: none"> <li>• <u>Site Coordinators:</u> supervision of staff and students at summer residential site, scheduling, financial management, activities and program coordination, management of internship/experiential learning components</li> <li>• <u>Instructors:</u> residential supervision of students; academic instruction in core disciplines; student academic evaluation and assessment; support of educational enrichment and internship components</li> <li>• <u>Tutors:</u> in residence supervision of students; teaching assistants in classrooms; tutoring during study hall; administrative and programming support for coordinator</li> </ul>	<p>handbooks, evaluation and assessment tools, training activities and presentation materials, services provided documentation forms, USDA documentation forms and tracking systems</p> <ul style="list-style-type: none"> <li>• <u>Vehicles:</u> Harvey Mudd 15 and 8 passenger vans; rented vehicles from local agency; vans rented from UCSD; and vans provided by Georgetown to transport students to and from summer sites and to and from internships</li> <li>• Internship journals, mentor’s guides, follow up curriculum, and evaluations</li> <li>• Residential dorm space and board at UCSD, Harvey Mudd, UC Davis, and Georgetown</li> <li>• Access to classroom, lounge, science and computer labs, recreational facilities, and libraries at all four sites</li> </ul>
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**Objective 4 (Outcome):** Academic Growth: GPA  
50% of program participants will improve their cumulative grade point average by at least .10 at the end of each academic year.

<p><b>Personnel</b></p> <ul style="list-style-type: none"> <li>• <u>Director:</u> evaluation and reporting of results in program evaluation</li> <li>• <u>Assistant Director:</u> coordinate collection of quarter and semester grades and transcripts</li> <li>• <u>Program Coordinator and Academic Coordinator:</u> collection of quarter and semester grades, and transcripts</li> <li>• <u>Secretary:</u> administrative and clerical support for file system and computer tracking of results</li> <li>• <u>Part time tutorial coordinators:</u> monitoring and follow up with students at site</li> <li>• <u>Tutors:</u> individualized follow up with students at tutorials and study halls</li> <li>• <u>Summer Instructors and Tutors:</u> design and implementation of curricula to help students improve skills in these areas</li> </ul>	<p><b>Resources</b></p> <ul style="list-style-type: none"> <li>• Relevant program generated documentation and evaluation forms</li> <li>• Computer program designed software</li> <li>• Office space, filing system, supplies, telephones, fax machines at Harvey Mudd</li> <li>• Conference space and office and clerical support at target schools (for selection)</li> <li>• Claremont College and summer site libraries</li> <li>• Harvey Mudd College Chemistry and computer labs</li> <li>• Summer site curricula and staff</li> <li>• Academic materials and supplies</li> <li>• Tutorial training materials and curricula</li> <li>• Classrooms at summer sites; internship journals and support materials</li> </ul>
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**Objective 5 (Outcome): Academic Growth: Standardized Tests**

At least 60% of the participants will improve their national percentile score in **two** or more of the Stanford 9 test areas: English, math and science.

**Personnel**

- Director: reporting of results in program performance report; follow up advising with individual students
- Assistant Director: coordinate collection of school test results; administration of necessary tests to students; interpretation of results to students and parents
- Program Coordinator and Academic Coordinator: collection of school results, coordination of efforts to design and follow up individual study plans.
- Secretary: administrative and clerical support for computer and file system
- Tutors: interpretation of test results to individual students;
- Summer and Saturday Program Instructors: Curricula activities designed to help students improve scores in these areas

**Resources**

- Testing and interpretation forms and materials
- Computers and program designed software
- Office space, filing system, supplies, telephones, photocopiers, fax machines at Harvey Mudd
- Testing facilities on Harvey Mudd campus
- Summer site curricula and staff to follow up with standardized test results through specialized curricula
- Academic materials and supplies
- Tutorial training materials and curricula designed to target key areas for improvement implemented by tutors
- Counseling and administrative support at target schools in acquiring test results
- Teachers from English, math, and science department at target high schools

**Objective 6 (Outcome): 80% of program participants will remain in the program until they complete their secondary education.**

**Personnel**

- Director: Evaluates data and reports to Department of Education; maintains communication with school administration
- Assistant Director: coordinates collection of participation data; prepares and evaluates data with program director; monitors student attendance; maintains dialogue with school counseling staffs
- Program Coordinator and Academic Coordinator: collection of grade reports, transcripts, summer grade documentation, Saturday program participation and tutorial contact documentation; monitors student attendance; oversees parent outreach activities; maintains dialogue with school counseling staffs
- Secretary: enters all student tracking data; communicates with parents

**Resources**

- Office space, equipment, and supplies including telephone, photocopying, and filing system
- Computers and tracking software
- Relevant program forms and publications
- Counseling and administrative support at target schools in acquiring grade reports and transcripts
- Consistent contact with counseling staff at target schools
- Parent activities and follow up phone calls to maintain constant dialogue in the monitoring of students' progress
- College educated internship mentors provide guidance and motivation
- Saturday curriculum development supplements academic year instruction at target schools

**Objective 7 (Outcome):** 95% of participants who participate during their senior year will complete their secondary education and graduate from high school.

<p><b>Personnel</b></p> <ul style="list-style-type: none"> <li>• This objective reflects the overall effect of all program activities. Responsibilities for tracking the data are as follows:</li> <li>• <u>Director</u>: Evaluates data and reports to Department of Education</li> <li>• <u>Assistant Director and Program Coordinator</u>: collect all participation data and records such as: grade reports, transcripts, summer grade documentation, and tutorial contact documentation</li> <li>• <u>Secretary</u>: enters all student tracking data</li> </ul>	<p><b>Resources</b></p> <p>All program resources are used to retain students in the program, but tracking their status and participation in program requires the following resources:</p> <ul style="list-style-type: none"> <li>• Office space, equipment, and supplies including telephone, photocopying, and filing system</li> <li>• Computers and tracking software</li> <li>• Relevant program forms and publications</li> </ul>
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**Objective 8 (Outcome):** 90% of program participants scheduled to complete the project (who begin the 12<sup>th</sup> grade participating in Upward Bound) will undertake programs of postsecondary education after completing Upward Bound and graduating from high school.

<p><b>Personnel</b></p> <ul style="list-style-type: none"> <li>• <u>Director</u>: evaluates and reports program performance data; writes and revises Upward Bound College Planning Guide; writes most letters of recommendation.</li> <li>• <u>Assistant Director</u>: provides college advising under coordination of academic coordinator; works to link program participants with support services at the college level</li> <li>• <u>Program Coordinator</u>: provides college advising under coordination of academic coordinator; works to link program participants with support services at the college level</li> <li>• <u>Academic Coordinator</u>: senior college advisor; one on one advisement; coordinator of other staff college and financial advisement; collects documentation; coordinates college exploration trip program</li> <li>• <u>Secretary</u>: attendance data entry and computer tracking of information</li> <li>• <u>Tutors</u>: peer college advisors; campus tours</li> </ul>	<p><b>Resources</b></p> <ul style="list-style-type: none"> <li>• Program publications and staff designed forms and resources</li> <li>• Computer tracking and software</li> <li>• College guidance and financial aid resources such as guide books and references from the Department of Education</li> <li>• Attendance of U.C. and Cal State counselor conferences by Academic Coordinator</li> <li>• Use of computer search programs</li> <li>• Office space and furnishings, telephones, photocopiers, mail room, filing system, and supplies</li> <li>• Fee waivers and budget funds for application and test fees (paid directly to third party in compliance with regulations)</li> <li>• Conference rooms and office support at target schools</li> <li>• Leased vehicles for college exploration trips and activities</li> <li>• Computer lab on campus</li> <li>• E-mail for communication to college admissions and financial aid offices</li> </ul>
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**Objective 9 (Outcome):** 65% of program participants who have completed the program will report each year that they are currently enrolled in or have completed a program of postsecondary education. Students who have not completed a postsecondary program will be monitored for up to six years (longer if they report continued enrollment).

Personnel	Resources
<ul style="list-style-type: none"> <li>• <u>Director</u>: evaluates and reports program performance data; contributes monthly entry to e-mail newsletter; works with alumni group; reports college persistence data to mentors and target schools</li> <li>• <u>Assistant Director</u>: Support for Program Coordinator as needed;</li> <li>• <u>Program Coordinator</u>: coordinates alumni survey (by phone, contact with campus registrars, and via e-mail); documents persistence data and updated contact information; edits monthly alumni newsletter, organizes alumni contact groups at target colleges and universities.</li> <li>• <u>Academic Coordinator</u>: Reports college persistence data to La Jolla Science project mentors; supports program coordinator</li> <li>• <u>Secretary</u>: alumni tracking data entry and computer tracking of information</li> </ul>	<ul style="list-style-type: none"> <li>• Network with other college admissions and support services programs such as Claremont University Center Chicano Students Office (see Appendix A)</li> <li>• Outreach to Cal State EOP programs</li> <li>• Program publications and staff designed forms and resources</li> <li>• Computer tracking and software</li> <li>• internet and e-mail for contact alumni and college registrar offices and student support services</li> <li>• Counseling and administrative support at target schools in providing student contact info when available</li> <li>• Use of banquet room at Harvey Mudd for annual alumni reunion</li> <li>• Office space and furnishings, telephones, photocopiers, mail room, filing system, and supplies at Harvey Mudd</li> </ul>

**(9) The plan to work cooperatively with parents and key administrative, teaching, and counseling personnel at the target schools to achieve project objective is of high quality [645.31(c)(9)].**

**Parents and Family:** Experience has taught us that students accomplish the most in Upward Bound when the program consistently engages with their parents. The Program Coordinator designs and manages all parental outreach activities, but all academic year and summer staff members participate in the activities described below. Most of our staff members speak Spanish, and we have access to Cambodian and Vietnamese translators through our undergraduate tutors and summer staff members. In addition to the services described below, we mail parents their child’s *Saturday College Profile* each week during the academic year. This profile includes updates of the participant’s grades and a plan for how the participant will spend their Saturday at

Harvey Mudd. We explain this form to parents frequently during the year. Parents sign off on these forms before students return them to us at each Saturday Program.

Activity / Service	Description
Admissions Family Night	Hosted by program staff at the target high school, this meeting gives parents and family members an opportunity to learn more about the program and our expectations. After an overview of program services, families meet individually with UB staff members to discuss the program and complete three supplemental components of the IAP: the <i>educational contract</i> , the <i>course plan</i> , and the <i>grade improvement plan</i> . If the family satisfactorily completes these supplemental forms and the program satisfactorily address the concerns of the family, then the student is formally admitted into Upward Bound.
Pre-Summer Family Night	Hosted at Harvey Mudd during student orientation week, this family night presents summer program staff to the families and provides them with detailed information about the summer program: calendar, contact information, what to bring list, etc.
Summer Closing Ceremony / Family Workshop	Hosted at Harvey Mudd at the end of the summer program, the closing ceremony recognizes the accomplishments of students during the summer. After the ceremony, instructors present families with each student’s final summer evaluation for each course. Parents and students then participate in a workshop on how to build upon the academic successes of the summer.
October Parent Night	Hosted at the target high schools, this “parent only” session focuses on helping parents develop strategies for supporting their children’s educational ambitions. Parents participate as presenters and facilitators along with program staff on topics such as monitoring grades, communicating with school personnel, planning for college, creating a study environment in the home, and other topics chosen by the parents.
December Family Day	Hosted at Harvey Mudd College, parent day offers students and their families a day of joint and separate workshops on campus hosted by Upward Bound staff, Claremont Colleges faculty, admissions, financial aid, and administrative personnel. Topics include simulated college classes, study skills workshops, communication skills workshops, college application support workshops, preparing for life in college seminars, and other topics generated by the students and their parents.
Financial Aid Workshops	Offered each January at a target school and at Harvey Mudd, the financial aid workshop walks students and their parents step by step through the FAFSA and CSS profile.
February Family Night	Hosted at the target schools, these sessions focus on a review of the student’s first semester grades and an update of the student’s grade goals, grade improvement plan, and college planning schedule.

Activity / Service	Description
April Parent Night	Hosted at target schools, this “parent only” event follows up on the October “parents only” session. The agenda usually builds upon the previous session with UB staff and parents working together to develop and improve strategies for supporting program participants.
Phone Conferencing and Home Visits	Throughout the year, we use telephone conferencing and home visits as a vehicle for following up on parents who have missed family UB activities or for addressing more complex individual issues that require extended one-to-one contact. Parents are also encouraged to contact us using our toll-free number with any questions or concerns that they might have. Each year our staff completes hundreds of telephone conferences with parents and dozens of home visits with families.
Senior Graduation Dinner	Seniors and their parents attend a graduation dinner at Harvey Mudd in June of each year. This dinner focuses upon the accomplishments of the students and their parents and provides program staff with one final opportunity to establish tracking and contact information for students and their families after the participant completes the program.

Staff Responsibility: The Program Coordinator designs and manages all family outreach activities; but each staff member works closely with the parents in their designated advising grade level and the Director is the lead presenter and facilitator at all family events and activities.

**Key Personnel at Target Schools:** The Director, Assistant Director, Program Coordinator, Academic Coordinator, and Secretary work year-round to keep administrators, faculty, and staff at target high schools involved with and supportive of the project. This effort centers on a monthly distribution of student *Saturday Profiles* to school counselors and administrators each month of the academic year. In addition to these written summaries of student progress and program services, we also regularly confer with counselors in person, over the phone, or via email to follow up on student and family concerns. The following table provides a month-by-month breakdown of our efforts to cooperate with key personnel at schools above and beyond these two core activities.

Month	Type of Contact
June	<ul style="list-style-type: none"> <li>• Counselors, faculty, and administrators are sent student summer placement info.</li> <li>• Director meets with the Principal and Assistant Principal at each school to discuss quality of program services and cooperation between school and project staff</li> </ul>
July	<ul style="list-style-type: none"> <li>• Director contacts school administrators to confirm classroom and transportation arrangements for the fall semester at each school</li> <li>• Final and year-end transcripts are requested from the school counselors</li> </ul>
August	<ul style="list-style-type: none"> <li>• Annual report on program activities and progress distributed to schools</li> <li>• Counselors contacted by Assistant Director, Program Coordinator, and Academic Coordinator to confirm student course enrollments</li> </ul>
September	<ul style="list-style-type: none"> <li>• Summer grades and final assessments for each course are provided to the registrar at each target campus (student receive five elective credits for each completed class)</li> <li>• Copies of final assessments are distributed to math, science, and English teachers to facilitate efforts to build on summer program experience</li> </ul>
October	<ul style="list-style-type: none"> <li>• Copies of one of each of the student's Saturday Profiles are distributed to designated school counselors</li> <li>• School teachers complete grade checks for program participants</li> </ul>
November	<ul style="list-style-type: none"> <li>• School counselors send academic progress reports to UB</li> <li>• UB staff distributes an update on parental outreach efforts to school administrators</li> </ul>
December	<ul style="list-style-type: none"> <li>• College planning update detailing application completion and college testing information sent to counselors and administrators</li> <li>• Teachers at target schools complete grade updates for Upward Bound students</li> </ul>
January	<ul style="list-style-type: none"> <li>• Report on UB alumni from target high schools sent to school counselors and administrators (summarizes enrollment and retention data)</li> <li>• UB staff meets with faculty and staff at each high school to present program and solicit nominations for upcoming recruitment cycle</li> </ul>
February	<ul style="list-style-type: none"> <li>• Target school teachers complete grade checks for Upward Bound students</li> <li>• School counselors send semester grades to UB</li> <li>• Counselors and faculty submit student nominations for recruitment process</li> </ul>
March	<ul style="list-style-type: none"> <li>• Counselors send official school progress reports to Upward Bound</li> <li>• UB staff provides biweekly updates on the recruitment process to school counselors and administrators</li> </ul>
April	<ul style="list-style-type: none"> <li>• As students are selected and complete the <i>Educational Contract</i>, <i>Course Plan</i>, and <i>Grade Improvement Plan</i>, staff actively consult with counselors who, in turn, also sign off on each of these planning tools and are provided a copy.</li> <li>• Faculty complete grade check forms for Upward Bound students</li> </ul>
May	<ul style="list-style-type: none"> <li>• UB staff and school counselors co-sign an announcement to school faculty and staff identifying selected Upward Bound students</li> <li>• Counselors and administrators receive final copies of student <i>Saturday Profiles</i>.</li> </ul>

### **Working Cooperatively with Parents and School Personnel and the Invitational Priority:**

Our experience serving a student population that largely already meets the criteria of the

Department of Education's **Invitational Priority** has convinced us that communication and shared information are the keys to building an effective support system for "higher need students." Our staff invest considerable time reaching out to and following up with parents and school counselors because we have seen that a coordinated and united support network can make the difference for students who are talented but underachieving or uncertain of their commitment to a college education. We follow up relentlessly with parents and school officials on grade and attendance concerns, academic progress, goal setting, and college planning and we invite both of these groups to do the same with us. As we attempt to increase the already high number of participating students who qualify as higher need, we will need to maintain and build upon the comprehensive efforts outlined in these pages.

**Technology and Cooperation:** Technological resources help facilitate this vital communication. Laptop computers allow us to take up to date information about students and their progress out to the schools when meeting with counselors and families. A wide range of software application—photoshop, pagemaker, filemaker pro—allow us to create publications and reports for parents and key school personnel and to track our contacts with these groups. Finally, the programs' web site and email make on-line access to program information and staff easier for school officials and a growing number of parents.

**(10) The follow-up plan for tracking graduates of Upward Bound as they enter and continue in careers of postsecondary education is of high quality [645.31©(9)].**

Program staff track Upward Bound graduates until they complete a program of postsecondary education. Our tracking efforts rely primarily on reports provided by the institutions in which program graduates enroll, but we also have an extensive program for direct contact with program graduates and their families.

From the day that a student first enters the program, we emphasize with students and their parents the importance of providing us academic information until the participant graduates from college. While the student is still in high school, they provide us with copies of standardized and college testing individual reports and any other information that we can more quickly obtain from students than we can from our target high schools. During the student's college years, they provide us sustained access to information about the student's academic standing and progress.

When the student first enters the program, students and their parents complete waivers and a "request for information" letter giving us permission to collect the information required in annual performance reports from whatever postsecondary institution the student attends. During their senior year in high school, participants update their waiver and "request for information" forms and provide us with documentation of admission letters and financial aid offers.

Both the waiver and the request letter are scanned into our computer tracking system and generated with new dates and updated requests each semester after the student graduates from high school. We send these request for information forms twice yearly: once in October and a second time in June to confirm graduation statistics for alumni in their final year of an academic program. We also complete an annual phone, email, and mail survey of alumni and their families to track graduate progress. From this combination of data provided by the students and the confirming documentation provided by their colleges, we report the following information each year to the Department of Education: 1) first postsecondary school enrollment date (Annual Performance Report #73); 2) school code for the student's postsecondary institution (APR #74); 3) student financial aid awarded for postsecondary education (APR #76); 4) postsecondary enrollment status (APR #77); 5) college grade level (APR #78); 6) postsecondary academic standing (APR #79); and 7) degree / certificate completed (APR #80).

**Technology and graduate tracking:** Technology plays a vital role in our alumni tracking program. The Academic Coordinator manages an alumni database that includes contact information for each alumni, annual performance report data, and updated versions of scanned in “request for information” / wavier forms. The Academic Coordinator also, manages a password protected web-based alumni directory in which alumni can post updated contact information so that fellow Upward Bound alumni or current Upward Bound students may contact them. The Academic Coordinator also posts any job descriptions, scholarship information, or other interesting opportunities for alumni to this web site on a monthly basis. Once each semester (in October and February) we also send out an email newsletter to all alumni who have not yet completed their postsecondary education and any alumni who have graduated from postsecondary education but wish to remain on the newsletter mailing list.

**Alumni Involvement in Program Activities:** We believe that the active participation of program alumni in program activities and services enriches both our students and the alumni. For this reason, we involve alumni in the project in many ways: 1) as summer and academic year staff members (full-time staff, tutors, instructors, coordinators, etc.), 2) as Saturday program speakers and mentors, 3) as guides for campus tours at their colleges and universities, and 4) as on-campus mentors for younger UB alumni who attend their college or university. In December of each year, we host a joint reunion for the most recent UB graduating class and the class that graduated from the program five years earlier. At that reunion we work on solidifying our campus alumni networks and contacts and encourage the alumni to set up their own tenth reunion celebration. The combination of our once-a-semester tracking contact, alumni web-site, semester email newsletter, and the involvement of alumni in a wide range of supporting roles in program activities has resulted not only in more accurate and comprehensive tracking data but

also in an enriched level of program services for current students. Over the years, our alumni tracking efforts have improved dramatically. We have maintained direct contact with or reliable information about nearly 85% of our alumni over the past six years and we believe we can improve that number in the years ahead by actively involving our alumni as a support resource for our program participants and graduates.

#### **IV. Applicant and Community Support.**

**(1) The applicant is committed to supplementing the project with resources that enhance the project such as: space, furniture and equipment, supplies, and the time and effort of personnel other than those employed in the project [645.31(d)(1)].**

Harvey Mudd College is committed to supplementing our Upward Bound with resources that will enhance the project. The following narrative describes the project's space, furniture and equipment, supplies, and the time and effort of personnel other than those employed in the project, provided by Harvey Mudd.

##### **Space, Furniture, Equipment, Supplies**

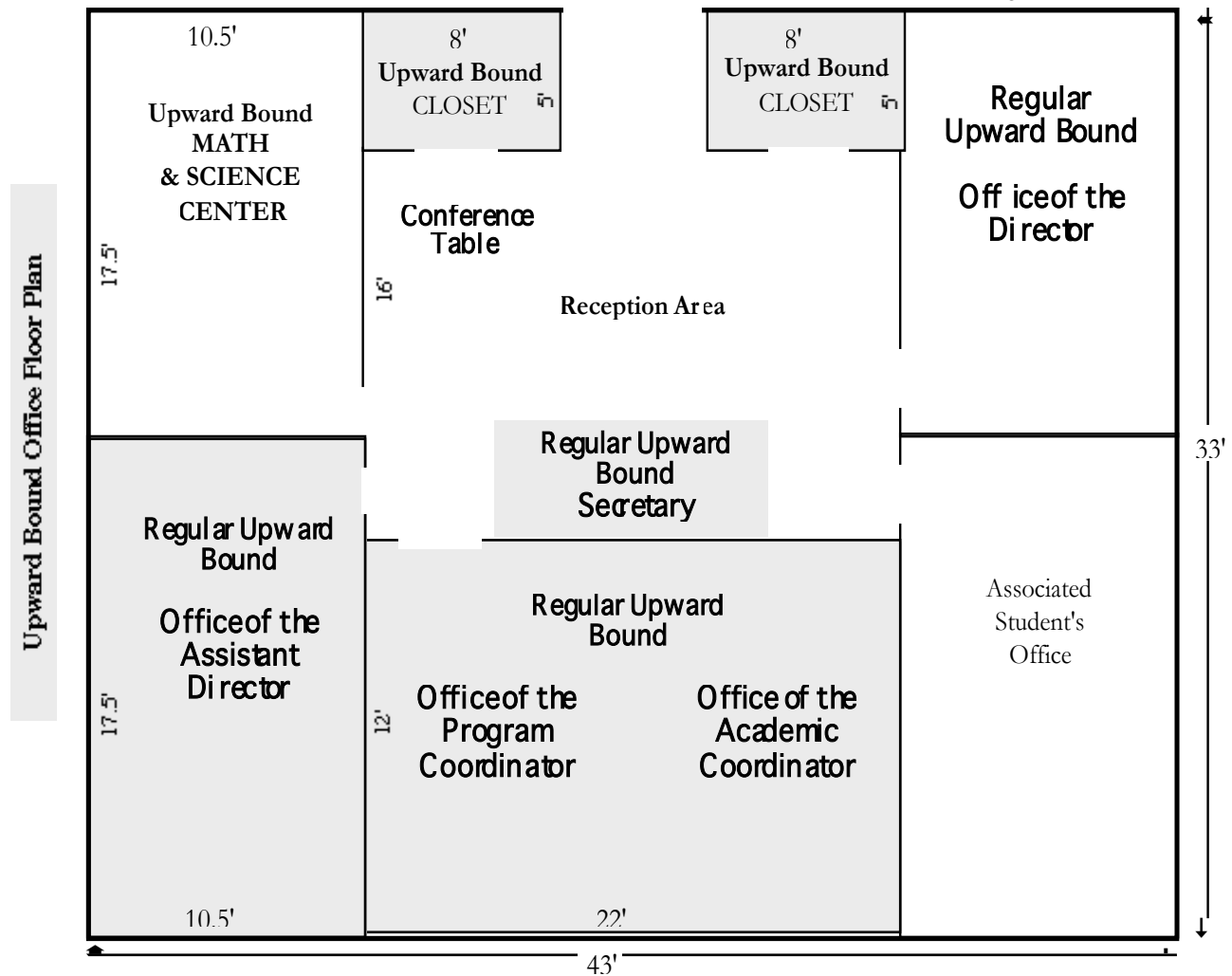
The Upward Bound offices are located in the Platt Campus Center. The Center is a large structure that is the hub of student activity. On the first floor are located the Office of the Dean of Students, Career Planning and Placement, Registrar, a formal lounge and the main cafeteria. In the basement, are located a pizza shop, a recreational room, a music room, a news room, the Air Force ROTC, the Associated students, and student mail room next to which is Upward Bound.

##### **Description of Facilities**

The College has provided Upward Bound with a group of three carpeted offices and a reception area of 1,209 square feet. These offices were remodeled in 1975, for the exclusive use of the Upward Bound Program at a cost of \$22,000. At present, the Director and Assistant Director each occupy one office, the Program Coordinator and Academic Coordinator occupy the third office, and the secretary is situated in the reception area. The reception area is shared with an Upward Bound Math/Science Program, also located at Harvey Mudd College, and used to hold weekly staff meetings. The Assistant Director's office also contains 3 large 3-drawer file cabinets which contain current records of Upward Bound participants, financial documentation, personnel information, recruitment paraphernalia, and summer program curriculums and activities.

PLATT CAMPUS CENTER (1209 square feet)

These offices are located in the basement of the Platt Campus Center, HMC student mail room, recreation room, student lounges, and snack bar.



The following is a list of facilities available to Upward Bound participants when they are under the sponsorship of Upward Bound.

<b>Time</b>	<b>Access to Facilities for Upward Bound Participants</b>
<b>Academic /Summer</b>	Library cards which give Upward Bound students access to a library system of over 1.75 million volumes
<b>Academic /Summer</b>	Use of conference rooms and classrooms
<b>Academic /Summer</b>	Access to recreational areas
<b>Academic /Summer</b>	Use of all cafeterias
<b>Academic /Summer</b>	Use of duplicating equipment and fax machines
<b>Academic /Summer</b>	Access to the Keck Computer Center and Internet
<b>Summer</b>	Dormitory space during the summer (Academic Frontiers Project) at a rate not to exceed school year student rate

Off Campus Storage Space

For fifteen years the Upward Bound program leased a bunkhouse in the Sierra Nevada Mountains near Mammoth Lakes from the California Department of Transportation. In 1989, the lease expired and was not renewed. As a result, Upward Bound had to move these camping supplies to Claremont. At present, Upward Bound camping supplies are stored in a commercial storage facility about two miles from the college. We have sufficient equipment and supplies with which to operate our wilderness trips and activities during our Capitol Internship, La Jolla Science Project, and Academic Frontiers summer programs and during academic year trips to the Grand Canyon, Bryce, and Zion National Parks.

<b>The time and effort of Harvey Mudd personnel not employed by Upward Bound who provide support to our program.</b>	
<b>Non Upward Bound Personnel</b>	<b>Contribution to Upward Bound</b>
Sheldon Wettack, Dean of Faculty and Vice President	Direct supervision of program director
Eric Ditwiler, Assistant to Dean of Faculty	Administrative support and communication liaison to Dean of Faculty
Cynthia Merrell, Administrative Aide to Dean of Faculty	Coordinates contact with Dean's office; clerical support
Deren Finks, Dean of Admission and Financial Aid	Admissions and financial aid information for Upward Bound participants
Jan Brown, Treasurer	Supervision of accounting procedures and other financial management issues
Laura Clark, Budget Director	Approval and monitoring of grant budgets
Debra Heavenston, Director of Human Resources	Supervision of employment practices
Sandy Martinez, Payroll Coordinator	Staff payroll and personnel issues
Theresa Potter, Director of Facilities & Maintenance	Facility maintenance supervision
Crystal Whinery, Assistant Director	Summer housing coordinator, manages campus classroom reservations
Jeanne Noda, Dean of Students	Resource sharing and connections to campus bridge program
Randy Ringen, College Public Relations	On and off campus publicity
Tanya Mink, Vice President College Advancement	Signs off on assurances and certifications, and approves all grant and budget proposals
Gilma Lopez, Assistant Director of Financial Aid	College student employment coordinator
Elizabeth Hodas, Systems and Network Coord.	Computer user support network

**(2) The applicant has secured written commitments of support from schools, community organizations, and businesses, including the commitment of resources that will enhance the project [645.3(d)(2)].**

Our project has a working relationship with dozens of internship mentors, five target high schools, seven colleges and universities, and more than a dozen community research facilities, museums, art foundations and other organizations. The following chart summarizes resources committed by each organization in over sixty letters of support collected in **Appendix A**.

High Schools, Colleges and Universities	Resources Committed
Harvey Mudd College Claremont, CA F. Sheldon Wettack Dean of Faculty	Continued support for Upward Bound through office space and furnishings; classroom, lab and meeting space; computer facilities; administrative support from key offices; on-campus housing for summer project at a rate no higher than for regularly enrolled students; liability coverage for program activities; and access to the Claremont Colleges library system among other resources mentioned  Memorandum confirming project director is given full authority to administer the program according to the regulations and guidelines as set forth by the U.S. Department of Education
Georgetown University Washington, D.C. John DeGioia, President	Entire cost of five-week summer residential program for fourteen Upward Bound students. Includes staff and student travel; room and board; academic and activity costs; residential instructors and tutors; access to campus facilities; and all academic and student activity costs. Estimated value: \$40,000
Principals Five Target High Schools	Joint letter of commitment signed by all five high school principals pledging the following resources: credit for summer courses taken by students; adequate classroom space for tutorials and parent workshops; conference space for counselors and tutors during the school day; support in identifying potential applicants from counselors, administrators and faculty; permission for students to participate in off campus field trips; a school Upward Bound liaison person; permit Upward Bound staff to make formal presentations at school; and access to counselors, career centers, and curriculum materials
Bassett High School La Puente, CA Marc Jackson, Principal	Support for program; individual statement in support of joint commitment letter

High Schools, Colleges and Universities	Resources Committed
El Monte High School El Monte, CA Doug Halvorsen, Principal	Support for program; individual statement in support of joint commitment letter. Designates administrative site liaison and affirms counseling staff support
Garey High School Pomona, CA Curtis Donaldson, Principal	Support for program; individual statement in support of joint commitment letter; reiterates concrete staff, space, and resource support; statement of need for program services
Mountain View High School El Monte, CA Gloria Acosta-Araw, Principal	Support for program; individual statement in support of joint commitment letter; statement of need for program services
South El Monte High School South El Monte, CA Silvia Montero, Principal	Support for program; individual statement in support of joint commitment letter. Designates administrative site liaison and affirms counseling staff support
Garey High School Pomona, CA LaRonda Daughtery-Molles Assistant Principal	Support for program; affirms administrative support
Garey High School Pomona, CA Velma Herrera, Counselor	Support for program; statement of need for program services
Garey High School Pomona, CA Kim Glovak, Counselor	Support for program; statement of need for program services
Claremont University Center Chicano Studies Center Claremont, CA Robert W. Viteri, Associate Dean of Students	Workshops with parents and students each academic year; college counseling and advising Upward Bound students
Claremont McKenna College Claremont, CA Theresa B. Franco, Federal Work Study Coord. Financial Aid	Federal Work Study funding
Harvey Mudd College Claremont, CA Youlanda Copeland-Morgan, Associate Vice President Admissions and Financial Aid	Federal Work Study funding
Pitzer College Claremont, CA Margaret Carothers, Director Financial Aid	Federal Work Study funding

<b>High Schools, Colleges and Universities</b>	<b>Resources Committed</b>
Pomona College Claremont, CA Patricia A. Coye, Director Financial Aid	Federal Work Study funding
Scripps College Claremont, CA Sean Smith, Director Financial Aid	Federal Work Study funding
U.C., San Diego La Jolla, CA Davell Jackson-Brown, Coordinator Conference Services	Room and board at a rate no higher than standard academic year residential rate
Georgetown University Washington, DC Dennis A. Williams, Director Center for Minority Educational Affairs and Academic Services	Designates one full time CMEA employee as principal contact person to coordinate all Georgetown summer site preparations; access to CMEA office facilities and equipment; interaction with Community Scholars summer bridge participants
Georgetown University Washington, DC Juan C. Gonzalez, Vice President for Student Affairs	Support for program; guest speaker during Georgetown summer program for motivation and sharing of his own experience as UB participant

<b>Community Organizations</b>	<b>Resources Committed</b>
City of El Monte Police Department Ken Weldon, Chief	referrals of potential “at risk” applicants and follow up on students referred to and who participate in Upward Bound; collaboration in community volunteer projects
Bilingual Foundation of the Arts Los Angeles, CA Aracelly Alvarez, Managing Director	reduced group rates
The J. Paul Getty Museum Malibu, CA Jaime Villaneda, Education Specialist for Community Audiences	summer and academic year participation in high school level educational tours, seminars, and classes; lessons tailored specifically to student needs and academic studies, pre-visit presentations, materials, and in-service training for teachers
Grupo de Teatro SINERGIA and Teatro FRIDA KAHLO Los Angeles, CA Ruben Amavizca, Artistic Director	special school discount rates and post show discussions with director and actors
The Huntington Library San Marino, CA	access to world renowned library collections, art galleries, and botanical gardens

Lisa M. Blackburn, Communications Coordinator	
Norton Simon Museum Pasadena, CA Jennifer Stevens, Education Assistant	private tour for Upward Bound students before the museum is open to the public conducted by staff art historians

**The following legislative and government agencies, research institutes and medical facilities have committed to providing *summer internships and mentors* for our program.**

United States Congress  
Washington, DC  
Congressmember Hilda Solis  
House of Representatives, 31<sup>st</sup> District

Hispanic Link Journalism Foundation  
Washington, DC  
Hector Ericksen-Mendoza,  
Executive Director

United States Congress  
Washington, DC  
Congressmember Grace Napolitano  
House of Representatives, 34<sup>th</sup> District

California State Senate  
Sacramento, CA  
Deborah V. Ortiz  
Senator, 60<sup>th</sup> District

Hispanic Division  
Library of Congress  
Washington, DC  
Georgette Dorn, Chief

California State Senate  
Sacramento, CA  
Michael J. Machado  
Senator, 5<sup>th</sup> District

Office of General Counsel  
Library of Congress  
Washington, DC  
Elizabeth Pugh, General Counsel

California State Senate  
Sacramento, CA  
Nell Soto  
Senator, 32<sup>nd</sup> District

Copyright Office  
Library of Congress  
Washington, DC  
Marilyn J. Kretsinger,  
Associate General Counsel

California State Senate  
Sacramento, CA  
John Vasconcellos  
Senator, 13<sup>th</sup> District

Employee Relations  
Library of Congress  
Washington, DC  
John W. Singleton, Chief

California State Assembly  
Sacramento, CA  
Herb J. Wesson, Jr.  
Speaker of the Assembly, 47<sup>th</sup> District

Office of Public Affairs  
Georgetown University  
Washington, DC  
Daniel Porterfield,, Vice President

California State Assembly  
Sacramento, CA  
Robert M. Hertzberg  
Speaker Emeritus of the Assembly, 40<sup>th</sup> District

The following legislative and government agencies, research institutes and medical facilities have committed to providing *summer internships and mentors* for our program.

United States Senate  
Commission on Art  
Washington, DC  
Diane K. Skvarla, Senate Curator

California State Assembly  
Sacramento, CA  
Macro Antonio Firebaugh  
Majority Floor Leader, 50<sup>th</sup> District

California State Assembly  
Sacramento, CA  
Dennis Cardoza  
Assemblymember, 26<sup>th</sup> District

California National Organization for Women  
Sacramento, CA  
Helen Grieco, Executive Director

California State Assembly  
Sacramento, CA  
Simón Salinas  
Assemblymember, 28<sup>th</sup> District

The Scripps Research Institute  
La Jolla, CA  
George F. Koob, Ph.D.  
Director, Division of Psychopharmacology

California State Assembly  
Sacramento, CA  
Virginia Strom-Martin  
Assemblymember, 1<sup>st</sup> District

The Scripps Research Institute  
La Jolla, CA  
Marianne Manchester, Ph.D.  
Assistant Professor, Department of Cell Biology

California State Assembly  
Sacramento, CA  
Darrell Steinberg  
Assemblymember, 9<sup>th</sup> District

California State Assembly  
Sacramento, CA  
Jeanice Warden  
Assembly Rules Committee

California State Assembly  
Sacramento, CA  
Sarah Reyes  
Assemblymember, 31<sup>st</sup> District

Stephen Birch Aquarium  
Scripps Institute of Oceanography  
La Jolla, CA  
Terri Brookhart, Volunteer Coordinator

The Burnham Institute  
La Jolla, CA  
Larry Adelman, Director of Safety

The Burnham Institute  
La Jolla, CA  
Buddy Charbono, Animal Resources Manager

Department of Veterans Affairs  
Medical Center  
San Diego, CA  
Obed Fernandez, MSW  
Minority Liaison Specialist

Southwest Fisheries Science Center  
United States Department of Commerce  
La Jolla, CA  
Ginny Hostler, Coordinator  
College Internship Programs

The following legislative and government agencies, research institutes and medical facilities have committed to providing *summer internships and mentors* for our program.

Department of Veterans Affairs  
Medical Center  
San Diego, CA  
Jane M. Edens, BSN, RN  
Manager, Nursing Personnel Resources

Hispanic Center of Excellence  
UCSD School of Medicine  
La Jolla, CA  
Percy Russell, Ph.D.  
Emeritus Associate Dean

Department of Veterans Affairs  
Medical Center  
San Diego, CA  
Russell Bound LPTA  
Physical Therapy Department

Department of Veterans Affairs Medical Center  
San Diego, CA  
D. Anthony Mande, Medical Instrument Technician  
Linda G. Hunt, Supervisor  
Intensive Care Laboratory

California State Senate  
Sacramento, CA  
Martha M. Escutia  
Senator, 30<sup>th</sup> District

California State Senate  
Sacramento, CA  
Dean Florez  
Senator, 16<sup>th</sup> District

Congressional Research Service  
Library of Congress  
Washington, DC  
Jennifer D. Williams, Ph.D.  
Project Management Coordinator

## V. Quality of Personnel

**(1) The qualifications required of the project director, including formal training or work experience in fields related to the objectives of the project and experience in designing, managing, or implementing similar projects are appropriate and clearly identified [645.31(e)(1)].**

JOB TITLE	QUALIFICATIONS
<p><b>Director</b> current: Mary L. Ferrel meets all listed qualifications.</p>	<ul style="list-style-type: none"> <li>• Master’s Degree (MA/MS) in education or related field <b>preferred but not required.</b></li> <li>• Bachelor’s Degree (BA/BS) required.</li> <li>• At least four years administrative experience in a TRIO program or other social service agency or school that serves disadvantaged youth. Experience must have involved the following:               <ul style="list-style-type: none"> <li>a) direct supervision of professional teachers or social work practitioners</li> <li>b) budget preparation and control</li> <li>c) significant proposal development responsibilities</li> <li>d) staff and program evaluation experience</li> </ul> </li> <li>• At least three years of instructional and/or curriculum development experience.</li> <li>• Demonstrated in-depth knowledge of the various Upward Bound program components especially the following areas:               <ol style="list-style-type: none"> <li>1. residential program planning and supervision</li> <li>2. federal regulation compliance</li> <li>3. relevant computer tracking and budgeting software</li> <li>4. parent support and education.</li> </ol> </li> <li>• Personal and/or professional experience that has generated an understanding of the psychological, behavioral and educational issues affecting the learning of low income, potential first generation college bound youth.</li> <li>• Significant experience in organizing and leading extended outdoor education and academic enrichment activities and trips.</li> <li>• Fluency in a second language spoken by the community members served (Spanish, Vietnamese, Cambodian, Tagalog) strongly preferred but not required</li> <li>• A valid California driver’s license and an excellent driving record</li> <li>• First aid and CPR certification</li> </ul>

**(2) The qualifications required of each of the other personnel to be used in the project, including formal training or work experience in fields related to the objectives of the project are appropriate and clearly identified [645.31(e)(2)].**

In addition to the qualifications listed in the tables, each academic year and summer job position offered in our grant requires the following: 1) **Personal and professional experience that has generated an understanding of the psychological, behavioral and educational issues affecting the learning of low income, potential first generation college bound youth,** 2)

Fluency in a second language spoken by the community members served (Spanish, Vietnamese, Cambodian, Tagalog) strongly preferred but not required, 3) A valid California driver’s license and an excellent driving record, and 4) First aid and CPR certification. For more information about current staff qualifications, please review resumes found in Appendix B of this proposal.

<b>JOB TITLE</b>	<b>QUALIFICATIONS</b>
<p><b>Assistant Director</b> current: <i>Ruby Bañuelos</i> meets all listed qualifications</p>	<ul style="list-style-type: none"> <li>• Master’s Degree (MA/MS) in education or related field <b>preferred but not required</b></li> <li>• Bachelor’s Degree (BA/BS) required</li> <li>• A minimum of three years experience in a TRIO program or other social service agency or school that serves disadvantaged youth</li> <li>• Demonstrated successful experience in the following:               <ul style="list-style-type: none"> <li>a) residential supervision of high school or college age youth</li> <li>b) collaboration with professional teachers and administrators</li> <li>c) instructional and/or curriculum development</li> <li>d) organizing and planning complex projects and activities</li> </ul> </li> <li>• A valid teaching credential preferred but not required</li> <li>• Working knowledge of culture and arts resources in the Los Angeles County area in order to coordinate cultural and arts enrichment trips</li> </ul>
<p><b>Program Coordinator</b> current: <i>Angie Covarrubias</i> meets all listed qualifications.</p>	<ul style="list-style-type: none"> <li>• Bachelor of Arts degree required. Undergraduate major or graduate concentration in English or composition preferred but not required</li> <li>• A minimum of two years experience in a TRIO program or other social service agency or school that serves disadvantaged youth</li> <li>• Demonstrated success in organizing and planning complex projects and activities</li> <li>• At least two years of experience in a residential summer or year-round program for high school students</li> <li>• Significant experience leading outdoor education activities</li> </ul>

<b>JOB TITLE</b>	<b>QUALIFICATIONS</b>
<b>Academic Coordinator</b> We are in the process of filling this currently open position.	<ul style="list-style-type: none"> <li>• Bachelor of Science degree required. Undergraduate major or graduate concentration in math or science field preferred but not required</li> <li>• Significant experience with social service agencies or institutions that serve disadvantaged youth</li> <li>• Excellent knowledge of college and financial aid application process</li> <li>• At least two years of experience in a residential summer or year-round program for high school students</li> </ul>
<b>Senior Secretary</b> current: <i>Leticia Molina</i> meets all listed qualifications.	<ul style="list-style-type: none"> <li>• High School Diploma. One to two years of courses beyond high school in college or business school preferred but not required</li> <li>• A minimum of three years of secretarial or office experience required.</li> <li>• Excellent verbal and written communication skills</li> <li>• Excellent organizational skills</li> <li>• Financial record keeping experience</li> <li>• Strong computer skills, including knowledge of the following:               <ul style="list-style-type: none"> <li>▪ Microsoft Office</li> <li>▪ FileMaker Pro</li> <li>▪ Adobe Photoshop and Pagemaker</li> </ul> </li> <li>• Ability to compose and type correspondence and other documents</li> </ul>
<b>Part time Tutorial Coordinator</b> current: <i>Arturo Preciado</i> meets all listed qualifications.	<ul style="list-style-type: none"> <li>• Bachelor's degree (BA/BS) required</li> <li>• California teaching credential preferred but not required</li> <li>• Classroom instructional and supervision experience</li> <li>• Upward Bound summer instructor work experience preferred but not required</li> <li>• Experience with an Upward Bound grant in some capacity preferred but not required</li> </ul>
<b>Part time Saturday Instructor</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree (BA/BS) required</li> <li>• California teaching credential preferred but not required</li> <li>• Excellent knowledge of the subject area to be taught in seminars</li> <li>• Classroom instructional and supervision experience</li> <li>• Upward Bound summer instructor work experience preferred but not required</li> <li>• Experience with an Upward Bound grant in some capacity preferred but not required</li> </ul>
<b>Academic Year Tutor</b> current: 66 Claremont College student meet all listed qualifications.	<ul style="list-style-type: none"> <li>• Currently enrolled college student at the Claremont Colleges</li> <li>• Currently qualify to receive work study funds from their respective college</li> <li>• Demonstrated willingness to work with low income, potential first generation college bound students</li> <li>• Demonstrated enthusiasm for teaching and learning</li> <li>• Ability to tutor in various academic areas specifically math, science, English, social science, and foreign language</li> <li>• Willingness to commit to one or two afternoons each week and/or Saturday tutorials</li> </ul>

Because our summer staff changes each year, we have included in Appendix B resumes from staff hired for summer 2002 as samples.

<b>JOB TITLE</b>	<b>QUALIFICATIONS</b>
<b>Summer Residential Coordinator</b>	<ul style="list-style-type: none"> <li>• Master’s degree (MA/MS) preferred but not required</li> <li>• Bachelor’s degree (BA/BS) required</li> <li>• A minimum of two year full time administrative and/or instructional experience at the high school or college level, or significant experience in residential settings</li> <li>• Demonstrated ability to organize, plan, and supervise</li> <li>• Demonstrated success working with youth groups, particularly historically underrepresented students</li> <li>• Possesses personal characteristics appropriate for residential living and instruction (such as sensitivity, sense of humor, resilience, compassion, and the ability to establish good rapport with program staff and participants)</li> <li>• Educational and/or economic background similar to target population preferred but not required</li> <li>• Experience coordinating and leading outdoor recreational activities preferred but not required</li> </ul>
<b>Summer Residential Instructor</b>	<ul style="list-style-type: none"> <li>• Bachelor’s degree (BA/BS) required</li> <li>• Significant experience working with disadvantaged youth</li> <li>• Excellent knowledge of the field the instructor will teach during the summer course</li> <li>• Demonstrated instructional excellence</li> <li>• Familiarity with a wide range of pedagogy and instructional approaches</li> <li>• Knowledge of and experience with a wide range of assessment approaches</li> <li>• At least one year of experience in a residential summer or year-round program for high school students preferred but not required</li> </ul>
<b>Summer Residential Tutor</b>	<ul style="list-style-type: none"> <li>• Currently enrolled and achieving academic success in a four year college or university</li> <li>• Demonstrated enthusiasm for teaching and learning</li> <li>• Ability to tutor in the assigned summer course</li> <li>• Demonstrated ability to supervise high school students in small and large group settings</li> <li>• Demonstrated understanding of program objectives and philosophy.</li> <li>• College residential living experience</li> </ul>

**(3) The applicant’s plan for employing personnel who have succeeded in overcoming barriers similar to those confronting the project’s target population is of high quality and has a proven success record [645.31(e)(3)].**

1. All jobs include the following eligibility requirement: Personal and professional experience that has generated an understanding of the psychological, behavioral and educational issues affecting the learning of low income, potential first generation college bound youth.
2. Job information is widely disseminated on the national, state, and local levels to attract personnel who have succeeded in overcoming barriers similar to those faced by our students. This is true of both summer residential positions and full-time, permanent, year-round positions.

<b>Plan for Disseminating Job Descriptions to as Wide a Pool of Potential Applicants</b>	
<b>Recruitment</b>	<b>Method</b>
National and State Level	<ul style="list-style-type: none"> <li>• Email postings / web advertisements to the TRIO and WESTOP professional association listserves and publications</li> <li>• Job postings to Monster.com and L.A. Times web sites</li> <li>• Mailings to outside non-profit educational organizations</li> <li>• Mailings to ethnic studies offices and student support service organizations at outside colleges/universities</li> <li>• Mailings to internship mentors to post at internship sites</li> </ul>
California and Southern California	<ul style="list-style-type: none"> <li>• Los Angeles Times Newspaper job listings</li> <li>• Job postings to relevant academic departments at all public colleges and universities in California</li> <li>• Postings to ethnic studies offices and student support service organizations at local colleges/universities</li> <li>• Job postings at target high schools, local churches, community centers, job agencies, and local newspapers</li> </ul>
Claremont Colleges	<ul style="list-style-type: none"> <li>• Claremont Colleges Job Fairs, student mailings, career center postings, flyers.</li> <li>• Job postings to ethnic study centers, graduate programs, and undergraduate programs in relevant disciplines.</li> </ul>
UB Program Alumni	<ul style="list-style-type: none"> <li>• Alumni email newsletter, program web site, alumni reunions, campus tours and tracking contacts</li> </ul>

Over the years our program staff has had tremendous success at recruiting and hiring a diverse team of employees, the overwhelming majority of whom come from low-income, first generation to go to college backgrounds. Currently, all four of our full-time staff members come from this background (two, including the Director, are former Upward Bound students). Last summer, of our twenty-two full-time residential staff members, all but four came from low-income, first generation college bound backgrounds and all had completed or were enrolled in programs to complete Bachelors degrees. Staff members represented every major cultural group, a wide range of geographical areas, and a wide rang of educational experiences (public vs. private colleges, big school vs. small, local vs. out of state, etc.) We believe that this diverse staff provides vital cultural perspective and mentorship to our students.

We put extraordinary energy into the summer staff recruitment process and disseminate job information widely on the local, state, and national levels. We pay particular attention to promoting our positions among historically represented groups, ethnic study centers and programs, colleges and universities with highly diverse student populations, and our own program alumni. Whenever possible we travel to meet candidates or conduct preliminary interviews on the phone to broaden our geographic range and we work closely with the Harvey Mudd Office of Institutional Diversity and the Ethnic Studies Centers of the Claremont Colleges to network and solicit applications. Because we have succeeded in achieving so much diversity in our summer staff, we also employ this group to recruit and solicit future applications for program staff positions.

## 6. Evaluation

**(1) The evaluation plan for the project is of high quality because the applicant’s methods of evaluation are appropriate to the project and include both quantitative and qualitative measures. [645.31(g)(1)].**

The table below describes the year long meeting cycle that full time staff follow to continuously discuss and evaluate the program structure and organization. Meeting three times weekly allows staff to address all issues efficiently in brief but focused meetings.

### Tuesdays: 11 a.m.

<b>Topics Discussed</b> <ul style="list-style-type: none"> <li>• Student attendance and academic concerns</li> <li>• Personal counseling</li> <li>• Academic advising</li> </ul>	<b>Resources used</b> <ul style="list-style-type: none"> <li>• <u>Quantative data</u>: test scores, progress report and semester grades, tutorial and Saturday college attendance rosters</li> <li>• <u>Qualitative data</u>: Feedback from counselors, parents, students, &amp; tutors</li> </ul>	<b>Follow up assignments</b> <ul style="list-style-type: none"> <li>• Assistant Director: Sophomores</li> <li>• Program Coordinator: Juniors</li> <li>• Academic Coordinator: Seniors</li> </ul>
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### Wednesdays: 9 a.m.

<b>Topics Discussed</b> <ul style="list-style-type: none"> <li>• Study hall observations and concerns (students and tutors)</li> <li>• Tutor training workshops</li> </ul>	<b>Resources used</b> <ul style="list-style-type: none"> <li>• Tutorial Coordinator observations/notes</li> <li>• Informal tutor conversations</li> <li>• Tutor evaluations of students and training(end of semester)</li> <li>• Student evaluations of tutors (end of semester)</li> </ul>	<b>Follow up assignments</b> <ul style="list-style-type: none"> <li>• Assistant Director: tutor concerns, coordinator follow up</li> <li>• All staff: contribute and plan training workshops as needed by Assistant Director</li> </ul>
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### Fridays: 9 a.m.

<b>Topics Discussed</b> <ul style="list-style-type: none"> <li>• Saturday program agenda</li> <li>• Weekly program activities</li> <li>• Overall program structure and organization</li> </ul>	<b>Resources used</b> <ul style="list-style-type: none"> <li>• Monthly student evaluation of Saturday programs</li> <li>• Tutor evaluations of students and training</li> <li>• Student evaluations of tutors</li> </ul>	<b>Follow up assignments</b> <ul style="list-style-type: none"> <li>• Assistant Director: math curriculum, arts trips</li> <li>• Program Director: Saturday organization, English curriculum, parent outreach</li> <li>• Academic Coord.: college advising, alumni outreach, college trips</li> </ul>
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## Formal Evaluations and Reports

Evaluation Method	Information gathered
Department of Education Annual Performance Report	Compiled by all full time staff, the annual report summarizes all program activities and evaluates performance in terms of quantifiable program objectives. All data including alumni tracking, final student college placement and high school graduation verification for all seniors is collected on an ongoing basis throughout the year. Drafting of this report goes on throughout the summer, with the Director and Assistant Director composing most of the narrative. An abbreviated version of this report focused on services provided in the past year, numbers of students served, college placement, and alumni persistence data is distributed to staff and faculty at Harvey Mudd College.
Formal Summer Program Evaluation	During the summer, the Director visits each summer project at least 4 times, usually weekly (the Georgetown group is the one exception). While the primary reason for this visit is to provide support and encouragement for project staff and students, the Director also completes formal written and conference based evaluations of the project and staff. Informal conferences occur frequently (site coordinators check in with the Director each day) but a formal conference occurs at the end of week three in order to allow site staff to make necessary changes. Site coordinators also formally evaluate academic classes during the 2 <sup>nd</sup> and 4 <sup>th</sup> week of the summer program.
Post-summer program staff retreat:	For three to five days in late August, the year round staff (Director, Assistant Director, Program Coordinator, Academic Coordinator and Secretary) spend three working days in an on-campus retreat facility reviewing the summer program and planning for the academic year. Staff reviews the students' Final Evaluation of Student Progress, academic portfolios, internship journals, and mentor evaluations as well as their own experiences, observations, and formal evaluations of the summer. A written list of recommended changes to administrative manuals and procedures, summer staff training, internships, academic curricula, and activities is composed and the Director delegates follow up assignments as appropriate. The staff gathers again in December for a second retreat at which progress on this list and plans for the summer are updated and reviewed.
Student and Parent Contact Reports	In November, February, and April the secretary generates detailed reports of our contact with students (time, content area, follow up activities) and parents which the Director, Assistant Director, and Program Coordinator review with the Secretary. Recommendations for follow up with tutors, students, and parents to address concerns are divided up among class advisors. Tutors and students receive copies of the student contact report at the first tutorial in November, February, and April and parents receive copies of this report at the respective parent nights.
Student Evaluations	In September, students complete an evaluation of their summer program experience which is reviewed and acted upon by year long staff at the December Planning Retreat. At the end of each month, students complete a brief written evaluation of Saturday Programs which is reviewed and acted upon by staff

	members at the Friday weekly meeting. Finally, in January and June, students complete evaluations of program tutorial services and their tutors. Staff reviews these evaluations during Wednesday staff meetings.
December Summer Planning and First Semester Evaluation Retreat	In December the staff takes another three-day work retreat to the campus retreat center to review the semester and to complete detailed planning for the summer. Student assessments of first semester as well as tutor evaluations of students and tutor training are reviewed and necessary adjustments are made. But the primary focus during these days is planning for the summer program. Training agendas and manual revisions are reviewed and detailed timelines and checklists are constructed and assigned.
February Counselor Meetings	Each year in early February, as we begin our recruitment drive, the Upward Bound staff and the counselors at each school meet to discuss concerns and objectives for the coming recruitment period and summer program. These informal but frank discussions with the school counselors provide an invaluable perspective on our work and our relationship with students, target schools, and their staffs.
Informal Evaluation with Project Director	At the end of the college academic semester, the director visits each high school tutorial site to meet with the students and solicit their feedback about the program. Students fill out anonymous evaluation forms, but the key evaluation activity is a conversation between the director and the students. Many of our most fundamental program changes have evolved from these meetings.
Tutor Evaluations	At the end of each academic semester, tutors complete formal written evaluations about tutor training and student improvement. These evaluations help us plan tutor training curriculum that address these concerns during future semesters.

**(2) The applicant examines in specific and measurable ways the success of the project in making progress toward achieving its process and outcomes of objectives [645.31(g)(2)].**

**Formative Evaluation**

The previous section explained in detail our ongoing (formative) evaluation methods and the steps we take at staff meetings and other evaluation periods to follow up on these observations. From our weekly staff meeting cycle, formal and informal evaluations of various program components to staff post-summer and pre-summer planning retreats, we work on a continuous basis to assess our efforts and quickly make necessary adjustments in program design, services, or methodology. The Director has primary responsibility for designating which staff members coordinate team efforts to redirect program methods and resources, but each staff

member works cooperatively to keep the grant evolving and improving in response to formal and informal evaluations made throughout the course of our work.

**Summative Evaluation**

Throughout the year, data is also collected in preparation for our more summative evaluations, such as the year end Department of Education Performance report and the condensed performance report we forward to the Harvey Mudd Community, target high school staff, and other community supporters, mentors, and program alumni. The chart below details how we measure progress toward each of our objectives and emphasize summative and qualitative methods and measures. We also reference some of the more qualitative and formative methods we have already discussed in greater detail in section (1) of this report on our evaluation methods.

<b>Objective</b>	<b>Criteria</b>	<b>Documentation</b>	<b>Reported to Whom and When</b>
1. (Process) 130 participants will be served each year. A minimum of 67% or 87 of these students will be both low income and first generation and a maximum of 33% or 43 will be either low income or first generation.	Participant is defined by 645.6., % of goal for students who are both first generation and low income is a minimum; % for one or the other is a maximum.	Application signed by parents and students; family financial statement or a signed tax form	Annual performance report sent to Dept. of Ed., target schools, Harvey Mudd Dean of Faculty, and internship mentors each fall.

Objective	Criteria	Documentation	Reported to Whom and When
<p>2. (Process) 70% of the participants recruited each year will qualify as higher risk students as identified by the Department of Education <b>Invitational Priority</b>. These students will meet one or more of the following criteria: 1) an academic GPA of 2.9 or lower 2) enrolled in less than 3 academic classes, and 3) has potential to pursue secondary education, but no plans to do so.</p>	<p>Participants will meet one or more of the criteria identified on the left.</p>	<p>First semester transcript; course schedule; career interest identified in application; and written counselor and teacher referrals</p>	<p>Annual performance report sent to Dept. of Ed., target schools, and Harvey Mudd Dean of Faculty each fall</p>
<p>3. (Process) The program will provide a six-week summer component for a minimum of 90 participants each summer.</p>	<p>90 participants is a minimum; Participant is defined by 645.6</p>	<p>Stipend signatures,;USDA meal rosters; class evaluations and assessments; and activity rosters are on file for summer site attendance and participation.</p>	<p>Annual performance report sent to Dept. of Ed., target schools, HMC staff, mentors, and community supporters each fall</p>
<p>4. (Outcome) Academic Growth: GPA 50% of program participants will improve their cumulative grade point average by at least .10 at the end of each academic year.</p>	<p>This objective is measured by grades in UC and Cal State University approved electives. Participants are required by educational plan and contract to take full college preparatory load.</p>	<p>Transcripts and transcript evaluation software-generated reports included in annual report and in the student field folder.</p>	<p>Students, tutors, parents, school staff each semester Annual performance report to Dept. of Ed., and Dean of Faculty at Harvey Mudd College</p>
<p>5. (Outcome) Academic Growth: Standardized Tests At least 60% of the participants will improve their national percentile score in <b>two</b> or more of the Stanford 9 test areas: English, math and science.</p>	<p>Students are tested in reading, math and science and improvement measured by grade level equivalents or national percentiles.</p>	<p>Student test results are provided by target high schools, computerized score analysis</p>	<p>Annual performance report sent to Dept. of Ed., target schools, and Harvey Mudd Dean of Faculty each fall</p>

Objective	Criteria	Documentation	Reported to Whom and When
6. (Outcome) 80% of program participants will remain in the program until they complete their secondary education.	Participants are defined by 645.6. Completion of secondary education means graduating from high school measured from point of entry.	Attendance rosters and final High School transcripts	Annual performance report sent to Dept. of Ed., target high school counselors and administrators
7. (Outcome) 95% of participants who participate during their senior year will complete their secondary education and graduate from high school.	Participants who are in the program during their senior year.	High School final transcripts	Annual performance report sent to Dept. of Ed., target high school counselors and administrators
8. (Outcome) 90% of program participants scheduled to complete the project (who begin the 12 <sup>th</sup> grade participating in Upward Bound) will undertake programs of postsecondary education after completing Upward Bound and graduating from high school.	90% of the senior participants will undertake postsecondary education at any level	Photocopies of application and letter of acceptance or enrollment Student affidavit	Annual performance report sent to Dept. of Ed., target high school counselors, administrators, HMC community, alumni, and to internship mentors.
9. (Outcome) 65% of program participants who have completed the program will report each year that they are currently enrolled in or have completed a program of postsecondary education. Students who have not completed a postsecondary program will be monitored for up to six years (longer if they report continued enrollment).	65% of those students who completed the program during their senior year will report themselves enrolled or graduated from any level of postsecondary education.	Phone calls, mail email surveys and if possible, copies of transcripts	Contact twice annually in October and April; Annual performance report sent to Dept. of Ed., target school, Harvey Mudd community; internship mentor updates; and alumni newsletter.

## 7. Budget and Cost Effectiveness

### An adequate and reasonable budget (645.31(f)).

Based on our current level of funding, the budget is both adequate and reasonable. Because of a previous five-year funding award, this budget will not apply until the 04-05 grant year. For this reason, we have calculated it at rate of 6% (3% for each year) above our current funding rate. For a detailed explanation of each budget item, please see the **rationale** in the **budget narrative**. In the table below, we discuss the adequacy and reasonableness of some key budget areas.

Expense	Why Adequate and Reasonable
Staffing and Salaries	Because of our commitments to comprehensive services for “higher need” students (as defined by the <b>Invitational Priority</b> ) and to satellite summer programs with residential staff members, our large staff size and low student / staff ratio are <b>adequate</b> given our objectives and <b>reasonable</b> given our goals. While salaries may look high in a national context, we compete with a California school system that starts credentialed teachers in the low \$40,000’s.
Summer Housing	The innovative design of our summer satellite system gives our predominantly “higher need” (70% of participants) student population a range of opportunities not available if they attend all of their summers locally. Our budget details costs that are <b>adequate</b> to send large groups of students to UCSD, UC Davis, and Georgetown (even as we serve a large group here at Harvey Mudd). These costs are <b>reasonable</b> because we receive reduced billing at UCSD, a \$40,000 goods and services subsidy from Georgetown, and approximately \$12,000 in supplemental Summer Food Service Program funding.
Stipends	Although we only provide summer stipends, our commitment to provide each of the sixty-two students participating in our internship based satellite sites with a \$400 work-study stipend is expensive. These stipends are <b>adequate</b> to help us retain “higher risk” students and <b>reasonable</b> because many of our families cannot afford to completely lose a child’s potential income for the summer.
Tech-nology	Our budget includes <b>adequate</b> funding to continue and expand our on-going initiative to expand computer access for low-income, first-generation college students by lending students laptop computers and integrating laptop computer workstations into each program classroom. These costs are kept <b>reasonable</b> by receiving discounted pricing from the campus bookstore and working with the Harvey Mudd development office to identify supplemental support opportunities.
Student Transportation	The budget includes <b>adequate</b> funding for the transportation needed to operate satellite summer sites hundreds and even thousands of miles away, conduct tutorials twice a week at five schools, and host Saturday programs or enrichment activities every weekend. Costs are kept <b>reasonable</b> by relying on leased vans that are used five days each week during the school year and seven days a week each summer.