

Department of Education
HIGHER EDUCATION
Fiscal Year 2014 Budget Request

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For carrying out, to the extent not otherwise provided, titles III, IV, V, VI, VII, and VIII of the HEA, the Mutual Educational and Cultural Exchange Act of 1961, and section 117 of the Carl D. Perkins Career and Technical Education Act of 2006, \$2,182,799,000: *Provided*, That \$67,607,000 shall be used for data collection, evaluation, research, and demonstration activities relating to programs under the HEA, including activities that are designed to test approaches for providing grant, loan, or work assistance under title IV of the HEA in ways that promote access to, and completion of, affordable and high-quality postsecondary education programs:¹ *Provided further*, That the Secretary may use funds under the preceding proviso for the costs of postsecondary tuition, fees, textbooks, and related costs for students enrolled in postsecondary courses who are participating in evaluation, research, and demonstration activities funded under the preceding proviso:² *Provided further*, That, notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:³ *Provided further*, That, of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities:⁴ *Provided further*, That funds available for part B of title VII may be used for continuation awards authorized under subpart 2 of part D of title VII:⁵ *Provided further*, That up to \$75,000,000 of the funds made available under this Act for part B of title VII may be used: (1) to support projects to develop third-party validation systems that identify competencies, assessments, and curricula for particular fields; or (2) for performance-based awards or other agreements under the Pay for Success program:⁶ *Provided further*, That, with

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respect to the preceding proviso, any funds obligated for such projects or agreements shall remain available for disbursement until expended, notwithstanding 31 U.S.C. 1552(a), and that any funds deobligated from such projects or agreements shall immediately be available for part B of title VII:⁷ *Provided further*, That, with respect to the second preceding proviso, the Secretary may award funds to the types of entities listed in section 741(a) or any other type of entity that the Secretary identifies in the notice inviting applications for such awards:⁸ *Provided further*, That up to \$100,000,000 of the funds made available under this Act for part B of title VII shall be used for awards to develop, implement, and evaluate interventions to help high school students, particularly from low-income families, successfully transition to and succeed in higher education:⁹ *Provided further*, That, of the amount available under subpart 2 of part A of title VII of the HEA, the Secretary may use up to \$1,485,000 to fund continuation awards for projects originally supported under subpart 1 of part A of title VII of the HEA:¹⁰ *Provided further*, That up to 1.5 percent of the funds made available under chapter 2 of subpart 2 of part A of title IV may be used for evaluation.¹¹

NOTES

A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level provided by the continuing resolution.

Each language provision that is followed by a footnote reference is explained in the Analysis of Language Provisions and Changes document, which follows the appropriation language.

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>¹ <u>Provided, That \$67,607,000 shall be used for data collection, evaluation, research, and demonstration activities relating to programs under the HEA, including activities that are designed to test approaches for providing grant, loan, or work assistance under title IV of the HEA in ways that promote access to, and completion of, affordable and high-quality postsecondary education programs:</u></p>	<p>This language authorizes and provides funds to conduct evaluations for programs authorized under the Higher Education Act that do not have funds available for such activities, or where funding is insufficient, as well as to conduct research, evaluations, and demonstrations to test approaches for providing student financial aid in ways that promote postsecondary access and completion.</p>
<p>² <u>Provided further, That the Secretary may use funds under the preceding proviso for the costs of postsecondary tuition, fees, textbooks, and related costs for students enrolled in postsecondary courses who are participating in evaluation, research, and demonstration activities funded under the preceding proviso:</u></p>	<p>This language authorizes the Department to pay costs for high school students or for adults who do not have a high school diploma that would otherwise be allowable under Pell grants.</p>
<p>³ <u>Provided further, That, notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:</u></p>	<p>This language permits International Education programs authorized under Title VI of the Higher Education Act (HEA) and the Mutual Educational and Cultural Exchange Act of 1961 (MECEA) to use funds for visits and study in foreign countries by individuals (in addition to teachers and prospective teachers) who plan to apply their language skills and knowledge in world areas that are vital to United States national security in the fields of government, the professions, or international development.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>⁴ <u>Provided further, That, of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities:</u></p>	<p>This language authorizes the use of funds for program evaluation, national outreach, and information dissemination activities at a level that is up to 1 percent of the amount appropriated for International Education programs authorized by Title VI of the HEA and Section 102(b)(6) of the MECEA.</p>
<p>⁵ <u>Provided further, That funds available for part B of Title VII may be used for continuation awards authorized under subpart 2 of part D of title VII:</u></p>	<p>This language permits the Department to use funds awarded under the Fund for the Improvement of Postsecondary Education (FIPSE) in 2014 to support continuation awards in the Model Transition Programs for Students with Intellectual Disabilities into Higher Education program.</p>
<p>⁶ <u>Provided further, That up to \$75,000,000 of the funds made available under this Act for part B of title VII may be used: (1) to support projects to develop third-party validation systems that identify competencies, assessments, and curricula for particular fields; or (2) for performance-based awards or other agreements under the Pay for Success program:</u></p>	<p>This language allows the Department to use up to \$75 million of the funds awarded under FIPSE in 2014 to support: 1) projects to develop third-party validation systems that identify competencies, assessments, and curricula for particular fields, and 2) performance-based awards under the Pay for Success program.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p><u>⁷ Provided further, That, with respect to the preceding proviso, any funds obligated for such projects or agreements shall remain available for disbursement until expended, notwithstanding 31 U.S.C. 1552(a), and that any funds deobligated from such projects or agreements shall immediately be available for part B of title VII:</u></p>	<p>This language provides that funds appropriated for 1) projects that develop third-party validation systems that identify competencies, assessments, and curricula for particular fields, and 2) performance-based awards for Pay for Success projects made under FIPSE shall remain available for disbursement until expended. The language further provides any deobligated funds for 1) projects to develop third-party validation systems that identify competencies, assessments, and curricula for particular fields, and 2) performance-based awards under the Pay for Success program immediately be made available for FIPSE.</p>
<p><u>⁸ Provided further, That, with respect to the second preceding proviso, the Secretary may award funds to the types of entities listed in section 741(a) or any other type of entity that the Secretary identifies in the notice inviting applications for such awards:</u></p>	<p>This language permits the Department, in the notice inviting applications, to identify the types of entities eligible to receive awards from the funds appropriated for 1) projects that develop third-party validation systems that identify competencies, assessments, and curricula for particular fields, and 2) performance-based awards for Pay for Success projects under FIPSE.</p>
<p><u>⁹ Provided further, That up to \$100,000,000 of the funds made available under this Act for part B of title VII shall be used for awards to develop, implement, and evaluate interventions to help high school students, particularly from low-income families, successfully transition to and succeed in higher education:</u></p>	<p>This language permits the Department to use funds awarded under FIPSE to support projects that develop, implement, and evaluate interventions to help high school students, particularly from low-income families, successfully transition to and succeed in higher education.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>¹⁰ <u>Provided further, That, of the amount available under subpart 2 of part A of title VII of the HEA, the Secretary may use up to \$1,485,000 to fund continuation awards for projects originally supported under subpart 1 of part A of title VII of the HEA:</u></p>	<p>This language permits the Department to use funds awarded under the Graduate Assistance in Areas of National Need in 2014 to fund continuation awards in the Javits Fellowships program.</p>
<p>¹¹ <u>Provided further, That up to 1.5 percent of the funds made available under chapter 2 of subpart 2 of part A of title IV may be used for evaluation.</u></p>	<p>This language permits the Department to use up to 1.5 percent of the funds appropriated for Gaining Early Awareness and Readiness for Undergraduate Programs in 2014 for evaluation.</p>

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Appropriation Adjustments and Transfers
(dollars in thousands)

Appropriation/Adjustments/Transfers	2012	2013	2014
Discretionary:			
Appropriation.....	\$1,873,196	\$1,869,656	\$2,182,799
Across-the-board reduction (P.L. 112-74)	-3,540	0	0
Across-the-board increase (P.L. 112-175).....	<u>0</u>	<u>11,442</u>	<u>0</u>
Total, adjusted discretionary appropriation	1,869,656	1,881,098	2,182,799
Comparative transfers to: <u>Innovation and Instructional Teams</u> for:			
Teacher Quality Partnership.....	-42,833	-42,833	0
Comparative transfer from: <u>Accelerating Achievement and Ensuring Equity</u> for: Special Programs for Migrant Students.....			
	<u>36,526</u>	<u>36,526</u>	<u>0</u>
Total, comparable discretionary appropriation ...	1,863,349	1,874,791	2,182,799
Mandatory:			
Appropriation.....	<u>428,000</u>	<u>428,000</u>	<u>428,000</u>
Total, comparable discretionary and mandatory appropriation.....	2,291,349	2,302,791	2,610,799

NOTE: Amounts for transferred programs exclude the 0.612 percent across-the-board increase provided by P.L. 112-175. The comparable total 0.612 percent across-the-board increase for the account is \$11,442 thousand.

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Summary of Changes
(dollars in thousands)

2012	\$1,863,349
2014	<u>2,182,799</u>
Net change	+319,450

Increases:	<u>2012 base</u>	<u>Change from base</u>
<u>Program:</u>		
<p>Increase funding for International Education and Foreign Language Studies Domestic Programs to support additional projects that strengthen the American education system in the area of foreign languages and international studies.</p>	\$66,586	+\$6,901
<p>Increase funding for the Fund for the Improvement of Postsecondary Education to support the First in the World initiative, which would include an evidence-based competition with a priority for projects designed to improve college access and selection. Funds would also support projects to develop third-party validation systems to facilitate competency-based learning in particular fields and Pay for Success awards to providers of free 2-year degrees.</p>	3,494	+256,506
<p>Increase funding for GPRA Data/HEA Program Evaluation to support data collection, evaluation, research, and demonstration activities relating to programs under the HEA, including activities that are designed to test approaches for providing grant, loan, or work assistance under Title IV of the HEA in ways that promote access to, and completion of, affordable and high-quality postsecondary education programs</p>	607	<u>+67,000</u>
Subtotal, increases		+330,407
Decreases:		
<u>Program:</u>		
<p>Eliminate funding for Model Transition Programs for Students with Intellectual Disabilities into Higher Education because projects to improve the quality of education for disabled students will be funded under FIPSE.</p>	\$10,957	<u>-\$10,957</u>
Net change		+319,450

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Authorizing Legislation

(dollars in thousands)

Activity	2013 Authorized	2013 Estimate	2014 Authorized	2014 Request
Aid for institutional development:				
Strengthening institutions <i>(HEA-III-A-311)</i>	Indefinite	\$80,623	Indefinite	\$80,623
Strengthening tribally controlled colleges and universities <i>(HEA-III-A-316)</i>	Indefinite	25,713	Indefinite	25,713
Strengthening tribally controlled colleges and universities <i>(HEA-III-F-371) (mandatory)</i>	\$30,000 ¹	30,000 ¹	\$30,000 ¹	30,000 ¹
Strengthening Alaska Native and Native Hawaiian-serving institutions <i>(HEA-III-A-317)</i>	Indefinite	12,859	Indefinite	12,859
Strengthening Alaska Native and Native Hawaiian-serving institutions <i>(HEA-III-F-371) (mandatory)</i>	15,000 ¹	15,000 ¹	15,000 ¹	15,000 ¹
Strengthening historically Black colleges and universities <i>(HEA-III-B-323)</i>	Indefinite	227,980	Indefinite	227,980
Strengthening historically Black colleges and universities <i>(HEA-III-F-371) (mandatory)</i>	85,000 ¹	85,000 ¹	85,000 ¹	85,000 ¹
Strengthening historically Black graduate institutions <i>(HEA-III-B-326)</i>	Indefinite	58,958	Indefinite	58,958
Master's degree programs at HBCUs and PBIs <i>(HEA VIII-AA-897) (mandatory)</i>	11,500 ²	11,500 ²	11,500 ²	11,500 ²
Strengthening predominantly Black institutions <i>(HEA-III-A-318)</i>	75,000	9,262	75,000	9,262
Strengthening predominantly Black institutions <i>(HEA-III-F-371)</i> <i>(mandatory)</i>	15,000 ¹	15,000 ¹	15,000 ¹	15,000 ¹
Strengthening Asian American and Native American Pacific Islander-serving institutions <i>(HEA-III-A-320)</i>	Indefinite	3,119	Indefinite	3,119
Strengthening Asian American and Native American Pacific Islander-serving institutions <i>(HEA-III-F-371) (mandatory)</i>	5,000 ¹	5,000 ¹	5,000 ¹	5,000 ¹
Strengthening Native American-serving Nontribal institutions <i>(HEA-III-A-319)</i>	Indefinite	3,119	Indefinite	3,119

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Authorizing Legislation

(dollars in thousands)

Activity	2013 Authorized	2013 Estimate	2014 Authorized	2014 Request
Aid for institutional development:				
Strengthening Native American-serving Nontribal institutions (HEA-III-F-371) (mandatory)	\$5,000 ¹	\$5,000 ¹	\$5,000 ¹	\$5,000 ¹
Minority science and engineering improvement (HEA-III-E-1)	Indefinite	9,466	Indefinite	9,466
Aid for Hispanic-serving institutions:				
Developing Hispanic-serving institutions (HEA-V-A)	Indefinite	100,432	Indefinite	100,432
Mandatory developing HSI STEM and articulation programs (HEA III-F-371(b)(2)(B)) (mandatory)	100,000 ¹	100,000 ¹	100,000 ¹	100,000 ¹
Promoting postbaccalaureate opportunities for Hispanic Americans (HEA-V-B-512) (discretionary)	Indefinite	9,011	Indefinite	9,011
Promoting postbaccalaureate opportunities for Hispanic Americans (HEA-VIII-AA-898) (mandatory)	11,500 ²	11,500 ²	11,500 ²	11,500 ²
Other aid for institutions:				
International education and foreign language studies:				
Domestic programs (HEA-VI-A and B)	Indefinite	66,586	Indefinite	73,487
Overseas programs (MECEA-102(b)(6))	Indefinite	7,451	Indefinite	7,451
Fund for the improvement of postsecondary education (HEA-VII-B)	Indefinite	43,494 ³	Indefinite	260,000
Model comprehensive transition and postsecondary programs for students with intellectual disabilities into higher education (HEA-VII-D-2)	Indefinite ⁴	10,957 ⁴	Indefinite ⁴	0
Tribally controlled postsecondary career and technical institutions (Carl D. Perkins CTEA section 117)	Indefinite	8,131	Indefinite	8,131
Migrant Education: Special programs for migrant students (HEA-IV-A-5)	Indefinite	36,526	Indefinite	36,526

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Authorizing Legislation

(dollars in thousands)

Activity	2013 Authorized	2013 Estimate	2014 Authorized	2014 Request
Assistance for students:				
Federal TRIO programs (<i>HEA-IV-A-2-1</i>)	Indefinite	\$839,932	Indefinite	\$839,932
Gaining early awareness and readiness for undergraduate programs (<i>HEA-IV-A-2-2</i>)	Indefinite ⁵	302,244 ⁵	Indefinite ⁵	302,244 ⁵
Scholarships and fellowships:				
Graduate assistance in areas of national need (<i>HEA-VII-A-2</i>)	\$35,000	30,909	\$35,000	30,909
Child care access means parents in school (<i>HEA-IV-A-7</i>)	Indefinite	15,970	Indefinite	15,970
GPRA data/HEA program evaluation (<i>Department of Education Appropriations Act</i>)	607 ⁶	607 ⁶	67,607 ⁶	67,607 ⁶
College access challenge grants program (<i>HEA-VII-E</i>) (mandatory)	150,000 ⁷	150,000 ⁷	150,000 ⁷	150,000 ⁷
<u>Unfunded authorizations:</u>				
Interest subsidy grants (<i>HEA-I-121</i>)	Indefinite	0	Indefinite	0
Hawkins Centers of Excellence (<i>HEA-II-B-2</i>) (discretionary)	Indefinite	0	Indefinite	0
Endowment challenge grants (<i>HEA-III-C-331</i>)	Indefinite	0	Indefinite	0
Programs in STEM Fields (<i>HEA-III-E-2</i>)	Indefinite	0	Indefinite	0
Science and technology advanced foreign language education (<i>HEA-VI-D-637</i>)	Indefinite	0	Indefinite	0
Byrd honors scholarships (<i>HEA-IV-A-6</i>)	Indefinite	0	Indefinite	0
Loan repayment for civil legal assistance attorneys (<i>HEA-IV-B, section 428L</i>)	Indefinite	0	Indefinite	0
International education and foreign language studies:				
Institute for international public policy (<i>HEA-VI-C</i>)	Indefinite	0	Indefinite	0
Javits fellowships (<i>HEA-VII-A-1</i>)	30,000	0	30,000	0
Thurgood Marshall legal educational opportunity program (<i>HEA-VII-A-3</i>)	5,000	0	5,000	0

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Authorizing Legislation

(dollars in thousands)

Activity	2013 Authorized	2013 Estimate	2014 Authorized	2014 Request
<u>Unfunded authorizations (cont'd):</u>				
Master's degree programs at historically Black colleges and universities (HEA-VII-A-4-723)	Indefinite	0	Indefinite	0
Master's degree programs at predominantly Black institutions (HEA-VII-A-4-724)	Indefinite	0	Indefinite	0
Demonstration projects to support postsecondary faculty, staff, and administrators in educating students with disabilities (HEA-VII-D-1)	Indefinite	0	Indefinite	0
Model demonstration program to support improved access to postsecondary instructional materials for students with print disabilities (HEA-VII-D-3)	Indefinite	0	Indefinite	0
National Technical Assistance Center (HEA-VII-D-4(a))	Indefinite	0	Indefinite	0
College access challenge grant program (HEA-VII-E) (discretionary)	Indefinite	0	Indefinite	0
Project GRAD (HEA-VIII-A)	Indefinite	0	Indefinite	0
Mathematics and science scholars program (HEA-VII-B)	Indefinite	0	Indefinite	0
Business workforce partnerships for job skill training in high growth occupations or industries (HEA-VIII-C)	Indefinite	0	Indefinite	0
Capacity for nursing students and faculty (HEA-VIII-D)	Indefinite	0	Indefinite	0
American history for freedom (HEA-VIII-E)	Indefinite	0	Indefinite	0
Patsy T. Mink fellowship program (HEA-VIII-G)	Indefinite	0	Indefinite	0
Improving college enrollment by secondary schools (HEA-VIII-H)	Indefinite	0	Indefinite	0
Early childhood education professional development and career task force (HEA-VIII-I)	Indefinite	0	Indefinite	0
Improving science, technology, engineering, and mathematics education with a focus on Alaska Native and Native Hawaiian students (HEA-VIII-J)	Indefinite	0	Indefinite	0

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HIGHER EDUCATION

Authorizing Legislation

(dollars in thousands)

Activity	2013 Authorized	2013 Estimate	2014 Authorized	2014 Request
<u>Unfunded authorizations cont'd):</u>				
Pilot programs to increase college persistence and success <i>(HEA-VIII-K)</i>	Indefinite	0	Indefinite	0
Student safety and campus emergency management <i>(HEA-VIII-L-821)</i>	Indefinite	0	Indefinite	0
Education disaster and emergency relief loan program <i>(HEA-VIII-L-824)</i>	Indefinite	0	Indefinite	0
Low tuition <i>(HEA-VIII-M)</i>	Indefinite	0	Indefinite	0
College partnership grants <i>(HEA-VIII-O)</i>	Indefinite	0	Indefinite	0
Jobs to careers <i>(HEA-VIII-P)</i>	Indefinite	0	Indefinite	0
Rural development grants for rural-serving colleges and universities <i>(HEA-VIII-Q)</i>	Indefinite	0	Indefinite	0
Campus-based digital theft prevention <i>(HEA-VIII-R)</i>	Indefinite	0	Indefinite	0
University sustainability programs <i>(HEA-VIII-U-881)</i>	Indefinite	0	Indefinite	0
Cooperative education <i>(HEA-VIII-N)</i>	Indefinite	0	Indefinite	0
Modeling and simulation programs <i>(HEA-VIII-V)</i>	Indefinite	0	Indefinite	0
Path to success program <i>(HEA-VIII-W)</i>	Indefinite	0	Indefinite	0
School of veterinary medicine competitive grant program <i>(HEA-VIII-X)</i>	Indefinite	0	Indefinite	0
Early Federal Pell Grant commitment demonstration program <i>(HEA-VIII-Y)</i>	Indefinite	0	Indefinite	0
Grants to states for workplace and community transition training for incarcerated individuals <i>(Higher Education Amendments of 1998-VIII-D)</i>	Indefinite	0	Indefinite	0
B.J. Stupak Olympic scholarships <i>(Higher Education Amendments of 1992, Section 1543)</i>	Indefinite	0	Indefinite	0

Authorizing Legislation
(dollars in thousands)

Activity	2013 Authorized	2013 Estimate	2014 Authorized	2014 Request
<u>Unfunded authorizations (cont'd):</u>				
Underground railroad program (<i>Higher Education Amendments of 1998-VIII-H</i>)	<u>\$3,000</u>	<u>0</u>	<u>\$3,000</u>	<u>0</u>
Total definite authorization	576,607		643,607	
Total discretionary appropriation		\$1,863,349		\$2,182,799
Portion of request not authorized		607		67,607
Total mandatory appropriation		428,000		428,000
Total appropriation including 0.612 percent ATB increase		1,881,097		

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¹ Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through fiscal year 2019.

² Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through fiscal year 2014.

³ Includes \$1,128 thousand for Training and Job Placement of Realtime Writers.

⁴ Of the amount appropriated, funds must be reserved for a cooperative agreement to establish a Coordinating Center under Section 777(b) of the HEA, for an amount that is (1) not less than \$240,000 for any year in which the appropriation for this program is \$8,000 thousand or less; or equal to 3 percent of the amount appropriated for this program for any year if the appropriation is greater than \$8,000 thousand.

⁵ Of the amount appropriated, not less than 33 percent shall be used for State Grants and not less than 33 percent shall be used for Partnership Grants.

⁶ The program is authorized in fiscal year 2013 through appropriations language. The Administration proposes to continue funding this program in fiscal year 2014 through appropriations language.

⁷ Mandatory funds made available in fiscal year 2010 and each succeeding fiscal year through fiscal year 2014.

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Appropriations History (dollars in thousands)

Year	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2005	\$1,977,028	\$1,976,056	\$2,148,458	\$2,117,195
2005 Rescission	---	---	---	-496
2006	1,202,315	1,936,936	2,112,958	1,951,052
2007	1,108,711	N/A ¹	N/A ¹	1,951,053 ^{1,2}
2008 Discretionary	1,837,737	2,184,533	2,040,302	2,036,851
2008 Mandatory		378,000	378,000	378,000
2009 Discretionary	1,733,684	2,080,881 ³	1,856,2143 ³	2,100,150
2009 Mandatory	401,000	401,000	401,000	401,000
Recovery Act Supplemental (P.L. 111-5)	0	100,000	50,000	100,000
2010 Discretionary	2,050,191	2,294,882	2,106,749 ⁴	2,255,665
2010 Mandatory	80,000	80,000	80,000	485,000
2011 Discretionary	2,131,493	2,177,915 ⁵	2,243,895 ⁴	1,903,944 ⁶
2011 Mandatory	80,000	485,000	485,000	485,000
2012 Discretionary	2,277,069	1,628,052 ⁷	1,903,946 ⁷	1,869,656
2012 Mandatory	428,000	428,000	428,000	428,000
2013 Discretionary	1,950,590	1,869,656 ⁸	1,911,348 ⁸	1,881,098 ⁹
2013 Mandatory	428,000	428,000	428,000	428,000
2014 Discretionary	2,182,799			
2014 Mandatory	428,000			

¹ This account operated under a full-year continuing resolution (P.L. 110-5). House and Senate allowances are shown as N/A (Not Available) because neither body passed a separate appropriations bill.

² Total excludes \$30,000 thousand appropriated in Chapter 7 of P.L. 110-28, the Troops Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, May 25, 2007.

³ The levels for the House and Senate allowances reflect action on the regular annual 2009 appropriations bill, which proceeded in the 110th Congress only through the House Subcommittee and the Senate Committee.

⁴ The level for the Senate allowance reflects Committee action only.

⁵ The levels for the House allowance reflects the House-passed full-year continuing resolution.

⁶ The level for appropriation reflects the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (P.L. 112-10).

⁷ The level for the House allowance reflects an introduced bill; the level for the Senate allowance reflects Senate Committee action only.

⁸ The level for the House and Senate allowances reflect action on the regular annual 2013 appropriations bill, which proceeded in the 112th Congress only through the House Subcommittee and the Senate Committee.

⁹ The amount shown includes the 0.612 percent across-the-board increase provided by P.L. 112-175, in effect through March 27, 2013.

HIGHER EDUCATION

Significant Items in FY 2013 Appropriations Reports

Title VI International Education and Foreign Languages Studies Programs

Senate: The increase in funds over the fiscal year 2012 level should be used to support new awards in the Undergraduate International Studies and Foreign Language program. The Committee recognizes that study abroad helps prepare students to function effectively in a global environment and recommends funding to expand access to study abroad, as authorized by section 604(b) of the HEA, particularly for underserved student populations and to nontraditional destinations, especially in developing countries.

Response: The 2013 continuing resolution does not include an increase in funding for this activity.

Analysis of Federal Regulations and Reporting Requirements on Institutions of Higher Education

Senate: Analysis of Federal Regulations and Reporting Requirements on Institutions of Higher Education.—The Committee directs \$1,000,000 for the Secretary to enter into an agreement with the National Research Council of the National Academy of Sciences to conduct a study on the impacts of Federal regulations and reporting requirements on institutions of higher education as authorized under section 1106 of the Higher Education Opportunity Act of 2008. The study shall include information describing, by agency, the number of Federal regulations and reporting requirements affecting institutions of higher education, the estimated time required and costs to institutions of higher education (disaggregated by types of institutions) to comply with the regulations and reporting requirements affecting institutions of higher education, and recommendations for consolidating, streamlining, and eliminating redundant and burdensome Federal regulations and reporting requirements affecting institutions of higher education. The study shall be submitted to the Senate and House Committees on Appropriations, as well as the Committee on HELP and the Committee on Education and the Workforce not later than 1 year after the date of enactment of this act.

Response: The 2013 continuing resolution does not include funds for this study.

HIGHER EDUCATION

Significant Items in FY 2013 Appropriations Reports

Model Comprehensive Transition and Postsecondary Programs for Students With Intellectual Disabilities

Senate: The Committee is aware that the national coordinating center has been unable to collect data about the characteristics of students served, course access, employment, and costs associated with creating these services because its evaluation system has yet to be approved. It is important for the Committee to learn which supports are successful in improving educational and employment outcomes for students with intellectual disabilities. Therefore, the Committee urges the Department, in coordination with OMB, to finalize the national coordinating center's evaluation.

Response: The national coordinating center convened a panel of higher education professionals, researchers, and practitioners to develop program standards to help guide the creation of a pilot evaluation system. The resulting evaluation tool was reviewed in 2011 by the 27 existing Model Comprehensive Transition and Postsecondary Programs for Students with Intellectual Disabilities (TPSID) grantees. The center submitted the evaluation tool to OMB for approval in August 2011, made substantial revisions of the tool based on OMB feedback, and resubmitted it for approval, which it received in August 2012. From September 2012 through December 2012, grantees entered data for the first 2 project years. The center is currently developing a report on the first 2 years of data.

Federal TRIO Programs

Senate: The Committee is aware that the Department plans to reallocate fiscal year 2012 funds from the McNair Postbaccalaureate Achievement program to the Upward Bound Math-Science program. Recognizing the importance of increasing attainment of doctoral degrees by students from disadvantaged backgrounds, the Committee directs the Department to submit a report, not later than 90 days after enactment of this act, on the impact of any proposed reduction on preparing and assisting students in the pursuit of doctoral degrees. Additionally, the Committee expects to be notified in advance of the obligation of any Federal TRIO funds for fiscal year 2013 and urges the Department to restore any proposed reduction in funding to the McNair Postbaccalaureate Achievement program within available resources.

Response: The Department will comply with these directives.

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(in thousands of dollars)

Account, Program and Activity	Category Code	2012 Appropriation	2013 Appropriation	2014 President's Budget	2014 President's Budget Compared to 2012 Appropriation Amount	Percent
Higher Education						
1. Aid for institutional development:						
(a) Strengthening institutions (HEA III-A, section 311)	D	80,623	80,623	80,623	0	0.000%
(b) Strengthening tribally controlled colleges and universities (HEA III-A, section 316)	D	25,713	25,713	25,713	0	0.000%
(c) Mandatory strengthening tribally controlled colleges and universities (HEA III-F, section 371)	M	30,000	30,000	30,000	0	0.000%
Subtotal		55,713	55,713	55,713	0	0.000%
(d) Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-A, section 317)	D	12,859	12,859	12,859	0	0.000%
(e) Mandatory strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-F, section 371)	M	15,000	15,000	15,000	0	0.000%
Subtotal		27,859	27,859	27,859	0	0.000%
(f) Strengthening HBCUs (HEA III-B, section 323)	D	227,980	227,980	227,980	0	0.000%
(g) Mandatory strengthening HBCUs (HEA III-F, section 371)	M	85,000	85,000	85,000	0	0.000%
Subtotal		312,980	312,980	312,980	0	0.000%
(h) Strengthening historically Black graduate institutions (HEA III-B, section 326)	D	58,958	58,958	58,958	0	0.000%
(i) Master's degree programs at HBCUs and predominantly Black institutions (HEA VIII-AA, section 897)	M	11,500	11,500	11,500	0	0.000%
(j) Strengthening predominantly Black institutions (HEA III-A, section 318)	D	9,262	9,262	9,262	0	0.000%
(k) Mandatory strengthening predominantly Black institutions (HEA III-F, section 371)	M	15,000	15,000	15,000	0	0.000%
Subtotal		24,262	24,262	24,262	0	0.000%
(l) Strengthening Asian American and Native American Pacific Islander-serving institutions (HEA III-A, section 320)	D	3,119	3,119	3,119	0	0.000%
(m) Mandatory strengthening Asian American and Native American Pacific Islander-serving institutions (HEA III-F, section 371)	M	5,000	5,000	5,000	0	0.000%
Subtotal		8,119	8,119	8,119	0	0.000%
(n) Strengthening Native American-serving nontribal institutions (HEA III-A, section 319)	D	3,119	3,119	3,119	0	0.000%
(o) Mandatory strengthening Native American-serving nontribal institutions (HEA III-F, section 371)	M	5,000	5,000	5,000	0	0.000%
Subtotal		8,119	8,119	8,119	0	0.000%
(p) Minority science and engineering improvement (HEA III-E-1)	D	9,466	9,466	9,466	0	0.000%
Subtotal, Aid for institutional development		597,599	597,599	597,599	0	0.000%
Discretionary	D	431,099	431,099	431,099	0	0.000%
Mandatory	M	166,500	166,500	166,500	0	0.000%

NOTES: D = discretionary program, M = mandatory program; FY = fiscal year

FY 2013 discretionary appropriation amounts are based on P.L. 112-175, the Continuing Appropriations Resolution, 2013, that provided appropriations through March 27, 2013. FY 2013 mandatory amounts are either specifically authorized levels, or are based on FY 2013 President's Budget Policy, updated for more recent estimates of mandatory costs, or FY 2014 President's Budget Policy, as applicable.

Detail may not add to totals due to rounding.

(in thousands of dollars)						
Account, Program and Activity		Category Code	2012 Appropriation	2013 Appropriation	2014 President's Budget	2014 President's Budget Compared to 2012 Appropriation Amount Percent
Higher Education (continued)						
2. Aid for Hispanic-serving institutions:						
(a)	Developing Hispanic-serving institutions (HEA V-A)	D	100,432	100,432	100,432	0 0.000%
(b)	Mandatory developing HSI STEM and articulation programs (HEA III-F, section 371(b)(2)(B))	M	100,000	100,000	100,000	0 0.000%
(c)	Promoting postbaccalaureate opportunities for Hispanic Americans (HEA V-B, section 512)	D	9,011	9,011	9,011	0 0.000%
(d)	Mandatory promoting postbaccalaureate opportunities for Hispanic Americans (HEA VIII-AA, section 898)	M	11,500	11,500	11,500	0 0.000%
Subtotal			220,943	220,943	220,943	0 0.000%
Discretionary		D	109,443	109,443	109,443	0 0.000%
Mandatory		M	111,500	111,500	111,500	0 0.000%
3. Other aid for institutions:						
(a) International education and foreign language studies:						
(1)	Domestic programs (HEA VI-A and B)	D	66,586	66,586	73,487	6,901 10.364%
(2)	Overseas programs (MECEA section 102(b)(6))	D	7,451	7,451	7,451	0 0.000%
Subtotal			74,037	74,037	80,938	6,901 9.321%
(b) Fund for the improvement of postsecondary education:						
(1)	Fund for the improvement of postsecondary education/FITW (HEA VII_B)	D	2,366	2,366	260,000	257,634 10889.011%
(2)	Training for realtime writers (HEA VIII-S)	D	1,128	1,128	0	(1,128) -100.000%
Subtotal			3,494	3,494	260,000	256,506 7341.328%
(c) Model transition programs for students with intellectual disabilities into higher education (HEA VII-D-2)						
(d)	Tribally controlled postsecondary career and technical institutions (CTEA section 117)	D	10,957	10,957	0	(10,957) -100.000%
(e)	Special programs for migrant students (HEA IV-A-5) ¹	D	8,131	8,131	8,131	0 0.000%
4. Assistance for students:						
(a)	Federal TRIO programs (HEA IV-A-2, Chapter 1)	D	36,526	36,526	36,526	0 0.000%
(b)	Gaining early awareness and readiness for undergraduate programs (GEAR UP) (HEA IV-A-2, Chapter 2)	D	839,932	839,932	839,932	0 0.000%
(c)	Graduate assistance in areas of national need (HEA VII-A-2)	D	302,244	302,244	302,244	0 0.000%
(d)	Child care access means parents in school (HEA IV-A-7)	D	30,909	30,909	30,909	0 0.000%
5. GPRA data/HEA program evaluation (Department of Education Appropriations Act)						
		D	15,970	15,970	15,970	0 0.000%
6. College access challenge grants program (HEA VII-E)						
		M	607	607	67,607	67,000 11037.891%
		M	150,000	150,000	150,000	0 0.000%
Total			2,291,349	2,291,349	2,610,799	319,450 13.942%
Discretionary		D	1,863,349	1,863,349	2,182,799	319,450 17.144%
Mandatory		M	428,000	428,000	428,000	0 0.000%
Across-the-board 0.612% increase applied to discretionary appropriation, provided in P.L. 112-175.						11,404
Total, Discretionary ¹			1,863,349	1,874,753	2,182,799	319,450 17.144%

NOTES: D = discretionary program, M = mandatory program; FY = fiscal year

FY 2013 discretionary appropriation amounts are based on P.L. 112-175, the Continuing Appropriations Resolution, 2013, that provided appropriations through March 27, 2013. FY 2013 mandatory amounts are either specifically authorized levels, or are based on FY 2013 President's Budget Policy, updated for more recent estimates of mandatory costs, or FY 2014 President's Budget Policy, as applicable.

Detail may not add to totals due to rounding.

¹ Adjusted for comparability. Includes \$36,526 thousand for Special Programs for Migrant Students that was appropriated in the Accelerating Achievement and Ensuring Equity account in FY 2012 and FY 2013. Excludes \$42,833 thousand in fiscal years 2012 and 2013 for Teacher Quality Partnership included in the FY 2014 President's Budget in the Innovation and Instructional Teams account.

Summary of Request

The Department's request for fiscal year 2014 includes \$2.2 billion in discretionary funds for programs in the Higher Education account. This request would support a comprehensive set of programs that will help achieve the President's goal of significantly increasing the percentage of Americans with postsecondary degrees or industry-recognized certificates.

To help close the gap in college enrollment and degree attainment between minority and low-income students and others, the request would provide a total of \$431.1 million in discretionary funding for Title III for the **Aid for Institutional Development** programs, the same as the 2012 appropriation. The request for Title III demonstrates the Administration's commitment to assisting institutions that enroll a large proportion of minority and disadvantaged students by providing funds to improve institutions' academic programs and administrative and fundraising capabilities. Within this amount, the Administration requests \$80.6 million for the **Strengthening Institutions Program**. The Administration is also requesting \$228 million for **Strengthening Historically Black Colleges and Universities** (HBCUs); \$59 million for **Strengthening Historically Black Graduate Institutions** (HBGIs); and \$9.3 million for **Strengthening Predominantly Black Institutions** (PBIs). African Americans have historically lacked access to quality education compared to their White cohorts. The Strengthening HBCUs, Strengthening HBGIs, and Strengthening PBIs grants programs increase the capacity of the HBCUs, HBGIs, and PBIs to provide greater access to academic programs at both undergraduate and graduate levels to African Americans.

Also included in the request for Title III programs is \$25.7 million for the **Tribally Controlled Colleges and Universities** program; \$12.9 million for the **Alaska Native and Native Hawaiian-serving Institutions** program; \$3.1 million for the **Native American-serving Nontribal Institutions** program; and \$3.1 million for the **Asian American and Native American Pacific Islander-serving Institutions** program to support institutions that serve Native American, Alaska Native and Native Hawaiian, and Asian American and Native American Pacific Islander students. Lastly, the Administration is requesting \$9.5 million, the same as the 2012 appropriation for the **Minority Science and Engineering Improvement Program** to help improve science and engineering programs at postsecondary institutions with predominantly minority enrollments.

The Administration requests \$100.4 million in discretionary funding for **Developing Hispanic-serving Institutions** (HSIs), the same as the 2012 appropriation. In addition, the request includes \$9 million, the same as the 2012 appropriation for the **Promoting Postbaccalaureate Opportunities for Hispanic Americans**. This funding demonstrates the Administration's commitment to ensuring that Hispanic students have access to high quality postsecondary education and to closing the gap between Hispanic and non-Hispanic students in areas of academic achievement, high school graduation, postsecondary enrollment, and life-long learning.

Overall, the Administration requests \$81 million for the **International Education and Foreign Language Studies** (IEFLS) programs, \$6.9 million or 9.3 percent, over the 2012 appropriation. The IEFLS programs are designed to help meet the Nation's security and economic needs through the development of expertise in foreign languages and area and international studies. More specifically, the request for IEFLS includes \$73.5 million for the **Domestic Programs**, an increase of \$6.9 million, over the 2012 appropriation; and \$7.5 million, the same as the 2012 appropriation, for the **Overseas Programs**.

Summary of Request (continued)

The Administration requests \$839.9 in discretionary funding for the **Federal TRIO Programs**, the same as the 2012 appropriation. The TRIO request includes funding for Student Support Services, Upward Bound, Upward Bound Math and Science, Veterans Upward Bound, Talent Search, Educational Opportunity Centers, and McNair Postbaccalaureate Achievement. The TRIO programs are the Administration's oldest college preparation and student support programs and they have a long history of providing support to low-income students and students whose parents never completed college. The request for **Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)** would maintain funding at the fiscal year 2012 appropriation level of \$302.2 million. These programs are designed to increase postsecondary access by providing low-income students with the necessary tools to enroll in and successfully complete college.

The Administration also requests \$260 million for the **Fund for the Improvement of Postsecondary Education (FIPSE)** for fiscal year 2014 to support a First in the World (FITW) fund to help ensure that institutions of higher education have access to innovative strategies and practices that have been shown to be effective in improving educational outcomes for students. Up to \$100 million would be set aside for competitive grants for projects designed to improve college access and selection. Additionally, up to \$75 million of FIPSE funds would support projects to develop third-party validation systems to facilitate competency-based learning in specific fields and Pay for Success awards to providers of free 2-year degrees, especially in fields supported by validation systems.

To provide students with additional financial resources, the Administration requests \$30.9 million for **Graduate Assistance in Areas of National Need (GAANN)** to provide merit-based scholarships and fellowships for graduate students. The request for GAANN includes funding for continuation costs for the Javits Fellowships program.

The Administration requests funding of \$67.6 million for **GPRA Data/HEA Program Evaluation (GPRA/HEA)** activities in fiscal year 2014, an increase of \$67 million from the 2012 amount. The funding would allow the Department to conduct evaluations for programs authorized under the Higher Education Act that do not have funds available for such activities, or for where funding set-asides are not sufficient to cover costs, or to collect and analyze data needed to measure program progress. The Administration is requesting an additional \$60 million above the 2012 level to conduct research, evaluations, and demonstrations to test approaches for providing student financial aid in ways that promote postsecondary access, program completion, and high-quality, affordable education programs. Funds would pay for the third year of the evaluation of the Pell grant expansions under the Experimental Sites Study and to pay certain costs associated with establishing or expanding dual enrollment programs, including tuition, fees, books, and supplies for postsecondary coursework for students who are not eligible for Pell grants because they are still enrolled in high school or do not have a high school diploma and the costs of the program evaluation. At the request level, the Department also would be able to support at least one additional demonstration and evaluation, as well as work to improve performance measurement or special studies.

Summary of Request (continued)

The Higher Education Act of 1965, as amended, authorizes and provides the following mandatory funds that are not included in the Administration's fiscal year 2014 budget request:

- \$230 million for each of the fiscal years 2008 through 2019 for existing programs under Titles III and V of the Higher Education Act—\$85 million for **Historically Black Colleges and Universities**, \$30 million for **Tribally Controlled Colleges and Universities**, \$15 million for **Alaska Native and Native Hawaiian-serving Institutions**, and \$100 million for **Developing Hispanic-serving Institutions**.
- \$25 million for each of the fiscal years 2008 through 2019 for other programs that support minority-serving institutions—\$15 million for **Predominantly Black Institutions**, \$5 million for **Asian American and Native American Pacific Islander-serving Institutions**, and \$5 million for **Native American-serving Nontribal Institutions**.
- \$11.5 million for **Master's Degree Programs at Historically Black Colleges and Universities and Predominantly Black Institutions** for each of the fiscal years 2009 through 2014 to provide grants to specified eligible institutions determined to be making a substantial contribution to graduate education opportunities for Black Americans at the master's level in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines.
- \$11.5 million for **Promoting Postbaccalaureate Opportunities for Hispanic Americans** for each of the fiscal years 2009 through 2014 to provide grants to help Hispanic Americans gain entry into and succeed in graduate study, a level of education in which they are underrepresented.
- \$150 million for **College Access Challenge Grants** for each of the fiscal years 2010 through 2014 to support grants to States to promote activities designed to increase the number of low-income students who are prepared to enter and succeed in postsecondary education.

HIGHER EDUCATION

Aid for institutional development

(Higher Education Act of 1965, Title III and Title VIII, Part AA, Section 897)

(dollars in thousands)

FY 2014 Authorization: Indefinite (discretionary), \$166,500¹ (mandatory)

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
Strengthening Institutions (Part A discretionary)	\$80,623	\$80,623 ²	\$80,623	0
Strengthening Tribally Controlled Colleges and Universities				
(Part A discretionary)	25,713	25,713 ²	25,713	0
(Part F mandatory)	30,000	30,000	30,000	0
Strengthening Alaska Native and Native Hawaiian-serving Institutions				
(Part A discretionary)	12,859	12,859 ²	12,859	0
(Part F mandatory)	15,000	15,000	15,000	0
Strengthening Historically Black Colleges and Universities				
(Part B discretionary)	227,980	227,980 ²	227,980	0
(Part F mandatory)	85,000	85,000	85,000	0
Strengthening Historically Black Graduate Institutions (Part B discretionary)	58,958	58,958 ²	58,958	0
Master's Degree Programs at HBCUs and PBIs (Title VIII, Part AA mandatory)				
Master's Degree Programs at HBCUs	9,000	9,000	9,000	0
Master's Degree Programs at PBIs	<u>2,500</u>	<u>2,500</u>	<u>2,500</u>	<u>0</u>
Subtotal	11,500	11,500	11,500	0
Strengthening Predominantly Black Institutions (Part A discretionary)	9,262	9,262 ²	9,262	0
(Part F mandatory)	15,000	15,000	15,000	0
Strengthening Asian American and Native American Pacific Islander-serving Institutions				
(Part A discretionary)	3,119	3,119 ²	3,119	0
(Part F mandatory)	5,000	5,000	5,000	0
Strengthening Native American-serving Nontribal Institutions				
(Part A discretionary)	3,119	3,119 ²	3,119	0
(Part F mandatory)	5,000	5,000	5,000	0
Minority Science and Engineering Improvement Program (Part E discretionary)	<u>9,466</u>	<u>9,466²</u>	<u>9,466</u>	<u>0</u>
Total	597,599	597,599 ²	597,599	0
Discretionary	431,099	431,099 ²	431,099	0
Mandatory	166,500	166,500	166,500	0

¹ These funds are not part of the fiscal year 2014 budget request, but are mandatory appropriations provided under Title III, Part F, Section 371 of the HEA and Title VIII, Part AA, Section 897 of the HEA.

² Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

HIGHER EDUCATION

Aid for institutional development

PROGRAM DESCRIPTION

The Aid for Institutional Development programs, commonly referred to as the Title III programs, are designed to strengthen institutions of higher education that serve high percentages of minority students and students from low-income backgrounds. A low-income individual is defined as an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census. Federal grants made under these programs to eligible institutions are to support improvements in the academic quality, institutional management, and fiscal stability of the institutions. Specifically, the Title III programs provide financial assistance to help institutions solve problems that threaten their ability to survive, to improve their management and fiscal operations, to build endowments, and to make effective use of academic and technological resources. Funding is targeted to minority-serving and other institutions that enroll a large proportion of financially disadvantaged students and have low per-student expenditures.

In addition, from its inception in 1965, one of the primary missions of the Title III programs has been to strengthen the Nation's Historically Black Colleges and Universities. The Higher Education Amendments of 1998 extended that mission to include programs to strengthen Tribally Controlled Colleges and Universities and Alaska Native and Native Hawaiian-serving Institutions. Furthermore, the Higher Education Opportunity Act of 2008 (HEOA), which reauthorized the Higher Education Act of 1965 (HEA), established the Asian American and Native American Pacific Islander-serving Institutions program, the Native American-serving Nontribal Institutions program, and the Predominantly Black Institutions program. The HEOA transferred mandatory funding for Strengthening HBCUs and Other Minority Serving Institutions program from Title IV, Section 499A of the HEA to Title III, Section 371 of the HEA. The HEOA authorizes and appropriates mandatory funding in Title VIII, Section 897 of the HEA for Master's Degree Programs at Historically Black Colleges and Universities (HBCUs) and Predominantly Black Institutions (PBIs). Lastly, the Student Aid and Fiscal Responsibility Act (SAFRA), signed into law on March 30, 2010, amended the HEA to make mandatory funding for minority serving institutions available through fiscal year 2019 under Section 371 of the HEA.

Strengthening Institutions (Part A, Section 311) authorizes competitions for 1-year planning grants and 5-year discretionary development grants. Special consideration is given to institutions that: have endowment funds with a market value per full-time equivalent student less than the market value of endowment funds per full-time equivalent student at similar institutions, and have below average educational and general expenditures per full-time equivalent undergraduate student. Institutions receiving a 5-year grant under this part are not eligible to receive an additional grant under this part until 2 years after the 5-year grant has expired. Institutions may use their Part A funds to plan, develop, and implement activities that encourage faculty and academic program development; improvement in fund and administrative management; joint use of libraries and laboratories; construction, maintenance, renovation, and improvement of instructional facilities; student services; and education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families. To further facilitate the development of eligible institutions, funds can be used to support activities that strengthen an institution's technological capabilities. Institutions may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund.

HIGHER EDUCATION

Aid for institutional development

These endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar.

To participate in the Strengthening Institutions program (SIP), an institution must: award bachelor degrees or be a junior or community college; provide an education program legally authorized by the State in which it is located; and be accredited or be making reasonable progress toward accreditation. An institution must also have below average educational and general expenditures per full-time equivalent undergraduate student and include in its enrollment a significant percentage of financially needy students. The enrollment of needy students criterion may be met if a substantial percentage of the institution's enrolled students are Pell Grant recipients, or if 50 percent of its enrolled students are Title IV need-based aid recipients. If a Strengthening Institution participant receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III of the HEA, or Part A of Title V of the HEA.

Strengthening Tribally Controlled Colleges and Universities (TCCUs) (Part A, Section 316) authorizes 5-year formula-based discretionary grants that enable TCCUs to improve and expand their capacity to serve American Indian students. The term "Tribal College or University" means an institution that qualifies for funding under the Tribally Controlled Colleges and Universities Assistance Act of 1978 (25 U.S.C. 1801 et seq.) or the Navajo Community College Act (25 U.S.C. 640a note); or is cited in Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note). Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, i.e., TCCUs are eligible to receive funding each year. Under Section 371, an appropriation of \$30 million is available for fiscal years 2010-2019 for TCCUs to be used for the same activities currently authorized under Section 316 of the HEA.

The Department may reserve 30 percent of the funds appropriated to award 1-year grants of at least \$1 million for institutional construction, maintenance, and renovation needs at eligible institutions, with a preference given to institutions that did not receive an award in a prior fiscal year. The remaining funds must be allocated according to a formula, with a minimum grant of \$500,000. Sixty percent of the remaining funds (after reservation for construction) are allocated based on Indian student counts at eligible institutions and the other 40 percent of the remaining funds are distributed equally among eligible Tribal Colleges or Universities.

Institutions may use their funds to plan, develop, and implement activities that encourage: faculty and academic program development; improvement in fund and administrative management; construction, maintenance, renovation, and improvement of instructional facilities, including purchase or rental of telecommunications technology equipment or services, and the acquisition of real property adjacent to the campus of the institution on which to construct such facilities; student services; the establishment of a program of teacher education with a particular emphasis on qualifying students to teach Indian children; the establishment of community outreach programs that encourage Indian elementary and secondary school students to develop the academic skills and interest to pursue postsecondary education; education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families; and developing or improving facilities for Internet use or other distance education technologies.

HIGHER EDUCATION

Aid for institutional development

Institutions may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. These endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. If a TCCU receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III of the HEA, or Part A of Title V of the HEA.

Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH) (Part A, Section 317) authorizes competitions for 1-year planning grants and 5-year discretionary development grants that enable these institutions to improve and expand their capacity to serve Alaska Native and Native Hawaiian students. Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, i.e., they are eligible to receive an additional grant after their 5-year grant period expires. Institutions may use their funds to plan, develop, and implement activities that support: faculty and curriculum development; improvement in fund and administrative management; renovation and improvement in classroom, library, laboratory and other instructional facilities; student services; the purchase of library books and other educational materials; and education or counseling services designed to improve the financial literacy and economic literacy of students or the students' families. These institutions are typically located in remote areas not served by other postsecondary educational institutions.

The term "Alaska Native-serving institution" is defined as an institution that meets the definition of an eligible institution under Section 312(b) of the HEA and that, at the time of application, has an undergraduate enrollment that is at least 20 percent Alaska Native students (as defined in Section 7306 of the Elementary and Secondary Education Act). The term "Native Hawaiian-serving institution" is defined as an institution that meets the definition of an eligible institution under Section 312(b) of the HEA that, at the time of application, has an undergraduate enrollment that is at least 10 percent Native Hawaiian students (as defined in Section 7207 of the Elementary and Secondary Education Act). If an Alaska Native or Native Hawaiian-serving institution receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III of the HEA, or Part A of Title V of the HEA.

Under Section 371 of the HEA, \$15 million in mandatory funding is available in each of the fiscal years 2008 through 2019 to be used for the same activities currently authorized under Section 317 of the HEA.

Strengthening Historically Black Colleges and Universities (HBCUs) (Part B, Section 323) authorizes 5-year formula-based discretionary grants to help HBCUs strengthen their infrastructure and achieve greater financial stability. HBCUs may use their funds to plan, develop, and implement activities that support: faculty and academic program development; improvement in fund and administrative management; construction, maintenance, renovation, and improvement of instructional facilities; student services; the establishment of a program of teacher education designed to qualify students to teach in public schools; the establishment of community outreach programs that will encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education; the acquisition of real property in connection with the construction, renovation, or addition to or improvement of campus facilities; education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student

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indebtedness and student assistance programs under Title IV; and services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Department, except that not more than 2 percent of the grant amount may be used for this purpose.

HBCUs may use no more than 20 percent of the grant funds provided under Part B—which must be matched at a rate of one institutional dollar for each Federal dollar—to establish or increase an institution's endowment fund.

A Part B eligible institution is defined as any accredited, legally authorized HBCU that was established prior to 1964 and whose principal mission was, and is, the education of African Americans. Part B, Section 323, appropriations are allocated among HBCUs based on the number of Pell Grant recipients enrolled, the number of graduates, and the percentage of graduates who are attending graduate or professional school in degree programs in which African Americans are underrepresented. The statute provides for a \$250,000 minimum grant for each eligible institution. If an HBCU receives funding under this program, it cannot receive funding under Part A.

Under Section 371 of the HEA, \$85 million is available in mandatory funding in each of the fiscal years 2008 through 2019 for HBCUs. The funds are awarded to HBCUs based on the formula used to allocate funding in the Strengthening HBCUs program authorized under Section 323. Funds are to be used for activities currently authorized under Section 323 with a priority for the following purposes:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Academic instruction in disciplines in which Black Americans are underrepresented;
- Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification; and
- Increasing the college or university's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology/sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

Strengthening Historically Black Graduate Institutions (HBGIs) (Part B, Section 326) authorizes 5-year formula-based discretionary grants to the following 24 postgraduate institutions: Morehouse School of Medicine, Meharry Medical School, Charles R. Drew Postgraduate Medical School, Clark-Atlanta University, Tuskegee University School of Veterinary Medicine, Xavier University School of Pharmacy, Southern University School of Law, Texas Southern University School of Law and School of Pharmacy, Florida A&M University School of Pharmaceutical Sciences, North Carolina Central University School of Law, Morgan State

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University, Hampton University, Alabama A&M, North Carolina A&T State University, University of Maryland Eastern Shore, Jackson State University, Norfolk State University, Tennessee State University, Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie State University, and University of the District of Columbia David A. Clarke School of Law.

A grant under this section can be used for: scholarships and fellowships for needy graduate and professional students; construction, maintenance, renovation, and improvement of instructional facilities; the establishment or maintenance of an endowment fund; establishment or improvement of a development office to strengthen and increase contributions from alumni and the private sector; improvement in fund and administrative management; purchase, rental, and lease of scientific and laboratory equipment for educational purposes; purchase of library books, periodicals, technical and scientific journals, microfilms, microfiches, and other educational materials, including telecommunications program materials; acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or addition to or improvement of campus facilities; education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under Title IV of the HEA; services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Department, except that not more than 2 percent of the grant amount may be used for this purpose; and tutoring, counseling, and student service programs designed to improve academic success.

Section 326 grants are limited to \$1 million unless the HBGI agrees to match 50 percent of the grant funding in excess of \$1 million with non-Federal resources. Institutions are not required to match any portion of the first \$1 million of their award.

An HBGI that received a grant under this section in fiscal year 2008 (and that is eligible to receive a grant after fiscal year 2008) may not receive a grant in subsequent fiscal years that is less than the grant amount received in fiscal year 2008. No institution or university system may receive more than one grant under Section 326 in any fiscal year. If an HBGI receives funding under this program, it cannot receive funding under Title III, Part A of the HEA. In addition, no institution of higher education may receive an HBGI grant while also receiving a grant under the Title V, Part B Promoting Postbaccalaureate Opportunities for Hispanic Americans Program, or the Title VII, Part A, subpart 4 Master's Degree Programs at HBCUs and Predominantly Black Institutions.

Of the amount appropriated: the first \$56.9 million (or any lesser amount appropriated) must be used to make grants to the first 18 HBGIs listed above; any amount appropriated in excess of \$56.9 million but less than \$62.9 million must be used to make grants to Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie State University, and University of the District of Columbia David A. Clarke School of Law; and any amount in excess of \$62.9 million must be made available to each of the 24 HBGIs pursuant to a formula using: (1) an institution's ability to match funds; (2) the number of students enrolled in the postgraduate program; (3) the average cost of education per student enrolled in the postgraduate program; (4) the number of students who received a degree from the postgraduate program in the previous year; and (5) the contribution of the institution as

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calculated by the ratio of programs for which the institution is eligible to receive funds to the number of African Americans receiving graduate or professional degrees in those programs.

Master's Degree Programs at HBCUs and PBIs (Title VIII, Part AA, Section 897) authorizes two master's degree programs to further advance educational opportunities for African Americans: Master's Degree Programs at Historically Black Colleges and Universities (Section 723) and Master's Degree Programs at Predominantly Black Institutions (Section 724). Section 897 of the HEA authorizes and appropriates mandatory funding totaling \$11.5 million annually to provide grants to eligible institutions in these programs for fiscal years 2009 through 2014. Both programs authorize grants of up to 6 years in duration to specified eligible institutions determined to be making a substantial contribution to graduate education opportunities for Black Americans at the master's level in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines.

- Master's Degree Programs at HBCUs authorizes grants to the following 18 institutions: Albany State University; Alcorn State University; Claflin University; Coppin State University; Elizabeth City State University; Fayetteville State University; Fisk University; Fort Valley State University; Grambling State University; Kentucky State University; Mississippi Valley State University; Savannah State University; South Carolina State University; University of Arkansas, Pine Bluff; Virginia State University; West Virginia State University; Wilberforce University; and Winston-Salem State University.
- Master's Degree Programs at PBIs authorizes grants to the following 5 institutions: Chicago State University; Columbia Union College; Long Island University, Brooklyn campus; Robert Morris College; and York College (The City University of New York).

From the amount appropriated to carry out the Master's Degree Programs at HBCUs for any fiscal year: the first \$9 million (or any lesser amount appropriated) must be used to make minimum grant awards of \$500,000 to each eligible institution. If the amount appropriated is not sufficient to cover minimum grants to eligible institutions, each institution's grant award is ratably reduced. Any appropriated amount in excess of \$9 million must be made available to each of the eligible institutions identified in the statute based on: (1) the ability of the institution to match Federal funds with non-Federal funds; (2) the number of students enrolled in the qualified master's degree program at the eligible institution in the previous academic year; (3) the average cost of attendance per student, for all full-time students enrolled in the qualified master's degree program; (4) the number of students who received a degree in the qualified master's degree program in the previous year; and (5) the contribution of the institution as calculated by the ratio of programs for which the institution is eligible to receive funds to the number of African Americans receiving master's degrees in disciplines related to the program.

Likewise, from the amount appropriated to carry out the Master's Degree Programs at PBIs for any fiscal year, the first \$2.5 million (or any lesser amount appropriated) must be used to make minimum grant awards of \$500,000 to each eligible institution. If the amount appropriated is not sufficient to cover minimum grants to eligible institutions, each institution's grant award is ratably reduced. Any appropriated amount in excess of \$2.5 million must be made available to each of the eligible institutions identified in the statute on the same basis as the Master's Degree Programs at HBCUs. An eligible institution that receives a grant under either program in fiscal

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year 2009 (and that is eligible to receive a grant after fiscal year 2009) may not receive a grant in subsequent fiscal years that is less than the grant amount received in fiscal year 2009, unless either the appropriation is not sufficient to provide such grant amounts to all institutions and programs that received program grants, or the institution cannot provide sufficient matching funds to meet program requirements. No institution may receive more than one grant in any fiscal year.

Institutions in each program may use their funds to plan, develop, and implement activities that support: purchase, rental, or lease of scientific or laboratory equipment for educational purposes; construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities; purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials; scholarships, fellowships, and other financial assistance for needy graduate students to permit the enrollment of the students in, and completion of, a master's degree in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines in which African Americans are underrepresented; establishment or maintenance of an institutional endowment; funds and administrative management; acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or improvement of, or an addition to, campus facilities; education or financial information designed to improve the financial literacy and economic literacy of students or the students' families; tutoring, counseling, and student service programs; and faculty professional development, faculty exchanges, and faculty participation in professional conferences and meetings.

An eligible institution may use up to 10 percent of its grant for the development of a new qualified master's degree program defined as a master's degree program in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines in which African Americans are underrepresented and which has students enrolled in the program at the time of application for a grant.

The legislation for both programs require that institutions provide an assurance that 50 percent of the cost of the purposes for which the grant is made will be paid from non-Federal sources to receive a grant in excess of \$1 million. However, the institution is not required to match any portion of the first \$1 million of the institution's award. After funds are made available to each eligible institution under the program funding rules, the Department is required to distribute, on a pro rata basis, any amounts which an institution cannot use due to the failure to meet the matching requirements to those institutions complying with the matching requirement.

An institution that is eligible for and receives an award under HEA's Title III Historically Black Graduate Institutions program (Section 326) or Title V Promoting Postbaccalaureate Opportunities for Hispanic Americans (Section 512) is not eligible to receive grant funding under Section 897—Master's Degree Programs for HBCUs and PBIs—for the same fiscal year. In addition, an institution that receives a grant under Title VII Master's Degree Programs for HBCUs (Sections 723) is not eligible to receive a grant under the Master's Degree Programs for PBIs (Section 724) program and vice versa.

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Strengthening Predominantly Black Institutions (PBIs) (Part A, Section 318) authorizes 5-year formula-based discretionary development grants to help PBIs to plan, develop, undertake, and implement programs to enhance the institution's capacity to serve more low- and middle-income Black American students; to expand higher education opportunities for students by encouraging college preparation and student persistence in secondary school and postsecondary education; and to strengthen the financial ability of the PBIs to serve the academic needs of their students. PBIs may use their funds for activities consistent with those outlined in Section 311(c) of the HEA, academic instruction in disciplines in which Black Americans are underrepresented, establishing or enhancing a program of teacher education designed to qualify students to teach in public elementary or secondary schools, and establishing community outreach programs that will encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education. No more than 50 percent of grant funds awarded may be used for constructing or maintaining a classroom, library, laboratory, or other instructional facility. Institutions may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. Institutions must provide matching funds from non-Federal sources in an amount that is equal to or greater than the Federal funds used for PBI program activities.

Funding is allocated among PBIs according to a formula based on the number of Pell Grant recipients enrolled, the number of graduates, and the percentage of graduates who are attending a baccalaureate degree-granting institution or a graduate or professional school in degree programs in which Black American students are underrepresented. The statute provides for a \$250,000 minimum grant for each eligible institution. If a PBI receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III; or Part A of Title V of the HEA.

The term "Predominantly Black institution" is defined as an institution of higher education that:

- Has a high enrollment of needy students;
- Has an average educational and general expenditure per full-time equivalent undergraduate student that is low in comparison with the average educational and general expenditure per full-time equivalent undergraduate student of institutions of higher education that offer similar instruction;
- Has an enrollment of undergraduate students
 - That is at least 40 percent Black American students;
 - That is at least 1,000 undergraduate students;
 - Of which not less than 50 percent are low-income individuals or first-generation college students (as defined in Section 402A(h) of the HEA); and
 - Of which not less than 50 percent are enrolled in an educational program leading to a bachelor's or associate's degree that the institution is licensed to award by the State in which the institution is located;
- Is legally authorized to provide, and provides within the State, an educational program for which the institution of higher education awards a bachelor's degree, or in the case of a junior or community college, an associate's degree;
- Is accredited by a nationally recognized accrediting agency or association determined by the Department to be a reliable authority as to the quality of training offered, or is, according to such an agency or association, making reasonable progress toward accreditation; and

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- Is not receiving assistance under Part B of Title III or Part A of Title V of the HEA.

This program is different than the Predominantly Black Institutions program authorized under Title III, Part F, Section 371 of the HEA. While both programs serve similar institutions, Section 371 is a mandatory program that awards 25 discretionary grants of \$600,000 for up to 4 years in duration. Grants are to be awarded competitively to eligible institutions of higher education to support programs in any of the following areas: science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males in each of the fiscal years 2008 through 2019. Section 318 awards discretionary development grants to help PBIs to plan, develop, undertake, and implement programs to enhance the institution's capacity to serve more low- and middle-income Black American students and authorizes a broad range of activities.

Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISI) (Part A, Section 320) authorizes 5-year competitive grants to eligible institutions of higher education as defined under Section 312(b) of the HEA that have, at the time of application, an enrollment of undergraduate students that is at least 10 percent Asian American or Native American Pacific Islander students. The term "Asian American" means a person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam as defined in the Office of Management and Budget's Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity as published on October 30, 1997 (62 Federal Register 58789). The term "Native American Pacific Islander" means any descendant of the aboriginal people of any island in the Pacific Ocean that is a territory or possession of the United States. Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, i.e., they are eligible to receive an additional grant after their 5-year grant period expires.

The program authorizes grants that enable these institutions to improve and expand their capacity to serve Asian American and Native American Pacific Islander students and low-income individuals. Institutions may use their funds for the purchase, rental, or lease of scientific or laboratory equipment for educational purposes; renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; purchase of library books, periodicals, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; joint use of facilities, such as laboratories and libraries; academic tutoring and counseling programs and student support services; establishing or improving an endowment fund; academic instruction in disciplines in which Asian American and Native American Pacific Islanders are underrepresented; conducting research and data collection for Asian American and Native American Pacific Islander populations and subpopulations; establishing partnerships with community-based organizations serving Asian American and Native American Pacific Islanders; and education or counseling services designed to improve the financial and economic literacy of students or the students' families. If an Asian American or Native American Pacific Islander-serving institution receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III or Title V of the HEA.

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Under Section 371 of the HEA, \$5 million is available in mandatory funding in each of fiscal years 2008 through 2019 for AANAPISI to carry out activities authorized under Section 311(c) of the HEA—the Strengthening Institutions Program. The mandatory funding provided under Section 371 is available to the same institutions eligible for grants under the AANAPISI program under Section 320. The funding provided under Section 371 may be used for construction in classrooms, libraries, laboratories, and other instructional facilities, an activity that is not authorized under Section 320.

Strengthening Native American-serving Nontribal Institutions (NASNTI) (Part A, Section 319) authorizes 5-year competitive grants to eligible institutions of higher education as defined under Section 312(b) of the HEA that have, at the time of application, an enrollment of undergraduate students that is not less than 10 percent Native American students; and are not a Tribal College or University (as defined in Section 316 of the HEA). The term “Native American” means an individual who is of a tribe, people, or culture that is indigenous to the United States. Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, i.e., they are eligible to receive an additional grant after their 5-year grant period expires.

Institutions may use their funds to plan, develop, undertake, and carry out activities to improve and expand the institutions' capacity to serve Native Americans and low-income individuals. Supported activities include the: purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes; renovation and improvement in classroom, library, laboratory, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; the purchase of library books, periodicals, microfilm, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; the joint use of facilities such as laboratories and libraries; academic tutoring and counseling programs and support services; and education or counseling services designed to improve the financial and economic literacy of students or the students' families.

The statute provides for a \$200,000 minimum grant for each eligible institution. If an NASNTI receives funding under this program, it cannot receive funding under Part A or Part B of Title III or Part A of Title V of the HEA.

Under Section 371 of the HEA, \$5 million is available in mandatory funding in each of the fiscal years 2008 through 2019 to be used for the same activities authorized under Section 319 of the HEA. The mandatory funding authorized under Section 371 is available to the same institutions eligible for grants under the NASNTI program under Section 319. The authorized activities are the same for both programs, except that Section 371 does not include as an authorized activity education or counseling services designed to improve the financial and economic literacy of students or the students' families.

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The Minority Science and Engineering Improvement Program (MSEIP) (Part E, Subpart 1) supports discretionary grants for periods of up to 3 years that are awarded competitively to institutions of higher education that are designed to effect long-range improvement in science and engineering education at predominantly minority institutions and to increase the participation of underrepresented ethnic and racial minorities in scientific and technological careers. Colleges and universities with minority enrollments greater than 50 percent are eligible to receive assistance under MSEIP. MSEIP allows grantee institutions the latitude to support a variety of innovative and customized projects. Typically, MSEIP projects are designed to implement one, or a combination of, educational projects, such as curriculum development, purchase of scientific equipment, or development of research capabilities.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009	\$588,909 ¹
2010	651,268 ¹
2011	614,341 ¹
2012	597,599 ¹
2013	597,599 ^{1,2}

¹ Includes \$166,500 thousand in mandatory funds provided under the HEA.

² Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

For fiscal year 2014, the Administration requests \$431.1 million in discretionary funding for the Aid for Institutional Development programs, the same as the 2012 appropriation. In addition, \$166.5 million is available in mandatory funding in fiscal year 2014 for programs authorized under Section 371 and Section 897 of the Higher Education Act of 1965, as amended; although, these funds are not part of the fiscal year 2014 budget request. An important strategy in closing the gap in educational attainment between low-income and minority students and their high-income, non-minority peers is to strengthen the quality of educational opportunities in institutions dedicated to serving low-income and minority students. A significant number of postsecondary education institutions serving high percentages of minority students and students from low-income backgrounds face challenges that threaten their continued operation and ability to provide a high-quality education. The Administration is committed to assisting institutions enrolling a large proportion of disadvantaged students by providing funds to improve the academic programs and administrative and fundraising capabilities of these institutions.

- The Administration requests \$80.6 million for the Part A, Section 311 *Strengthening Institutions Program*, the same as the 2012 appropriation. This funding level would continue to support the Administration's commitment to assisting institutions that provide educational opportunities to low-income and minority students. It would also allow the Administration to continue the use of evidence in this program to ensure funds are being used for proven activities that will move our Nation closer to meeting the 2020 college completion goal.

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The 2012 Strengthening Institutions program (SIP) competition became the first Title III competition to include a competitive preference priority to support programs, practices, or strategies for which there is strong or moderate evidence of effectiveness. Applications that scored within an established range were forwarded to the Institute of Education Sciences (IES) to undergo What Works Clearinghouse (WWC) certified review to determine whether their proposed activities were supported by evidence. Projects supported by strong evidence were given an additional 5 points while projects supported by moderate evidence were given an additional 2.5 points. Of the 14 new awards ultimately funded under this program in fiscal year 2012, the WWC reviewers determined that 8 projects were supported by strong evidence while 6 projects were supported by moderate evidence. The SIP competition also demonstrated that postsecondary institutions are interested in pursuing evidence-based funding—of the 151 eligible applications reviewed, 137 addressed the evidence priority. The Administration believes that the field of education needs to use the best available evidence to inform policy and practices and, where strong evidence does not exist, to build evidence over time.

- The request includes \$25.7 million for the Part A, Section 316 *Strengthening Tribally Controlled Colleges and Universities (TCCUs)* program, the same as the 2012 appropriation. There are 32 fully accredited Tribal Colleges and Universities in the United States and one formal candidate for accreditation. Three additional universities are in Associate Status, meaning a tribal college seeking formal accreditation candidacy status. TCCUs are located mainly in the Midwest and Southwest. Many TCCUs are 2-year schools that have been in existence for less than 30 years. TCCUs are located primarily in remote areas not served by other postsecondary education institutions. They offer a broad range of degree and vocational certificate programs to students for whom these educational opportunities would otherwise be geographically and culturally inaccessible.
- A very serious problem at all TCCUs is physical infrastructure. Many of the schools were established in old and dilapidated buildings that were formerly post offices, warehouses or elementary schools. Many of these facilities are insufficient, technologically deficient, and unsuited for continued use as academic buildings. Grantees can conduct construction-related activities under their approved individual development grants.
- The total enrollment in TCCUs increased by 54 percent, from 13,700 in fall 2000 to 21,200 in fall 2010. In 2010, over 16,600 students in TCCUs were American Indian/Alaska Native, representing 78 percent of total enrollment. Approximately 8.5 percent of all American Indian/Alaska Native college students were enrolled in TCCUs in 2010. American Indian/Alaska Native at TCCUs increased at a faster rate between 2000 and 2010 than did American Indian/Alaska Native college and university enrollment generally (45.5 percent versus 30 percent). The traditional college-age population rose 12 percent between 2000 and 2010, and the percentage of 18- to 24-year-olds enrolled in college rose from 35 percent in 2000 to 41 percent in 2010. Between 1999–2000 and 2009–2010, the number of degrees conferred rose at all levels. The number of bachelor's degrees was 33 percent higher, the number of master's degrees was 50 percent higher, and the number of doctor's degrees was 34 percent higher. Despite the overall increases in college enrollment and degree attainment, American Indian/Alaska Native students continue to lag behind their White cohorts in overall educational attainment. In 2009-2010, American Indian/Alaska

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Natives earned only 0.8 percent of the bachelor's degrees, 0.6 percent of the Master's degrees, and 0.6 percent of PhDs awarded in the United States, though American Indian/Alaska Natives comprise 1.7 percent of the population. In addition, under Section 371 of the HEA, \$30 million is available in mandatory funding for TCCUs in fiscal year 2014. The Department will award funding to all eligible TCCUs using the formula outlined in the program statute.

- The request includes \$12.9 million for discretionary grants under Part A, Section 317 for the *Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH)* program, the same as the 2012 appropriation. Like TCCUs, these institutions are typically located in remote areas not served by other postsecondary educational institutions. Between 1990 and 2010, American Indian/Alaska Native enrollment at institutions of higher education increased from 102,800 students to 196,400 students; and Asian/Pacific Islander enrollment increased from 572,400 to nearly 1.3 million. The Department will also award grants using \$15 million in mandatory funding provided under Section 371 of the HEA.
- The Administration requests \$228 million for the *Strengthening Historically Black Colleges and Universities (HBCUs)* program under Part B, Section 323 and \$59 million for the *Strengthening Historically Black Graduate Institutions (HBGIs)* program under Part B Section 326, the same as the 2012 appropriation. The fiscal year 2014 request demonstrates the Administration's continued support of these institutions that play a unique and vital role in providing higher education opportunities to minority and disadvantaged students. While the 105 designated HBCUs make up nearly 3 percent of colleges and universities that grant associate's or higher degrees and participate in Title IV Federal financial aid programs, the National Center for Education Statistics (NCES) reports that HBCUs have produced 16 percent of the African Americans who currently hold undergraduate degrees. HBCUs enroll over 10 percent of all African American students in higher education. Figures compiled by NCES indicate that an estimated 265,900 African American students were enrolled at HBCUs in 2010.

African American enrollment at institutions of higher education more than doubled between 1976 and 2010 from about 1.03 million students to just over 3 million students. Despite the increases in college enrollment and degree attainment, African American students continue to lag behind the national average in overall educational attainment. In 2009-2010, African Americans earned only 10 percent of the bachelor's degrees, 11 percent of the Master's degrees, and 6.6 percent of PhDs awarded in the United States, though 14 percent of the United States population identified themselves as African American. Further, African American student participation in and completion of advanced programs in the physical and natural sciences, engineering, and mathematics continues to be low. Part B funding increases the capacity of HBCUs and HBGIs to provide such programs. Grants provided under the Title III, Part B programs enable the HBCUs and HBGIs to continue serving a growing population of students, and to encourage and prepare more of these students to pursue advanced study by enabling these institutions to improve their academic quality, institutional management, and fiscal stability.

- In 2014, mandatory funding of \$85 million is also appropriated under Section 371 of the HEA for HBCUs.

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- The request includes \$9.3 million for Part A, Section 318 *Predominantly Black Institutions (PBIs)* program, the same as the 2012 appropriation. PBIs are primarily urban and rural 2-year colleges that enroll at least 40 percent Black American students and serve at least 50 percent low-income or first-generation college students.

In addition, Section 371 of the HEA makes available \$15 million in mandatory funds in 2014 for PBIs.

- The request includes \$3.1 million in discretionary funds for Part A, Section 320 *Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISIs)* program, the same as the 2012 appropriation. Most AANAPISI institutions are junior and community colleges where nearly half (47 percent) of AAPI undergraduates enroll. AANAPISI-eligible institutions enroll 75 percent of the low-income AAPI undergraduate students in U.S. higher education. They also serve communities with disproportionately high numbers of English learners and individuals with low academic achievement.

In 2014, mandatory funding of \$5 million is appropriated under Section 371 of the HEA for AANAPISIs.

- The request includes \$3.1 million in discretionary funds for Part A, Section 319 *Strengthening Native American-serving Nontribal Institutions (NASNTIs)* program, the same as the 2012 level. These institutions are not designated as TCCUs, yet enroll at least 10 percent Native American students and serve at least 50 percent low-income students. With increasing enrollment at institutions of higher education, nontribal institutions of higher education that serve large populations of Native American students require resources to improve and expand their capacity to serve the unique and diverse needs of their Native American student population.

In 2014, mandatory funding of \$5 million is also appropriated under Section 371 of the HEA for NASNTIs.

- The Administration requests \$9.5 million for the *Minority Science and Engineering Improvement Program*, the same as the 2012 appropriation. This request would maintain support for the improvement of science, technology, engineering, and mathematics programs at institutions of higher education enrolling large numbers of minority students and would further the Administration's efforts to increase access to a quality higher education for individuals from underrepresented minority groups. According to the *Science and Engineering Indicators 2012* (NSB 12-01), published by the National Science Board, between 2000 and 2009:

— The proportion of science and engineering (S&E) bachelor's degrees awarded to Black students held steady at 9 percent, although Blacks comprise 13 percent of the population in the U.S. While Asian/Pacific Islanders account for approximately 5 percent of the U.S. population, S&E bachelor's degrees awarded to them rose from 9 percent to 10 percent. S&E degrees awarded to Hispanic students rose from 7 percent to 9 percent; Hispanics comprise 16 percent of the population in the U.S.

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- The proportion of master's degrees in S&E fields earned by U.S. citizens and permanent residents from underrepresented racial and ethnic minorities increased slightly between 2000 and 2009. Blacks accounted for 10 percent of master's degree recipients in 2009; up from 8 percent in 2000; Hispanic degree recipients increased from 5 percent in 2000 to 7 percent in 2009; and American Indians/Alaska Natives from 0.5 percent to 0.6 percent.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Strengthening Institutions:			
Number of new development awards	15	29	51
Average new development award	\$389	\$834	\$400
Total new development award funding	\$5,842	\$24,190	\$20,387
Number of NCC development awards	199	153	126
Average NCC development award	\$375	\$364	\$472
Total NCC development award funding	\$74,656	\$55,627	\$59,430
Peer review of new award applications	\$125	\$806	\$806
Total award funding (Section 311)	\$80,623	\$80,623	\$80,623
Total number of awards	214	182	177
Strengthening TCCUs:			
Discretionary funding:			
Number of development awards	33	33 ¹	33 ¹
Average development award	\$779	\$779	\$779
Total development award funding	\$25,713	\$25,713	\$25,713
Mandatory funding:			
Number of development awards	33	33	33
Average development award	\$909	\$909	\$909
Total development award funding	\$30,000	\$30,000	\$30,000
Total award funding	\$55,713	\$55,713	\$60,169
Discretionary (Section 316)	\$25,713	\$25,713	\$30,000
Mandatory (Section 371)	\$30,000	\$30,000	\$30,000
Total number of awards (discretionary and mandatory)	66	66	66

¹ It is assumed that 33 TCCUs will apply for and receive designation as eligible institutions, and submit data on student enrollments and Indian student counts necessary to calculate grant allocations.

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Strengthening Alaska Native and Native Hawaiian-serving Institutions:			
Discretionary funding:			
Number of new development awards	0	0	3
Average new development award	0	0	\$735
Total new development award funding	0	0	\$2,205
Number of NCC development awards	15	12	11
Average NCC development award	\$694	\$715	\$740
Total NCC development award funding	\$10,405	\$8,584	\$8,140
Number of NCC cooperative arrangement awards	3	3	3
Average NCC cooperative arrangement award	\$804	\$830	\$827
Total NCC cooperative arrangement award funding	\$2,413	\$2,489	\$2,481
Peer review of new award applications	0	0	\$33
Other (including supplemental awards)	\$34	\$1,786	0
Mandatory funding:			
Number of new renovation awards	11	0	15
Average new renovation award	\$1,123	0	\$1,769
Total new renovation award funding	\$12,352 ¹	0 ²	\$26,533
Number of NCC renovation awards	0	12	0
Average NCC renovation award	0	\$899	0
Total NCC renovation award funding	0	\$10,788 ³	0
Peer review of new award applications	\$19	0	\$30
Total award funding	\$27,859	\$27,859	\$27,859
Discretionary (Section 317)	\$12,859	\$12,859	\$12,859
Mandatory (Section 371)	\$15,000	\$15,000	\$15,000
Mandatory (Section 371) estimated carryover (mandatory funds remaining at the end of the fiscal year)	\$7,351 ⁴	\$11,563 ⁵	0

¹ Includes \$4,721 thousand carried over from fiscal year 2011 pursuant to the Title III, Part F, Section 371(b)(1)(B) of the HEA; and \$7,631 thousand from the \$15,000 thousand available for obligation in fiscal year 2012.

² The Department will not conduct a competition in fiscal year 2013, but intends to develop a strategy for using the mandatory funding in 2014 that would address problems these institutions face, such as inferior infrastructure, problems in stabilizing their management and fiscal operations, challenges in strengthening their curriculum and academic instruction, and providing student support services.

³ Includes \$7,351 thousand in funding carried over from fiscal year 2012, and \$3,437 thousand from the \$15,000 thousand available for obligation in fiscal year 2013 that is expected to be obligated in fiscal year 2013.

⁴ Unobligated fiscal year 2012 mandatory funding to be carried into fiscal year 2013.

⁵ Unobligated fiscal year 2013 mandatory funding to be carried into fiscal year 2014.

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$19,722	\$22,351	\$26,563
Total number of awards (discretionary and mandatory)	29	27	15
Strengthening HBCUs:			
Discretionary funding:			
Number of new awards	97	0	0
Average new award	\$2,350	0	0
Total new award funding	\$227,980	0	0
Number of NCC awards	0	97	97
Average NCC award	0	\$2,350	\$2,350
Total NCC award funding	0	\$227,980	\$227,980
Mandatory funding:			
Number of NCC awards	97	97	97
Average NCC award	\$876	\$876	\$876
Total NCC award funding	\$85,000	\$85,000	\$85,000
Total award funding	\$312,980	\$312,980	\$312,980
Discretionary (Section 323)	\$227,980	\$227,980	\$227,980
Mandatory (Section 371)	\$85,000	\$85,000	\$85,000
Total number of awards (discretionary and mandatory)	194	194	194
Strengthening HBGIs:			
Number of new awards	6	0	0
Average new award	\$3,950	0	0
Total new award funding	\$23,698	0	0
Number of NCC awards	18	24	24
Average NCC award	\$1,959	\$2,457	\$2,457
Total NCC award funding	\$35,260	\$58,958	\$58,958
Total award funding (Section 326)	\$58,958	\$58,958	\$58,958
Total number of awards	24	24	24
Master's Degree Programs at HBCUs and PBIs:			
Mandatory funding for HBCUs:			
Number of NCC awards	18	18	18
Average NCC award	\$500	\$500	\$500
Total NCC award funding	\$9,000	\$9,000	\$9,000

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Master's Degree Programs at HBCUs and PBIs (cont'd):			
Mandatory funding for PBIs:			
Number of NCC awards	5	5	5
Average NCC award	\$500	\$500	\$500
Total NCC award funding	\$2,500	\$2,500	\$2,500
Total Master's Degree Programs funding	\$11,500	\$11,500	\$11,500
Total Master's Degree Programs awards	23	23	23
Strengthening Predominantly Black Institutions:			
Discretionary funding (formula-based):			
Number of NCC development awards	35	35	35
Average NCC development award	\$265	\$265	\$265
Total NCC development award funding	\$9,262	\$9,262	\$9,262
Mandatory funding (competitive):			
Number of NCC awards	27	27	27
Average NCC award	\$556	\$556	\$556
Total NCC award funding	\$15,000	\$15,000	\$15,000
Total award funding	\$24,262	\$24,262	\$24,262
Discretionary (Section 318)	\$9,262	\$9,262	\$9,262
Mandatory (Section 371)	\$15,000	\$15,000	\$15,000
Total number of awards (discretionary and mandatory)	62	62	62
Strengthening Asian American and Native American Pacific Islander-serving Institutions:			
Discretionary funding:			
Number of NCC development awards	8	8	8
Average NCC development award	\$341	\$315	\$323
Total NCC development award funding	\$2,731	\$2,522	\$2,583
Other (including supplemental awards)	\$388	\$597	\$536
Mandatory funding:			
Number of NCC development awards	11	11	11
Average NCC development award	\$382	\$382	\$388
Total NCC development award funding	\$4,204	\$4,200	\$4,266
Other (including supplemental awards)	\$796	\$800	\$734
Total award funding	\$8,119	\$8,119	\$8,119
Discretionary (Section 320)	\$3,119	\$3,119	\$3,119
Mandatory (Section 371)	\$5,000	\$5,000	\$5,000
Total number of awards (discretionary and mandatory)	19	19	19

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Strengthening Native American-serving Nontribal Institutions:			
Discretionary funding:			
Number of NCC development awards	6	6	6
Average NCC development award	\$393	\$386	\$374
Total NCC development award funding	\$2,355	\$2,316	\$2,241
Other (including supplemental awards)	\$764	\$803	\$878
Mandatory funding:			
Number of NCC development awards	13	13	13
Average NCC development award	\$375	\$371	\$365
Total NCC development award funding	\$4,872	\$4,829	\$4,751
Other (including supplemental awards)	\$128	\$171	\$249
Total award funding (discretionary and mandatory)	\$8,119	\$8,119	\$8,119
Discretionary (Section 319)	\$3,119	\$3,119	\$3,119
Mandatory (Section 371)	\$5,000	\$5,000	\$5,000
Total number of awards (discretionary and mandatory)	19	19	19
Minority Science and Engineering Improvement Program:			
Number of new awards	14	17	13
Average new award	\$228	\$190	\$217
Total new award funding	\$3,197	\$3,237	\$2,824
Number of NCC awards	32	26	31
Average NCC award	\$196	\$236	\$211
Total NCC award funding	\$6,269	\$6,135	\$6,548
Peer review of new award applications	0	\$94	\$94
Total award funding	\$9,466	\$9,466	\$9,466
Total number of awards	46	43	44

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

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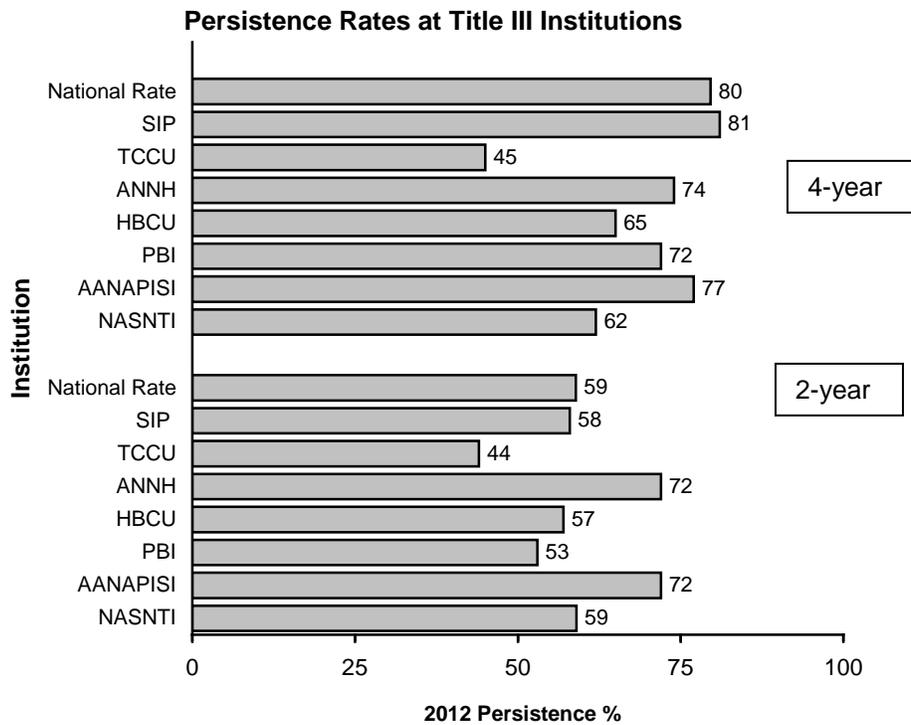
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PROGRAM PERFORMANCE INFORMATION

Performance Measures

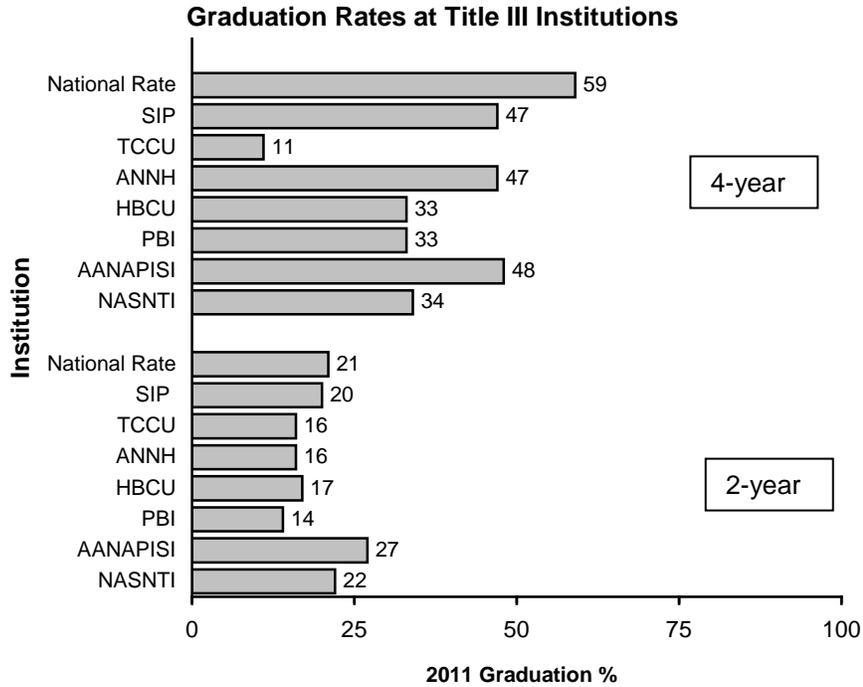
This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by the programs.

SIP grantee institutions had the highest persistence rates in 2012 for 4-year Title III institutions (81 percent), exceeding the national rate of 79.6 percent. AANAPISI grantee institutions had the highest persistence rate in 2012 for 2-year Title III institutions (72 percent), exceeding the national rate of 58.9 percent. In addition, AANAPISI grantee institutions had the highest graduation rates for 4-year and 2-year grantee institutions—48 percent and 27 percent versus national rates of 59.4 percent and 21.1 percent in 2011, respectively. The performance results at AANAPISI grantee institutions do not provide a clear picture because many diverse subgroups make up the AANAPI population. The educational results of low-achievement subgroups are overshadowed by others in the same category that have high-achievement levels. All national persistence and graduation rates reflected below are estimates based on preliminary data from NCES/Integrated Postsecondary Education Data Systems (IPEDS) and subject to minor changes.



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Goal: To improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success, and to provide high-quality educational opportunities for their students.

Objective: Maintain or increase the enrollment, persistence, and graduation rates at minority-serving institutions.

Enrollment Measure: The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolled at Strengthening Institutions Program (SIP) institutions.

Year	Target	Actual
2008		5.1 (4-year change)
2013	6.4	

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Persistence Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students at 4-year SIP institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same SIP institution.

Persistence Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students at 2-year SIP institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same SIP institution.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009	72.0	75.0	61.0	59.0
2010	72.0	76.0	62.0	60.0
2011	72.0	74.0	62.0	57.0
2012	73.0	81.0	62.0	58.0
2013	74.0		62.0	
2014	74.0		62.0	

Graduation Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year SIPs graduating within 6 years of enrollment.

Graduation Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year SIPs graduating within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009	48.5	55.0	20.0	21.0
2010	49.5	50.0	22.0	20.0
2011	50.0	47.0	23.0	20.0
2012	50.5		23.0	
2013	51.0		24.0	
2014	51.5		24.0	

Additional information: The data used to calculate these performance measures come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). Student enrollment at SIP grantee institutions in 2008 (402,507) was used to calculate the percentage change against student enrollment at SIP institutions in the base year 2004 (382,890). The target for 2013 will be used to determine success for the 5-year grant period 2008-2012 and was developed in late 2008. Thus far, the change in SIP enrollment for fiscal years 2008-2012 is 20.6 percent. The enrollment data presented here takes into account student enrollment for the full set of SIP institutions receiving continuation grants.

Persistence at 4-year SIP institutions is one percentage point higher than persistence rates at 4-year public and private schools (79.6 percent). In addition, the current performance level for 2-year SIP institutions is one percentage point lower than the rate for all 2-year public and private

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schools nationally (58.9 percent) and is comparable to the 2-year persistence rates at HBCUs (57 percent) and NANSTI grantee institutions (59 percent). Since 2009, 4-year SIP grantee institutions have consistently met or exceeded its targets. Persistence data for 2013 will be available in December 2013.

The targets on the 4-year graduation measure for fiscal year 2010 and beyond will serve to gradually narrow the gap between program and national (59.4 percent) performance. Graduation rates at 4-year SIP grantee institutions is comparable to the graduation rate at ANNH grantee institutions, but falls short of the national graduation rate at 4-year public and private institutions (59.4 percent). Graduation data for 2011-2012 will be available in December 2013.

Enrollment Measure: The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduate students enrolled at TCCUs.

Year	Target	Actual
2008		24.3
2013	24.0	

Persistence Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students at 4-year TCCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same TCCU.

Persistence Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students at 2-year TCCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same TCCU.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009		45.0		46.0
2010	48.0	51.0	50.0	54.0
2011	49.0	50.0	51.0	41.0
2012	49.0	45.0	51.0	44.0
2013	50.0		52.0	
2014	50.0		52.0	

Graduation Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year TCCUs graduating within 6 years of enrollment.

Graduation Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year TCCUs graduating within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009	37.0	14.0	23.0	31.0
2010	37.0	16.0	27.0	25.0
2011	37.0	11.0	27.0	16.0
2012	16.5		28.0	
2013	17.0		28.0	
2014	17.0		28.0	

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Additional information: The data used to calculate these performance measures come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). Student enrollment at TCCUs in 2008 (9,666) was used to calculate the percentage change against student enrollment at TCCUs in the base year 2003 (7,776). The target for 2013 will be used to determine success for the 5-year grant period 2008-2012 and was developed in late 2008. Thus far, the change in TCCUs enrollment for fiscal years 2008-2012 is 25.5 percent.

The 2012 persistence rate at 4-year TCCUs is 5 percentage points lower than the 2011 rate. The persistence rate at 2-year TCCUs exceeded the 2011 rate, however, did not meet the target set for 2012.

The 2011 graduation rates at 4-year and 2-year TCCUs are lower than the 2010 rates by 5 percentage points and 9 percentage points, respectively. The decrease in the graduation rates from 2010 to 2011 at 4-year and 2-year TCCUs is largely the result of missing data from several institutions who accounted for a significant percent of total number of degree-seeking students who completed their degree within 150 percent of normal time to degree attainment. The rate for 2-year TCCUs is comparable to ANNH-grantee institutions and HBCUs. Graduation data for 2011-2012 will be available in December 2013. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

Enrollment Measure: The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduate students enrolled at ANNH institutions.

Year	Target	Actual
2008		-1.7
2013	0	

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Persistence Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students at 4-year ANNH-serving institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same ANNH-serving institution.

Persistence Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students at 2-year ANNH-serving institutions who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same ANNH-serving institution.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009		68.0		57.0
2010		75.0		63.0
2011		76.0		57.0
2012	76.5	74.0	59.0	72.0
2013	77.0		59.5	
2014	77.0		59.5	

Graduation Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year ANNH institutions who graduate within 6 years of enrollment.

Graduation Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year ANNH institutions who graduate within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009	29.0	43.0	16.0	14.0
2010	29.0	46.0	16.0	15.0
2011	30.0	47.0	16.0	16.0
2012	46.5		16.0	
2013	47.0		16.0	
2014	47.0		16.0	

Additional information: The data used to calculate these performance measures come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). Student enrollment at ANNH-serving institutions in 2008 (13,407) was used to calculate the percentage change against student enrollment at ANNH-serving institutions in the base year 2003 (13,638). The target for 2013 will be used to determine success for the 5-year grant period 2008-2012 and was developed in late 2008. Thus far, the change in ANNH enrollment for fiscal years 2008-2012 is 14.3 percent.

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The 2012 persistence rate at 2-year ANNH grantee institutions (72 percent) exceeded the 2011 rate. The 2012 persistence rate at 4-year ANNH grantee institutions (74 percent) compares favorably to the national persistence rate at 4-year public and private schools (79.6 percent).

Data for only three 2-year grantees were used to calculate the graduation rate for 2011. The graduation rate for 4-year ANNHS (47 percent) exceeded the target set for 2011 (30 percent) and is comparable to the 4-year graduation rate at SIP grantee institutions. While the program exceeded the 4-year graduation target and met the 2-year graduation target, both lag behind national graduation rates at 4-year and 2-year public and private schools (59.4 percent and 21.1 percent, respectively). Graduation data for 2011-2012 will be available in December 2013. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

Enrollment Measure: The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HBCUs.

Year	Target	Actual
2008		8.0
2013	8.0	

Persistence Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students at 4-year HBCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HBCU.

Persistence Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students at 2-year HBCUs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HBCU.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009	67.0	66.0	56.0	52.0
2010	67.5	68.0	56.5	53.0
2011	68.0	66.0	56.5	50.0
2012	68.5	65.0	57.0	57.0
2013	69.0		57.0	
2014	69.0		57.0	

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Graduation Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year HBCUs graduating within 6 years of enrollment.

Graduation Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year HBCUs graduating within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009	40.0	34.0	14.0	18.0
2010	40.0	34.0	14.5	17.0
2011	40.0	33.0	15.0	17.0
2012	40.0		16.0	
2013	40.0		16.5	
2014	40.0		17.0	

Additional information: The data used to calculate these performance measures come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). Student enrollment at HBCUs in 2008 (216,207) was used to calculate the percentage change against student enrollment at HBCUs in the base year 2003 (200,369). The target for 2013 will be used to determine success for the 5-year grant period 2008-2012 and was developed in late 2008. The target of 8 percent for fiscal year 2013 reflects an anticipated level of future growth equal to that experienced during the fiscal year 2003-2008 timeframe. Thus far, the change in HBCU enrollment for fiscal years 2008-2012 is 4.6 percent.

The 2012 persistence rates at 4-year HBCUs (65 percent) and 2-year HBCUs (57 percent) currently lag behind national persistence rates for 4-year public and private schools (79.6 percent) and 2-year public and private schools (58.9 percent). Two-year HBCUs met the target set for 2010; however, 4-year HBCUs missed the target set for 2012 by 3 percentage points. The 2-year persistence rate at HBCUs compares favorably to the rate at 2-year SIP grantee institutions (58 percent) and NASNTI grantee institutions (59 percent). Persistence data for 2013 will be available December 2013.

The graduation rate for HBCUs falls short of the national rate of 21.1 percent for 2-year institutions by 4 percentage points yet exceeds the target set for 2011 by 2 percentage points. Graduation data for 2011-2012 will be available in December 2013. The graduation rate at 4-year HBCUs is comparable to the rates at PBIs and NASNTIs. Performance data for these measures are derived from electronic annual performance reports from grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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Enrollment Measure: The percentage change, over the 5-year grant period, of the number of full-time graduate students enrolled at HBGIs.

Year	Target	Actual
2008		13.0
2013	13.0	

Degree Completion Measure: The number of PhDs, first professional, and Master's degrees awarded at HBGIs.

Year	Target	Actual
2009	4,680	6,358
2010	4,774	6,459
2011	4,870	6,343
2012	4,967	
2013	6,500	
2014	6,600	

Additional information: The data used to calculate these performance measures come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). Student enrollment at HBGIs in 2008 (11,144) was used to calculate the percentage change against student enrollment at HBGIs in the base year 2003 (9,860). The target for 2013 will be used to determine success for the 5-year grant period 2008-2012 and was developed in late 2008. The target of 13 percent for fiscal year 2013 reflects an anticipated level of future growth equal to that experienced during the fiscal year 2003-2008 timeframe. Achieving this target will require annual increases of almost 2.5 percent. Thus far, the change in HBGI enrollment for fiscal years 2008-2011 is 1.7 percent.

The program exceeded the target set for 2011 for degree completion. Data for 2012 will be available in December 2013. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

Enrollment Measure: The percentage change of the number of full-time degree-seeking undergraduate students enrolled at PBIs.

Year	Target	Actual
2009		14.7 (1-year change)
2016	TBD	

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Persistence Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students at 4-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same PBI.

Persistence Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students at 2-year PBIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same PBI.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2010		73.0		49.0
2011		69.0		52.0
2012	72.0	72.0	54.0	53.0
2013	72.5		54.5	
2014	73.0		54.5	

Graduation Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year PBIs who graduate within 6 years of enrollment.

Graduation Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year PBIs who graduate within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009		40.0		9.0
2010		28.0		13.0
2011		33.0		14.0
2012	29.0		13.0	
2013	29.5		13.5	
2014	29.5		13.5	

Additional information: This program received its first year of funding in 2008. Data for the 2012 persistence rate and the 2011 graduation rate are from PBI grantees who received a new award in 2011 in the discretionary and mandatory PBI programs. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at PBI grantee institutions in 2009 (57,334) was used to calculate the percentage change against student enrollment at PBIs in the base year 2008 (49,980). The target for 2016 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2011-2015. Thus far, the change in enrollment for fiscal years 2011-2012 is -3.9 percent.

The 2012 persistence rates at 4-year and 2-year PBI grantee institutions lag behind the national 2012 persistence rates. However, the 2012 persistence rate at 2-year PBI grantee institutions is one percentage point higher than the 2011 rate. The 2011 graduation rates at 4-year and 2-year PBIs exceed the 2010 rates at these institutions, yet lag far behind the national rates for 4-year public and private schools, respectively (59.4 and 21.1 percent). The 2011 graduation rate at 4-year PBIs (33 percent) compares favorably to the graduation rates at 4-year HBCUs and NASNTIs. Graduation data for 2011-2012 will be available in December 2013. Performance data for these measures are derived from electronic annual performance reports from program grantees

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and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

Although the funding for discretionary (formula) and mandatory (competitive) PBI programs are awarded to different institutions and support significantly different activities, we believe assessment of the performance of both programs should focus on enrollment, persistence, and graduation rates at PBIs. Therefore, performance data for the discretionary PBI program and the mandatory PBI program is combined.

Enrollment Measure: The percentage change of the number of full-time degree-seeking undergraduate students enrolled at AANAPISIs.

Year	Target	Actual
2009		-2.5 (1-year change)
2015	TBD	

Persistence Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students at 4-year AANAPISIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same AANAPISI.

Persistence Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students at 2-year AANAPISIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same AANAPISI.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2010		90.0		73.0
2011		79.0		69.0
2012	80.0	77.0	70.0	72.0
2013	80.0		70.0	
2014	80.0		70.0	

Graduation Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year AANAPISIs who graduate within 6 years of enrollment.

Graduation Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year AANAPISIs who graduate within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009		77.0		26.0
2010		48.0		20.0
2011		48.0		27.0
2012	48.0		23.0	
2013	48.5		23.0	
2014	48.5		23.0	

Additional information: This program received its first year of funding in 2008. Recent data are from eight grantees who received funding in the discretionary AANAPISI program in 2010—five

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2-year institutions and three 4-year institutions. No funding was awarded in the mandatory AANAPISI program in 2010 because the Department delayed the competition for new awards until fiscal year 2011 to ensure that all potential applicants had the opportunity to apply for designation of eligibility prior to the announcement for new awards. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at AANAPISI grantee institutions in 2009 (38,014) was used to calculate the percentage change against student enrollment at AANAPISIs in the base year 2008 (38,981). The target for 2015 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2010-2014. Thus far, the change in enrollment for fiscal years 2010-2012 is 6.5 percent.

AANAPISIs exceeded the national persistence rate for 2-year public and private schools (58.9 percent) by 13 percentage points. The 4-year persistence rate at AANAPISIs (77 percent) falls just short of the national rate at 4-year public and private schools (79.6 percent).

AANAPISIs exceeded the national graduation rate for 2-year public and private schools (21.1 percent) by 6 percentage points. The only other program to do so was NASNTI grantee institutions, with a 22 percent graduation rate in 2011. Although AANAPISI grantee institutions failed to meet the national graduation rate, the program had the highest graduation rate at 2-year Title III institutions, as well as the highest graduation rate at 4-year Title III institutions (48 percent). Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

Enrollment Measure: The percentage change of the number of full-time degree-seeking undergraduate students enrolled at NASNTIs.

Year	Target	Actual
2009		9.0 (1-year change)
2015	TBD	

Persistence Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students at 4-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI.

Persistence Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students at 2-year NASNTIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same NASNTI.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2010		64.0		57.0
2011		71.0		51.0
2012	71.5	62.0	52.0	59.0
2013	72.0		52.5	
2014	72.0		52.5	

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Graduation Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year NASNTIs who graduate within 6 years of enrollment.

Graduation Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year NASNTIs who graduate within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009		33.0		17.0
2010		33.0		20.0
2011		34.0		22.0
2012	33.5		20.0	
2013	34.0		20.5	
2014	34.0		20.5	

Additional information: This program received its first year of funding in 2008. Similar to the AANAPISI program, recent data in the NASNTI program are from grantees who received funding in the discretionary NASNTI program in 2010—four 2-year institutions and two 4-year institutions. No funding was awarded in the mandatory NASNTI program in 2010 because the Department delayed the competition for new awards until fiscal year 2011 to ensure that all potential applicants had the opportunity to apply for designation of eligibility prior to the announcement for new awards. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at NASNTI grantee institutions in 2009 (15,970) was used to calculate the percentage change against student enrollment at NASNTIs in the base year 2008 (14,646). The target for 2015 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2010-2014. Thus far, the change in enrollment for fiscal years 2010-2012 is 1.7 percent.

The 2-year persistence rate at NASNTI grantee institutions exceeds the target set for 2012 by 7 percentage points. The 2012 persistence rate at 4-year NASNTI grantee institutions is 8 percentage points higher than the 2011 rate. The 2-year graduation rate in NASNTI grantee institutions is comparable to the 2-year graduation rates in SIP. However, as there are only a total of six non-competing continuation grantees receiving program funding in 2011, the national comparison may not necessarily be meaningful. Graduation data for 2011-2012 will be available in December 2013. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions

The Department is re-examining the methodology used for the current measures of enrollment and graduation in the MSEIP program. The current enrollment measure is calculated by determining the percentage change between the average minority enrollment in the fields of engineering, mathematics, biological sciences, and physical sciences at grantee institutions just before the beginning of the MSEIP grant period and at the end of the grant period. However, the classification of enrollments into fields of study may not be very reliable, with many students unsure of their major upon enrolling. In addition, data are not available for some years because enrollment data by field of study is provided only biennially in IPEDS.

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The current graduation measure is not calculated in the same manner as in IPEDS (graduating within 150 percent of normal time). The current MSEIP graduation measure uses degree completion data calculated using NCES/IPEDS Classification of Instructional Program (CIP) Codes developed to facilitate collection and reporting of postsecondary degree completions by major field of study using standard classifications. For 4-year institutions receiving continuation funding, the completion rate is calculated using data generated from 39 IPEDS CIP codes (covering 15 major fields of study) selected by the Department relevant to this program and data from IPEDS in 4 basic fields of study—math, engineering, biological sciences, and physical sciences. This measure is problematic because it compares minority enrollments in the 4 broad fields of study to minority completions using the 39 IPEDS CIP codes 6 years later.

As an alternative, we used IPEDS data to determine whether the percentage of bachelor's degrees conferred that were in STEM fields increased between 2005 and 2010. Specifically, we examined:

- The percentage of bachelor's degrees conferred by the 2005 cohort of MSEIP grantees in 2005 and 2010 that were in STEM fields;
- The percentage of bachelor's degrees conferred by all Title IV eligible institutions in 2005 and 2010 that were in STEM fields.

In addition, we examined the same percentages for the two largest underrepresented racial/ethnic groups.

The intent is to examine whether an increasing percentage of students in MSEIP institutions earn degrees in STEM fields, given that one of the main purposes of the MSEIP program is to increase the participation of underrepresented minorities in scientific and technological careers. While it would not be possible to attribute changes to the MSEIP program, given the importance of STEM fields to the Nation's future, we would expect to see increases over time.

STEM fields can include a wide range of disciplines. However, for purposes of this data analysis, STEM fields include computer and information sciences; engineering; engineering technologies and engineering-related fields; biological and biomedical sciences; mathematics and statistics; physical sciences; science technology/technicians; and agriculture, agriculture operations, and related sciences.

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Measure: Number and percentage of bachelor's degrees conferred that are in STEM fields, 2005 and 2010.

	MSEIP grantees		All Title IV Institutions	
	2005	2010	2005	2010
All students				
Number of STEM degrees	4,430	4,896	288,543	323,328
Number of degrees	23,866	32,663	1,411,002	1,620,629
Percent of degrees that are in STEM fields	15.7%	15.0%	20.4%	20.0%
Black or African American students				
Number of STEM degrees	915	847	19,611	19,278
Number of degrees	7,193	6,956	127,978	152,404
Percent of degrees that are in STEM fields	12.7%	12.2%	15.3%	12.6%
Hispanic students				
Number of STEM degrees	1,237	1,713	20,224	25,555
Number of degrees	9,407	12,688	111,616	147,205
Percent of degrees that are in STEM fields	13.1%	13.5%	18.1%	17.4%

In 2005, approximately 15.7 percent of all bachelor's degrees conferred by the 2005 cohort of MSEIP grantees were in STEM fields, a figure that was slightly higher than the 2010 percentage. The percentages were lower than for all Title IV institutions, where approximately 20 percent of all degrees conferred were in STEM fields.

Lower percentages of degrees conferred to Black or Hispanic students were in STEM fields, and the percentages did not change appreciably between 2005 and 2010.

The Master's Degree Programs for HBCUs and PBIs received its first year of funding in 2009. The Department has developed program performance measures on enrollment, completion, and time to degree for these programs. More specifically: (1) the percentage change, over the period between the fall of the year the grant was issued and the fall after the end of the grant period, in the number of African American and/or low-income graduate students enrolled in the academic program(s) supported by the project; (2) the percentage change, over the fall semester before, in the number of African American and/or low-income students graduating in the academic program(s) supported by the project; and (3) median time to completion of a Master's degree for African Americans and/or low-income graduate students, in the academic program(s) supported by the project during the period of the grant award. The percentage change for enrollment will be calculated against the base year. The Department will only assess progress against targets periodically (about every 6 years). Student enrollment at institutions in 2015 will be used to calculate the percentage change against student enrollment at institutions in the base year 2009. The target for 2015 will be developed as soon as data become available and will be used to measure success for the 6-year grant period 2009-2014. Performance data for these measures will be derived from annual performance reports from program grantees.

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Efficiency Measures

The Department developed a common efficiency measure for the Aid for Institutional Development programs. These calculations do not take into account Federal student financial aid received by these institutions. Not only has the Department revised targets for 2013 based on a review of actual performance data from previous years for these programs to more accurately reflect program outcomes, but it has also based future calculations and targets to include both discretionary and mandatory funding in the TCCUs, ANNH-serving institutions, HBCUs, PBIs, AANAPISIs, and NASNTIs programs.

Measure: Cost per successful outcome: Federal cost per undergraduate and graduate degree at SIP institutions.

Year	Target	Actual
2009	\$350	\$413
2010	350	441
2011	350	438
2012	350	
2013	430	
2014	425	

Measure: Cost per successful outcome: Federal cost per undergraduate degree at TCCUs.

Year	Target	Actual
2009	\$12,500	\$32,733
2010	12,500	35,879
2011	12,500	29,518
2012	12,500	
2013	32,950 ¹	
2014	32,650	

¹ The Department revised targets for 2013 to accommodate the influx of mandatory funding resulting from SAFRA for these programs. SAFRA makes funding for minority-serving institutions available through fiscal year 2019 under section 371 of the HEA.

Measure: Cost per successful outcome: Federal cost per undergraduate and graduate degree at ANNH-serving Institutions.

Year	Target	Actual
2009	\$2,775	\$3,171
2010	2,775	2,259
2011	2,775	3,068
2012	2,775	
2013	2,775	
2014	2,750	

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Measure: Cost per successful outcome: Federal cost per undergraduate and graduate degree at HBCUs.

Year	Target	Actual
2009	\$5,400	\$7,105
2010	5,400	7,923
2011	5,400	7,333
2012	5,400	
2013	7,415 ¹	
2014	7,340	

¹ The Department revised targets for 2013 because performance in this program was worse than expected.

Measure: Cost per successful outcome: Federal cost per graduate degree at HBGIs.

Year	Target	Actual
2009	\$12,700	\$9,201
2010	12,700	9,510
2011	12,700	9,655
2012	12,700	
2013	9,355 ¹	
2014	9,262	

¹ The Department revised targets for 2013 because performance in this program was better than expected.

Measure: Cost per successful outcome: Federal cost per undergraduate degree at PBIs.

Year	Target	Actual
2009		\$974
2010	N/A	1,207
2011	N/A	1,043
2012	\$1,800	
2013	1,040 ¹	
2014	1,030	

¹ The Department revised targets for 2013 because performance in this program was better than expected.

Measure: Cost per successful outcome: Federal cost per undergraduate degree at AANAPISIs.

Year	Target	Actual
2009		\$379
2010	N/A	310
2011	N/A	238
2012	\$385	
2013	300	
2014	295	

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Measure: Cost per successful outcome: Federal cost per undergraduate degree at NASNTIs.

Year	Target	Actual
2009		\$1,395
2010	N/A	1,028
2011	N/A	968
2012	\$2,150	
2013	1,025 ¹	
2014	1,015	

¹The Department revised targets for 2013 because performance in this program was better than expected.

Additional information: These measures are calculated as the appropriation for the program divided by the number of undergraduate and graduate degrees awarded. Given that the average cost per successful outcome for 2009 and 2010 for many of the Aid for Institutional Development programs either significantly exceeds or is significantly lower than their targets, the Department has revised targets beginning in 2013 to more accurately reflect actual performance. A similar efficiency measure has been established for the Developing HSIs program and for Howard University. This metric may enable the Department to assess program performance across institutions with similar types of missions.

Performance on the efficiency measure exceeded the targets set for 2011 for HBGIs. For the Master's Degree Programs at HBCUs and PBIs, the Department has developed a measure of the cost of a successful outcome, where success will be defined as Master's degrees earned by

African American and low-income students, in the academic programs supported by the project during the period of the grant award. Targets for this measure will be developed as soon as baseline data for 2010 become available in December 2013.

Other Performance Information

A 2009 Government Accountability Office (GAO) study on *Low-Income and Minority Serving Institutions: Management Attention to Long-standing Concerns Needed to Improve Education's Oversight of Grant Programs* found that institutions eligible to receive Title III and V grants had fewer resources, including endowment holdings and revenue from tuition and fees, and lower per student spending on equipment than ineligible institutions. They also served more students who were minority, low-income, and attended part-time. Title III and V grantees reported challenges in all 4 grant focus areas: academic quality, student support, institutional management, and fiscal stability. While nearly all grantees reported challenges related to strengthening institutional management and fiscal stability, expenditures in these areas represented less than one-quarter of all grant funds spent (almost \$385 million in fiscal year 2006).

New Department studies, drawing on previous studies, are planned to address the relationships among academic quality, financial health, institutional management, and provision of student services for minority-serving institutions as compared to other postsecondary institutions. Preliminary results are being reviewed by the Department.

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(Higher Education Act of 1965, Title V, Parts A and B; Title III, Part F, Section 371(b)(2)(B); and Title VIII, Part AA, Section 898)

(dollars in thousands)

FY 2014 Authorization: Indefinite (discretionary); \$111,500 (mandatory)

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
Developing Hispanic-serving Institutions (discretionary) (HEA V-A)	\$100,432	\$100,432	\$100,432	0
Developing Hispanic-Serving Institutions Science, Technology, Engineering, and Mathematics and Articulation (mandatory) (HEA III-F)	100,000	100,000	100,000	0
Promoting Postbaccalaureate Opportunities for Hispanic Americans (discretionary) (HEA V-B)	9,011	9,011	9,011	0
Promoting Postbaccalaureate Opportunities for Hispanic Americans (mandatory) (HEA VIII-AA, Section 898)	<u>11,500</u>	<u>11,500</u>	<u>11,500</u>	<u>0</u>
Total	220,943	220,943 ¹	220,943	0
Discretionary	109,443	109,443	109,443	0
Mandatory	111,500	111,500	111,500	0

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

The Aid for Hispanic-serving Institutions programs provide grants for direct support to institutions of higher education (IHEs) that educate a disproportionate share of Hispanic Americans. These Hispanic-Serving Institutions (HSIs) are defined as institutions that have an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic.

The Developing Hispanic-serving Institutions program, authorized under Title V of HEA, is designed to expand and enhance the academic offerings, program quality, and institutional stability of the colleges and universities that are educating a large percentage of Hispanic college students.

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Grants of up to 5 years in duration are awarded competitively to HSIs to enable these institutions to improve and expand their capacity to serve Hispanic and low-income students. Individual development grants support efforts to resolve institutional problems. Cooperative arrangement development grants between two or more IHEs support efforts to resolve institutional problems common to the IHEs and enable IHEs to combine their resources to better achieve institutional goals and avoid costly duplication of effort. In addition, 1-year planning grants may be awarded for the preparation of plans and applications for a grant under this program.

HSIs may use their funds to plan, develop, and implement activities that encourage: faculty and academic program development; better management of funds and administration; construction and maintenance of instructional facilities; student services; the establishment of a program of teacher education designed to qualify students to teach in public schools; establishment of community outreach programs that encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education; and creating or improving facilities for Internet or other distance learning academic instruction, including purchase or rental of telecommunications technology equipment and services. Also, HSIs may use no more than 20 percent of the grant funds to establish or increase an institution's endowment fund. The endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. If an institution receives funding under this program, it cannot receive funding under Part A or Part B of Title III.

The HSI STEM and Articulation Program, authorized under Title III, Part F of the HEA, is designed to increase the number of Hispanic and other low-income students attaining degrees in fields of science, technology, engineering, and mathematics (STEM) and to develop model transfer and articulation agreements between 2-year and 4-year HSIs in such fields. The Student Aid and Fiscal Responsibility Act (SAFRA) amended the Higher Education Act of 1965 to provide \$100 million in mandatory funding per year for fiscal years 2010 through 2019 for this program.

Promoting Postbaccalaureate Opportunities for Hispanic Americans program, authorized under Title V of HEA, seeks to help Hispanic Americans gain entry into and succeed in graduate study, a level of education in which they are underrepresented. To be eligible to apply, an institution of higher education must be an HSI that offers a postbaccalaureate certificate or postbaccalaureate degree-granting program.

The Higher Education Opportunity Act amended the Higher Education Act of 1965 to provide \$11.5 million in mandatory funding for this program for 6 years beginning in fiscal year 2009. HSIs may apply for competitive 5-year grants, which are to be used to improve postbaccalaureate offerings. Institutions receiving grants under this program may also receive funds under Title V, Part A.

Authorized activities include: purchasing, renting, or leasing scientific or laboratory equipment used for educational purposes; construction, maintenance, renovation and facilities improvement, including telecommunications; purchasing library books, periodicals, journals, and other educational materials, including telecommunications program materials; supporting low-income postbaccalaureate students through outreach programs, academic support

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services, mentoring, and student financial assistance; supporting faculty exchanges, development, and research, as well as curricular development and academic instruction; the creation or improvement of facilities for Internet or other distance education technologies; and collaboration with other IHEs to expand postbaccalaureate offerings. Other activities germane to the promotion of postbaccalaureate study at HSIs are permissible, provided that they contribute to the overall purpose of the program and are approved by the Department.

Funding levels for the Aid for HSI programs for the past 5 fiscal years were:

	(dollars in thousands)
2009.....	204,756 ¹
2010.....	239,429 ¹
2011.....	225,231 ¹
2012.....	220,943 ¹
2013.....	220,943 ^{1,2}

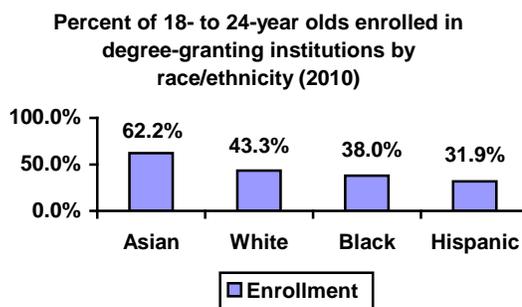
¹ Includes \$111,500 thousand in mandatory funds in each fiscal year.
² Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

The Administration requests \$100.4 million for the Developing Hispanic-serving Institutions (HSIs) program and \$9.1 million for the Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA) program, level with fiscal year 2012. In addition, mandatory funding totaling \$11.5 million is provided for the Promoting Postbaccalaureate Opportunities for Hispanic Americans program under Title VIII, Part AA of the HEA and mandatory funding totaling \$100 million is provided for the HSI STEM and Articulation program under Title III, Part F of the HEA. These mandatory funds are not part of the Administration’s fiscal year 2014 request.

In 1976, about 383,800 Hispanic Americans attended degree-granting institutions of higher education. Since then, Hispanic enrollment has grown steadily, reaching 2.4 million in 2010. Hispanics constitute the largest minority group in the Nation, 16 percent of the total U.S. population. As of 2010, the United States was home to 50.5 million Hispanic people. More than half the growth in the total US population between 2000 and 2010 was due to the increase in the Hispanic population. The Census Bureau projects that the Hispanic American population will triple between 2008 and 2050, reaching 132.8 million and 30 percent of the overall population.

Hispanics have made significant gains in education over the last several decades. The increase in Hispanic enrollment is being driven by population growth and by increasing proportions of the population enrolling in colleges and universities. In 1976, Hispanics represented 3.7 percent of the undergraduate enrollment; in 2011, they represented 16.5 percent of postsecondary enrollment and 25 percent of all students age 18 to 24 enrolled in 2-year



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institutions. From 2009 to 2010, the enrollment of Hispanics age 18 to 24 in undergraduate and graduate programs grew by 24 percent, and grew by an additional 15 percent from 2010 to 2011. Population growth among college-age Hispanics during the same period was only 7 percent. For the first time, Hispanics are the largest minority group in 4-year colleges.

Although Hispanics have made significant gains in education, their enrollment rates and degree attainment remain lower than those of their non-Hispanic peers. In 2010, only 31.9 percent of all Hispanics in the age group 18-24 years were enrolled in degree-granting institutions, compared to 62.2 percent of Asian peers, 43.3 percent of all non-Hispanic White peers, and 38.0 percent of Black peers (see graph). In 2009-2010, Hispanics earned 8.8 percent of bachelor's degrees, 7.1 percent of master's degrees, and 5.8 percent of PhDs awarded in the United States despite constituting over 16 percent of the total national population.

The Aid for Hispanic-serving Institutions programs provide critically needed support to carry out activities designed to improve the educational outcomes for low-income, minority, and other institutions with a significant share of Hispanic enrollment. HSIs enroll only 16 percent of all postsecondary students, but they enroll 54 percent of all Hispanic undergraduates. Because of the unique role these institutions play, they are vital to the improvement of Hispanic Americans' educational attainment.

The 2014 request, combined with the mandatory funding available through Title VIII, Part AA and Title III, Part F of the HEA, is intended to help close the achievement gap between HSI and non-HSI students.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Developing HSIs			
Number of new awards	20	17	26
Average new award	\$626	\$649	\$652
Total new award funding	\$12,524	\$11,039	\$16,968
Number of NCC awards	139	136	129
Average NCC award	\$632	\$650	\$637
Total NCC award funding	\$87,824	\$88,388	\$82,292
Peer review of new award applications	\$84	\$1,004	\$1,172
Total award funding	\$100,432	\$100,432	\$100,432
Total number of awards	159	152	155

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Promoting Postbaccalaureate Opportunities for Hispanic Americans			
Discretionary funding:			
Number of NCC awards	21	21	21
Average NCC award	\$429	\$429	\$429
Total NCC award funding	\$9,011	\$9,011	\$9,011
Total award funding	\$9,011	\$9,011	\$9,011
Total number of awards	21	21	21
Mandatory funding:			
Number of NCC awards	22	22	22
Average NCC award	\$523	\$523	\$523
Total NCC award funding	\$11,500	\$11,500	\$11,500
Total PPOHA award funding	\$20,511	\$20,511	\$20,511
Total number of PPOHA awards	43	43	43
HSI STEM and Articulation Programs			
Mandatory funding:			
Individual Development awards:			
Number of NCC awards	109	109	109
Average NCC award	\$917	\$917	\$917
Total NCC award funding	\$100,000	\$100,000	\$100,000
Total HSI award funding	\$220,943	\$220,943	\$220,943
Discretionary	109,443	109,443	109,443
Mandatory	111,500	111,500	111,500
Total number of HSI awards	311	304	307

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

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PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by this program.

Goal: To improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success, and to provide high-quality educational opportunities for their students.

Objective: Increase the enrollment, persistence, and graduation rates at Hispanic-serving institutions.

Enrollment Measure: The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolling at HSIs.

Year	Target	Actual
2008		11.2
2013	11.0	

Persistence Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduate students at 4-year HSIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HSI.

Persistence Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduate students at 2-year HSIs who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HSI.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009		75.0		67.0
2010	78.0	77.0	64.0	58.0
2011	78.0	72.0	64.0	65.0
2012	78.0	75.0	64.0	66.0
2013	78.0		65.0	
2014	78.0		65.5	

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Graduation Measure (4-year): The percentage of first-time, full-time degree-seeking undergraduates students enrolled at 4-year HSIs graduating within 6 years of enrollment.

Graduation Measure (2-year): The percentage of first-time, full-time degree-seeking undergraduates students enrolled at 2-year HSIs graduating within 3 years of enrollment.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2009	44.0	42.0	22.0	19.0
2010	45.0	41.0	22.0	17.0
2011	45.0	40.0	22.0	20.0
2012	46.0		22.0	
2013	46.0		22.0	
2014	46.0		22.0	

Additional Information: The Department recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure uses the same National Center for Education Statistics (NCES) Integrated Postsecondary Education Data Systems (IPEDS) fall enrollment data for all full-time degree-seeking undergraduate students used by the former measure except that the new measure tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. Student enrollment at HSIs in 2008 (860,424) was used to calculate the percentage change against student enrollment at HSIs in the base year 2003 (773,859). The target of 11 percent for 2013 will be used to assess success for the 5-year grant period 2008-2012 and was developed in late 2008.

Persistence at 2-year HSIs increased in fiscal year 2011, exceeding the target of 64 percent; persistence at 4-year HSIs improved, but still missed the target of 78 percent.

Fiscal year 2011 data show that graduation rates fell one percentage point for 4-year HSIs, but increased for 2-year HSIs. Neither of the targets were met. The data are derived from grantees' electronic annual performance reports and the NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES' consistency and validity checks.

Objective: *Improve the year-to-year increase in enrollment and graduation rates in postbaccalaureate programs at Hispanic-serving institutions.*

Enrollment Change Measure: The percentage change, over the 5-year grant period, of the number of graduate and professional students enrolled at HSI institutions.

Year	Target	Actual
2013	2.5	

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Degree Change Measure: The percentage change, over the 5-year grant period, of the number of master's, doctoral and first-professional degrees and postbaccalaureate certificates awarded at HSI institutions.

Year	Target	Actual
2013	20	

Additional Information: The long-term measure for change in enrollment assesses the percentage change in enrollment at the grantee institutions over a 5-year period. For 2013, the measure will be calculated as the percentage change in the number of graduate students enrolling at the grantee institutions, using the 2008 baseline of 62,821 students. During the previous 5 years, 2003-2008, enrollment at these same institutions declined. However, in 2009, the enrollment at the 22 grantee institutions increased by 1.3 percent over the prior year. This rate of growth was used to establish the 2013 enrollment target.

The long-term measure for change in graduate degrees assesses the percentage change in degrees and certificates awarded over a 5-year period. For 2013, the measure will be calculated as the percentage change in the number of degrees and certificates awarded at the grantee institutions, using the 2008 baseline of 18,108 degrees and certificates.

Efficiency Measures

Developing HSIs: Cost per successful outcome: Federal cost per undergraduate and graduate degree at HSIs.

Year	Target	Actual
2009	\$950	\$1,780
2010	950	1,506
2011	950	
2012	950	
2013	1,280	
2014	1,265	

Promoting Postbaccalaureate Opportunities for Hispanic Americans: Cost per successful outcome: Federal cost per master's, doctoral and first-professional degree and postbaccalaureate certificate at HSI institutions.

Year	Target	Actual
2009		\$597
2010	\$2,215	741
2011	\$2,215	714

Additional Information: The Developing Hispanic-serving Institutions efficiency measure is calculated by dividing the appropriation for the Developing HSIs program by the number of undergraduate and graduate degrees awarded. The Department established targets of \$950 per successful outcome for fiscal years 2009 through 2012. Fiscal year 2010 data show a marked increase in efficiency from the prior year, but efficiency has decreased since 2008. This variability is due in large part to the fact that success is defined as a bachelor's degree or

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higher, while many of the 2-year institutions of higher education receiving grants primarily award associate's degrees. Grantee-level data analyses will be used to identify institutions that may benefit from technical training in areas such as data collection and reporting, as well as to identify promising practices for improving program performance outcomes.

The efficiency measure can also be used to assess overall program performance over time. A similar efficiency measure has been established for the Title III Aid for Institutional Development programs as well as for Howard University. This metric may enable the Department to assess program performance across institutions with similar types of missions.

The PPOHA efficiency measure is calculated by dividing the appropriation for the PPOHA program by the number of graduate degrees and certificates awarded at grantee institutions. In fiscal year 2009, when the PPOHA appropriation was \$11.5 million, grantee institutions awarded 18,826 graduate degrees. The 2010 efficiency target was established on the basis of information on the performance of 117 potentially eligible institutions in 2007 and 2008, not actual grantees, and before 2009 data became available. Rather than develop new targets based on only two data points, the Department plans to establish targets for 2014 and beyond when data for fiscal year 2011 become available.

The HSI STEM and Articulation program was initially funded by the College Cost Reduction and Access Act (CCRAA). Because funding was made available for only 2 years, the Department did not establish any performance measures for this program at that point. The passage of the Public Law 111-152 in March 2010 extended the mandatory funding for the HSI STEM program through fiscal year 2019. The following measures have been put into place, although no data have been collected to date.

- (1) The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HSIs.
- (2) The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution.
- (3) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year HSIs graduating within 6 years of enrollment.
- (4) The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year HSIs graduating within 3 years of enrollment.
- (5) Federal cost for undergraduate and graduate degrees at institutions in the Hispanic-Serving Institutions STEM and Articulation Programs.

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Other Performance Information

A 2009 Government Accountability Office (GAO) study on *Low-Income and Minority Serving Institutions: Management Attention to Long-standing Concerns Needed to Improve Education's Oversight of Grant Programs* found that institutions eligible to receive Title III and V grants had fewer resources, including endowment holdings and revenue from tuition and fees, and lower per student spending on equipment than ineligible institutions. They also served more students who were minority, low-income, and attended part-time. Title III and V grantees reported challenges in all 4 grant focus areas: academic quality, student support, institutional management, and fiscal stability. While nearly all grantees reported challenges related to strengthening institutional management and fiscal stability, expenditures in these areas represented less than one-quarter of all grant funds spent (almost \$385 million in fiscal year 2006).

New Department studies, drawing on previous studies, are planned to address the relationships among academic quality, financial health, institutional management, and provision of student services for minority-serving institutions as compared to other postsecondary institutions. Preliminary results are being reviewed by the Department.

Additionally, the HSI STEM program includes absolute priorities related to STEM and articulation activities and one competitive preference priority for data-based decision-making. To assess the impact of the adoption of these priorities on program outcomes, the Department collects data through the annual performance report and conducts special analyses to determine the changes that occur during the course of the grant period in:

- (1) The percentage of graduates receiving STEM related degrees from grantee institutions;
- (2) The number of students transferring from 2-year grantee institutions to 4-year institutions; and
- (3) The use of student data on enrollment, persistence, and completion by grantee institutions that select the Competitive Preference Priority in conducting project activities. Such data may include data from State longitudinal data systems or other reliable third-party resources.

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(Higher Education Act of 1965, Title VI, Parts A and B)

(dollars in thousands)

FY 2014 Authorization: Indefinite

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
\$66,586	\$66,586 ¹	\$73,487	+\$6,901

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

The International Education and Foreign Language Studies (IEFLS) Domestic Programs are designed to strengthen the capability and performance of American education in foreign languages and in area and international studies. The IEFLS programs have their origin in the National Defense Education Act of 1958 as a response to the need to strengthen instruction in foreign languages insufficiently taught in the United States as well as area and international studies.

Funds are used to support a broad range of activities under nine Domestic Programs. Grants are awarded to support centers, programs, and fellowships in institutions of higher education to increase the number of experts in foreign languages and area studies to meet national needs and to strengthen the teaching of foreign languages and international education at all levels. Prior to the beginning of each grant cycle, the Department must consult with and receive recommendations from the head officials of a wide range of Federal agencies to determine the areas of national need for expertise in foreign languages and world regions and make this list available to grant applicants. In addition, the Department must work with a variety of Federal agency heads to submit a biennial report to Congress and the public identifying areas of national need in foreign language, area, and international studies as such studies relate to government, education, business, and nonprofit needs, and a plan to address those needs. In awarding grants, the Department is required to take into account the degree to which applicants' activities address national needs and inform the public; the applicants' records of placing students into postgraduate employment, education, or training in areas of national need; and the applicants' plans to increase this number.

The Department must aid grantees in developing a survey for students who have completed programs under Title VI Foreign Language and Areas Studies program to determine postgraduate employment, education, or training. Grantees, where applicable, must administer the survey once every 2 years and report the results to the Department. Up to 1 percent of Title VI funds may be used to carry out program evaluation, national outreach, and information dissemination activities relating to the Title VI programs.

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Program legislation requires that institutions that receive funding under Title VI provide the following information to the Department, in accordance with the requirements of Section 117 of the HEA: (1) the amount of the contribution (including cash and the fair market value of any property) received from any foreign government or from a foreign private sector corporation or foundation during any fiscal year in which the contribution exceeds \$250,000 in the aggregate; and (2) the aggregate contribution, or a significant part of the aggregate contribution, that is to be used by a center or program receiving funds under Title VI.

National Resource Centers support institutions of higher education (IHEs) or consortia of such institutions in establishing, operating, and strengthening advanced centers to train students, specialists, and other scholars; maintaining important library collections and related training and research facilities; conducting advanced research and development activities; establishing linkages between IHEs and other academic, governmental, and media entities; operating summer institutes in the United States or abroad; and providing outreach and consultative services at the national, regional, and local levels. Funds also support faculty, staff, and student travel in foreign areas, regions, or countries; the development and implementation of educational programs abroad for students; and projects that support students in the science, technology, engineering, and mathematics fields to achieve foreign language proficiency. National Resource Centers are funded for up to 4 years, with funds allocated on an annual basis pending satisfactory performance by the Centers and availability of funds.

Foreign Language and Area Studies Fellowships Program supports academic year and summer fellowships for graduate- and undergraduate-level training at IHEs having nationally recognized programs of excellence. Students apply to IHEs that have received fellowship allocations from the Department of Education. Students receiving fellowships must be individuals who are engaged:

- In an instructional program with stated performance goals for functional foreign language use or in a program developing such performance goals, in combination with area studies, international studies, or the international aspects of a professional studies program;
- In the case of an undergraduate student, in the intermediate or advanced study of a less commonly taught language; or
- In the case of a graduate student, in graduate study in connection with a program described above, including pre-dissertation level study, preparation for dissertation research, dissertation research abroad, or dissertation writing.

Before awarding a fellowship for use outside the United States, an institution must obtain approval from the Department of Education. A fellowship may be approved for use outside the United States if (1) the student is enrolled in an overseas modern foreign language program approved by the institution where the student is enrolled in the United States; or (2) the student is engaged in research that cannot be effectively done in the United States and is affiliated with an IHE or other appropriate organization in the host country. Institutions are funded for up to 4 years and, in turn, award fellowships annually to individual students on a competitive basis. Applications for awards must include an explanation of how the activities funded by the grant will reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs; and a description of how the applicant will encourage

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government service in areas of national need, as well as in areas of need in the education, business, and nonprofit sectors.

Undergraduate International Studies and Foreign Language Program supports IHEs or consortia of IHEs in establishing, operating, and strengthening instructional programs in international studies and foreign language at the undergraduate level. Eligible activities may include, but are not limited to, the development of a global or international studies program that is interdisciplinary in design; development of a program that focuses on issues or topics, such as international business or international health; development of an area studies program and programs in corresponding foreign languages; creation of innovative curricula that combine the teaching of international studies with professional and pre-professional studies, such as engineering; research for and development of specialized teaching materials, including language instruction, i.e., business French; establishment of internship opportunities for faculty and students in domestic and overseas settings; and development of study abroad programs.

Grantees must provide matching funds in either of the following ways: (1) cash contributions from the private sector equal to one-third of the total project costs; or (2) a combination of institutional and non-institutional cash or in-kind contributions equal to one-half of the total project costs. Applications for awards must include a description of how the applicant will provide information to students regarding federally funded scholarship programs in related areas; an explanation of how the activities funded by the grant will reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs, where applicable; and a description of how the applicant will encourage service in areas of national need, as identified by the Department of Education.

The Department may waive or reduce the required matching share for institutions that are eligible to receive assistance under Part A or Part B of Title III or under Title V of the Higher Education Act of 1965. Grant awards are normally made for 2 years. However, organizations, associations, and institutional consortia are eligible for up to 3 years of support.

International Research and Studies Program supports projects carried out by IHEs, public and private nonprofit organizations, and individuals that are designed to: determine the need for improved or increased instruction in foreign language and area and international studies; develop more effective teaching methods and standardized measures of competency; develop specialized curriculum materials; evaluate the extent to which programs that address national needs would not otherwise be offered; study and survey the uses of technology in foreign language and area and international studies programs; and determine through studies and evaluations effective practices in the dissemination of international information throughout the education community, including elementary and secondary schools. Funds also include support for evaluation of the extent to which programs funded under Title VI reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs; the systematic collection, analysis, and dissemination of data that contribute to achieving the purposes of Title VI; and support for programs or activities to make data collected, analyzed, or disseminated publicly available and easily understood. The Department funds participants through grants and contracts for up to 3 years.

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Centers for International Business Education support IHEs or consortia of IHEs by paying the Federal share of the cost of planning, establishing, and operating centers that provide a comprehensive university approach to improving international business education by bringing together faculty from numerous disciplines. The Centers serve as national resources for the teaching of improved business techniques, strategies, and methodologies that emphasize the international context in which business is transacted; provide instruction in critical foreign languages and international fields needed to provide an understanding of the cultures and customs of U.S. trading partners; provide research and training in the international aspects of trade, commerce, and other fields of study; provide training to students enrolled in the institution or institutions in which a center is located; serve as regional resources to local businesses by offering programs and providing research designed to meet the international training needs of such businesses; and serve other faculty, students, and institutions of higher education located within their respective regions. Grants are made for 4 years. The Federal share of the cost of planning, establishing, and operating the Centers cannot exceed 90 percent, 70 percent, or 50 percent in the first, second, third and following years, respectively.

Language Resource Centers support IHEs or consortia of IHEs in improving the teaching and learning of foreign languages. The activities carried out by the Centers must include effective dissemination efforts, whenever appropriate, and may include: the conduct and dissemination of research on new and improved teaching methods (including the use of advanced educational technology) to the education community; the development, application, and dissemination of performance testing appropriate to an educational setting for use as a standard and comparable measurement of skill levels in all languages; the training of teachers in the administration and interpretation of the performance tests; a significant focus on the teaching and learning needs of the less commonly taught languages and the publication and dissemination of instructional materials in those languages; the development and dissemination of materials designed to serve as a resource for foreign language teachers at the elementary and secondary school levels; and the operation of intensive summer language institutes. Language Resource Centers are eligible for up to 4 years of support.

American Overseas Research Centers Program makes grants to consortia of IHEs to promote postgraduate research, faculty and student exchanges, and area studies. Funds may be used to pay for all or a portion of the cost of establishing or operating a center or program. Costs may include faculty and staff stipends and salaries; faculty, staff, and student travel; operation and maintenance of overseas facilities; teaching and research materials; the acquisition, maintenance, and preservation of library collections; travel for visiting scholars and faculty members who are teaching or conducting research; preparation for and management of conferences; and the publication and dissemination of material for the scholars and general public. Centers are eligible for 4 years of support.

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Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009.....	\$102,335
2010.....	108,360
2011.....	66,712
2012.....	66,586
2013.....	66,586 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

The Administration requests a total of \$73.5 million for the Title VI Domestic Programs, an increase of \$6.9 million or 10.4 percent over the 2012 appropriation. The fiscal year 2014 budget request will enable the Department to address two important objectives: (1) developing and maintaining a national capacity in teaching and learning priority languages and other less commonly taught languages and associated area/international studies; and (2) increasing the global competency of all U.S. students. Fiscal year 2014 is a pivotal year because existing awards in a number of key programs are ending in 2013 and virtually all of the funds requested are for new awards.

Historically, the Domestic Programs have helped to develop and maintain American expertise in world cultures and economies, and foreign languages. It is critical for our Nation to have a readily available pool of international area and language experts for economic, foreign affairs, and defense purposes. Dramatic changes in the world's geopolitical and economic landscapes, the events surrounding the September 2001 terrorist attacks on the United States, and the war on terrorism underscore the importance of maintaining and expanding this expertise. The Title VI programs are key to the teaching and learning of languages vital to national interests and serve as a national resource.

The Administration also believes our Nation needs citizens with global competence. The ability to compete and collaborate on the world stage requires an awareness and understanding of the world, the ability to communicate and collaborate with others from different cultures, and exposure to foreign languages. The Administration believes that a world-class education must integrate global competencies and is committed to increasing the global competency of all U.S. students.

Most of the funds requested would be allocated to the National Resource Centers (NRCs) program and Foreign Language and Area Studies (FLAS) fellowship program. NRCs are the primary mechanism for developing U.S. language and area studies expertise. These grants help institutions of higher education to establish, strengthen, and operate advanced centers for the teaching and learning of foreign languages and area and international studies. Funding for this program was cut drastically in 2011 and in 2014 we are proposing to restore 66 percent of the 2010 level. FLAS fellowships support undergraduate and graduate training programs at many NRCs. They provide opportunities for intensive study of less commonly taught languages

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and world areas both domestically and abroad during the summer or the academic year. Funding for FLAS would be maintained at the 2010 level.

To strengthen our capacity across institutions and at all levels, the Department is also proposing to restore 100 percent of the 2010 funding level for the Language Resource Centers (LRCs). Increased funding for this program will enable LRCs to improve outreach efforts to K-12 schools, in addition to sponsoring research, training, performance testing, educational technology, and materials development.

In addition, the Department proposes to allocate funds for new awards in the Centers for International Business Education (CIBE) program. CIBEs are designed to serve as regional and national resources for businesses, students, and faculty at all levels. They meet the need for research and training in the international aspects of trade, commerce, and other fields of study. CIBEs prepare students for careers in global economy by developing and promoting international business and economics academic programs and curricula. They also assist businesses in the region in exporting their products and services to other countries and/or importing what they need. CIBEs play an integral role in maintaining and increasing U.S. business global competitiveness.

The Department also proposes to continue support for strengthening the capacity of under-resourced institutions and minority serving institutions. The Department proposes to give priority to applications from institutions determined eligible under the Title III and Title V programs authorized by the Higher Education Act and to other under-resourced institutions such as community colleges.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
National Resource Centers:			
Number of new awards	0	0	TBD
Average new award	0	0	TBD
Total new award funding	0	0	\$22,476
Number of NCC awards	127	127	0
Average NCC award	\$142	\$142	0
Total NCC award funding	\$18,049	\$18,049	0
Total award funding	\$18,049	\$18,049	\$22,476
Total number of awards	127	127	TBD
Foreign Language and Area Studies Fellowships:			
Academic year graduate fellowships	792	792	792
Average academic year fellowship	\$33	\$33	\$33
Academic year undergraduate fellowships	271	271	271
Average academic year fellowship	\$15	\$15	\$15

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Foreign Language and Area Studies Fellowships (cont'd):			
Summer fellowships	746	746	746
Average summer year fellowship	\$8	\$8	\$8
Number of new awards	0	0	126
Average new award	0	0	\$281
Total new award funding	0	0	\$35,399
Number of NCC awards	126	126	0
Average NCC award	\$281	\$281	0
Total NCC award funding	\$35,399	\$35,399	0
Total award funding	\$35,399	\$35,399	\$35,399
Total number of awards	126	126	126
Undergraduate International Studies and Foreign Language Program:			
Number of new awards	17	20	15
Average new award	\$90	\$95	\$94
Total new award funding	\$1,538	\$1,906	\$1,412
Number of NCC awards	3	17	20
Average NCC award	\$154	\$95	\$97
Total NCC award funding	\$461	\$1,623	\$1,945
Total award funding	\$1,999	\$3,529	\$3,357
Total number of awards	20	37	
International Research and Studies:			
Number of NCC awards	10	0	0
Average NCC award	\$170	0	0
Total NCC award funding	\$1,701	0	0
Total award funding	\$1,701	0	0
Total number of awards	10	0	0
Centers for International Business Education:			
Number of new awards	0	0	TBD
Average new award	0	0	TBD
Total new award funding	0	0	\$5,732
Number of NCC awards	33	33	0
Average NCC award	\$174	\$174	0
Total NCC award funding	\$5,732	\$5,732	0
Total award funding	\$5,732	\$5,732	\$5,732
Total number of awards	33	33	TBD

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Language Resource Centers:			
Number of new awards	0	0	15
Average new award	0	0	\$335
Total new award funding	0	0	\$5,022
Number of NCC awards	15	15	0
Average NCC award	\$170	\$170	0
Total NCC award funding	\$2,548	\$2,548	0
Total award funding	\$2,548	\$2,548	\$5,022
Total number of awards	15	15	15
American Overseas Research Centers:			
Number of new awards	7	0	0
Average new award	\$93	0	0
Total new award funding	\$650	0	0
Number of NCC awards	0	7	7
Average NCC award	0	\$93	\$93
Total NCC award funding	0	\$650	\$650
Total award funding	\$650	\$650	\$650
Total number of awards	7	7	7
Total new award funding	\$2,188	\$1,906	\$70,041
Total NCC award funding	\$63,890	\$64,001	\$2,595
Program evaluation, national outreach, and information dissemination	\$473	\$614	\$681
Peer review of new award applications	\$35	\$65	\$170
Total Domestic funding	\$66,586	\$66,586	\$73,487
Total Domestic awards	338	345	TBD

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

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FY 2014 and future years, as well as the resources and efforts invested by those served by this program.

Goal: To meet the Nation's security and economic needs through the development of a national capacity in foreign languages, and area and international studies.

***Objective:** The National Resource Centers (NRC) program provides grants to institutions of higher education or consortia of institutions of higher education to establish, strengthen, and operate comprehensive and undergraduate language and area/international studies centers.*

NRC Measure: Percentage of less and least commonly taught languages as defined by the Secretary of Education taught at Title VI NRCs.

Year	Target	Actual
2009		38.0
2010		38.0
2011	37.5	38.0
2012	38.5	
2013	38.5	
2014	38.5	

NRC Measure: Percentage of priority languages as defined by the Secretary of Education taught at NRCs.

Year	Target	Actual
2009		81.0
2010		83.0
2011	81.0	81.0
2012	82.0	
2013	83.5	
2014	84.0	

NRC Measure: Percentage of NRC grants teaching intermediate or advanced courses in priority languages as defined by the Secretary of Education.

Year	Target	Actual
2009		64.0
2010		64.0
2011	63.0	69.0
2012	64.0	
2013	64.5	
2014	65.0	

Additional information: The 2011 rate of 38 percent reflects 108 less and least commonly taught languages out of 285 such languages taught at NRCs. This rate is comparable to 2010 when 109 less and least commonly taught languages were taught out of 285. In 2011, 63 of the 78 priority languages, or 81 percent, were taught at NRCs, a decrease of 2 priority languages as

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compared to 2010 (65 of the 78 priority languages). The rate of 69 percent for 2011 reflects that NRC grantee institutions are teaching intermediate or advanced courses in 54 of the 78 priority languages, an increase of 4 priority languages as compared to 2010 rate. The NRC program exceeded or met the targets set for 2011. Grantees are required to submit annual performance reports via the International Resource Information System (IRIS). Data for 2012 will be available in October 2013.

Objective: *Provides Foreign Language and Area Studies (FLAS) academic year and summer fellowships to institutions of higher education to assist graduate students in foreign language and either area or international studies.*

FLAS Measure: The average competency score of Title VI FLAS fellowship recipients at the end of 1 full year of instruction minus the average score at the beginning of the year.

Year	Target	Actual
2009	1.20	1.02
2010	1.20	
2011	1.20	
2012	1.20	
2013	1.20	
2014	1.20	

FLAS Measure: Percentage of FLAS Master's and doctoral graduates that studied priority languages as defined by the Secretary of Education.

Year	Target	Actual
2009		80.0
2010		85.0
2011	75.0	84.0
2012	75.0	
2013	85.0	
2014	85.5	

Additional information: The overall change in the language competency self-assessment reflects a mix of different levels of improvement at all stages (beginner, intermediate, advanced) and for the three modalities of language acquisition (reading, writing, listening/speaking) based on the Interagency Language Roundtable's (ILR) Self-Assessments on Speaking, Reading, and Listening proficiency. For 2009, the average competency score from pre- to post-award for 2,172 Title VI FLAS fellowship recipients increased by 1.08 in writing, 1.01 in reading, and 0.96 in speaking, for a total average competency score of 1.02 for the three modalities of language acquisition. Beginning language students may be expected to make larger advances over a given time period (and, therefore, have larger change scores) than more advanced students. A target value of 1.2 for change over the year reflects an ambitious, but appropriate, overall goal for the program. Grantees are required to submit annual performance reports via IRIS.

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International education and foreign language studies: Domestic programs

A 2007 recommendation from the National Research Council of the National Academies in their study entitled *International Education and Foreign Languages: Keys to Securing America's Future* cited that the language proficiency of Foreign Language and Area Studies fellowships program is not adequately assessed because the Department uses a self-evaluation approach to collect information about improvement in language proficiency from FLAS fellows. To address this recommendation, data for 2011 reflect pre- and post-language evaluations completed by language instructors (speaking only), as opposed to self-assessments submitted by fellowship recipients.

The rate of 84 percent for fiscal year 2011 reflects 1,443 fellows studying critical need languages out of a total of 1,712 fellows, a decrease of 1 percentage point from the 2010 rate of 85 percent when 1,518 fellows studied critical need languages out of a total of 1,783 fellows. Data for the remaining FLAS measure—percentage of FLAS participants who report that they found employment that utilizes their language and area skills—will not be available until December 2013. Data are derived from IRIS.

Objective: *Undergraduate International Studies and Foreign Language (UISFL) program provides funds to institutions of higher education, a combination of such institutions, or partnerships between nonprofit educational organizations and institutions of higher education to plan, develop, and carry out programs to strengthen and improve undergraduate instruction in international studies and foreign languages.*

UISFL Measure: Percentage of priority languages addressed/covered by foreign language major, minor, or certificate programs created or enhanced; or by language courses created or enhanced; or by faculty or instructor positions created with UISFL or matching funds in the reporting period.

Year	Target	Actual
2009		24.0
2010	18.0	28.0
2011	18.0	19.0
2012	18.0	
2013	28.0	
2014	28.5	

Additional information: Performance in the UISFL program exceeded the target set for 2011. UISFL grantees proposed programs and activities that focused on language instruction and developed area or international studies programs that included language instruction in 19 percent, or 15 of the 78 priority languages on the Department of Education's List of Less Commonly Taught Languages (LCTLs). This is a decrease of 8 percentage points, or 7 fewer priority languages, as compared to the 2010 rate. Data are derived from IRIS. Data for 2012 will be available in December 2013.

Objective: *Centers for International Business Education (CIBE) provide funding to schools of business for curriculum development, research, and training on issues of importance to United States trade and competitiveness.*

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International education and foreign language studies: Domestic programs

CIBE Measure: Percentage of graduates of a doctoral or Master's, including MBA, program with significant international business concentration at the postsecondary institution who are employed in business-related fields, including teaching at a business school.

Year	Target	Actual
2009		44.0
2010		42.0
2011		43.0
2012	44.0	
2013	45.0	
2014	45.0	

Additional information: This measure tracks the percentage of CIBE graduates of a doctoral or Master's, including MBA, program with significant international business concentration at the postsecondary institution employed in business-related fields, including teaching at a business school. Besides producing the majority of internationally prepared business students and entrepreneurs, CIBEs are designed to serve as regional and national resources to businesses, students, and academics. Most are located at major U.S. universities. Data from 2011 reveal that 43 percent, or 3,833 doctoral or Master's graduates out of a total of 8,997 graduates, are employed in business-related fields, including teaching at a business school. The 2011 rate is 1 percentage point higher than the 2010 rate of 42 percent (5,890 out of 14,168 graduates). Grantees are required to submit annual performance reports via IRIS. Data for 2011 will be available in December 2013.

A number of the Title VI programs share common measures—the percentage of grantee projects judged to be successful by the program officer, based on a review of information provided in annual performance reports; and the number/percentage of outreach activities that are adopted or disseminated within a year, divided by the total number of outreach activities conducted in the current reporting period. The following programs share these common measures—UISFL, International Research and Studies (IRS), Business and International Education (BIE), CIBE, Language Resource Centers (LRCs), and American Overseas Research Centers (AORCs).

Objectives: *International Research and Studies (RS) supports surveys, studies, and instructional materials development to improve and strengthen instruction in modern foreign languages, area studies, and other international fields to provide full understanding of the places in which the foreign languages are commonly used. The BIE program provides funds to institutions of higher education that enter into an agreement with a trade association and/or business for two purposes: to improve the academic teaching of the business curriculum and to conduct outreach activities that expand the capacity of the business community to engage in international economic activities. The LRC program provide grants for establishing, strengthening, and operating centers that serve as resources for improving the nation's capacity for teaching and learning foreign languages through teacher training, research, materials development, and dissemination projects. AORCs provides grants to consortia United States institutions of higher education to establish or operate overseas research centers that promote postgraduate research, exchanges, and area studies. Objectives for the UISFL and CIBE programs are reflected on previous pages.*

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International education and foreign language studies: Domestic programs

UISFL, IRS, BIE, CIBE, LRC, and AORC Measure: Percentage of projects judged to be successful by the program officer, based on a review of information provided in annual performance reports.

Year	Target	UISFL Actual	IRS Actual	BIE Actual	CIBE Actual	LRC Actual	AORC Actual
2009		90.4	88.6	90.7	100.0		100.0
2010	95.0	91.8	100.0	100.0	100.0	100.0	100.0
2011	95.0	100.0	100.0	100.0	100.0	100.0	
2012	95.0						
2013	95.0						
2014	95.0						

Additional information: The Department developed and implemented a Project Evaluation Profile (PEP) standard tool in IRIS used by Department program officers to assess performance reports submitted annually by grantees via IRIS. As each performance report is reviewed, the program officer completes the PEP by answering a series of questions that are assigned point values. IRIS tallies the points and a matrix is used to determine if the project is outstanding, successful, or at risk. For 2011, all UISFL (21 projects), IRS (31 projects), and LRC (15 projects) were reviewed and judged successful. Ten projects were reviewed and judged successful in the AORC program in 2010. The PEPs are placed in the official grant file and are required for all annual and final reports. Data for 2012 for AORCs will be available March 2013.

IRS, BIE, and LRC Measure: Number/percentage of outreach activities that are adopted or disseminated within a year, divided by the total number of outreach activities conducted in the current reporting period.

Year	IRS Target (#)	IRS Actual (#)	BIE Target (%)	BIE Actual (%)	LRC Target (#)	LRC Actual (#)
2009		1,241		60.0		42,864
2010		634		60.0		30,139
2011		255		51.0		32,199
2012	700		N/A ¹		31,000	
2013	N/A ¹		N/A ¹		31,000	
2014	N/A ¹		N/A ¹		31,000	

¹ No targets are included for years in which the program was not funded or is not expected to be funded.

Additional information: Title VI outreach programs extend to and have a positive impact on many teachers and students throughout the United States. This measure calculates the number of or percentage of outreach activities that are adopted or disseminated by a Title VI program within a year, divided by the total number of/percentage of outreach activities conducted in the current reporting period. A total of 255 outreach activities—221 by institutions and 34 by organizations—were adopted or disseminated by the IRS program in 2011. A total of 634 outreach activities—449 by institutions and 185 by organizations—were adopted or disseminated by the IRS program in 2010.

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International education and foreign language studies: Domestic programs

In the BIE program in 2011, 62 out of 121 (51 percent) lectures, seminars, workshops/conferences, online resources, courses, media interviews, articles, and exhibits were adopted or disseminated; a decrease from 2010 when 105 out of 174 (60 percent) of the program's outreach activities were adopted or disseminated.

In the LRC program in 2011, a total of 32,199 outreach activities were adopted or disseminated—32,017 by institutions and 182 by organizations. Institutions adopted or disseminated 30,139 outreach activities—29,926 by institutions and 213 by organizations in 2010. Data for the performance measures are derived from IRIS. Grantees are required to submit annual performance reports via IRIS. Data for 2012 will be available in December 2013.

AORC Measure: Percentage of scholars who indicated they were "highly satisfied" with the services the Center provided.

Year	Target	Actual
2009		90.0
2010		86.0
2011		
2012	N/A ¹	
2013	90.0	
2014	90.0	

¹ No targets are included for years in which the program was not funded or is not expected to be funded.

Additional information: This measure tracks the percentage of scholars who indicated they were highly satisfied with the services the AORC provided. In 2010, 493 scholars indicated they were highly satisfied out of 574 scholars.

Efficiency Measures

The efficiency measures track cost per successful outcome.

FLAS Efficiency Measure: Cost per FLAS Fellowship fellow increasing average language competency by at least one level.

Year	Number of Fellows	Target	Actual
2009	2,059		\$16,075
2010			
2011		\$16,000	
2012		16,000	
2013		16,000	
2014		16,000	

Additional information: The calculation for the efficiency measure is the annual funding for the program divided by the number of FLAS fellows increasing their average language competency by at least one point from pre- to post-test. The 2009 cost per successful outcome

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International education and foreign language studies: Domestic programs

of \$16,075 is calculated by dividing the annual funding allocation of \$33,097,500 by 2,059 fellows, which is an improvement over the 2008 rate of \$16,198 (\$29,933,500 divided by 1,848 fellows). Grantee-level data will be used to establish targets, improve performance, identify opportunities for technical assistance, provide early warning that a project may need more intensive oversight, and identify best practices. Data for 2010 will be available in December 2013.

CIBE Efficiency Measure: Cost per Master's, including MBA, degree recipient or doctoral graduate employed in business-related fields, including teaching in a business school.

Year	Number of Fellows	Target	Actual
2009	7,295		\$1,580
2010	7,837		1,628
2011	4,302		1,332
2012		\$2,200	
2013		2,100	
2014		1,600	

Additional information: For 2011, the cost per successful outcome of \$1,332 was calculated by dividing the program allocation of \$5,731,864 by 4,302 Master's or doctoral graduates employed in business-related fields from the fiscal year 2010 competition. The cost per successful outcome in 2009 is based on data from 31 CIBEs that received funding in the 2006-2009 performance period. Data show that a total of 24,885 Master's or doctoral graduates were employed in business-related fields during the 2006-2009 grant period. The average cost per successful outcome for the 4-year grant period 2006-2009 is \$1,760. Data for this efficiency measure are derived from IRIS. Data for 2011 will be available December 2013.

Other Performance Information

- The Department has initiated a number of studies to assess the effectiveness of the Title VI program. A study of the Language Resource was completed April 2011. The study found that the LRCs have (1) successfully implemented the key activities outlined in the statutory mandate; (2) engaged in a wide range of dissemination activities, particularly for postsecondary and professional audiences; (3) collaborated effectively with one another as well as with non-LRC organizations; and (4) produced high-quality products, materials, and services for their key constituents.

Studies are underway to assess the effectiveness of the National Resource Centers, Business and International Education, and Undergraduate International Studies and Foreign Language programs in order to determine their scope and potential impact and to identify areas for improvement. The results from the studies will be used to monitor the effectiveness of the program.

- The Department is also conducting a study that will support the development of outcome measures; analyzing existing performance data, making that information available to the public; and providing recommendations for developing a comprehensive program evaluation strategy for the Title VI programs.

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International education and foreign language studies: Domestic programs

- A number of studies have been conducted over the years to evaluate aspects of the Domestic Programs. A few are outlined below.

In 2007, the National Research Council of the National Academies completed its review of Title VI International Education programs supported under the Higher Education Act as well as Section 102(b)(6) Fulbright-Hays International Education programs in a study entitled *International Education and Foreign Languages: Keys to Securing America's Future*. The National Research Council reviewed the adequacy and effectiveness of Title VI and Fulbright-Hays programs in addressing their statutory missions and in building the Nation's international and foreign language expertise—particularly as needed for economic, foreign affairs, and national security purposes. Despite its many recommendations for improvement, the Council recognizes that the Title VI/Fulbright-Hays programs have served as a foundation in the internationalization of higher education and should continue to do so. In addition, the Council:

- Found that within the Title VI/Fulbright-Hays programs, there was a need for better and more reliable data and for greater coordination within the Department and across other Federal agencies.
 - Commented on the lack of rigorous, reliable information available on Title VI program performance and made recommendations for better program transparency and evaluation. Specifically, it found that the performance measures used by the Department and annual aggregate data reported by grantees provided insufficient information to appropriately judge program performance;
 - Found that the language proficiency of Foreign Language and Area Studies fellowship recipients is not being adequately assessed, as the Department uses a self-evaluation approach to collect information about improvement in language proficiency;
 - Concluded that the Department of Education does not have strategic coordination of foreign language and international programs within the Department or with other Federal agencies. They recommended creating a Senate-confirmed position within the Department to better coordinate programs within the Department and with other agencies;
 - Commented that a key hindrance to establishing a pipeline of students who can eventually reach a high level of proficiency is the significant lack of K-12 teachers with foreign language and international expertise; and
 - Stated that international education programs appear to have had little effect so far on the number of underrepresented minorities in international service. The Institute for International Public Policy Fellowship Program doesn't reach many students and has significant costs.
- A study of the Department's graduate fellowship programs was published in September 2008. The study was designed to provide information on academic and employment outcomes (as of 2006) of graduate students who received financial support through the Department's graduate fellowship programs between 1997 and 1999, including the Foreign

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International education and foreign language studies: Domestic programs

Language and Area Studies (FLAS) fellowship program. The results of the study confirmed the validity of performance report data on employment outcomes and improvement in language competency. Data from the study indicates:

- FLAS fellows studied a wide variety of languages. South Asia and East Asian languages were among the most common, studied by about one-third of FLAS fellows, and 35 percent of fellowships supported the study of a language spoken in central Asia, the Middle East, or Africa. About 70 percent of fellowships supported the study of a critical foreign language as defined by the Department of Education.
- Students who received FLAS fellowships were highly likely to complete their degrees. Master's and first-professional degree students were far more likely (95-96 percent) than doctoral students (72 percent) to have completed their degrees at the time of the survey.
- Regardless of their degree completion status, FLAS fellows reported that their oral and written language skills improved over the course of their FLAS-supported study. At the time of the survey, FLAS fellows rated their abilities to speak, write, and read the languages they studied with FLAS support both at the time they began FLAS-supported study and at the time they completed that study at a variety of levels. They rated their speaking and listening ability on a 5-level scale, and their reading and writing abilities on 6-level scales. On average, FLAS fellows reported a level 2 ability with respect to each of these skills at the time they began each FLAS-supported language study, and reported level 3 or 4 ability at the close of that study. FLAS fellowship recipients averaged a one-level gain in proficiency. These data compare favorably to data collected through IRIS on Title VI FLAS fellowship recipients.
- Nearly all fellows (92 percent) worked after completing their fellowships, and a majority of fellows (71 percent) worked in jobs that involved expertise they had gained through their FLAS-supported study. Nearly all fellows who reported working in a related job considered that job to be part of a career they were pursuing.
- Among fellows who had held at least one job related to the field they had studied with FLAS support, three-quarters of fellows worked in education, one-fifth in a U.S. private sector job, and one-fifth in foreign or international jobs. About one in nine worked for the military or other Government positions.
- Of fellows who had worked for pay since completing the fellowship, 68 percent worked in a job in which teaching was a major responsibility. These fellows had taught for an average of 3 years at the time of the survey, and 86 percent of them had taught in a field related to the FLAS-supported study.
- FLAS fellows believed that FLAS was very helpful in their degree completion and at least somewhat helpful in obtaining employment in a desired field. Over one-half reported that receiving a FLAS fellowship influenced their occupation and career choices.

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International education and foreign language studies: Domestic programs

While these findings are encouraging, it should be noted that the overall response rate—the proportion of fellowships for which a survey was completed—was less than 50 percent. In addition, the study does not offer data on outcomes for an appropriate comparison group due to limitations in the Department's data sources. Despite these reservations and limitations, the data indicate positive outcomes.

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International education and foreign language studies: Overseas programs

(Mutual Educational and Cultural Exchange Act of 1961, Section 102(b)(6))

(dollars in thousands)

FY 2014 Authorization: Indefinite

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
\$7,451	\$7,451 ¹	\$7,451	0

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

The International Education and Foreign Language Studies (IEFLS) Overseas Programs provide participants with first-hand experience overseas that is designed to improve elementary, secondary, and postsecondary teaching and research concerning other cultures and languages, the training of language and area studies specialists, and the American public's general understanding of current international issues and problems.

Four major Overseas Programs in foreign languages and in area and international studies are authorized under the Mutual Educational and Cultural Exchange Act of 1961 (commonly known as the Fulbright-Hays Act). Under these programs, grants are provided on an annual basis to eligible institutions that in turn support projects of varying duration.

Group Projects Abroad (GPA) program supports group training, research, and curriculum development in modern foreign languages and area studies for teachers, college students, and faculty for periods from 1 to 12 months. In addition, the program supports advanced overseas intensive language projects designed to take advantage of the opportunities in foreign countries by providing advanced language training to students for a period of up to 36 months. Projects focus on all major world areas with the exception of Western Europe.

Faculty Research Abroad (FRA) program supports opportunities for faculty members of institutions of higher education to study and conduct advanced research overseas. Fellowships are generally reserved for scholars whose academic specializations focus on the less commonly taught languages and all major world areas with the exception of Western Europe. The fellowships are from 3 to 12 months in length.

Doctoral Dissertation Research Abroad (DDRA) program supports opportunities for doctoral candidates to engage in full-time dissertation research overseas. Fellowships are generally reserved for junior scholars whose academic specializations focus on the less commonly taught languages and all major world areas with the exception of Western Europe. The fellowships are from 6 to 12 months in length.

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International education and foreign language studies: Overseas programs

Seminars Abroad (SA)—Special Bilateral Projects with foreign countries support training and curriculum development opportunities for American teachers and faculty through short-term overseas seminars conducted in all major world areas with the exception of Western Europe.

IEFLS programs are administered through discretionary grants and interagency agreements. Federal program staff, panels of non-Federal academic specialists, bi-national commissions, U.S. embassies, and the J. William Fulbright Foreign Scholarship Board are involved in the merit-based selection of the Overseas Programs grantees and/or project participants.

The Overseas Programs specifically increase the supply of specialists in area, international, and language studies, and improve public access to knowledge of other countries and languages by providing to individuals and institutions of higher education measurable opportunities in the field of international education for:

- Research;
- Area, language, and international studies training;
- Professional growth including faculty development and teacher-training;
- Networking with counterparts in the U.S. and abroad;
- Curriculum and instructional materials development; and
- Overseas experience.

The Overseas Programs focus on the less commonly taught foreign languages and those areas of the world in which those languages are spoken. Current participants and graduates of the Overseas Programs are important sources of information and expertise on many issues that dominate the international environment.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009	\$14,709
2010	15,576
2011	7,465
2012	7,451
2013	7,451 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

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International education and foreign language studies: Overseas programs

FY 2014 BUDGET REQUEST

The Administration requests \$7.5 million for the Overseas programs, level with fiscal year 2012. All of the funds would be used to support programs designed to develop expertise in strategic languages and area studies.

In 2014, funds would be used primarily for new awards under the following programs: Doctoral Dissertation Research Abroad (DDRA) program, which deepens research knowledge on and helps the Nation develop capability in areas of the world not generally included in U.S. curricula; and Group Projects Abroad (GPA) – Short-term projects, which give teachers and faculty the opportunity to benefit from overseas study of modern foreign languages and area studies. The Administration also requests \$1.9 million to cover continuation costs for the Group Projects Abroad – Advanced Overseas Intensive Language projects and \$396 thousand for the China Seminar.

The Department plans to require applicants to all Overseas programs to focus on one or more of the following areas: Africa, East Asia, Southeast Asia and Pacific Islands, South Asia, the Near East, East Central Europe and Eurasia, and the Western Hemisphere (excluding the United States and its territories). The Department also plans to give priority to applicants that focus on any of the 78 less commonly taught languages.

For the DDRA program, the Department is considering giving priority to projects that are hosted by one of the following regions: BRIC (Brazil, Russia, India, or China), MAVINS (Mexico, Australia, Vietnam, Indonesia, Nigeria, and South Africa) or MENA (Middle East, North Africa). For the GPA – Short-term projects, the Department plans to give priority to projects that include K-12 teachers or administrators as at least 50 percent of the project participants.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Group Projects Abroad:			
Number of new projects	23	18	18
Average new project	\$130	\$86	\$86
Total new project funding	\$2,990	\$1,551	\$1,551
Number of NCC projects	0	11	11
Average NCC project	0	\$172	\$172
Total NCC project funding	0	\$1,900	\$1,900
Total project funding	\$2,990	\$3,451	\$3,451
Total number of projects	23	29	29
Total number of participants	345	420	420

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International education and foreign language studies: Overseas programs

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Doctoral Dissertation Research Abroad:			
Number of new fellows	90	90	90
Average new fellowship	\$36	\$36	\$36
Number of new awards	24	24	24
Average new award	\$135	\$134	\$134
Total new award funding	\$3,240	\$3,225	\$3,221
Seminars Abroad—Special Bilateral Projects:			
Number of new projects	3	0	0
Average new project	\$159	0	0
Total new project funding	\$476	0	0
Total number of participants	40	0	0
China Contract	\$372	\$389	\$396
China Contract participants	16	16	16
Department of State administrative costs	\$250	\$250	\$250
Program evaluation, national outreach, and information dissemination	\$50	\$74	\$59
Peer review of new award applications	\$73	\$62	\$74
Total Overseas funding	\$7,451	\$7,451	\$7,451
Total Overseas participants	491	527	527

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by this program.

Goal: To meet the Nation's security and economic needs through the development of a national capacity in foreign languages, and area and international studies.

Objective: *Provide grants to colleges and universities to fund individual doctoral students to conduct research in other countries in modern foreign languages and areas studies (DDRA), to*

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International education and foreign language studies: Overseas programs

fund faculty to maintain and improve their area studies and language skills by conducting research abroad (FRA), and to support overseas projects in training, research, and curriculum development in modern foreign languages and area studies by teachers, students, and faculty engaged in a common endeavor (GPA), and to U.S. educators in the social sciences and humanities for short-term study and travel seminars abroad for the purpose of improving their understanding and knowledge of the peoples and cultures of other countries (SA).

Measure: The average language competency score of Fulbright-Hays Doctoral Dissertation Research Abroad (DDRA) fellowship recipients at the end of their period of instruction minus their average score at the beginning of the period.

Year	Target	Actual
2009	0.75	0.49
2010	0.56	0.55
2011	0.57	0.63
2012	0.58	
2013	0.59	

Measure: The average language competency score of Fulbright-Hays Faculty Research Abroad program recipients at the end of their period of instruction minus their average language competency at the beginning of the period.

Year	Target	Actual
2009	0.50	0.14
2010	0.54	0.46

Measure: The difference between the average language competency of Fulbright-Hays Group Projects Abroad program recipients at the end of their period of instruction and their average competency at the beginning of the period.

Year	Target	Actual
2009	0.50	1.28
2010	1.10	1.08
2011	1.10	1.24
2012	1.10	
2013	1.10	

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International education and foreign language studies: Overseas programs

Measure: Percentage of all Fulbright-Hays Seminars Abroad Program projects judged to be successful by the program officer, based on a review of information provided in annual performance reports.

Year	Target	Actual
2009		100
2010	95	100
2011	95	100
2012	95	
2013	95	

Additional Information: In 2008, the Department established measures for the Faculty Research Abroad, Doctoral Dissertation Research Abroad, and Group Projects Abroad International Overseas programs that focus on improving the average language competency score of program recipients in any of the three components of the proficiency self-assessment (listening/speaking, reading, and writing). Baseline data for these measures became available in March 2008 and were derived from the International Resource Information System (IRIS), a web-based performance reporting system for the IEFLS programs. All grantees are expected to provide documentation of the improved language competency of fellows through IRIS for the purposes of assessing individual projects and the program overall.

Because the performance measures account for language gains rather than language proficiency, targets were set with the expectation that beginning language learners would show greater rates of improvement than advanced speakers (such as DDRA, FRA, and second-year GPA grantees). When fiscal year 2007 data became available, the targets for the FRA and GPA programs were raised and the target for the DDRA program was lowered to better reflect reasonable yet ambitious expectations for language gain.

The Department also established a measure for the Seminars Abroad program, which calculates the percentage of programs judged to be successful. Because of the varied and short-term nature of the seminars funded under this program, language gain is not a viable measure, as it is for the other three overseas programs.

No targets have been set for 2014, as the Department is in the process of revising the performance measures for these programs in consultation with OMB.

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International education and foreign language studies: Overseas programs

Efficiency Measures

Measure: Cost per participant increasing language competency by at least one level in one (or all three) area(s).

Year	Doctoral Dissertation Research Abroad Target	Doctoral Dissertation Research Abroad Actual	Faculty Research Abroad Target	Faculty Research Abroad Actual	Group Projects Abroad Target	Group Projects Abroad Actual
2009	\$138,000	\$36,011	\$375,000	\$87,404	\$36,000	\$17,988
2010	60,000	41,828	375,000	236,341	36,000	34,888
2011	60,000	46,082	375,000	83,415	36,000	
2012	60,000		375,000		36,000	
2013	60,000		375,000		36,000	

Measure: Cost per high-quality, successfully completed Seminars Abroad program project.

Year	Target	Actual
2009		\$236,684
2010	\$440,000	266,904
2011	440,000	228,274
2012	440,000	
2013	440,000	

Additional Information: The efficiency measure for these programs is the cost of a successful outcome, where success is defined as program recipients who increase their language competency by at least one level in any of the three components of the language competency assessment at the end of their period of instruction; for the Seminars Abroad program, success is defined as a high-quality, successfully completed seminar, as determined by the program officer. The language competency measure uses data pulled from IRIS and is calculated by dividing the annual funding for the program by the number of program recipients who increase their language competency appropriately.

No targets have been set for 2014, as the Department is in the process of revising the performance measures for these programs in consultation with OMB.

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education

(Higher Education Act of 1965, Title VII, Part B)

(dollars in thousands)

FY 2014 Authorization: Indefinite

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
\$3,494	\$3,494 ¹	\$260,000	+\$256,506

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

The Fund for the Improvement of Postsecondary Education (FIPSE) supports exemplary projects that are models for innovative reform and improvement in postsecondary education. Under FIPSE, the Department has flexibility to establish specialized programs to support projects in areas of national need. Therefore, each year, the Department determines the competitions and funding priorities that will be announced and sets procedures for awarding grants. Discretionary grants and contracts are awarded to institutions of higher education and other public and private nonprofit institutions and agencies.

Additionally, FIPSE currently supports the International Consortia Programs, which include the U.S./European Community (Atlantis) Program, the North American Mobility Program, the U.S./Brazil Program, and the U.S./Russia program. Each program provides funds to support the formation of educational consortia comprised of institutions from different countries to facilitate the exchange of students and faculty and to develop integrated curricula.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009	\$133,667 ¹
2010	159,403 ²
2011	19,607
2012	3,494
2013	3,494 ³

¹ Includes \$91,243 thousand for Congressional earmarks.

² Includes \$101,507 thousand for Congressional earmarks.

³ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

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FY 2014 BUDGET REQUEST

The Administration requests \$260.0 million for the Fund for the Improvement of Postsecondary Education for fiscal year 2014, which would support the first year of the First in the World (FITW) fund. Within the total, approximately \$175 million would be used to support an evidence-based grant competition, modeled after the Investing in Innovation (i3) program for K-12, to support innovative projects that successfully improve student outcomes by: increasing student learning, and the number of students completing college within 100 percent of expected time or transferring from a 2-year to a 4-year institution; closing gaps in completion rates between different populations; reducing the net price paid by students, or; achieving other results that help improve postsecondary attainment. The competition would also include a priority for projects designed to improve college access and selection for high-need secondary school students. In addition, up to \$75 million, to be available until expended, would be used to support 1) projects to develop third-party validation systems that identify competencies, assessments, and curricula for specific fields, and 2) Pay for Success awards to providers of free two-year degrees, especially in fields supported by validation systems. The Administration is requesting extended availability of these funds because the Department would not make payments until grantees have successfully demonstrated that their projects have improved student outcomes.

FITW Grant Competition: To address the national college completion challenge while also addressing affordability and quality in higher education, FITW will encourage institutions to develop innovative practices, evaluate and build evidence of effectiveness needed to identify successful strategies, and scale up and disseminate proven strategies to a national level. Similar to the i3 program for K-12, FITW award amounts are tiered based upon the level of available evidence of the proposed intervention's effectiveness. The development, validation, and scaling of projects and strategies will help ensure that States and postsecondary institutions have access to innovative practices that have been shown to be effective in helping improve student completion, learning, transfer, or other important measures of student success, as well as practices that can help reduce the net price paid by students. The competition will also include a priority for applicants proposing innovations that improve college access and selection for high-need secondary school students.

FITW funds would support:

- Development Grants, which are designed to provide funding to support projects that propose to carry out practices, strategies, or interventions that are innovative, nationally significant and for which there is a strong theory suggesting the proposal presents a better alternative to existing options for increasing student outcomes, but requires systematic study to verify this claim. Projects for Development Grants must be innovative and potentially significant nationally, not projects that simply implement existing practices, strategies, or interventions in additional locations or support needs that are primarily local in nature.
- Validation grants, which would support the expansion of a practice, strategy, or intervention supported by moderate evidence of effectiveness to a national, regional, or State level. The proposed practice, strategy, or intervention in a validation grant would

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have to show it has a statistically significant effect on increasing student outcomes, while maintaining quality, and that with further study, the effect of implementing the proposed practice, strategy, or intervention may prove to be substantially significant. Validation grants must also address specific barriers to the growth or scaling up of practices, strategies, and interventions, so that the entity is well-positioned to continue expansion following the expiration of Federal funding.

- Scale up grants, which would provide funding to assist the expansion, or “scaling up” of strategies, or interventions for which there is strong evidence of effectiveness to a national level. In addition to improving student outcomes for an increasing number of high-need students, we expect that Scale-up projects will generate information about the students and contexts for which a practice, strategy, or intervention is most effective. We also expect that Scale-up projects will increase understanding about how to expand practices, strategies, or interventions quickly and efficiently, while maintaining their effectiveness.

Up to \$100 million of the funds requested for the FITW grant competition would be directed, through the use of a priority, to projects designed to improve college access and selection for high-need students. This priority reflects the Administration’s belief that, in order to meet the President’s goal for the Nation to lead the world in college attainment by 2020, we need to increase our investment in innovative strategies to increase college enrollment and completion. For instance, research suggests that students from disadvantaged backgrounds are more likely to complete college at selective institutions than at less selective ones. Unfortunately, research also suggests that, due to a variety of factors, including inadequate guidance counseling and mentoring, many students from disadvantaged backgrounds are “under-matched”—that is, they enroll in colleges that are less selective than those for which they are qualified. Furthermore, low-income students are more likely to under-match than middle- or high-income students. This priority would set aside funds to spur the field to develop projects that address the under-matching challenge with the goal of improving matches, enrollment, and college completion for low-income students. The Administration believes that the experience of grantees that have implemented projects through the Federal TRIO programs and the Gaining Early Awareness and Readiness for Undergraduate Program (GEAR UP) would be well suited to address this priority.

The Department’s experience under the Strengthening Institutions Program (SIP) in fiscal year 2012 indicates that there are college completion strategies supported by strong or moderate evidence that merit further evaluation and work around successful scaling strategies. In the 2012 SIP competition, the Department established the following competitive preference priority: supporting programs, practices, or strategies for which there is strong or moderate evidence of effectiveness. Applications that scored within an established range were forwarded to the Institute of Education Sciences (IES) to undergo What Works Clearinghouse (WWC) certified review to determine whether their proposed activities were supported by evidence. Projects supported by strong evidence were given an additional 5 points while projects supported by moderate evidence were given an additional 2.5 points. Of the 14 new awards ultimately funded under this program in fiscal year 2012, the WWC reviewers determined that 8 projects were supported by strong evidence while 6 projects were supported by moderate evidence.

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The SIP competition also demonstrated that postsecondary institutions are interested in pursuing evidence-based funding—of the 151 eligible applications reviewed, 137 addressed the evidence priority.

Third-party validation systems and free 2-year degrees: The request also includes up to \$75 million to support projects to develop validation systems for competency-based learning and make performance-based awards for free 2-year degrees. These initiatives build alternative pathways for programs that are non-accredited, and therefore do not qualify for Federal grants and student loans, to receive Federal support if they can demonstrate good student outcomes. The validation systems competition would be open to consortia of entities including institutions of higher education, membership organizations, trade associations, and other organizations. Successful applicants would use funds to: 1) identify the competencies necessary to succeed in specific fields, 2) develop or certify assessments capable of determining whether students possess these competencies, and 3) certify online low- or no-cost curricula designed to educate students to achieve the competencies and prepare students for such assessments.

The Department would also use a portion of the requested funds for performance-based awards under the Pay for Success (PFS) Program to reward non-accredited providers of free 2-year degrees that can demonstrate their interventions yielded successful outcomes, such as demonstrated competencies, passage of field-appropriate licensing tests, job placement, or other indicators of positive results. Applicants chosen to enter into PFS agreements would create free 2-year degree programs, ideally structured around the third party validation systems created in the first phase of this initiative. Applicants could provide such programs and degrees through multiple strategies, including but not limited to, competency-based education. The Department would only make awards to a PFS project if it achieves the goals outlined in the initial agreement. Through these agreements, providers would bear the up-front costs of educating students, but would be reimbursed for some or all of the costs with Federal payments if their students succeed. If a Pay for Success project is unsuccessful, funds would be redirected to support other FIPSE grants.

Finally, the FIPSE request also includes \$10.96 million for continuation costs for projects previously funded under Model Transition Programs for Students with Intellectual Disabilities into Higher Education. No new competitions would be conducted for this program in the future, though similar activities could be supported through FITW. Further, the Department plans to hold no new special focus competitions for international consortia projects going forward and does not need any additional funds to cover continuation costs for these projects. The Department believes that directing new FIPSE funding to the FITW initiative would raise the quality of funded projects and better focus limited Federal resources on areas of greatest educational need.

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PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
First in the World (FITW)			
Grant competition			
Number of new awards	0	0	27
Average new award	0	0	\$6,417
Total new award funding	0	0	\$173,269
Third Party Validation System Competition			
Number of Awards	0	0	5
Average new award	0	0	\$4,900
Total Award funding	0	0	\$24,500
Pay for Success Awards			
Number of Awards	0	0	15
Average new award	0	0	\$3,300
Total Award funding	0	0	\$49,500
Total award funding	0	0	\$247,269
Total number of awards	0	0	47
U.S./European Community Program			
Number of NCC awards	34	TBD	0
Average NCC award	\$56	TBD	0
Total NCC award funding	\$2,116 ¹	TBD	0
Total award funding	\$2,116	TBD	0
Total number of awards	34	TBD	0
North American Mobility Program			
Number of NCC awards	0	TBD	0
Average NCC award	0	TBD	0
Total NCC award funding	0	TBD	0
Total award funding	0	TBD	0
Total number of awards	0	TBD	0

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
U.S./Brazilian Program			
Number of NCC awards	0	TBD	0
Average NCC award	0	TBD	0
Total NCC award funding	0	TBD	0
Total award funding	0	TBD	0
Total number of awards	0	TBD	0
Training for Realtime Writers			
Number of new awards	4	TBD	0
Average new award	\$277	TBD	0
Total new award funding	\$1,109	TBD	0
Total award funding	\$1,109	TBD	0
Model transition programs for students with intellectual disabilities into higher education			
Number of NCC awards	0	0	27
Average NCC award	0	0	\$406
Total NCC award funding	0	0	\$10,957 ²
Total funding	0	0	\$10,957 ²
Contracts			
FIPSE Database	\$266	\$274	\$274
Peer review of new award applications	\$3	TBD	\$1,500
Total FIPSE funding	\$3,494	\$3,494	\$260,000
Total number of awards	38	TBD	74

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

¹ The 2012 figure includes \$224 thousand used to cover 2013 continuation costs for high-performing grantees. These funds are excluded from the "average NCC award" calculation.

² Approximately \$10,957 thousand would be provided in FY 2014 to support continuation awards for grants made in previous fiscal years for the Model Transition Programs for Students with Intellectual Disabilities into Higher Education program.

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PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years, as well as the resources and efforts invested by those served by this program.

Goal: To improve postsecondary education by making grants to institutions in support of reform and innovation.

Objective: Promote reforms that improve the quality of teaching and learning at postsecondary institutions.

Measure: The percentage of FIPSE grantees reporting project dissemination to others.

Year	Target	Actual
2009	91	100
2010	92	78
2011	92	100
2012	93	
2013	93	

Additional information: Practical limitations prevent FIPSE from measuring project replication on an annual basis. Therefore, data on project dissemination efforts are used as a proxy to track progress toward achieving the larger program goal. The Department has not established a target for 2014 because it is phasing out this measure in anticipation of the transition to First in the World.

Measure: The percentage of projects reporting institutionalization on their home campuses.

Year	Target	Actual
2009	93	97
2010	93	100
2011	94	83
2012	94	
2013	95	

Additional information: FIPSE places a strong emphasis on institutional contributions to projects and the development of long-term continuation plans. The result is an exceptionally high rate of institutionalization. The Department has not established a target for 2014 because it is phasing out this measure in anticipation of the transition to First in the World.

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In anticipation of a FITW competition in fiscal year 2014, the Department is currently planning a major overhaul to the FIPSE performance measures to better align them with the objectives of the FITW program. The Department is considering establishing the following performance measures:

- (1) The percentage of projects supported by FITW grants that provide evidence of their effectiveness at improving student outcomes.
- (2) The percentage of projects supported by FITW grants that provide high-quality implementation data and performance feedback that allow for periodic assessment of progress toward achieving intended outcomes.
- (3) The cost per student served by FITW grants.
- (4) The cost per successful outcome.

Other Performance Information

The last review of FIPSE performance was conducted in 2004 when the American Institute for Research found that FIPSE was successfully achieving its goals, but that a lack of emphasis on evaluation has resulted in evaluations of mixed quality. The study examined the performance of 60 randomly selected projects funded under the Comprehensive Program from 1996 to 1998. It also convened subject-matter experts to assess project effectiveness in a wider context. Overall, the study confirmed that FIPSE funds a wide range of innovative and reform projects that tend to continue after Federal funding expires, share their work with others in the higher education community, and influence postsecondary education. The proposed transition to FITW would preserve the mission of supporting innovative and reform projects but introduce a greater emphasis on both evidence and evaluation.

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Model transition programs for students with intellectual disabilities into higher education
 (Higher Education Act of 1965, Title VII, Part D, Subpart 2)

(dollars in thousands)

FY 2014 Authorization: Indefinite

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
\$10,957	\$10,957 ¹	0	-\$10,957

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

The Model Transition Programs for Students with Intellectual Disabilities into Higher Education (TPSID) support competitive grants awarded to institutions of higher education or consortia of such institutions to create or expand high quality, inclusive model comprehensive transition and postsecondary programs for students with intellectual disabilities. Grants under this program are awarded for a period of 5 years. Institutions of higher education receiving funds under this program are required to match Federal funds in an amount that is no less than 25 percent of the award amount.

Funds may be used for: student support services; academic enrichment, socialization, or living skills programs; integrated work experiences; the development of individualized instruction plans; evaluation of the model program, in cooperation with the Coordinating Center; partnerships with local educational agencies to support students with intellectual disabilities participating in the model program who are still eligible for special education and related services under the Individuals with Disabilities Education Act; program sustainability; and development of a program credential.

The Department is also required to reserve 3 percent of the funds, or \$240,000, whichever is greater, for a Coordinating Center, which develops evaluation standards for TPSID grantees and provides technical assistance, information, and opportunities for communication among institutions with postsecondary programs for students with intellectual disabilities.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009	0
2010	\$11,000
2011	10,978
2012	10,957
2013	10,957 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

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Model transition programs for students with intellectual disabilities into higher education

FY 2014 BUDGET REQUEST

The Administration requests no funds for the TPSID program in fiscal year 2014. Instead of continuing support for small categorical, narrowly-focused programs like TPSID, the Administration proposes to direct increased funding toward the building of knowledge of what works in higher education. Specifically, the Administration is requesting \$260 million in the Fund to Improve Postsecondary Education program for a First in the World (FITW) fund in 2014. In 2014, FITW will conduct competitions that use an evaluation and evidence framework similar to that of the Investing in Innovation (i3) program for K-12, and set its priorities based on critical needs in higher education.

While the HEA requires TPSID grantees to work with a Coordinating Center to establish performance measures and to compile data on program participants and their student outcomes, the program is not designed to support evidence-based practices or to build evidence of program effectiveness. Grantees receiving the relatively modest TPSID awards are required to carry out a broad range of program activities, but applicants are not required to provide evidence that the proposed activities have had a significant effect on improving student outcomes or present any research-based findings to show that the proposed practices, strategies, or programs have the potential to improve outcomes. The Coordinating Center, which is required to conduct evaluations of the TPSID projects, must also provide technical assistance and recommendations for program standards. The Coordinating Center funding is insufficient for it to undertake rigorous evaluations of projects while simultaneously carrying out its other functions.

Funding for the fiscal year 2014 continuation awards for the existing 27 TPSID grantees and the Coordinating Center is included in the request for FIPSE. Additionally, institutions seeking funding for transition and postsecondary programs for students with intellectual disabilities that are supportable under the evidence framework that would be used in FITW would also be encouraged to apply for funding under FITW.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Number of NCC awards	27	27	0
Average NCC award	\$394	\$394	0
Total NCC award funding	\$10,628 ¹	\$10,628 ¹	0
Coordinating Center	\$329	\$329	0

¹ Each grantee is required to contribute a total of \$4,500 to the Coordinating Center.

NOTES: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

Continuation costs of approximately \$10,628 thousand for grantees and \$329 thousand for the Coordinating Center would be covered with funds from FIPSE in fiscal year 2014.

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Model transition programs for students with intellectual disabilities into higher education

PROGRAM PERFORMANCE INFORMATION

Grantees submit annual performance reports to the Department, which are used to assess the success of TPSID grantees in meeting the program's goal of promoting the successful transition of students with intellectual disabilities into higher education.

The Coordinating Center piloted an evaluation tool in 2011 and made modifications based on grantee feedback. The Center made the evaluation data collection system available for use in September 2012 and TPSID grantees completed entry of Year I (2010-2011) and Year II (2011-2012) data on December 31, 2012. The Center is currently preparing a report for the first 2 project years.

Performance measures have been established for the Coordinating Center, for which it has provided preliminary data.

Completion and Credential Measure: The percentage of students with intellectual disabilities who are enrolled in programs funded under TPSID who complete the programs and obtain a meaningful credential, as defined by the Center and approved by the Department. Of a total of 784 students with intellectual disabilities enrolled across the TPSID program in project years 1 and 2, 390 have exited the program and 162 have earned a meaningful credential.

Standards Measure: The percentage of recipients that have grants under the TPSID program that meet Department-approved, Center-developed standards for necessary program components, such as academic, vocational social, and independent living skills, evaluation of student progress, program administration and evaluation, student eligibility, and program credit equivalency.

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Model transition programs for students with intellectual disabilities into higher education

Standard	Percentage of TPSID grantees meeting standard in 2012
1. Academic Access: To facilitate quality academic access for students with intellectual disabilities, the comprehensive postsecondary education program should provide access to a wide array of college course types that are attended by students without disabilities and address issues that may impact college course participation	89%
2. Career Development: To facilitate career development leading to competitive employment for students with intellectual disabilities, the comprehensive postsecondary education program should provide students with the supports and experiences necessary to seek and sustain competitive employment.	93%
3. Campus Membership: To facilitate campus membership for students with intellectual disabilities, the comprehensive postsecondary education program should provide access to and support for participation in existing social organizations, facilities, and technology.	100%
4. Self-Determination: To facilitate the development of self-determination in students with intellectual disabilities, the comprehensive postsecondary education program should ensure student involvement in and control of the establishment of personal goals through use of person centered planning and have a stated process for family involvement.	96%
5. Alignment with College Systems and Practices: To facilitate alignment with college systems and practices for students with intellectual disabilities, the comprehensive postsecondary education should offer an educational credential (e.g., degree or certificate) established by the institution for students enrolled in the program, provide access to academic advising college campus resources, collaborate with faculty and staff, and adhere to the college's schedules, policies and procedures, public relations, and communications.	100%
6. Coordination and Collaboration: To facilitate collaboration and coordination, the comprehensive postsecondary education program should establish connections and relationships with key college/university departments and have a designated person to coordinate program-specific services of the comprehensive postsecondary education program.	100%
7. Sustainability: To facilitate sustainability the comprehensive postsecondary education program should use diverse sources of funding and have a planning and advisory team.	100%
8. Ongoing Evaluation: To facilitate quality postsecondary education services for students with intellectual disabilities, the comprehensive postsecondary program should conduct evaluation of services and outcomes on a regular basis.	100%

HIGHER EDUCATION

Tribally controlled postsecondary career and technical institutions

(Carl D. Perkins Career and Technical Education Act of 2006, Section 117)

(dollars in thousands)

FY 2014 Authorization: To be determined¹

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
\$8,131	\$8,131 ²	\$8,131	0

¹ The GEPA extension expires September 30, 2013; reauthorizing legislation is sought for FY 2014.

² Excludes a 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

This program makes grants to tribally controlled postsecondary career and technical institutions to provide career and technical education to Indian students.

In order to be eligible for a grant, a tribally controlled postsecondary career and technical institution must:

- Be formally controlled (or have been formally sanctioned or chartered) by a governing body of an Indian tribe or tribes;
- Offer a technical degree- or certificate-granting program;
- Demonstrate that it adheres to a philosophy or plan of operation that fosters individual Indian economic opportunity and self-sufficiency by providing, among other things, programs that relate to stated tribal goals of developing individual entrepreneurship and self-sustaining economic infrastructures on reservations;
- Have been operational for at least 3 years;
- Be accredited, or be a candidate for accreditation, by a nationally recognized accrediting authority for postsecondary career and technical education;
- Enroll at least 100 full-time equivalent students, the majority of whom are Indians; and
- Receive no funds under Title I of the Tribally Controlled Colleges and Universities Assistance Act of 1978 or the Navajo Community College Act.

Funds may be used by a grantee to train teachers; purchase equipment; and provide instructional services, child-care and other family support services, and student stipends; and for institutional support.

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Tribally controlled postsecondary career and technical institutions

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2009	\$7,773
2010	8,162
2011	8,146
2012	8,131
2013	8,131 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

The fiscal year 2014 request includes \$8.1 million for the Tribally Controlled Postsecondary Career and Technical Institutions (TCPCTI) program, the same amount as the 2012 appropriation. Funds would be used to improve eligible institutions' academic and career and technical offerings as well as for institutional support and capital expenditures. The budget request assumes that the program will be implemented in fiscal year 2014 under reauthorized legislation.

To date, only two institutions, Navajo Technical College (Navajo Tech), formerly Crownpoint Institute of Technology, and United Tribes Technical College (UTTC), have been able to demonstrate that they meet the statutory eligibility requirements for this program. Although the two institutions are different in many ways (for example, UTTC is located in an urban setting and serves a diverse Indian student population, while Navajo Tech is a rural institution that serves an almost entirely Navajo enrollment), they struggle with similar institutional and academic challenges. Both institutions serve an especially economically disadvantaged population and have difficulty providing sufficient financial aid to students. In addition, each school serves a number of students who lack preparation for postsecondary education and need academic and support services to help them develop academic and technical skills adequate for postsecondary work.

Furthermore, these institutions, according to Navajo Tech and UTTC officials, receive limited support from the tribes they serve because they are not the primary postsecondary institutions for those tribes. The institutions also receive limited financial support from such sources as student tuition, endowments, and State assistance and, therefore, they rely on Federal assistance to help them provide postsecondary career and technical education services to their students.

The Administration released its blueprint for reauthorization of the Perkins Act in April 2012. The reauthorization proposal would continue to provide support for the TCPCTI program while seeking to ensure that grantees under the program incorporate key reforms embodied in the broader reauthorization proposal, including linking career and technical education programs to in-demand occupations in high-growth sectors and ensuring linkages of those programs with industry and business.

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Tribally controlled postsecondary career and technical institutions

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Range of awards	\$3,682-4,464	\$2,882-5,249	\$2,882-5,249
Number of awards	2	2	2

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM PERFORMANCE INFORMATION

This section presents selected program information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by this program.

The Department collected baseline data for the performance indicators in 2008. Because the baseline data showed large differences in performance between the two grantees, the Department set individual grantee targets for most of the indicators.

At this time, the Department does not validate the data for these indicators, which are obtained from grantee performance reports. The Department has worked with the grantees to help ensure that they collect performance data consistently, but both grantees have acknowledged weaknesses in their data on post-program outcomes (such as placement in jobs or continuing education). The grantees have stated it is difficult to track students after they leave the institutions and that they need to develop strategies for collecting better data on this indicator.

Goal: To increase access to and improve career education that will strengthen workforce preparation, employment opportunities, and lifelong learning in the Indian community.

Objective: *Ensure that career and technical education (CTE) students in tribally controlled postsecondary career and technical institutions make successful transitions to work or continuing education.*

Measure: The percentage of CTE students who receive a degree, certificate, or credential.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2009	70	70	30	50
2010	75	79	40	38
2011	80	95	50	47
2012	85		55	
2013	86		60	
2014	87		60	

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Tribally controlled postsecondary career and technical institutions

Additional information: The percentage of CTE students who receive a degree, certificate, or credential is based on the number of CTE concentrators (students who have completed at least 12 academic or CTE credits in a single program area or a full short-term CTE program comprised of less than 12 credits that results in an industry-recognized credential, certificate, or degree) who received an industry-recognized credential, a certificate, or a degree during the reporting year divided by the total number of CTE concentrators who left postsecondary education during the reporting year. Data for 2012 will be available in late 2013.

Measure The percentage of students who are retained in, and complete, postsecondary CTE programs.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2009	63	73	45	40
2010	70	77	55	58
2011	75	82	60	57
2012	80		65	
2013	82		70	
2014	85		72	

Additional information: The percentage of students who are retained in, and complete, postsecondary CTE programs is based on the number of CTE concentrators who remained enrolled in their original postsecondary institution or transferred to another 2- or 4-year postsecondary institution during the reporting year and who were enrolled in postsecondary education in the fall of the previous reporting year, divided by the number of CTE concentrators who were enrolled in postsecondary education in the fall of the previous reporting year and who did not earn an industry-recognized credential, a certificate, or a degree in the previous reporting year. Data for 2012 will be available in late 2013.

Measure: The percentage of students who meet State- or program-established industry-validated CTE skills standards.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2009	83	78	70	70
2010	86	53	75	67
2011	88	61	80	67
2012	90		82	
2013	90		83	
2014	86		86	

Additional information: The percentage of students who meet State- or program-established industry-validated CTE skills standards is based on the number of CTE concentrators who passed technical skill assessments that are aligned with industry-recognized standards during the reporting year divided by the number of CTE concentrators who took technical skill assessments during the reporting year. Data for 2012 will be available in late 2013.

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Tribally controlled postsecondary career and technical institutions

Objective: *Ensure that CTE students in the tribally controlled postsecondary career and technical institutions are placed in jobs or continuing education or complete postsecondary CTE programs.*

Measure: The percentage of students placed in jobs, military service, or higher-level continuing education programs upon graduation or completion of the postsecondary career and technical education programs.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2009	32	42	30	81
2010	42	61	40	74
2011	50	69	50	83
2012	60		60	
2013	70		70	
2014	75		80	

Additional information: The Department requires Navajo Tech and UTTC to collect placement data during the second quarter after students graduate from or complete their programs. Since most students do so in late spring or early summer, both institutions generally collect these data at the end of the calendar year. Data for 2012 will be available in late 2013.

Efficiency measures

The Department adopted cost per participant as the efficiency measure for this program. Although the Department can also calculate the cost per successful outcome (which would be a more meaningful indicator of cost-effectiveness), the recipients do not use the same methodology to determine degree completion, making these data unreliable. The Department developed guidance to help grantees improve the comparability of the data provided in their performance reports and expects to be able to calculate the cost per successful outcome more reliably in the future.

Measure: Cost per participant.

Year	Cost per participant, Navajo Tech	Cost per participant, UTTC
2007	\$7,180	\$6,363
2008	4,445	8,703
2009	4,865	5,269
2010	4,705	4,878
2011	3,160	4,747

Additional information: In order to maintain comparability across years, the Department calculates the cost per participant by dividing the reported number of full-time equivalent Indian students by two, starting with fiscal year 2006 data. Data for fiscal year 2012 will be available by the fall of 2013. Note that the validity of the student count data provided by the recipients is uncertain. The institutions sometimes submit multiple sets of data counts within the same year.

HIGHER EDUCATION

Special programs for migrant students

(Higher Education Act of 1965, Title IV, Part A, Subpart 5, Section 418A))

(dollars in thousands)

FY 2014 Authorization: Indefinite

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
	\$36,526	\$36,526 ¹	\$36,526	0

¹ Excludes a 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

The Special Programs for Migrant Students provide 5-year grants to institutions of higher education (IHEs) and private nonprofit organizations to support educational programs designed for students who are engaged in, or whose families are engaged in, migrant and other seasonal farmwork.

Projects funded under the High School Equivalency Program (HEP) recruit migrant students aged 16 and over and provide academic and support services (including counseling, health services, stipends, and placement) to help those students obtain a high school equivalency certificate and subsequently to gain employment or admission to a postsecondary institution or training program.

Projects funded by the College Assistance Migrant Program (CAMP) provide tutoring, academic assistance, and counseling services, as well as stipends, tuition, and room and board, to first-year undergraduate migrant students and assist those students in obtaining student financial aid for their remaining undergraduate years.

HEP projects, located in college or university settings, operate residential and commuter programs of instructional services for out-of-school migrant youth; some HEP projects employ a commuter model in which students attend GED classes after work. Most CAMP projects use an on-campus residential design and provide a high level of support services in order to assist participants, virtually all of whom have had no prior contact with a college campus, to adjust to life at an institution of higher education. In making awards under both programs, the Department is required to consider applicants' prior experience in operating HEP and CAMP projects.

The Department may reserve up to one half of 1 percent of the funds appropriated for Special Programs for Migrant Students for outreach, technical assistance, and professional development activities. If the total amount appropriated is below \$40 million, the remaining funds are to be distributed between the two programs in the same proportion as the amounts available for each program the previous year. If the appropriation is over \$40 million, 45 percent of the remaining

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Special programs for migrant students

funds must be used for HEP and 45 percent for CAMP, and the remainder may be used for either program, based on the number, quality, and promise of applications received.

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2009	\$34,168
2010	36,668
2011	36,595
2012	36,526
2013	36,526 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

For 2014, the Administration requests a total of \$36.5 million for the Special Programs for Migrant Students, the same amount as the 2012 appropriation. These funds would support the continuation of grants made in earlier years under the High School Equivalency (HEP) and College Assistance Migrant (CAMP) programs, as well as outreach, technical assistance, and professional development activities.

Migrant youth are particularly at risk for poor educational, employment, and earnings outcomes. According to the US Department of Agriculture's Economic Research Service (ERS) report, *Profile of Hired Farmworkers, a 2008 Update*, farmworkers tend to be younger, less educated, and less likely to speak English than other wage and salary workers in the United States. Individuals aged 15-21 constituted 15.1 percent of farmworkers in 2006, and 30.0 percent of farmworkers had attained less than a 9th-grade education. Further, an ERS analysis of data from the US Department of Labor's *National Agricultural Workers Survey (NAWS)* showed that, over the period 1989-2006, the average median years of education for migrant farmworkers was 6, compared to 9 for nonmigrant farmworkers, and that 66.2 percent of migrant farmworkers had no knowledge of English, compared to 27.1 percent for nonmigrant farmworkers. Migrant farmworkers are also more likely to have lower hourly wages than nonmigrant farmworkers, and their limited education affects their ability to pursue postsecondary education or obtain skilled work that pays higher wages.

A substantial number of migrant youth are living on their own. The 2002-03 NAWS found that migrant youth working in farmwork and on their own constitute 11 percent of the total farm labor force. Their likelihood of being able to support themselves for an extended period of time through farmwork is poor. The ERS 2008 Profile reported that unemployment rates of farmworkers are double those of all wage and salary workers; that hired farmworkers earned less than other workers; and that the rate of poverty among farmworkers was more than double that of all wage and salary employees.

The HEP and CAMP programs provide participants with assistance that can enable them to improve their earnings potential dramatically. According to the Bureau of Labor Statistics *Occupational Outlook Handbook, 2012-13 Edition*, the median hourly wage for agricultural

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workers in 2010 was \$9.12, and these types of workers are often paid based on how much they do instead of how many hours they work. By comparison, the National Center for Education Statistics reports in *The Condition of Education 2012* that in 2009 the median earnings for young adults aged 25-34 with a high school diploma or equivalent were \$29,900 (equivalent to \$14.38 per hour) and the median was \$37,000 for a person with an associate's degree (equivalent to \$17.79 per hour).

HEP and CAMP programs focus on finding and assisting migrant youth who have educational potential but who have not been able—due to limited or inconsistent educational opportunity—to complete high school or go on to postsecondary education. HEP and CAMP projects emphasize services to out-of-school-youth by conducting extensive outreach in locations where these youth live and work (e.g., farms, production facilities, and labor camps) and providing services at locations and times that meet the needs of an out-of-school, working population.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Outreach, technical assistance, and professional development	\$183	\$183	\$183
HEP:			
Number of students served	5,292	5,292	5,292
Number of awards:			
First year	5	0	17
Second year	10	5	0
Third year	13	10	5
Fourth year	17	13	10
Fifth year	<u>0</u>	<u>17</u>	<u>13</u>
Total	45	45	45
Funding:			
New awards	\$2,114	0	\$7,009
Peer review of new award applications	70	0	70
Continuation awards	17,687	\$19,871	\$12,792
Average grant award	440	444	450
Average Federal contribution per student (whole dollars)	\$3,743	\$3,777	\$2,417
CAMP:			
Number of students served	1,925	1,925	1,925
Number of awards:			
First year	9	0	14
Second year	7	9	0
Third year	10	7	9
Fourth year	14	10	7
Fifth year	<u>0</u>	<u>14</u>	<u>10</u>
Total	40	40	40

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Funding:			
New awards	\$3,897	0	\$5,814
Peer review of new award applications	70	0	70
Continuation awards	\$12,505	\$16,472	\$10,588
Average grant award	408	409	410
Average Federal contribution per student (whole dollars)	\$8,470	\$8,505	\$8,525

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by this program.

Goal: To assist migrant and seasonal farmworker students in obtaining the equivalent of a high school diploma, and, subsequently, in beginning postsecondary education, entering military service, or obtaining employment.

Objective: *An increasing percentage of HEP participants will receive their General Educational Development (GED) credential.*

Measure: The percentage of High School Equivalency Program (HEP) participants receiving a General Educational Development (GED) credential.

Year	Target	Actual
2009	69	61
2010	69	70
2011	69	74
2012	69	
2013	69	
2014	69	

Additional information: The source of data is grantee performance reports. The Department established a new reporting system in 2008 to improve the quality of grantee data, and in 2009 the Department adjusted its methods for calculating performance data for recipients that serve more students than they projected at the beginning of their grant period. The data reported above for 2010 and 2011 reflect this adjusted methodology. Data collected for fiscal year 2012 will be available in the spring of 2013.

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Objective: *An increasing percentage of HEP recipients of the GED will enter postsecondary education programs, upgraded employment, or the military.*

Measure: The percentage of HEP GED credential recipients who enter postsecondary educational programs, career positions, or the military.

Year	Target	Actual
2009	81	74
2010	80	75
2011	80	75
2012	80	
2013	80	
2014	80	

Additional information: The source of data is grantee performance reports. Data for this measure are based on actual placement after receipt of a GED credential. The Department is providing technical assistance to grantees on collecting data on program participants after they are no longer receiving program services. Data for 2012 will be available in the spring of 2013.

Goal: **Assist migrant and seasonal farmworker students in successfully completing their first academic year of college and in continuing their postsecondary education.**

Objective: *All CAMP students will complete their first academic year at a postsecondary institution in good standing.*

Measure: The percentage of College Assistance Migrant Program (CAMP) participants completing the first year of their postsecondary program.

Year	Target	Actual
2009	86	86
2010	86	85
2011	86	89
2012	86	
2013	86	
2014	86	

Additional information: The source of data is grantee performance reports. Data for projects completing their first year of implementation are not included in the data for any given year because projects receive their initial funding in the fall, after the school year may have already started. Thus, the measure reflects the percentage of participants completing the first year of their postsecondary program between the second and fifth year of the project. In 2009, the Department adjusted its methods for calculating performance data for recipients that serve more students than they projected at the beginning of their grant period. Data collected for fiscal year 2012 will be available in the spring of 2013.

Objective: *A majority of CAMP students who successfully complete their first academic year of college will continue in postsecondary education.*

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Measure: The percentage of College Assistance Migrant Program (CAMP) participants who, after completing the first academic year of college, continue their postsecondary education.

Year	Target	Actual
2009	84	91
2010	85	88
2011	85	95
2012	85	
2013	85	
2014	85	

Additional information: The source of data is grantee performance reports. Data for this measure are based on actual placement after completion of the first year of college. The Department is providing technical assistance to grantees on collecting data on program participants once the participants are no longer receiving program services. Data for 2012 will be available in the spring of 2013.

Efficiency measures

The Department established a cost-per-participant outcome measure to assess program efficiency for HEP and CAMP. For HEP, the measure is the cost per participant earning a GED credential and, for CAMP, it is the cost per participant who completes his or her first year of postsecondary education and then continues that postsecondary education. The Department established different costs for programs serving participants who commute, programs serving participants who reside at the institution of higher education where the program is based, and programs with both types of participants. Targets are based on actual costs in 2011 (the baseline year), multiplied by an estimate rate of inflation for college-associated costs and then decreased by an expected improvement in efficiency annually of 1 percent. Data for 2012 will be available in the spring of 2013.

HEP Efficiency Measures

Measure: Cost Per Participant Earning a GED, Commuter programs.

Year	Target Cost Per Participant Earning a GED	Actual Cost Per Participant Earning a GED
2011	Baseline	\$7,529
2012	\$7,910	
2013	\$8,306	
2014	\$8,718	

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Measure: Cost Per Participant Earning a GED, Residential Programs.

Year	Target Cost Per Participant Earning a GED	Actual Cost Per Participant Earning a GED
2011	Baseline	\$14,753
2012	\$15,459	
2013	\$16,195	
2014	\$16,962	

Measure: Cost Per Participant Earning a GED, Programs with Both Commuting and Resident Students.

Year	Target Cost Per Participant Earning a GED	Actual Cost Per Participant Earning a GED
2011	Baseline	\$11,923
2012	\$12,502	
2013	\$13,104	
2014	\$13,732	

CAMP Efficiency Measures

Measure: Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education, Commuter programs.

Year	Target Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education	Actual Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education
2011	Baseline	\$11,486
2012	\$12,003	
2013	\$12,543	
2014	\$13,107	

Measure: Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education, Residential programs.

Year	Target Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education	Actual Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education
2011	Baseline	\$18,408
2012	\$19,236	
2013	\$20,102	
2014	\$21,007	

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Measure: Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education, Programs with Both Commuting and Resident Students.

Year	Target Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education	Actual Cost Per Participant Completing the First Year of Postsecondary Education and Continuing Postsecondary Education
2011	Baseline	\$13,998
2012	\$14,628	
2013	\$15,286	
2014	\$15,974	

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Federal TRIO programs

(Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 1)

(dollars in thousands)

FY 2014 Authorization: Indefinite

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
	\$839,932	\$839,932 ¹	\$839,932	0

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

The Federal TRIO Programs consist primarily of five discretionary grant programs—Talent Search, Upward Bound (which includes regular Upward Bound, Upward Bound Math-Science, and Veterans Upward Bound), Student Support Services, Educational Opportunity Centers, and Ronald E. McNair Postbaccalaureate Achievement—that provide services to encourage individuals from disadvantaged backgrounds to enter and complete college and postgraduate education. Competitive grants are awarded for 5 years to eligible applicants, which include institutions of higher education; public and private agencies, including community-based organizations with experience in serving disadvantaged youth; and, as appropriate to the purposes of the program, secondary schools. At least two-thirds of the program participants must be low-income, first-generation college students (or individuals with disabilities for the Student Support Services program).

Talent Search encourages disadvantaged youth who are between 11 and 27 years of age, and who have the potential for postsecondary education, to graduate from high school (or return to school, for those who have dropped out) and to enroll in a postsecondary education program. Projects must provide connections to academic tutoring services, advice on and assistance in selecting secondary and college courses, assistance in preparing for college entrance exams and in completing college applications, information on student financial aid and assistance in completing financial aid applications, connections to services designed to improve financial and economic literacy, and guidance and assistance in re-entering and completing secondary school. Projects also may provide academic tutoring; personal and career counseling; information on career options; exposure to college campuses; and services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care.

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Upward Bound provides services to high school students that are designed to generate the skills and motivation needed to complete a program of secondary education and to pursue and complete a program of postsecondary education. In addition to providing all of the same services as Talent Search projects, Upward Bound projects must provide participants with instruction in mathematics through pre-calculus, laboratory science, composition, literature, and a foreign language through a six-week summer instructional component that is designed to simulate a college-going experience for participants and an academic year component. Upward Bound projects may provide an on-campus residential summer component and work-study positions that provide exposure to careers requiring a postsecondary degree. Upward Bound includes, besides the regular projects, Upward Bound Math/Science and Veterans projects. Upward Bound Math/Science projects strengthen the math and science skills of participating high school students and encourage them to pursue postsecondary degrees in those fields specifically. The Veterans Upward Bound projects assist veterans by providing intensive basic skills development in those academic subjects required for successful completion of a high school equivalency program and for admission to postsecondary education programs.

The Educational Opportunity Centers provide counseling and information on college admissions to adults who are at least 19 years old and who are seeking a postsecondary education degree. Services include disseminating information on higher education opportunities in the community; academic advice, personal counseling, and career workshops; help in completing applications for college admissions, testing, and financial aid; tutoring; mentoring; and services to improve financial and economic literacy.

The Student Support Services program offers a broad range of support services to postsecondary students to increase their retention and graduation rates and to increase their transfer rates from 2-year to 4-year institutions. All projects must provide academic tutoring, advice on postsecondary course selection, financial aid counseling, services to improve financial and economic literacy, assistance in applying for graduate and professional programs, and activities to help students in 2-year institutions enroll in 4-year programs. Projects may also provide personal and career counseling; exposure to cultural events; mentoring; services to secure temporary housing during academic breaks for students who are homeless; activities for students with disabilities, limited English proficiency students, homeless students, and students in foster care; and grant aid (not to exceed 20 percent of a project's Federal funds). Projects providing grant aid also must provide a match equal to 33 percent of the total funds used for that purpose, unless they are eligible to receive funds under Title III, Part A or B, or Title V of the Higher Education Act.

The Ronald E. McNair Postbaccalaureate Achievement program prepares disadvantaged undergraduate students for doctoral study to help them succeed in obtaining doctoral degrees. Projects must provide opportunities for research and other scholarly activities at the recipient institution or graduate center, summer internships, seminars, tutoring, academic counseling, and activities to help students enroll in graduate programs. Projects may also provide services to improve financial and economic literacy, mentoring, and exposure to cultural events and academic programs not usually available to disadvantaged students.

The two largest programs, in terms of funding, are Upward Bound (which includes Veterans Upward Bound and Upward Bound Math-Science) and Student Support Services, which

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together accounted for nearly three-fourths of TRIO funding in 2012. TRIO programs vary greatly in service intensity, with per participant annual costs ranging from a high for the Ronald E. McNair Postbaccalaureate Achievement program of approximately \$8,300 to a low of \$240 for the Educational Opportunity Centers. The Upward Bound projects, on average, spend approximately \$4,300 per year per participant except for the Veterans projects, which do not have the residential summer component, and which had an average per participant annual cost of \$2,100 in 2012. Most projects are located at colleges, although non-profit organizations operate a substantial number of Talent Search and Educational Opportunity Center projects.

Number of Participants, Participants per project and Cost per Participant (FY 2012)

Award Type	Number of Participants	Average number of participants per project	Federal cost per participant
Talent Search	313,641	691	\$434
Upward Bound	62,320	76	\$4,303
Veterans Upward Bound	6,831	134	\$2,107
Upward Bound Math/Science	10,265	62	\$4,300
Educational Opportunity Centers	189,131	1,501	\$243
Student Support Services ¹	202,750	197	\$1,432
McNair	4,482	28	\$8,316

¹ Thirty-six Student Support Services projects exclusively serve students with disabilities. These projects tend to have somewhat higher average costs per participant.

Percentage of Funds by Institution Type (2012)

Institution Type	Talent Search	Upward Bound ¹	Educational Opportunity Centers	Student Support Services	McNair
Postsecondary Institutions					
Public, 4-year	40.7	46.5	41.0	39.4	73.6
Public, 2-year	29.4	26.9	26.2	45.9	0.0
Private, 4-year	9.7	18.0	5.2	13.9	26.4
Private, 2-year	<u>0.0</u>	<u>0.1</u>	<u>0.0</u>	<u>0.6</u>	<u>0.0</u>
Total, Postsecondary	79.8	91.0	72.4	99.8	100.0
Other organizations ²	<u>20.2</u>	<u>9.0</u>	<u>27.6</u>	<u>0.2</u>	<u>0.0</u>
Total	100.0	100.0	100.0	100.0	100.0

¹ Includes regular Upward Bound, Upward Bound Math and Science, and Upward Bound Veterans.

² Other includes nonprofit organizations, State agencies, local educational agencies, county and city governments, for-profit institutions, Indian Tribes, and private elementary and secondary schools.

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In addition, TRIO funding supports training for project staff members, dissemination of best practices, evaluation activities, and administrative expenses.

Funding for TRIO Staff Training grants supports professional development activities and opportunities to improve the competency of project directors and staff members. Training is offered on such topics as: legislative and regulatory requirements for operating funded projects; assisting students in receiving adequate financial aid; the design and operation of model programs; the use of appropriate educational technology in the operations of funded projects; and strategies for recruiting and serving students with limited-English proficiency or with disabilities; homeless children and youth; foster care youth; or other disconnected students.

Funding for Evaluation activities helps to improve the effectiveness of TRIO programs and projects. The statute requires rigorous evaluation of TRIO programs and projects. The evaluation must examine the characteristics of the programs and projects that most benefit students.

Finally, up to 0.5 percent of the funds appropriated for TRIO may be used by the Department to support administrative activities that include obtaining additional qualified readers to review applications; increasing the level of oversight monitoring; supporting impact studies, program assessments, and reviews; and providing technical assistance to potential applicants and grantees.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009	\$905,089 ¹
2010	910,089 ¹
2011	883,522 ¹
2012	839,932
2013	839,932 ²

¹ Includes \$57,000 thousand in mandatory funds provided under Section 402C(g) of the Higher Education Act of 1965, as amended.

² Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

The Administration is requesting \$839.9 million for the Federal TRIO programs in 2014, same as the 2012 level. This request reflects the Administration's belief that the TRIO programs play an important role in assisting low-income students and students whose parents never completed college to enter and complete postsecondary education programs. Most of the funds would be used to support continuation awards to grantees that were successful in the 2010 Student Support Services competition, the 2011 Talent Search and Educational Opportunity Centers competitions, and the 2012 Upward Bound, Upward Bound Math-Science, Veterans Upward Bound, and McNair competitions. This level would enable the Department to maintain approximately the same number of TRIO projects in fiscal year 2014 as in previous years. It

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would also continue the Department's efforts in the 2012 Upward Bound competition to place a greater emphasis on increasing productivity by having projects make inroads into serving and transforming the lowest-performing schools. These reforms will help expand the reach of TRIO projects and expand their effects on the schools that need the greatest help in sending more students on to postsecondary education. The request also includes \$1.2 million to maintain *Administrative Support* for the TRIO programs, including the costs of collecting and analyzing grantee performance data, \$1.4 million for a new *Staff Training* competition to help provide TRIO professionals with the skills necessary to run effective projects, and \$4.3 million, shown as "undistributed" in the program output measures, to support supplemental UB awards to successful grantees selected to participate in the UB evaluation, or for some alternative use. Additionally, the Department will continue to work with the TRIO community over the next year to standardize data collection and develop strategies to strengthen the program's design in order to increase college access and completion in anticipation of Higher Education Act (HEA) reauthorization in 2014.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012 Funding</u>	<u>2013 Funding</u>	<u>2014 Funding</u>	<u>2012 Awards</u>	<u>2013 Awards</u>	<u>2014 Awards</u>
Talent Search						
Continuation Awards	<u>\$135,969</u> ¹	<u>135,893</u> ²	<u>\$135,515</u>	<u>454</u> ¹	<u>453</u> ²	<u>452</u>
<i>Total</i>	135,969	135,893	135,515	454	453	452
Upward Bound						
New Awards	248,060	0	0	773	0	0
Continuation Awards	<u>20,077</u>	<u>266,412</u> ³	<u>266,744</u> ⁴	<u>53</u>	<u>819</u> ³	<u>819</u> ⁴
<i>Total</i>	268,136	266,412	266,744	826	819	819
Veterans Upward Bound						
New Awards	11,440	0	0	40	0	0
Continuation awards	<u>2,952</u>	<u>\$14,119</u> ³	<u>\$13,806</u> ⁴	<u>11</u>	<u>50</u> ³	<u>49</u> ⁴
<i>Total</i>	14,392	14,119	13,806	51	50	49
Upward Bound Math-Science						
New Awards	38,309	0	0	144	0	0
Continuation awards	<u>5,833</u>	<u>43,129</u> ³	<u>43,129</u>	<u>22</u>	<u>162</u> ³	<u>162</u>
<i>Total</i>	44,141	43,129	43,129	166	162	162
Educational Opportunity Centers						
Continuation awards	<u>45,902</u> ¹	<u>46,925</u> ²	<u>46,925</u> ⁵	<u>126</u> ¹	<u>126</u> ²	<u>126</u> ⁵
<i>Total</i>	45,902	46,925	46,925	126	126	126
Student Support Services						
Continuation awards	<u>290,326</u> ⁶	<u>291,241</u>	<u>291,241</u>	<u>1,028</u> ⁶	<u>1,028</u>	<u>1,028</u>
<i>Total</i>	290,326	291,241	291,241	1,028	1,028	1,028

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<u>Measures</u>	<u>2012 Funding</u>	<u>2013 Funding</u>	<u>2014 Funding</u>	<u>2012 Awards</u>	<u>2013 Awards</u>	<u>2014 Awards</u>
McNair Postbaccalaureate						
New Awards	\$31,331	0	0	132	0	0
Continuation awards	<u>5,939</u>	<u>\$35,940³</u>	<u>\$35,701⁴</u>	<u>26</u>	<u>152³</u>	<u>151⁴</u>
<i>Total</i>	<i>37,270</i>	<i>35,940</i>	<i>35,701</i>	<i>158</i>	<i>152</i>	<i>151</i>
Staff Training						
New Awards	1,400	0	1,400	6	0	5
Continuation awards	<u>0</u>	<u>1,400</u>	<u>0</u>	<u>0</u>	<u>6</u>	<u>0</u>
<i>Total</i>	<i>1,400</i>	<i>1,400</i>	<i>1,400</i>	<i>6</i>	<i>6</i>	<i>5</i>
Undistributed	5	0	4,262			
Evaluation	0	3,161	TBD			
Administrative expenses:						
Peer review of new award applications	906	0	TBD			
Other expenses	<u>1,484</u>	<u>1,712</u>	<u>1,209</u>			
<i>Total</i>	<i>2,390</i>	<i>1,712</i>	<i>TBD</i>			
Total	839,932	839,932	839,932	2,815	2,796	2,792

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

¹ Includes awards to grantees that were successful in the 2011 competition but are receiving their first award from that competition in FY 2012 because they received an NCC award from their prior grant in FY 2011.

² Includes awards to grantees that were successful in the 2011 competition but are receiving their first award from that competition in FY 2013 because they received NCC awards from their prior grant in FY 2011 and FY 2012.

³ Includes awards to grantees that were successful in the 2012 competition but are receiving their first award from that competition in FY 2013 because they received NCC awards from their prior grant in FY 2012.

⁴ Includes awards to grantees that were successful in the 2012 competition but are receiving their first award from that competition in FY 2014 because they received NCC awards from their prior grant in FY 2012 and FY 2013.

⁵ Includes award to grantee that was successful in the 2011 competition but is receiving its first award from that competition in FY 2014 because it received NCC awards from their prior grant in FY 2011, FY 2012, and FY 2013.

⁶ Includes awards to grantees that were successful in the 2010 competition but are receiving their first awards from that competition in FY 2014 because they received NCC awards from their prior grant in FY 2010 and FY 2011.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by this program.

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Goal: Increase the percentage of low-income, first-generation college students who successfully pursue postsecondary educational opportunities.

Objective: Increase postsecondary enrollment rates of low-income, first-generation individuals in the academic pipeline.

Measure: The percentage of participants enrolling in college.

Year	Talent Search Target	Talent Search Actual	Upward Bound Target	Upward Bound Actual	Educational Opportunity Centers Target	Educational Opportunity Centers Actual
2009	79.5	80.5	75.0	82.8	59.5	59.8
2010	79.5	80.2	75.0	83.8	60.0	60.3
2011	80.0	80.1	76.0		60.5	59.6
2012	80.0		76.0		61.0	
2013	80.5		78.0		61.5	
2014	80.5		80.5		61.5	

Additional information: This measure looks at the percentage of participants who enroll in college. Targets are set and data are calculated independently for each of the three programs for which this measure is relevant. Data are provided by the grantees in their Annual Performance Reports.

- For Talent Search, the measure looks at the percentage of “college ready” participants who enrolled in programs of postsecondary education during the reporting period or the next fall term. “College ready” participants are those who are high school seniors or are enrolled in an alternative education program at an academic level equivalent to that of a high school senior, adults who had graduated from high school or received a high school equivalency diploma, postsecondary dropouts, and potential postsecondary transfers. The measure thus does not show the percentage of all students ever served by Talent Search who ultimately are admitted to college.
- The Upward Bound program, including the Math and Science projects, uses a different method to calculate the percentage of Upward Bound participants who subsequently enroll in postsecondary education. For Upward Bound, the percentage is calculated by dividing the number of students enrolling in postsecondary education during the reporting year by the number of students with an Expected High School Graduation Year during that reporting year (Expected High School Graduation Year is defined as the year a student would be expected to graduate assuming a normal 4 year progression). The 2014 target has been increased to make it more ambitious.

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- For Educational Opportunity Centers, the Department defines the cohort of participants comprising the denominator in the postsecondary enrollment calculation in the following way: participants who are high school seniors or the equivalent in alternative education programs, high school graduates, recipients of high school equivalency credentials, postsecondary dropouts, or potential postsecondary transfers.

Objective: Increase postsecondary persistence and completion rates of low-income, first-generation individuals in the academic pipeline.

Measure: The percentage of Student Support Services participants completing an Associate's degree at their original institution or transferring to a 4-year institution within 3 years.

Year	Target	Actual
2009	28.0	36.5
2010	28.0	36.1
2011	28.5	40.7
2012	33.0	
2013	34.0	
2014	36.0	

Measure: The percentage of Student Support Services first-year students completing a Bachelor's degree at their original institution within 6 years.

Year	Target	Actual
2009	29.5	42.3
2010	29.5	42.2
2011	30.0	49.3
2012	40.0	
2013	41.0	
2014	42.0	

Additional information: Grantees provide data on college completion in their Annual Performance Reports (APR). The Department's implementation of a web-based annual performance report system that flags inconsistencies for grantees as they enter their data has led to more accurate reporting. A continuing shortcoming of these measures is that they only measure degree completion of participants who remain at the grantee institution because the Department is unable to track the students who transfer and complete their degrees at other institutions. It is likely that some students complete their education at a different institution, and that the measures, therefore, understate performance. The Department has increased the 2013 targets to make them more ambitious.

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Measure: The percentages of TRIO McNair participants enrolling and persisting in graduate school.

Year	Enrolling Target	Enrolling Actual	Persisting Target	Persisting Actual
2009	39.5	69.5	79.5	84.1
2010	40.0	69.8	80.0	85.1
2011	40.0	71.7	80.0	86.6
2012	50.0		81.0	
2013	69.0		82.0	
2014	69.0		83.0	

Additional information: The “Actual” figures for persistence differ slightly from those reported in previous years due to the correction of a clerical error. The Department is formally changing the enrollment measure to count as successes those McNair participants who enroll in graduate school within 3 years of postsecondary graduation, as research indicates that a substantial number of individuals who pursue graduate degrees begin their graduate programs within 3 years of receiving their baccalaureate degrees.¹ The Department has re-calculated data from prior years to allow for comparisons across years. The reporting year in the table above represents the 3-year point of measurement. That is, 71.7 percent of McNair participants who graduated with their baccalaureate degree in 2008 had enrolled in graduate school by 2011. The Department has increased the 2013 target to make it more ambitious.

Efficiency Measures

In previous years, the Department used a common efficiency measure for the TRIO Student Support Services, Upward Bound, and Talent Search programs to track the average annual cost per successful outcome. The actual measure used was the gap between the cost per student served, which is the annual funding for the program divided by the number of participants, and the cost per successful outcome. However, the Department believes that this measure is unnecessarily confusing. Consequently, the Department has simplified the efficiency measure for these programs, changing it to the “cost per successful outcome.” The Department plans to establish targets for these new efficiency measures in fiscal year 2013.

Cost per successful outcome: The definition of a “successful outcome” varies by program. As a result, it is difficult to make valid comparisons across TRIO programs based on these data. The program-specific definitions are provided below.

- In 2011, the cost per successful outcome for Student Support Services—in which a successful outcome is defined as graduation, transfer, or postsecondary persistence—was approximately \$1,735. This figure was calculated by dividing the total program funding by the number of SSS participants that graduated, transferred, or persisted in postsecondary school. The 2011 cost per successful outcome increased from 2010 (\$1,620).

¹ Nevill, S.C., and Chan, X (2007). The Path Through Graduate School: A Longitudinal Examination 10 Years After Bachelor's Degree (NCES 2007-162). U.S. Department of Education, Washington, D.C.: National Center for Education Statistics, p. 18

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- For Upward Bound (UB), participants are considered successful if they persist in high school, re-enter high school, or enroll in postsecondary school. The cost per successful outcome figures are obtained by dividing the program’s total funding by the number of successful participants. For 2011, this figure was approximately \$4,602, an increase from 2010 (\$4,563).
- For Talent Search, the Department recently revised the methodology for determining what counts as a “success.” The new definition is consistent with the definition of “success” in Upward Bound. For 2010, the cost per successful outcome was approximately \$412; in 2011, the cost per successful outcome increased slightly to \$420.

Measure: The cost per successful outcome.

Year	Talent Search Target	Talent Search Actual	Upward Bound Target	Upward Bound Actual	Student Support Services Target	Student Support Services Actual
2009		\$414		\$4,776		\$1,558
2010		412		4,563		1,620
2011		420		4,602		1,735
2012						
2013						
2014						

Additional information: The measures for these indicators are calculated using data from Annual Performance Reports.

For the McNair program, the efficiency measure is the Federal cost of each McNair program baccalaureate recipient who enrolls in graduate school within 3 years. The measure uses the Federal funding for the fiscal year in which the cohort of baccalaureate recipients was established, adjusted for those projects that were not funded in any 1 of the subsequent 3 years. The funding is divided by the number of students in the cohort of baccalaureate recipients who have enrolled in graduate school at any time during the subsequent 3 years.

Measure: The Federal cost of each McNair program baccalaureate recipient who enrolls in graduate school within 3 years.

Year	Target	Actual
2009	39,000	27,809
2010	38,000	31,422
2011	38,000	32,672
2012	35,000	
2013	33,000	
2014	33,000	

Additional information: This measure is calculated by dividing the McNair funding allocation from the year in which participants graduated college by the number of college graduates from that cohort that enrolled in graduate school within 3 years. Note that the definition of success used in the McNair efficiency measure is particularly exclusive. For instance, participants who

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achieved their BA with the help of the McNair program but did not subsequently enroll in graduate school are not counted as successes according to this measure. The Department decreased the targets for future years, starting in 2012, to make them more ambitious.

Other Performance Information

The Department has invested significant resources in evaluations and studies of the Federal TRIO Programs. Each TRIO evaluation and study was conducted independently by outside contractors that reported to the Department's evaluation offices.

- *Talent Search*: The national evaluation of the implementation of the Talent Search program, completed in 2004, provided descriptive information for 1999-2000 projects and reported that nearly three-quarters of participants were both from low-income families and potential first-generation college students, two-thirds were members of racial/ethnic minority groups, and nearly 70 percent were in the traditional age range for high school students. (See <http://www.ed.gov/rschstat/eval/highered/talentsearch/index.html>)

An additional study, initiated in 1998 and completed in 2006, examined outcomes in three States—Florida, Indiana, and Texas—that were selected because of the availability of data in their administrative records. Twenty-two of the 31 Talent Search projects in these three States that were operating in 1995-96 were included in the study. The study relied on quasi-experimental matching techniques using administrative data; thus, it is not possible to attribute differences in outcomes to participation in the Talent Search program. In addition, the results are not representative of the Nation or the States, and participants with data may have been less disadvantaged, on average, than typical Talent Search students. (Less than half of the participants in the Texas sample were economically disadvantaged, as were participants in two of the five Florida projects.) However, the data do provide limited information on the outcomes of students who participated in Talent Search compared to outcomes for similar students who did not participate in the program.

- Talent Search participants were more likely than comparison students to apply for Federal financial aid. The difference in financial aid applications for Talent Search participants and nonparticipants was 17, 14, and 28 percentage points, respectively for Florida, Indiana, and Texas.
- Talent Search participants were more likely than nonparticipants to enroll in a public college or university in their State. Initial enrollment in postsecondary institutions was higher by 14, 6, and 18 percentage points, respectively for Florida, Indiana, and Texas.
- Since the study was not a randomized experiment, it is not possible to attribute differences in outcomes solely to participation in Talent Search. However, the study concludes that some of the differences in first-time applications for financial aid and initial postsecondary enrollment can be attributed to participation in Talent Search. The study findings also suggest that assisting low-income students who have college aspirations to overcome information barriers – an important objective of the Talent Search program – may be effective in helping these students achieve their aspirations.

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- *Upward Bound:* The evaluation of Upward Bound, based on a random assignment design in a sample of 67 Upward Bound projects, was initiated in 1991. The final report, which was released in January 2009, did not provide evidence that Upward Bound has effects on most key outcome measures for the average participant. The study found that approximately 81 percent of Upward Bound participants and 79 percent of students who applied to participate in Upward Bound but who did not receive either Upward Bound or Upward Bound Math-Science services enrolled in some type of postsecondary institution. The difference between the 81 percent of participants and the 79 percent of applicants who enrolled in postsecondary education is not statistically significant. The study also did not find that program participation increased the chances of completing a postsecondary program (38 percent of participants, compared to 35 percent of nonparticipants, completed any type of degree, certificate, or license) or completing a 4-year college program (21 percent of Upward Bound participants compared to 22 percent of nonparticipants completed a bachelor's degree.)

The evaluation, however, did find that Upward Bound increased postsecondary enrollment and completion rates for some subgroups of students. For the subgroup of students with lower educational expectations—that is, the students who did not expect to complete a bachelor's degree—Upward Bound increased the rate of postsecondary enrollment by 6 percentage points and postsecondary completion by 12 percentage points. The evaluation also found that longer participation in Upward Bound was associated with higher rates of postsecondary enrollment and completion.

The Department began a new evaluation of Upward Bound, which was being conducted by an independent contractor under the auspices of the Institute of Education Sciences (IES), in September 2006. However, Congress cancelled the evaluation due to concerns over the use of a randomized control design. IES recently began a new study of Upward Bound promising practices, as required by section 402H(b)(1) of the Higher Education Act. Given the limitations the statute placed on study design, the initial phase of the study focused on the availability of extant data and possible methodological approaches for a quasi-experimental evaluation to assess the efficacy of various implementation strategies in Upward Bound. After completing a portion of the initial phase of the study, IES has concluded that no quasi-experimental study would yield reliable results and meet the Department's program evaluation standards. Consequently, the Department is exploring alternative options for providing information on promising practices.

- *Upward Bound/Math/Science:* The study of Upward Bound Math/Science (UBMS) examined the extent to which participants enroll in postsecondary institutions and pursue college majors in math and science fields. The study includes descriptive data gathered from a 1998 survey of project directors and outcome information for students who participated in the program in 1993-1995. The descriptive study found that the projects, which were primarily hosted by 4-year colleges, hired staff with strong math and science qualifications, and often provided students with same-race role models. Approximately 60 percent of the students were female and nearly three-quarters were members of racial/ethnic minority groups.

To assess program impact, UBMS participants were compared to a comparison group of students that had applied for regular Upward Bound but did not participate in Upward

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Bound/Math/Science. Some of the comparison group students did participate in regular Upward Bound and some did not; the differences in outcomes between UBMS participants and comparison group students participating in regular Upward Bound were analyzed separately. Propensity score matching was used to control for demographic differences between UBMS and comparison group. The final report, released in the spring of 2010, indicates that Upward Bound Math/Science participants were more likely to enroll in and complete postsecondary education than comparison students. Furthermore, UBMS participants were more likely to enroll in selective postsecondary institutions. In addition, UBMS participants took more math and science credits than comparison students. However, UBMS students were no more likely than comparison students to major in math or science.

- *Student Support Services*: The final report of the national evaluation of Student Support Services (SSS), which was initiated in 1990, was released in 2010. The quasi-experimental study, which was based on a random cross-section of projects, examined the extent to which Student Support Services projects improved key student outcomes, such as persistence, transfers from 2-year to 4-year institutions, and degree completion. The study did not find differences between students who received services from SSS and those that did not. This finding is of limited validity, however, because it does not account for the fact that non-SSS students may have received support services elsewhere. The report does indicate that participation in supplemental services, generally—whether or not they were offered directly by SSS projects—was related to improved student outcomes and that higher service levels were associated with better student outcomes. This finding is important because the descriptive portion of the report revealed that the function of many SSS projects is to coordinate campus-wide support services, referring students to the proper providers as needed.
- *Ronald E. McNair Postbaccalaureate Achievement*: The study of the Ronald E. McNair Postbaccalaureate Achievement is a descriptive analysis of McNair participants' educational and employment outcomes. The study, which was released in March 2008, found that approximately 6 percent of participants served from 1989 to 1998 had earned a doctoral degree by 2003, with the largest number of degrees in the life sciences (26 percent), followed by the social sciences (24 percent). Another 6 percent of participants earned professional degrees, e.g., degrees in law, medicine, or pharmacy. More of the students included in the analyses may have completed degrees later: approximately 14 percent of students participating from 1989 through 1993, who thus had more years to complete their degrees before the 2003 data collection, completed doctorates.
- The Department recently completed the *TRIO Promising and Innovative Practices Studies* for both the Student Support Services and the Upward Bound programs. However, the Department concluded that these studies do not meet the Department's methodological standards. Consequently, the Department is not planning to release reports from the studies.

On September 8, 2008, the Office of Inspector General (OIG) issued a report summarizing findings from a review of how the Department's Office of Postsecondary Education (OPE) awarded prior experience points in the 2006 Educational Opportunity Centers and Talent Search grant competitions. The report recommended that OPE cease awarding prior

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experience points for grantees that do not meet certain minimum program requirements and cease awarding partial prior experience points. The report further recommended that the Department improve its quality controls and use clearly documented data to support the calculations of prior experience (PE) points. The Department addressed these recommendations by revising program regulations governing the awarding of PE points—published October 26, 2010—and by implementing a fully transparent, equitable, and objective process for calculating each grantee’s PE points. As stated in the program regulations for each of the Federal TRIO programs, an applicant that is eligible for PE points will not receive any PE points for the assessment year if the project served less than 90 percent of the number of participants the project was funded to serve in that year.

For all TRIO grant competitions since the OIG report was issued (the fiscal year 2010 Student Support Services competition, the fiscal year 2011 Talent Search and Educational Opportunity Centers grant competitions, and the fiscal year 2012 Upward Bound and McNair grant competitions), the Department has successfully implemented improved processes for calculating PE points. The Department uses a grantee’s annual performance report (APR) data that are submitted electronically and the grantee’s approved project objectives to calculate the PE points earned. By using technology to ensure consistent and fair evaluations of a grantee’s performance, the Department has substantially improved the quality and consistency of the PE assessments by eliminating calculation and transposition errors inherent in a manual process. Further, to ensure transparency in how the results of these analyses are reported to grantees, the Department prepares individualized grantee PE reports that summarize the Department’s policies and procedures used in assessing a grantee’s prior experience, clearly display each of the PE calculations, and provide individualized explanations when full points are not awarded.

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Gaining early awareness and readiness for undergraduate programs

(Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 2)

(dollars in thousands)

FY 2014 Authorization: Indefinite

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
	\$302,244	\$302,244 ¹	\$302,244	0

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) provides 6-year grants to States and partnerships to support early college preparation and awareness activities at the State and local levels to ensure low-income elementary, middle, and secondary school students are prepared for and pursue postsecondary education. Applicants may also apply for an optional seventh year of funding to provide services at an institution of higher education to follow students through their first year of college attendance.

GEAR UP has two major service components. First, projects provide a comprehensive set of early intervention services including mentoring, tutoring, academic and career counseling, and other college preparation activities like exposure to college campuses and financial aid information and assistance. Second, projects provide college scholarships to participating students. In making awards to State applicants, the Department must give priority to funding entities that have carried out successful GEAR UP programs prior to enactment of the Higher Education Opportunity Act, have a prior, demonstrated commitment to early intervention programs, and ensure that students previously served by GEAR UP programs receive services through the completion of secondary school. States and partnerships must provide matching funds of at least 50 percent of the total project costs with cash or in-kind contributions from nonfederal sources accrued over the full duration of the grant award. The Department may authorize a reduction in the required match for partnerships under certain circumstances.

GEAR UP supports two types of grants:

State Grants—States receiving funds are required to provide both an early intervention and a scholarship component, targeted to low-income students in grades K-12. At least 50 percent, but not more than 75 percent, of the grant funds must be used to provide scholarships to participating students. Conversely, at least 25 percent, but not more than 50 percent, of the funds must be used for early intervention services. State grantees must, unless they request a waiver, hold in reserve funds for scholarships equivalent to the effective minimum Pell grant amount multiplied by the number of students the project is serving that the State estimates will enroll in an eligible institution of higher education. The State must make these funds available to eligible students who meet certain benchmarks. These scholarships are portable and may be

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used outside the State in which the GEAR UP program is located. States must provide all students served by the program with a personalized 21st Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college.

Partnership Grants—Partnerships receiving funds are required to provide an early intervention component to at least one cohort or grade level of students beginning no later than the 7th grade, in a school that has a 7th grade and in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch—or to an entire grade level of students, not later than the 7th grade, who reside in public housing. Partnerships must ensure that services will continue to be provided through the 12th grade. Partnerships may also provide scholarships. Partnerships must provide all students served by the program with a personalized 21st Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college. Partnerships must include one or more degree granting institutions of higher education, one or more local educational agency, and at least two community organizations or entities such as businesses, professional associations, State agencies, or other public or private organizations.

Of the amount appropriated for GEAR UP, not less than 33 percent must be used to fund State grants and not less than 33 percent must be used to fund Partnership grants, with the remainder being awarded at the Department's discretion, taking into consideration the number, quality, and promise of applications and, to the extent practicable, the geographic distribution of grants and the distribution of grants between urban and rural applicants. Additionally, up to 0.75 percent may be used to conduct a national evaluation of the GEAR UP program.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009.	\$313,212
2010.	323,212
2011.	302,816
2012.	302,244
2013.	302,244 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

The Administration requests \$302.2 million for Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) in fiscal year 2014, the same as the fiscal year 2012 level.

The Administration's budget request for GEAR UP is based on the demonstrated promise of the program's approach with some indications that GEAR UP is making progress in achieving its near-term objectives, such as increasing students' and parents' knowledge of postsecondary opportunities and increasing rigorous course-taking. GEAR UP supports State efforts and builds partnerships within communities, targets entire cohorts of students in high-poverty middle schools, provides students with a full range of services through the 12th grade, and in some cases through

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the first year of college, and offers financial support to attend college. By targeting entire grades of students no later than the 7th grade, serving them throughout middle and high school, and providing them with significant scholarship funding, GEAR UP offers a unique approach to ensuring that low-income students have the skills and resources to attend college. Early evaluation findings suggest that GEAR UP has some positive impacts through the 8th grade. Furthermore, the considerable State and local investments GEAR UP requires, through both the creation of partnerships and matching contributions, help ensure that the program will have a sustainable impact on the educational outcomes of low-income middle and high school students.

Most of the requested funds will be used to support continuation awards for State and Partnership grantees that were successful in the fiscal year 2011 competition. With the remaining funds, the Department will use approximately \$57 million for a new competition for State and Partnership awards. This competition would further align the program with the Administration's college completion agenda, potentially including an emphasis on effective college selection counseling. The Department believes a stronger emphasis on college selection is particularly important as research indicates that significant numbers of low-income students do not end up choosing colleges that match their levels of academic preparation. This phenomenon, known as "under-matching," can negatively impact students' likelihood of graduating, as students who select an institution for which they are overqualified tend to earn degrees at lower rates than their peers who select colleges for which they are appropriately matched. The competition may also encourage projects to assist high school students identified as likely to need remedial instruction in the future. Funds will also be used to support the web data collection contract and the evaluation component of the College Savings Account Demonstration Project, which was initiated in fiscal year 2013. The Administration is requesting appropriations language permitting the Department to exceed the statutory cap on evaluation spending to build additional evidence about effective college access and completion strategies.

The Department will continue to work with the GEAR UP community and grantees over the next year to standardize data collection, including through the use of third party data systems, and strengthen the program's design in order to increase college access and completion in anticipation of HEA reauthorization in 2014.

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
State Grants:			
Number of new awards	7	2	6
Average new award	\$4,390	\$4,407	\$4,833
Total new award funding	\$30,729	\$8,815	\$29,000 ¹
Number of NCC awards	27	34	29
Average NCC award	\$3,729	\$3,865	\$3,815
Total NCC award funding	\$109,624 ²	\$122,478	\$119,442
Total award funding	\$140,353 ²	\$131,292	\$148,442
Total number of awards	34	36	35

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<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Partnership Grants:			
Number of new awards	4	4	23
Average new award	\$1,214	\$839	\$1,209
Total new award funding	\$4,856	\$3,356	\$27,809 ¹
Number of NCC awards	94	91	64
Average NCC award	\$1,645	\$1,717	\$1,925
Total NCC award funding	\$154,633	\$156,250	\$123,191
Total award funding	\$159,489	\$159,606	\$150,999
Total number of awards	98	95	87
Savings Account Demonstration			
Supplements	0	\$8,936	0
Evaluation	\$2,267	\$2,267	\$2,267 ¹
Peer review of new award applications	0	7	400
Web data collection	\$127	\$135	\$135
Undistributed	7	0	0
Total program funding	\$302,244	\$302,244	\$302,244
Total number of awards	132	131 ³	122

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

¹ The Department has not determined the distribution of funding between State and Partnership awards in FY 2014 or the amount to be set aside for evaluation, so this number may change.

² Includes \$8,936 thousand used to cover 2013 continuation costs for high-performing grantees that were originally funded in fiscal year 2011. This was done to ensure sufficient funds would be available in fiscal year 2013 for Savings Account supplements. These funds are excluded from the "average NCC award" calculations.

³ Does not include the supplemental awards made to States participating in the College Savings Account Demonstration Project.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by this program.

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Goal: To significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education.

Objective: Increase the rate of high school graduation and enrollment in postsecondary education of GEAR UP students.

Measure: The percentage of GEAR UP high school seniors who graduated from high school.

Year	Target	Actual
2009	74.0	N/A
2010	86.0	N/A
2011	86.0	85.2
2012	86.0	
2013	87.0	
2014	87.0	

Additional Information: This measure indicates the percentage of GEAR UP high school seniors that graduated from high school. That is, the denominator used in the calculation includes only those GEAR UP participants that persisted until the 12th grade. In the notice inviting applications for the 2011 State and Partnership grant competitions, the Department indicated that it plans to change the methodology for this performance measure to match the adjusted cohort graduation rate methodology, recently established as the standard for the Elementary and Secondary Education Act Title I program. Since there were no new cohorts served in fiscal years 2003 and 2004, there were no GEAR UP students expected to graduate in 2009 or 2010. Consequently, no data are available for this measure for 2009 and 2010. The figure reported for 2011 relates to the 2005 cohort.

Measure: The percentage of former GEAR UP high school graduates who immediately enrolled in college.

Year	Target	Actual
2009	66.0	N/A
2010	59.0	N/A
2011	59.0	60.1
2012	60.0	
2013	60.0	
2014	61.0	

Additional Information: This measure indicates the percent of GEAR UP students who graduated from high school and enrolled in postsecondary education the following September. Data from NCES put the performance data into context. According to NCES, 70.1 percent of all high school completers enrolled in postsecondary education immediately following high school graduation in 2009. In that same year, 54.1 percent of low-income students enrolled in postsecondary education immediately following high school graduation, according to the same NCES research. Since there were no new cohorts served in fiscal years 2003 and 2004, there were no GEAR UP students expected to enroll in college in 2009 or 2010. Consequently, no data are available for this measure for 2009 and 2010. The figure reported for 2011 relates to the 2005 cohort.

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Objective: Increase the academic performance and preparation for postsecondary education of GEAR UP students.

Measure: The percentage of GEAR UP students who enrolled in pre-algebra by the end of the 7th grade who passed the course and the percentage of GEAR UP students enrolled in Algebra I by the end of the 9th grade who passed the course.

Year	Pre-algebra Target	Pre-algebra Actual	Algebra I Target	Algebra I Actual
2009	35	27	50	53
2010	32	35	50	52
2011	32	30	50	57
2012	33		51	
2013	33		51	
2014	34		53	

Additional Information: This measure tracks completion rates for two mathematics classes that research has shown are key indicators of college readiness. Data for this measure, collected through Annual Performance Reports, reflect student completion levels from the prior year. It should be noted that, as the measure tracks only the percent of those students who are enrolled that pass the class, the percentage of the entire cohort who are on the path to college-readiness is likely to be considerably lower.

Efficiency Measures

The efficiency measure for this program is the cost of a successful outcome, where success is defined as enrollment in postsecondary education by GEAR UP students immediately following high school graduation. The Department is still determining how best to calculate this measure but one option is to divide the annual funding supporting closeout grantees (grantees serving cohorts that would be expected to graduate and enroll 12th graders in a particular reporting year) by the total number of postsecondary enrollees they produce. For instance, the 123 grantees that began serving 7th graders in 2005 would be expected to enroll their participants in college during the 2011-12 school year. Using this methodology, the annual cost per successful outcome for this GEAR UP cohort was \$1,671. The Department provided approximately \$192 million per year to the grantees in this cohort, which produced 114,983 postsecondary enrollees. It is important to note that this measure uses the strictest possible definition of “successful outcome.” For instance, students from this cohort who graduate high school with the help of GEAR UP programs but do not enroll in postsecondary education are not considered “successes” under this methodology.

Other Performance Information

Prior evaluation:

In 2001, the Department initiated an evaluation on the early effects of the GEAR UP program. This study, which was released in 2008, reported on the program’s impact on participants attending middle schools and their parents, and the effects of GEAR UP on middle schools and on the sustainability of the program’s activities after Federal funds are no longer available. The study did not report on two key outcomes of interest—secondary school graduation and postsecondary enrollment—because the data were not yet available. Overall, the study found

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Gaining early awareness and readiness for undergraduate programs

that GEAR UP had significant impacts on students' and parents' knowledge and behavior and on the academic offerings at GEAR UP schools. Regarding GEAR UP students and their parents, the study included the following findings:

- Students in GEAR UP middle schools were offered and took more rigorous academic courses than students in the non-GEAR UP schools, particularly above-grade-level science and algebra courses.
- GEAR UP especially affected the overall academic rigor of courses taken by African American students, who took more high-level classes than their non-GEAR UP peers.
- GEAR UP had a positive effect on students' knowledge concerning the postsecondary education opportunities available to them. This was particularly true for African American students. GEAR UP students were more likely to visit college campuses and receive information about getting ready for college.
- GEAR UP had positive effects on improving parents' knowledge about postsecondary education opportunities and on parents' involvement in their children's education. GEAR UP increased parents' expectations about college for their child.
- GEAR UP schools provided more services than non-GEAR UP schools. Tutoring and academic activities, to individuals or in small groups, remained at the core of GEAR UP services. GEAR UP increased the amount of guidance counseling that students received.

Impacts were not found for other outcomes such as grade point averages, but that seems consistent with an increase in rigorous course-taking behavior. The study also did not find any impact on school attendance or disciplinary problems, or on students' academic expectations, which were already high.

The study noted that GEAR UP middle schools are more likely than non-GEAR UP middle schools to offer honors and above grade level classes. This finding is significant because the study also found that enrolling in higher level classes is usually not the student's decision, but a function of the availability of such courses and decisions made by guidance counselors using teacher recommendations, standardized test scores or class grades.

The study also included findings that may be useful in shaping program improvements and guiding the Department's technical assistance efforts. GEAR UP grants provide services to cohorts of students in both middle and high school. The study found that many grantees encountered difficulties in transitioning their projects from middle school into high school. The study also noted that the difficulties experienced by grantees, such as inadequate staffing and administrative barriers, were similar to those experienced 2 years earlier when the grants were initially implemented in the middle school. Projects experiencing the smoothest transitions tended to provide services to high school students that were similar to those provided to middle school students. The study also found evidence that some aspects of GEAR UP will be sustained in middle schools beyond Federal funding. The prospects for sustainability appear strongest in those projects with strong partnerships, school administrative commitment, and the ability to secure financial resources from other sources.

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Current evaluations:

- The Department is concluding an evaluation designed both to identify promising practices and to build grantees' capacity to evaluate their own projects. Through a contractor, the Department issued planning awards to 44 GEAR UP grantees in fiscal year 2010 to design evaluations of specific interventions. After peer reviewers assessed these 44 plans, the contractor issued 12 implementation awards to the grantees with the most sophisticated proposed evaluation strategies; 11 of these grantees have provided reports on their respective intervention to the Department. While the contractor provided guidance to grantees in developing individual evaluation reports, these reports were intended to be independent reports that summarized the implementation of the strategy/service and the rigorous evaluation undertaken by each grantee, with an emphasis on significant outcomes or lessons learned about what worked and why. The contractor was also tasked with writing an Executive Summary that described the activities that were undertaken to help build evaluation capacity within the GEAR UP program. In this summary, the contractor included a comprehensive overview of each phase undertaken, discussing the major components of each phase, the technical support provided to grantees, and any challenges encountered at each phase. The summary also included a careful review of each grantee report covering specific goals, accomplishments, limitations, and lessons learned.
- In addition, the Department is concluding an evaluation activity designed to assist GEAR UP grantees in obtaining and using longitudinal student-level data to improve the services delivered by their projects. GEAR UP grantees have traditionally used only their own project data to complete their annual performance reports and to guide their own project improvement strategies. However, as student-level longitudinal data becomes more readily available, from States, districts, and other sources, GEAR UP grantees have opportunities to access new information that can be used to measure student performance, better align program services with student needs, identify factors that contribute to student success, and track student outcomes over time. In order to aid GEAR UP grantees in accessing and utilizing these additional sources of data, the Department, through an independent contractor, reviewed proposals from 25 grantees and selected 9 grantees to receive data utilization awards. Through the help of a contractor, these grantees will produce reports summarizing how they used their data to improve practices within their project. The project also established an on-line resource center to ensure that grantees have access to the most current information about data access and data analysis and to facilitate the sharing of information about strategies for acquiring and analyzing data.

The Department has elected not to exercise the option year period under this contract but plans to use the funds that were initially reserved for this option year to support more comprehensive program evaluation and technical assistance activities that will have a broader impact on more GEAR UP grantees and that will provide the Department comparable data for program improvement and accountability purposes.

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Upcoming evaluation:

In January of 2013, the Department published a notice inviting applications to participate in a College Savings Account Demonstration project. All State grantees that received new awards in fiscal year 2011 or 2012 are eligible to apply for supplemental grants to support college savings accounts for participating students. Successful applicants are required to participate in a rigorous evaluation that will assess the effectiveness of pairing college savings accounts with additional services already provided through GEAR UP. The Department awarded this evaluation contract at the end of fiscal year 2012.

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Graduate assistance in areas of national need

(Higher Education Act of 1965, Title VII, Part A, Subpart 2)

(dollars in thousands)

FY 2014 Authorization: \$35,000

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
\$30,909	\$30,909 ¹	\$30,909	0

¹Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

Graduate Assistance in Areas of National Need (GAANN) provides fellowships, through 3-year grants to degree-granting postsecondary institutions, to graduate students of superior ability and high financial need studying in areas of national need. The Department may also award grants to non-degree-granting institutions that have formal arrangements for the support of doctoral dissertation research with degree-granting institutions. Applicants must set forth policies and procedures to ensure that they will seek talented students from traditionally underrepresented backgrounds. Recipients must have excellent academic records and financial need and must be pursuing a doctoral degree or the highest graduate degree in the academic field at the institution of higher education that they are attending.

After consultation with appropriate agencies and organizations, such as the National Science Foundation, the Department of Defense, and the Department of Homeland Security, the Department designates those fields of study that are considered "areas of national need" by taking into account the extent to which those areas fulfill a compelling national interest, the extent to which other Federal programs support post-baccalaureate studies in those areas, and the most significant impact that can be made with available resources. The designated areas of national need for fiscal year 2012 were: area studies; biological sciences/life sciences; chemistry; computer and information sciences; engineering; foreign languages and literatures; mathematics; nursing; physics; and educational evaluation, research, and statistics.

Institutions use program funds to award fellowships of up to 5 years of study. Each fellowship consists of a student stipend to cover living costs, and an institutional payment to cover each fellow's tuition and other expenses. The stipend is the lesser of demonstrated need or the level of support provided by the National Science Foundation's Graduate Research Fellowships program. The institutional payment is adjusted annually based on the Consumer Price Index.

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Institutions must match 25 percent of the Federal grant amount. The institutional match may be used for the following: to provide additional fellowships to graduate students not already receiving institutional or GAANN fellowships; to meet the cost of tuition, fees, and other instructional costs that are not covered by the institutional payment; and to supplement the stipend received by a fellow in an amount not to exceed the fellow's financial need. Institutions must also provide fellows with at least 1 year of supervised training in instruction for students.

Funding levels for the past 5 fiscal years were:

(dollars in thousands)

2009.....	31,030
2010.....	31,030
2011.....	30,968
2012.....	30,909
2013.....	30,909 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

The Administration requests \$30.9 million for the GAANN program for fiscal year 2014, level with fiscal year 2012. Through its support of study in key disciplines, GAANN helps address the problem of insufficient numbers of students pursuing graduate-level education in critical scientific and technical fields and other areas of national need. GAANN provides students with exceptional promise and high financial need with the resources that they need to pursue graduate studies. This request recognizes the role that graduate education plays in the advancement of national prosperity, particularly in areas of national need, and demonstrates the Administration's commitment to educational achievement at the graduate level.

The funds requested would be used to make 17 new awards and cover the continuation costs of awards previously made under the GAANN and Javits fellowship programs. The Administration proposed consolidating these programs in its fiscal year 2012 request and Congress responded by eliminating separate funding for the Javits fellowship program in the 2012 appropriation bill. The funds provided in the fiscal year 2011 appropriations bill for Javits fellowships were used to cover the fiscal year 2012 continuation costs for the Javits fellowships. For 2014, the Administration requests appropriations language, identical to the language requested by the Administration for 2013, to use funds provided for GAANN to support the final year of continuations for Javits fellowships.

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PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Number of new awards	136	27	17
Number of new fellowships	479	111	60
Average new award	\$156	\$184	\$159
Total new award funding	\$21,278	\$5,010	\$2,700
Number of NCC awards	64	136	163
Number of NCC fellowships	210	479	590
Average NCC award	\$146	\$158	\$162
Total NCC funding	\$9,328	\$21,449	\$26,400
Average institution payment	\$14	\$15	\$15
Average stipend	<u>\$30</u>	<u>\$30</u>	<u>\$30</u>
Total average fellowship	<u>\$44</u>	<u>\$45</u>	<u>\$45</u>
Peer review of new award applications	\$266	0	\$309
Funds returned to Treasury	\$36 ¹	\$40 ¹	0 ¹
Number of NCC Javits fellowships	0 ²	100	33
Average NCC Javits fellowship	0	\$45	\$45
Total NCC Javits funding	0	\$4,450	\$1,485
Total number of awards	200	263 ³	213 ³
Total number of fellowships	689	690	683
Total program funding	\$30,909	\$30,909	\$30,909

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

¹ Awards are statutorily required to be equivalent in size to the National Science Foundation fellowships. Therefore, a portion of the program's appropriation remains unspent after the maximum number of fellowships of the predetermined size are awarded. Each year, these remaining funds expire and are returned to Treasury.

² The funds provided in the fiscal year 2011 appropriations bill for Javits fellowships were used to cover the fiscal year 2012 continuation costs for the Javits fellowships.

³ This figure represents the number of GAANN awards plus the number of Javits fellowships.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by this program. Even though we are proposing to use GAANN funds in 2013 and 2014 to cover the

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costs of Javits fellowships, neither the targets for 2013 and 2014 nor any of the data reported reflect the performance of Javits fellows.

Goal: To increase the number of persons trained at the highest academic level.

Objective: To increase the number of students of superior academic ability completing the terminal degree in designated areas of national need in order to alleviate that need.

Measure: The percentage of GAANN fellows completing the terminal degree in the designated areas of national need.

Year	Target	Actual
2009	48	60
2010	58	65
2011	58	67
2012	59	
2013	59	
2014	60	

Additional Information: The data used to calculate this performance measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The measure is calculated by dividing the number of GAANN fellows in the last year of their fellowships who have successfully completed their doctoral studies by the total number of GAANN fellows who are in the last year of their fellowships. Because a fellow can receive no more than 5 years of funding and most doctoral students take 6-7 years to complete their doctoral programs, advancing to candidacy is used as a proxy for degree completion where appropriate.

For example, in 2008, 39 percent of the fellows who were considered successful had advanced to candidacy and 23 percent had completed degrees. Use of such proxy data may inflate the performance data, as most, but not all, doctoral candidates who advance to candidacy actually complete their doctoral degrees. In fiscal year 2011, GAANN fellows exceeded the target completion rate for the seventh year in a row.

In 2008, the Department completed a comprehensive evaluation of all of the Department's graduate fellowship programs, including the GAANN program. It found that 78 percent of GAANN fellows completed the degree they were pursuing within 10 years of receiving their award between 1997-1999, with an additional 9 percent still enrolled or otherwise pursuing their degrees. In contrast, the study cited national data from the *Baccalaureate and Beyond Longitudinal Study* indicating that 62 percent of U.S. students who enrolled in a graduate degree program completed that degree program within 10 years. As such, the study's findings seem to confirm the validity of the annual performance report data.

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Measure: Median time to degree completion.

Year	Target	Actual
2009	5.9	4.9
2010	5.1	5.0
2011	5.1	4.9
2012	5.0	
2013	5.0	
2014	5.0	

Additional Information: This measure, along with the measure on the percent completing, shows that the program supports fellows who have a high likelihood of successfully completing their degree in a relatively short period of time. Data collected through annual performance reports show that the program had a median time to completion of 4.9 years in 2011. According to the most recent national data provided by the National Opinion Resource Center's annual *Survey of Earned Doctorates*, the median time to doctoral degree completion for all graduate programs in the United States was 7.7 years in 2009. During that same period, the average time to completion was 6.7 years for the physical sciences, 6.9 years for engineering, and 7.0 years for life sciences. These figures are not directly comparable to those of the GAANN program, insofar as they begin counting years to completion at first enrollment into graduate education, not necessarily doctoral work. Moreover, the GAANN completion rate does include students completing Master's programs who are likely to complete their degrees in a few years. However, research shows that students with high financial need, such as those served by the GAANN program, typically take longer to complete terminal graduate degrees than the national student body as a whole. As such, achieving a level of performance that is comparable or better than the national average for graduate students suggests that the program is successfully meeting its performance goal. Notably, the median time to completion for GAANN fellows has held steady around 5.0 years since 2007.

In 2008, the Department's comprehensive evaluation of all of the Department's graduate fellowship programs, including the GAANN program, found that GAANN fellows pursuing a doctoral degree who received a grant between 1997 and 1999 completed their degrees in an average of 6 years. The study also found that GAANN doctoral fellows completed their degrees in less time than the averages of 8 to 9 years reported by doctorate recipients in the 1990s and early 2000s on the *Survey of Earned Doctorates*. The study's findings seem to confirm the validity of the performance data.

Efficiency Measure

The efficiency measure for this program is the cost of a successful outcome, where success is defined as terminal graduate program completion. This measure is directly tied in with the program's performance measures.

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Measure: Cost per PhDs and those who pass preliminary exams.

Year	Target	Actual
2009	91,000	73,268
2010	N/A	N/A
2011	70,000	
2012	69,500	
2013	69,000	
2014	68,500	

The data used to calculate the efficiency measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The efficiency measure is calculated by dividing the total amount of Federal funds provided to support a cohort of fellows for the 3 years of the grant period by the number of GAANN fellows who complete their degree or successfully advance to candidacy during the 5-year fellowship period. For example, the cost reported for 2009 was derived by dividing the total Federal funding for the 2004 cohort, which was \$28.4 million, by the total number of fellows who either completed their degree or passed preliminary exams by 2009, which was 388, for an efficiency measure of \$73,268. Under the program's funding structure, no new fellowships are awarded every third year, which is why there are no data or targets for 2010. As the efficiency measure is based on data from a relatively small number of students, significant year-to-year fluctuations may be expected. This may reduce the usefulness of the measure at the program level. However, given the improvements in cost per outcome since 2005, more ambitious targets have been established for 2011 through 2014.

The efficiency measure data, along with data from other performance measures, were part of grantee-level analyses that the Department posted to its website in 2008. Grantee-level data analyses will be used to identify institutions that may benefit from technical training in areas such as data collection and reporting. It may also be used to identify high performers that other grantees may look to as examples for improving program performance outcomes. Additionally, data from the grantee-level analyses may be used to compare the relative efficiency of the GAANN program over time, as well as in relation to other programs that provide graduate fellowships.

Other Performance Information

A study of the Department's graduate fellowship programs was initiated in 2004. The study was designed to provide information on educational and employment outcomes of participants in the Department's graduate fellowship programs, including the GAANN program. The final report was published in September 2008. In order to be able to examine completion and employment outcomes for GAANN fellows, the study tracked the characteristics and progress of two cohorts of GAANN fellows, from the years 1997-1998. The study noted the following characteristics of GAANN fellows:

- GAANN awards are concentrated in a relatively small number of institutions of higher education. For example, of the approximately 2,000 institutions that granted a master's degree or higher in 2004, only about 4 percent had enrolled a GAANN fellow between 1997 and 1999;

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- GAANN fellows included relatively more women (40 percent), more White students (80 percent), more Black students (7 percent), and fewer Asian students (8 percent) than all graduate students in comparable fields in the years that the study examined;
- About 19 percent of fellows studied in biological sciences, 19 percent in physics, 18 percent in engineering, 18 percent in mathematics, 14 percent in chemistry, 8 percent in computer and information science, and about 3 percent in other fields;
- Three quarters of fellows first received GAANN funding during their first year of graduate study. Twenty-one percent reported that their funding ended their first year of graduate study, 22 percent their second year, 24 percent their third year, and 34 percent in the fourth year or after; and
- Slightly over three-quarters of fellows received additional funding from their institutions; 45 percent in equal or lower amounts and the remaining in amounts greater than the GAANN funding.

The study also investigated the extent to which fellowship recipients completed their doctoral studies and obtained employment in areas that correspond to their fields of study. Of the GAANN fellows receiving awards between 1997 and 1999:

- About three-quarters (78 percent) had completed the degree supported by the GAANN fellowship within 10 years. In addition, another 9 percent were still pursuing these degrees, and 13 percent had stopped working on them. In contrast, national data from the *Baccalaureate and Beyond Longitudinal Study* show that 10 years after completing their bachelor's degrees, 62 percent of U.S. students who enrolled in a graduate degree program completed that degree, 15 percent were still enrolled, and 23 percent had dropped out;
- The average time to degree completion among GAANN doctoral fellows was 6 years and 66 percent of fellows who completed their degree did so within 7 years. The study found that GAANN doctoral fellows completed their degrees in less time than the averages of 8 to 9 years reported by doctorate recipients in comparable fields in the period that the study examined, according to the *Survey of Earned Doctorates*;
- A majority of fellows (88 percent) had worked in jobs in which they used the expertise they had gained through the GAANN-supported study. Of these fellows, 97 percent considered that work to be part of a long-term career they were pursuing; and
- When fellows were asked what they expected to be doing in the next 3 years, the majority (88 percent) reported they planned to be working in a job related to the expertise they gained with fellowship support.

These data indicate that GAANN fellows have higher graduation rates and complete their studies in less time than the national average for comparable academic fields. Furthermore, the study found that the overwhelming majority of GAANN fellows complete their studies and go on to find employment in areas that correspond to their field of studies.

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Finally, the study probed participants' perceptions of the extent to which the GAANN fellowships influenced their decisions to enter their field of study and remain in their chosen career field.

The data on the self-reported perception of program participants found that:

- Nearly all fellows (93 percent) first learned of the GAANN fellowship after they had chosen a major field of study to pursue in graduate school;
- Nearly all fellows (96 percent) believed that the GAANN fellowship had been somewhat or very helpful in finishing their degree, and 76 percent believed it was somewhat or very helpful in obtaining employment in their desired field.

These data highlight the fact that fellowship recipients do not perceive that the program influenced their choice of studies, but do believe that it was helpful in ensuring that they completed their course of studies and found employment in areas that correspond to their field of studies. A recent national survey by the Council of Graduate Schools found that 80 percent of doctoral completers credited financial support, such as fellowships and grants, as one of the main factors that contributed to their doctoral completion.

HIGHER EDUCATION

Child care access means parents in school

(Higher Education Act of 1965, Title IV, Part A, Subpart 7)

(dollars in thousands)

FY 2014 Authorization: Indefinite

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
\$15,970	\$15,970 ¹	\$15,970	0

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM DESCRIPTION

The Child Care Access Means Parents in School (CCAMPIS) program is designed to support the participation of low-income parents in postsecondary education through campus-based child care services. Under this program, discretionary grants of up to 4 years in duration are awarded competitively to institutions of higher education. Priority is given to child care programs that (1) leverage significant local or institutional resources and (2) utilize a sliding fee scale.

Institutions may use the funding to support or establish a campus-based child care program primarily serving the needs of low-income students enrolled at the institution. Grants may also be used to provide before and after school services. The authorizing statute defines a "low-income student" as a student eligible to receive a Pell Grant during the year of enrollment at the institution or who would otherwise be eligible to receive a Pell Grant, except that the student fails to meet the requirements of: (1) Section 401(c)(1) of the Higher Education Act (HEA) because the student is enrolled in a graduate or first professional course of study; or (2) Section 484(a)(5) of the HEA because the student is in the United States for a temporary purpose. Grants are only to be used to supplement existing child care services or start a new program. Funds may not be used for grants that supplant funds for current child care services.

An institution is eligible to receive a grant for a fiscal year if the total amount of Pell Grant funds awarded to students at the institution for the preceding fiscal year equals or exceeds \$350,000. When the appropriation for the program reaches \$20 million, this amount decreases to \$250,000. The maximum grant award cannot exceed 1 percent of the total amount of all Pell Grant funds awarded to students enrolled at the institution during the preceding fiscal year. The minimum grant amount is \$10,000. This amount increases to \$30,000 when the program's appropriation reaches \$20 million.

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Grantees must submit annual reports to the Department regarding their activities. The reports must contain data on the population served by the grant; information on campus and community resources and funding used to help low-income students access child care services; information on progress made toward accreditation of any child care facility; and information on the impact of the grant on the quality, availability, and affordability of campus-based child care services. An institution receives a continuation award only if the Department determines, on the basis of the annual reports, that the institution is making a good faith effort to ensure that low-income students have access to affordable, quality child care services.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009..	\$16,034
2010..	16,034
2011..	16,002
2012..	15,970
2013..	15,970 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

FY 2014 BUDGET REQUEST

The Administration requests \$16 million for the CCAMPIS program, the same as the fiscal year 2012 appropriation. The CCAMPIS program helps to ensure that low-income student parents enroll in, persist in, and complete postsecondary education by helping to meet their needs for affordable and convenient child care.

Data from the National Center for Education Statistics *Descriptive Summary of 2003-04 Beginning Postsecondary Students: Three Years Later*, a longitudinal study (2004-2006), indicated that by 2006, some 56 percent of students who were single parents when they first began at a 4-year institution were no longer enrolled and had not completed any certificate or degree, compared to 15 percent of dependent students (students under 24, unmarried, and with no dependents of their own). Similarly, research shows that at 2-year public institutions, 60 percent of beginning postsecondary students who were single parents in 2003-2004 were no longer enrolled and had not completed any certificate or degree—23 percentage points higher than the rate for dependent students. One barrier to completion for students with dependents, especially low-income students and single parents, is the lack of convenient and affordable quality child care services.

Fiscal year 2014 funding maintains support to enable institutions to sustain or establish campus-based child care programs; establish emergency back-up care and provide summer child care and before and after school services; subsidize the costs of child care for low-income students; and establish programs involving parents.

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Child care access means parents in school

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Number of new awards	0	100	55
Average new award	0	\$103	\$101
Total new award funding	0	\$10,294	\$5,576
Number of NCC awards	153	55	100
Average NCC award	\$104	\$100	\$103
Total NCC award funding	\$15,970	\$5,517	\$10,294
Peer review of new award applications	0	\$159	\$100
Total award funding	\$15,970	\$15,970	\$15,970
Total number of awards	153	155	155

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P.L. 112-175.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2014 and future years, as well as the resources and efforts invested by those served by this program.

Goal: To support the participation of low-income parents in the postsecondary education system through the provision of campus-based child care services.

Objective: Increase access for low-income parents to postsecondary institutions.

Measure: Percentage of CCAMPIS program participants enrolled at CCAMPIS grantee institutions receiving child care services who remain in postsecondary education at the end of the academic year, as reported in the annual performance report.

Year	4-year/2-year Target	4-year/2-year Actual	4-year Target	4-year Actual	2-year Target	2-year Actual
2010		90.5		95.1		86.7
2011						
2012						
2013						
2014	TBD		TBD		TBD	

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Child care access means parents in school

Additional information: The overall persistence rate in 2010 for students served by the 2006 CCAMPIS cohort of grantees is 90.5 percent (3,218 out of 3,555 student participants). The persistence rate for 2010 is calculated by dividing the total number of participants in the program in the fall of 2009 by the number of students who, as of the end of the 2010 summer term, were either still attending, had transferred from a 2-year institution to a 4-year institution of higher education, or had graduated. The Department is currently analyzing data for 2011 based on annual performance reports from new grantees in the fiscal year 2009 competition. Data for 2012 will be available in May 2013.

The Department dropped the performance measure that focused on completion rates at 4-year CCAMPIS grantee institutions. The methodology used for this measure was problematic because the denominator included students who had not been in school long enough to graduate even if they persisted without interruption. Instead, the CCAMPIS program will report data for graduation rates at 2-year CCAMPIS grantee institutions only. The new measure will be the percentage of CCAMPIS grantee participants enrolled at 2-year CCAMPIS grantee institutions who graduate within 3 years of enrollment. The new 2-year graduation measure is consistent with the Department's standard graduation rate for 2-year institutions, calculated as the percentage of recipients who graduated from their postsecondary institution within 150 percent of normal completion time. This means graduating within 3 years of beginning studies at a 2-year institution. The Department is currently analyzing data for 2011 based on annual performance reports from new grantees in the fiscal year 2009 competition. Once the Department has completed its analysis of the 2011 and 2012 data (which is expected to be available in May 2013), the Department will establish targets for the new completion measure. CCAMPIS grantees at 4-year institutions will continue to be required to submit completion rate data for students served by their projects, however, the data will not be aggregated to obtain completion rates at 4-year CCAMPIS grantee institutions.

The Department revised the annual performance report (APR) data form grantees use to submit performance data to the Department. The CCAMPIS project director and a certifying official at the institution will be required to certify that the information reported in the APR is accurate, complete, and readily verifiable. All student participants will be assigned a unique CCAMPIS participant identification (ID) number that will be used to track them throughout their postsecondary education. Grantees will use the same number for each participant each time annual data is reported to the Department. Also, grantees will code whether each participant has:

- Completed the term without completing his/her studies, graduating, transferring, or withdrawing during the term or at the end of the term;
- Earned a certificate/diploma, associate's, bachelor's, or teaching credential during or at the end of the term;
- Transferred from a 2-year institution of higher education to a 4-year institution or from one 4-year institution to another 4-year institution during or at the end of the term;
- Officially withdrawn from the grantee-institution during the term;

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- Not returned/dropped out/stopped out from the grantee-institution (without official notification to the institution) during the term;
- No further need for CCAMPIS funded services (examples: student is no longer eligible for Pell Grants; family member cares for the child; child aged out of care; etc.); and
- Participated in the CCAMPIS program while enrolled at the grantee-institution or declined CCAMPIS participation at any point while enrolled.

The CCAMPIS program serves a wide variety of student-parents with various needs. Multiple factors make it difficult to track students. Some students may not need services from year-to-year because their child is of school age, because they obtained alternative childcare from family members, or because of changes to the timing and number of hours required to attend class. The Department believes these revisions to the APR will yield more accurate persistence and completion data than what has been collected in the past.

Efficiency Measure

The efficiency measure tracks student cost per successful outcome.

Measure: Federal cost per CCAMPIS student enrolled at CCAMPIS-grantee institutions receiving child care services who remain in postsecondary education at the end of the academic year, as reported in the annual performance report.

Year	Target	Actual
2010		\$4,983
2011		
2012		
2013	TBD	
2014	TBD	

Additional information: For 2010, the cost per successful outcome of \$4,983 was calculated by dividing the program allocation of \$16,034,000 by 3,218, the total number of students persisting at 4-year and 2-year CCAMPIS-grantee institutions from the 2006 competition. The Department is currently analyzing data for 2011 for grantees from fiscal year 2009 competition. Data for 2012 will be available May 2013.

Other Performance Information

Data from the 2008 National Postsecondary Student Aid Study (NPSAS) showed that:

- The majority of Pell Grant recipients with children under 12, like Pell Grant recipients overall and Pell Grant recipients with no children, were non-White, female, and single, widowed, or divorced. Pell Grant recipients with children of child care age were more likely than those without children to be women (81 versus 57 percent, respectively); Black, non-Hispanic (29 versus 21 percent); and married (32 versus 4 percent).

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- Approximately 49 percent of Pell Grant recipients with children under age 5 and 31 percent of those whose youngest child was 5 to 11 reported using child care. Among Pell Grant recipients with children, those who reported using child care were more likely to be single parents than those not using child care, 72 percent compared to 54 percent.
- Child care was a major expense for Pell Grant recipients who used it. Average monthly child care expenditures for Pell Grant recipients with children under age 5 was higher than child care expenditures for those with children 5 to 11 (\$390 versus \$288 per month), or an average of \$4,680 versus \$3,450 per year, if annualized.

Data from the 2009 and 2010 Grantee Performance Reports submitted in 2011 showed that:

- Forty-six percent of the institutions served are 2-year public institutions, 51 percent are 4-year public institutions, and the remaining 3 percent are 4-year private institutions.
- Nearly all CCAMPIS participants were Pell Grant recipients (89 percent) and the vast majority were female (85 percent). In terms of race/ethnicity, the largest proportion of participants was White (48 percent), and a sizable minority were Hispanic or Latino (22 percent).

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(Department of Education Appropriations Act, 2014)

(dollars in thousands)

FY 2014 Authorization: 0¹

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>Change from 2012</u>
607	\$607 ²	\$67,607	+\$67,000

¹ The Administration proposes to continue funding this program in fiscal year 2014 through appropriations language.

² Excludes 0.612 percent across-the-board increase provided in P. L. 112-175.

PROGRAM DESCRIPTION

The GPR Data/HEA Program Evaluation program, first funded in fiscal year 2000, provides funds for data collection and evaluation activities for Higher Education Act (HEA) programs. The funding enables the Department to obtain data on performance measures needed to measure progress and to carry out evaluations of performance for HEA programs that do not have funds available for such activities, or where funding set-asides are not sufficient to cover costs. The Department makes a determination each year about the specific kinds of information that are needed to assess the performance of individual programs and gives priority to those that are most critical.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2009	\$609
2010	609
2011	608
2012	607
2013	607 ¹

¹ Excludes 0.612 percent across-the-board increase provided in P. L. 112-175.

FY 2014 BUDGET REQUEST

The Administration requests funding of \$67.6 million for GPR Data/HEA Program Evaluation (GPR/HEA) activities in fiscal year 2014, an increase of \$67 million from the 2012 amount. The funding would allow the Department to conduct evaluations for programs authorized under the

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Higher Education Act that do not have funds available for such activities, or for where funding set-asides are not sufficient to cover costs; to collect and analyze data needed to measure program progress; and to conduct demonstrations and evaluations of alternative strategies for providing student aid.

The Administration is requesting an additional \$67 million above the 2012 level to conduct research, evaluations, and demonstrations to test approaches for providing student financial aid in ways that promote postsecondary access, program completion, and high-quality, affordable education programs. In 2014, the Department plans to spend more than \$180 billion on student aid. Given the size of this investment, the Department must understand how grants and loans are helping students to access postsecondary education and earn credentials. Research and experimentation are key to making student aid design and delivery more effective, so that students achieve their goals and the Nation remains globally competitive.

The Administration is requesting appropriations language that would allow the Department to use the funds for data collection, evaluation, research, and demonstration activities. The appropriations language also would allow the Department to conduct a wider array of experiments by paying for postsecondary tuition, fees, textbooks, and related costs for students who are participating in the funded studies. This would allow the Department to pay for expenses that normally would be covered by Pell grants for students who are not-Pell eligible because they do not have a high school diploma or its equivalent, such as high school students in dual enrollment programs.

Two specific projects that would be supported in 2014 are:

- Evaluation of the Experimental Sites Study. The Department used the 2012 GPRA/HEA funds, in combination with funding from Student Aid Administration and the Department of Labor, to support the evaluation of the Pell grant expansions under the Experimental Sites Study. The study was designed to assess the effects of offering Pell grants for job training to students who are income-eligible but would not qualify for Pell grant funding, either because they already had a bachelor's degree or because they planned to enroll in shorter-term training than currently allowed under the program. This 5-year study will examine the effects of expanded access to Pell grants on students' employment and earnings. The Department plans to use the 2013 GPRA/HEA funding for the second year of the contract, with an additional \$767,000 provided in 2014.
- Dual Enrollment Programs. The Department would use approximately \$32 million of the requested GPRA/HEA funds, together with \$10 million from Career and Technical Education (CTE) National Programs, on a demonstration and evaluation of dual enrollment programs. The demonstration would provide support to about 20,000 high school and adult students to allow them to earn postsecondary credit while they are still in high school or studying for a high school equivalency credential. Funding from GPRA/HEA would provide grants for tuition, fees, and supplies for students who are not eligible for Pell grants because they do not have a high school diploma.

Under CTE National Programs, the Department would make competitive awards to partnerships of institutions of higher education, local educational agencies that operate high-need public schools or adult education providers, and State and local agencies with

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responsibility for secondary and adult education and workforce training. (See the description in CTE National Programs in the Career, Technical, and Adult Education account.) The partnerships would be eligible to apply for support services grants, and, on behalf of their students, grants to pay for any required tuition, fees, books, and supplies for postsecondary coursework for students who are not eligible for Pell grants because they are still enrolled in high school or do not have a high school diploma. The Department would give priority to dual-enrollment programs that demonstrate a cost-effectiveness approach. The amount of funding used for this project would depend on the number of partnerships and students, but at \$1,500 per student, serving 20,000 students would cost \$30 million.

Additional funding of approximately \$2 million in 2014 would support an evaluation of the project that would test whether providing student aid increases access to dual enrollment programs and whether the programs improve college enrollment, credential attainment, and future earnings. The Department's evaluation will build on earlier research that offers preliminary evidence suggesting dual enrollment programs lead to higher rates of college enrollment and completion.

The remaining funds would be used to evaluate the impact of one or more strategies for improving postsecondary access and outcomes. Strategies that might be tested include:

- Evaluating the impacts of different loan counseling models on borrower behavior. Strategies could include altering the timing, content delivery, and type of counseling provider. Schools provide counseling services before students take out loans to help them learn about repayment options, but the intensity and quality of counseling vary widely. An evaluation could identify effective counseling or other information dissemination practices that help borrowers better understand their debt obligations, limit their borrowing, avoid delinquency and default, and improve their repayment rates.
- Examining the effectiveness of risk-sharing in the Pell Grant program to encourage increased success for low-income students. Participating institutions would be eligible to receive additional funding for their Pell Grant students, but would only be able to keep the funds once each student meets certain milestones each semester, such as staying enrolled for a minimum amount of time, passing midterm examinations, or completing a course.
- Examining the impacts of consumer information on aid application and college selection. Consumer information made available to students through the College Scorecard and the Financial Aid Shopping Sheet is designed to help students and families make informed decisions about postsecondary institutions that provide the best value for them. An information experiment could help identify what types of consumer information (e.g., earnings by program) presented at different points in the college selection process have an impact on student aid behavior, including borrowing, and choice of college.

Multiple offices across the Department will collaborate to design and implement the dual enrollment demonstration and complete plans for additional studies, with one of the evaluation offices taking the lead for the evaluations to ensure high-quality research.

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PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2012</u>	<u>2013</u>	<u>2014</u>
Student financial assistance experimental sites study	\$607	\$607	\$767
Dual enrollment study and evaluation	0	0	32,000
Loan counseling study and evaluation	0	0	TBD
Risk sharing study and evaluation	0	0	TBD
Consumer information study and evaluation	0	0	TBD
Other activities, such as improvement of program performance measures	<u>0</u>	<u>0</u>	<u>TBD</u>
Total	607	\$607	\$67,607

NOTE: 2013 excludes 0.612 percent across-the-board increase provided in P. L. 112-175.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

GPRA Data/HEA Program Evaluation program funds are used for data collection, analysis, or evaluation studies for programs authorized under HEA. These activities have played an important role in reporting performance data, making program improvements, informing budgetary decisions, and conducting program assessments.