

Department of Education

HIGHER EDUCATION

Fiscal Year 2011 Budget Request

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For carrying out, to the extent not otherwise provided, titles [II,]¹ III, IV, V, VI, VII, and VIII of the Higher Education Act of 1965 (“HEA”), [section 1543 of the Higher Education Amendments of 1992,]² the Mutual Educational and Cultural Exchange Act of 1961, [title VIII of the Higher Education Amendments of 1998,³ part I of subtitle A of title VI of the America COMPETES Act,]⁴ and section 117 of the Carl D. Perkins Career and Technical Education Act of 2006, ~~[\$2,255,665,000]~~\$2,131,493,000: *Provided*, That \$9,687,000, to remain available through September 30, ~~[2011]~~2012, shall be available to fund fellowships for academic year ~~[2011–2012]~~2012-2013 under subpart 1 of part A of title VII of the HEA, under the terms and conditions of such subpart 1:⁵ *Provided further*, That \$609,000 shall be for data collection and evaluation activities for programs under the HEA, including such activities needed to comply with the Government Performance and Results Act of 1993:⁶ *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:⁷ *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:⁸ *Provided further*, That notwithstanding any other provision of law, a recipient of a multi-year award under section 316 of the HEA, as that section was in effect prior to the date of enactment of the Higher Education Opportunity Act (“HEOA”), that would have otherwise received a continuation award for fiscal year ~~[2010]~~2011 under that section, shall receive under section 316, as amended by the HEOA,

not less than the amount that such recipient would have received under such a continuation award:⁹ *Provided further*, That the portion of the funds received under section 316 by a recipient described in the preceding proviso that is equal to the amount of such continuation award shall be used in accordance with the terms of such continuation award¹⁰ [*Provided further*, That \$1,500,000, to remain available until expended, shall be available to carry out a scholarship program for the purpose of increasing the skilled workforce for industrial health and safety occupations, including mine safety: *Provided further*, That the Secretary of Education shall identify these scholarships as “Erma Byrd Scholarships”: *Provided further*, That such scholarships shall be awarded without regard to an applicant’s prior work experience, but the Secretary shall, notwithstanding section 437 of the General Education Provisions Act and 5 U.S.C. 553, by notice in the Federal Register, establish the eligibility requirements, service obligations, payback requirements, and other program requirements similar to those specified in section 515 of the Federal Mine Safety and Health Act as are necessary to implement such a program: *Provided further*, That such scholarship funds may be used to replace a student’s expected family contribution, but institutions accepting such scholarship funds may not use these funds to supplant existing institutional aid: *Provided further*, That the Secretary shall be authorized to accept contributions for such scholarships from private sources: *Provided further*, That these funds shall be used for scholarships for academic year 2010–2011 and may be available for scholarships in academic year 2011–2012:¹¹ *Provided further*, That \$101,507,000 shall be used for the projects, and in the amounts, specified under the heading “Higher Education” in the statement of the managers on the conference report accompanying this Act: *Provided further*, That \$17,750,000 shall be used for the programs specified under the “Fund for the Improvement of Post Secondary Education” in the statement of the managers in accordance with the specified sections]¹² *Provided further*: That, notwithstanding section 721(c) of the HEA, funds to carry out the Thurgood Marshall Legal Educational Opportunity program under

section 721 shall be awarded competitively, and any recipient shall be authorized to award
subcontracts and subgrants under 721(f).¹³ (*Department of Education Appropriations Act, 2010*)

NOTE

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
¹ ...[II,...]	This language, which authorizes funds for the Teacher Quality Partnership (TQP) program, is deleted. The Administration is not requesting separate funding for the program in fiscal year 2011. Instead, the Administration proposes to consolidate TQP and certain other programs under a broader Teacher and Leader Pathways program (in the Innovation and Instructional Teams account) through the Elementary and Secondary Education Act reauthorization.
² [section 1543 of the Higher Education Amendments of 1992,]	This language, which authorizes funds for B.J. Stupak Olympic Scholarships, is deleted because no funds are requested for the program.
³ [title VIII of the Higher Education Amendments of 1998,...]	This language, which authorizes funds for the Underground Railroad Program, is deleted because no funds are requested for the program.
⁴ [...part I of subtitle A of title VI of the America COMPETES Act,]	This language, which authorizes funds for the Teacher for a Competitive Tomorrow (TCT): Baccalaureate STEM and Foreign Language Teacher Training program and Masters STEM and Foreign Language Teacher Training program, is deleted. The Administration is not requesting separate funding for the program in fiscal year 2011. Instead, the Administration proposes to consolidate TCT and certain other programs under a broader Teacher and Leader Pathways program (in the Innovation and Instructional Teams account) through the Elementary and Secondary Education Act reauthorization.

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>⁵ <i>Provided</i>, That \$9,687,000, to remain available through September 30, [2011]2012, shall be available to fund fellowships for academic year [2011-2012]2012-2013 under subpart 1 of part A of title VII of the HEA, under the terms and conditions of such subpart 1:</p>	<p>This language provides that funds appropriated for Javits Fellowships shall remain available for obligation for 2 years in order to provide fellowships for academic year 2012-2013.</p>
<p>⁶ <i>Provided further</i>, That \$609,000 shall be for data collection and evaluation activities for programs under the HEA, including such activities needed to comply with the Government Performance and Results Act of 1993:</p>	<p>This language authorizes and provides funds to support program evaluations and data collection requirements under the Government Performance and Results Act.</p>
<p>⁷ <i>Provided further</i>, 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:</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>
<p>⁸ <i>Provided further</i>, 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:</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>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>⁹ <i>Provided further</i>, That notwithstanding any other provision of law, a recipient of a multi-year award under section 316 of the HEA, as that section was in effect prior to the date of enactment of the Higher Education Opportunity Act (“HEOA”), that would have otherwise received a continuation award for fiscal year [2010]2011 under that section, shall receive under section 316, as amended by the HEOA, not less than the amount that such recipient would have received under such a continuation award:</p>	<p>This language permits the Department to award the greater of either the recipient's non-competing continuation grant or the amount the institution is entitled to under the new funding formula specified in Section 316(d) of the HEA.</p>
<p>¹⁰ <i>Provided further</i>, That the portion of the funds received under section 316 by a recipient described in the preceding proviso that is equal to the amount of such continuation award shall be used in accordance with the terms of such continuation award:</p>	<p>This language requires that institutions receiving continuation grants spend the funds in accordance with the terms of their multi-year grant.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>¹¹ [Provided further, That \$1,500,000, to remain available until expended, shall be available to carry out a scholarship program for the purpose of increasing the skilled workforce for industrial health and safety occupations, including mine safety: Provided further, That the Secretary of Education shall identify these scholarships as "Erma Byrd Scholarships": Provided further, That such scholarships shall be awarded without regard to an applicant's prior work experience, but the Secretary shall, notwithstanding section 437 of the General Education Provisions Act and 5 U.S.C. 553, by notice in the Federal Register, establish the eligibility requirements, service obligations, payback requirements, and H. R. 3288—236 other program requirements similar to those specified in section 515 of the Federal Mine Safety and Health Act as are necessary to implement such a program: Provided further, That such scholarship funds may be used to replace a student's expected family contribution, but institutions accepting such scholarship funds may not use these funds to supplant existing institutional aid: Provided further, That the Secretary shall be authorized to accept contributions for such scholarships from private sources: Provided further, That these funds shall be used for scholarships for academic year 2010–2011 and may be available for scholarships in academic year 2011–2012:]</p>	<p>This language, which authorizes funds for Erma Byrd Scholarships, is deleted because funds are not being requested for the program.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>¹² [Provided further, That \$101,507,000 shall be used for the projects, and in the amounts, specified under the heading "Higher Education" in the statement of the managers on the conference report accompanying this Act: provided further, That \$17,750,000 shall be used for the programs specified under the "Fund for the Improvement of Post Secondary Education" in the statement of the managers in accordance with the specified sections]</p>	<p>This language earmarks funds appropriated for the Fund for the Improvement of Postsecondary Education for specified projects. This language is deleted because no funds for specified projects are requested.</p>
<p>¹³ <u>Provided further: That, notwithstanding section 721(c) of the HEA, funds to carry out the Thurgood Marshall Legal Educational Opportunity program under section 721 shall be awarded competitively, and any recipient shall be authorized to award subcontracts and subgrants under 721(f).</u></p>	<p>This language provides that funds appropriated to carry out the Thurgood Marshall Legal Educational Opportunity program be awarded competitively.</p>

HIGHER EDUCATION

Amounts Available for Obligation (\$000s)

	2009	2010	2011
Discretionary appropriation:			
Annual appropriation	\$2,100,150	\$2,255,665	\$2,131,493
Recovery Act supplemental (P.L. 111-5)	100,000	0	0
Transfer to <u>Career, Technical, and Adult Education</u> for Adult Education State Grants (P.L. 111-32)	<u>-966</u>	<u>0</u>	<u>0</u>
Subtotal, adjusted discretionary appropriation ..	2,199,184	2,255,665	2,131,493
Comparative transfers to <u>Innovation and Instructional Teams</u> for:			
Teacher Quality Partnership.....	-50,000	-43,000	0
Teachers for a Competitive Tomorrow	-2,093	-2,184	0
Teacher Quality Partnership, Recovery Act.....	-100,000	0	0
Comparative transfer from <u>Accelerating Achievement and Ensuring Equity</u> for: Special Programs for Migrant Students	<u>34,168</u>	<u>36,668</u>	<u>0</u>
Subtotal, comparable discretionary appropriation	2,081,259	2,247,149	2,131,493
Mandatory appropriation	<u>401,000</u>	<u>80,000</u>	<u>80,000</u>
Subtotal, comparable discretionary and mandatory appropriation	2,482,259	2,327,149	2,211,493
Unobligated balance, start of year.....	27,955	112,700	12,168
Expired unobligated balance transfer to unexpired account	8,759	0	0
Recovery of prior year obligations	28	0	0
Unobligated balance expiring	-442	0	0
Unobligated balance, end of year.....	-112,700	-12,168	-11,801

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Amounts Available for Obligation (\$000s)

	2009	2010	2011
<hr/>			
Comparative transfers:			
Unobligated balance, start of year to <u>Innovation and Instructional Teams for Teacher Quality</u>			
Partnership, Recovery Act.....	0	-\$100,000	0
Unobligated balance, end of year to <u>Innovation and Instructional Teams for Teacher Quality</u>			
Partnership, Recovery Act.....	<u>\$100,000</u>	<u>0</u>	<u>0</u>
Total, direct obligations	2,505,859	2,327,681	\$2,211,860

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Obligations by Object Classification (\$000s)

	2009	2010	2011
Printing and reproduction	0	\$10	\$10
Other contractual services:			
Advisory and assistance services	\$2,094	3,949	3,971
Other services	5,218	2,510	2,510
Peer review	1,212	6,576	6,944
Purchases of goods and services	0	2,320	2,320
Information technology services/contracts.....	<u>942</u>	<u>1,099</u>	<u>1,099</u>
Subtotal.....	9,466	16,454	16,844
Grants, subsidies, and contributions	<u>2,496,393</u>	<u>2,311,217</u>	<u>2,195,006</u>
Total, obligations	2,505,859	2,327,681	2,211,860

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Summary of Changes (\$000s)

2010	\$2,327,149	
2011	<u>2,211,493</u>	
Net change	-115,656	
		Change <u>2010 base</u> from base
Increases:		
<u>Program:</u>		
Increase funding for Strengthening Institutions Program under Aid for Institutional Development to help institutions that enroll a large proportion of minority and disadvantaged students to improve their academic programs, facilities, and funds management.	\$84,000	+\$4,200
Increase funding for Strengthening Tribally Controlled Colleges and Universities program under Aid for Institutional Development to help TCCUs to improve their academic programs, facilities, and funds management.	30,169	+1,508
Increase funding for Strengthening Alaska Native and Native Hawaiian-serving institutions program under Aid for Institutional Development to enable such institutions to improve their academic programs, facilities, and funds management.	15,084	+754
Increase funding for Strengthening Historically Black Colleges and Universities program under Aid for Institutional Development to help HBCUs improve their academic programs, facilities, and funds management.	266,586	+13,329
Increase funding for Strengthening Historically Black Graduate Institutions program under Aid for Institutional Development to help HBGIs improve their academic programs, facilities, and funds management.	61,425	+3,071
Increase funding for Strengthening Predominantly Black Institutions (PBIs) program under Aid for Institutional Development to help PBIs improve their academic programs, facilities, and funds management.	10,801	+540

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Summary of Changes (\$000s)

	<u>2010 base</u>	<u>Change from base</u>
Increases:		
<u>Program</u>		
Increase funding for Strengthening Asian American and Native American Pacific Islander-serving institutions program to enable such institutions to improve their academic programs, facilities, and funds management.	\$3,600	+\$180
Increase funding for Strengthening Native American-serving Nontribal institutions program under Aid for Institutional Development to enable such institutions to improve their academic programs, facilities, and funds management.	3,600	+180
Increase funding for Developing Hispanic-serving Institutions program to enable more institutions to improve their academic programs, facilities, and funds management.	117,429	<u>+5,871</u>
Subtotal, increases		+29,633
Decreases:		
<u>Program:</u>		
Decrease funding for the Fund for the Improvement of Postsecondary Education because no funding is requested for earmarks.	159,403	-95,367
Eliminate funding for Byrd Honors Scholarships because this program duplicates the efforts of other Federal, State, and local initiatives that increase college access. Students can receive grant, work-study, and loan assistance through the Department's postsecondary student aid programs.	42,000	-42,000
Eliminate funding for B.J. Stupak Olympic Scholarships because the program duplicates the efforts of other Federal, State, and local initiatives that increase college access. Athletes can receive grant, work-study, and loan assistance through the Department's postsecondary student aid programs.	977	-977

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Summary of Changes (\$000s)

	<u>2010 base</u>	<u>Change from base</u>
Decreases:		
Program:		
Eliminate funding for the Underground Railroad Program because support was not intended to be a permanent Federal responsibility.	\$1,945	-\$1,945
Eliminate funding for Loan Repayment for Civil Legal Assistance because the program is unnecessary since civil legal service attorneys already qualify for loan forgiveness benefits under the Public Service Loan Forgiveness provisions of the William D. Ford Direct Student Loan program. In addition, the Department has found loan forgiveness programs funded through discretionary funds to be inequitable, given the likelihood that available funding will not be sufficient to fund awards to all eligible recipients.	5,000	<u>-5,000</u>
Subtotal, decreases		-145,289
Net change		-115,656

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Authorizing Legislation (\$000s)

Activity	2010 Authorized	2010 Appropriation	2011 Authorized	2011 Request
Aid for institutional development:				
Strengthening institutions (<i>HEA-III-A-311</i>)	Indefinite	\$84,000	Indefinite	\$88,200
Strengthening tribally controlled colleges and universities (<i>HEA-III-A-316</i>)	Indefinite	30,169	Indefinite	31,677
Strengthening Alaska Native and Native Hawaiian-serving institutions (<i>HEA-III-A-317</i>)	Indefinite	15,084	Indefinite	15,838
Strengthening historically Black colleges and universities (<i>HEA-III-B-323</i>)	Indefinite	266,586	Indefinite	279,915
Strengthening historically Black graduate institutions (<i>HEA-III-B-326</i>)	Indefinite	61,425	Indefinite	64,496
Master's degree programs at HBCUs and PBIs (<i>HEA VIII-AA-897</i>) (<i>mandatory</i>)	\$11,500 ¹	11,500 ¹	\$11,500 ¹	11,500 ¹
Strengthening predominantly Black institutions (<i>HEA-III-A-318</i>)	75,000	10,801	75,000	11,341
Strengthening Asian American and Native American Pacific Islander-serving institutions (<i>HEA-III-A-320</i>)	Indefinite	3,600	Indefinite	3,780
Strengthening Native American-serving Nontribal institutions <i>HEA-III-A-319</i>)	Indefinite	3,600	Indefinite	3,780
Minority science and engineering improvement (<i>HEA-III-E-1</i>)	Indefinite	9,503	Indefinite	9,503
Aid for Hispanic-serving institutions:				
Developing Hispanic-serving institutions (<i>HEA-V-A</i>)	Indefinite	117,429	Indefinite	123,300
Promoting postbaccalaureate opportunities for Hispanic Americans (<i>HEA-V-B-512</i>) (<i>discretionary</i>)	Indefinite	10,500	Indefinite	10,500
Promoting postbaccalaureate opportunities for Hispanic Americans (<i>HEA-VIII-AA-898</i>) (<i>mandatory</i>)	11,500 ¹	11,500 ¹	11,500 ¹	11,500 ¹

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Authorizing Legislation (\$000s)

Activity	2010 Authorized	2010 Appropriation	2011 Authorized	2011 Request
Other aid for institutions:				
International education and foreign language studies:				
Domestic programs (<i>HEA-VI-A and B</i>)	Indefinite	\$108,360	Indefinite	\$108,360
Overseas programs (<i>MECEA-102(b)(6)</i>)	Indefinite	15,576	Indefinite	15,576
Institute for international public policy (<i>HEA-VI-C</i>)	Indefinite	1,945	Indefinite	1,945
Fund for the improvement of postsecondary education (<i>HEA-VII-B</i>)	Indefinite	159,403 ²	Indefinite	64,036
Demonstration projects to support postsecondary faculty, staff, and administrators in educating students with disabilities (<i>HEA-VII-D-1</i>)	Indefinite	6,755	Indefinite	6,755
Model comprehensive transition and postsecondary programs for students with intellectual disabilities into higher education (<i>HEA-VII-D-2</i>)	Indefinite	11,000 ³	Indefinite	11,000 ³
Tribally controlled postsecondary career and technical institutions (<i>Carl D. Perkins CTEA section 117</i>)	Indefinite	8,162	Indefinite	8,162
Migrant Education: Special programs for migrant students (<i>HEA IV-A-5</i>)	Indefinite	36,668	Indefinite	36,668
Assistance for students:				
Federal TRIO programs (<i>HEA-IV-A-2-1</i>)	Indefinite	853,089	Indefinite	853,089
Additional funds for Upward Bound (<i>HEA 402C(g)</i>) (<i>mandatory</i>)	\$57,000 ⁴	57,000	\$57,000 ⁴	57,000
Gaining early awareness and readiness for undergraduate programs (<i>HEA-IV-A-2-2</i>)	Indefinite ⁵	323,212	Indefinite ⁵	323,212
Scholarships and fellowships:				
Byrd honors scholarships (<i>HEA-IV-A-6</i>)	Indefinite	42,000	Indefinite	0
Javits fellowships (<i>HEA-VII-A-1</i>)	30,000	9,687	30,000	9,687

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		Authorizing Legislation (\$000s)		
		2010 Authorized	2010 Appropriation	2011 Authorized
Activity				2011 Request
U-17	Graduate assistance in areas of national need <i>(HEA-VII-A-2)</i>	\$35,000	\$31,030	\$35,000
	Thurgood Marshall legal educational opportunity program <i>(HEA-VII-A-3)</i>	5,000	3,000	5,000
	B.J. Stupak Olympic scholarships (<i>Higher Education Amendments of 1992, Section 1543</i>)	Indefinite	977	Indefinite
	Child care access means parents in school (<i>HEA-IV-A-7</i>)	Indefinite	16,034	Indefinite
	GPRA data/HEA program evaluation (<i>Department of Education Appropriations Act, 2009</i>)	0 ⁶	609	0 ⁶
	Underground railroad program (<i>Higher Education Amendments of 1998-VIII-H</i>)	3,000	1,945	3,000
	Loan repayment for civil legal assistance attorneys <i>(HEA-IV-B, section 428L)</i>	Indefinite	5,000	Indefinite
	<u>Unfunded authorizations</u>			
Interest subsidy grants (<i>HEA-I-121</i>)		Indefinite	0	Indefinite
Endowment challenge grants (<i>HEA-III-C-331</i>)		Indefinite	0	Indefinite
Programs in STEM Fields (<i>HEA-III-E-2</i>)		Indefinite	0	Indefinite
Promoting postbaccalaureate opportunities for Hispanic Americans (<i>HEA-V-B-511</i>)		Indefinite	0	Indefinite
Science and technology advanced foreign language education (<i>HEA-VI-D-637</i>)		Indefinite	0	Indefinite
College access challenge grant program (<i>HEA-VII-E</i>) (<i>discretionary</i>)		Indefinite	0	Indefinite
Master's degree programs at Historically Black Colleges and Universities (<i>HEA-VII-A-4-723</i>)		Indefinite	0	Indefinite

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Authorizing Legislation (\$000s)

Activity	2010 Authorized	2010 Appropriation	2011 Authorized	2011 Request
<u>Unfunded authorizations (cont'd)</u>				
Master's degree programs at Predominantly Black Institutions (<i>HEA-VII-A-4-724</i>)	Indefinite	0	Indefinite	0
Model demonstration program to support improved access to postsecondary instructional materials for students with print disabilities (<i>HEA-VII-D-3</i>)	Indefinite	0	Indefinite	0
National Technical Assistance Center (<i>HEA-VII-D-4(a)</i>)	Indefinite	0	Indefinite	0
Project GRAD (<i>HEA-VIII-A</i>)	Indefinite	0	Indefinite	0
Mathematics and science scholars program (<i>HEA-VII-B</i>)	Indefinite	0	Indefinite	0
Business workforce partnerships for job skill training in high growth occupations or industries (<i>HEA-VIII-C</i>)	Indefinite	0	Indefinite	0
Capacity for nursing students and faculty (<i>HEA-VIII-D</i>)	Indefinite	0	Indefinite	0
American history for freedom (<i>HEA-VIII-E</i>)	Indefinite	0	Indefinite	0
Patsy T. Mink fellowship program (<i>HEA-VIII-G</i>)	Indefinite	0	Indefinite	0
Improving college enrollment by secondary schools (<i>HEA-VIII-H</i>)	Indefinite	0	Indefinite	0
Early childhood education professional development and career task force (<i>HEA-VIII-I</i>)	Indefinite	0	Indefinite	0
Improving science, technology, engineering, and mathematics education with a focus on Alaska Native and Native Hawaiian students (<i>HEA-VIII-J</i>)	Indefinite	0	Indefinite	0
Pilot programs to increase college persistence and success (<i>HEA-VIII-K</i>)	Indefinite	0	Indefinite	0

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Activity	Authorizing Legislation (\$000s)		2011 Authorized	2011 Request
	2010 Authorized	2010 Appropriation		
<u>Unfunded authorizations (cont'd)</u>				
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
Cooperative education <i>(HEA-VIII-N)</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)</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
Advancing America through foreign language partnerships <i>(America COMPETES Act-VI-C)</i>	Indefinite	0	Indefinite	0

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Authorizing Legislation (\$000s)

Activity	2010 Authorized	2010 Appropriation	2011 Authorized	2011 Request
<u>Unfunded authorizations (cont'd)</u>				
Grants to states for workplace and community transition training for incarcerated individuals <i>(Higher Education Amendments of 1998-VIII-D)</i>	<u>Indefinite</u>	0	<u>Indefinite</u>	0
Total definite authorization	\$228,000		\$228,000	
U-20 Total discretionary appropriation Portion of request not authorized		\$2,247,149 609		\$2,131,493 609
Total mandatory appropriation		80,000		80,000

¹ Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through fiscal year 2014.

² Includes funding for the following programs: \$750,000 for Off-Campus Community Service Program; \$1,000 thousand for Training and Job Placement of Realtime Writers; \$6,000 thousand for Centers of Excellence for Veteran Student Success; and \$10,000 thousand for Course Material Rental program.

³ 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.

⁴ Mandatory funds made available in fiscal year 2008 and each succeeding fiscal year through fiscal year 2011 pursuant to Section 402C(g) of the HEA.

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 2010 through appropriations language. The Administration proposes to continue funding this program in fiscal year 2011 through appropriations language.

HIGHER EDUCATION

Appropriations History (\$000s)

	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2002	\$1,723,223	\$1,908,151	\$1,826,223	\$2,028,048
2003	1,883,053	1,903,553	2,047,640	2,087,046
2003 Technical Amendment				-546
2004	1,904,438	1,980,991	1,977,482	2,092,644
2004 Rescission	---	---	---	-795
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	1,856,214 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	80,000
2011 Discretionary	2,131,493			
2011 Mandatory	80,000			

¹ This account operated under a full-year continuing resolution (P.L. 110-5). House and Senate Allowance amounts 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.

HIGHER EDUCATION

Significant Items in FY 2010 Appropriations Reports

Strengthening Tribally Controlled Colleges and Universities (TCCUs)

- House: The Committee intends for the funds provided to be used to support the continuation of existing grants and new planning or developmental grants. Any remaining funds shall be available for grants for renovation and construction of facilities to continue to address needed facilities repair and expansion.
- Response: Fiscal year 2010 funding will be allocated to eligible TCCUs according to the statute-driven formula. Fiscal year 2010 appropriations language permits the Department to award grants that amount to the greater of either an institution's non-competing continuation (NCC) grant or the amount the institution would receive under the new funding formula specified in Section 316(d) of the HEA. Grantees would be required to spend the funds in accordance with the terms of their multi-year grant. This provision would ensure that 15 grantees would receive a formula allocation equal to or greater than their NCC grant. We do not intend to reserve funds for construction. However, grantees would be permitted to conduct construction-related activities under their approved individual development grants.

Title VI International Education and Foreign Languages Studies: Domestic Programs

- House: The Committee requests a briefing with Department of Education officials not less than 30 days prior to the issuance of these requests for proposal.
- Response: The Department will brief the Committee prior to publication of the closing date notices for these competitions.

Title VI International Education and Foreign Languages Studies: Overseas Programs

- House: The Committee expects the increased funding to be used to help the rising costs of educational and programming activities occurring abroad due to the declining value of the U.S. dollar.
- Response: The Department will comply with this guidance.

FIPSE Comprehensive Program

- House: Within the total, the Committee includes \$34,805,000 for the Comprehensive Program. The Committee directs the Department to establish invitational priorities under the Comprehensive Program for centers of excellence for teacher preparation as described in Section 242; university sustainability initiatives as described in section 881; rural development initiatives for rural-serving colleges and universities as described in section 861; as well as for initiatives to assist highly qualified minorities and women to acquire doctoral degrees in fields where they are underrepresented as described in section 807 of the Higher Education Act.

HIGHER EDUCATION

Significant Items in FY 2010 Appropriations Reports

Conference: Within the amount for FIPSE, \$28,822,000 is included for the Comprehensive Program, for which the conferees direct the Department to establish these invitational priorities: centers of excellence for teacher preparation as described in section 242 of the HEA; university sustainability initiatives as described in section 881 of HEA; rural development initiatives for rural-serving colleges and universities as described in section 861 of HEA; initiatives to assist highly qualified minorities and women to acquire doctoral degrees in fields where they are underrepresented as described in section 807 of HEA; modeling and simulation programs as described in section 891 of HEA; and higher education consortia to design and offer interdisciplinary programs that focus on poverty and human capability as described in section 741(a)(11) of HEA.

Response: The Department will comply with the directive in the conference report.

College Textbook Rental Initiative

House: The Committee directs that these funds be awarded under a FIPSE special focus competition, in accordance with section 803(b)-(d) of the Higher Education Act.

Conference: The conferees direct that these funds be awarded in accordance with section 803(b) through (d) of the Higher Education Act. The conferees direct that the Department provide a briefing to the Committees on Appropriations of the House of Representatives and the Senate not less than 30 days prior to the release of a request for proposals.

Response: The Department will comply with the directive in the conference report.

Centers of Excellence for Veteran Student Success

House: The Committee directs that these funds be awarded under a FIPSE special focus competition, in accordance with section 873 of the Higher Education Act.

Conference: The conferees direct that these funds be awarded in accordance with section 873 of the HEA.

Response: The Department will comply with the directive in the conference report.

Model Comprehensive Transition and Postsecondary Programs for Students with Intellectual Disabilities

House: ...\$4,000,000 shall be used to support new awards for Transition Programs for Students With Intellectual Disabilities Into Higher Education under subpart 2 of part D of title VII of the Higher Education Act.

HIGHER EDUCATION

Significant Items in FY 2010 Appropriations Reports

- Conference: The conferees intend that the Department support a range of awards in size and scope, up to \$1,000,000 for each year of the award year, to promote the implementation of high-quality model programs and to provide a better understanding of an array of effective practices. The conferees direct that the Department provide a briefing to the Committees on Appropriations of the House of Representatives and the Senate not less than 30 days prior to the release of a request for proposals.
- Response: The Department expects to award 25 new grants averaging \$422,000 each in 2010. The Department also plans to brief the Committees on Appropriations of the House of Representatives and the Senate prior to the publication of the closing date notice for this competition.

TRIO Student Support Services

- House: The Committee intends that the funding increase be used for the Student Support Services program, which will be re-competed in fiscal year 2010. Of this amount, \$10,000,000 shall be for college completion awards to provide grant aid to participating students who are at high risk of dropping out of college due to financial need. The Committee intends that Student Support Services projects receiving these college completion awards shall provide matching funds equal to 33 percent of the total award; thus leveraging an additional \$3,300,000 in need-based student aid.
- Senate: The Committee intends that the funds provided will maintain or increase the number of Student Support Services programs.
- Conference: For TRIO, the conferees intend that the increase over fiscal year 2009 be used for the Student Support Services program, which will be re-competed in fiscal year 2010. The conferees recognize that supportive services aimed at increasing retention and graduation of low-income students in college are an important complement to student financial aid, particularly the Pell Grant program. Many such retention services are supported through Student Support Services grants. Thus, the conferees intend that the funds provided will maintain the number of Student Support Services grantees.
- Response: The Department intends to maintain the number of Student Support Services grantees.

HIGHER EDUCATION

Significant Items in FY 2010 Appropriations Reports

Gaining Early Awareness and Readiness for Undergraduate Programs

- House: The Committee intends that not less than \$6,600,000 of the increase over fiscal year 2009 be used for State grants, of which half must be used to provide student scholarships, and not less than \$6,600,000 be used for Partnership grants. The statutory 50 percent matching requirement for State grant recipients will produce a minimum of \$3,300,000 in scholarship assistance for participating students.
- Response: The House bill provided a \$20 million increase for GEAR UP, but the appropriation increased GEAR UP funding by only \$10 million over the 2009 level. The Department expects to need the additional \$10 million to support continuation awards to both States and partnerships.

DEPARTMENT OF EDUCATION FISCAL YEAR 2011 PRESIDENT'S REQUEST

Office, Account, Program and Activity	Category Code	2009 Appropriation	2010 Appropriation	President's Budget	Change from 2010 Appropriation	
					Amount	Percent
Higher Education						
1. Aid for institutional development:						
(a) Strengthening institutions (HEA III-A, section 311)	D	80,000	84,000	88,200	4,200	5.0%
(b) Strengthening tribally controlled colleges and universities (HEA III-A, section 316)	D	23,158	30,169	31,677	1,508	5.0%
(c) Additional funds for strengthening tribally controlled colleges and universities (HEA III-F, section 371)	M	30,000	0	0	0	—
Subtotal		53,158	30,169	31,677	1,508	5.0%
(d) Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-A, section 317)	D	11,579	15,084	15,838	754	5.0%
(e) Additional funds for strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-F, section 371)	M	15,000	0	0	0	—
Subtotal		26,579	15,084	15,838	754	5.0%
(f) Strengthening HBCUs (HEA II-B, section 323)	D	238,085	266,586	279,915	13,329	5.0%
(g) Additional funds for strengthening HBCUs (HEA II-F, section 371)	M	85,000	0	0	0	—
Subtotal		323,085	266,586	279,915	13,329	5.0%
(h) Strengthening historically Black graduate institutions (HEA III-B, section 326)	D	58,500	61,425	64,496	3,071	5.0%
(i) Masters degree programs at HBCUs and predominantly Black institutions (HEA VII-AA, section 887)	M	11,500	11,500	11,500	0	0.0%
(j) Strengthening predominantly Black institutions (HEA III-A, section 316)	D	0	10,801	11,341	540	5.0%
(k) Mandatory strengthening predominantly Black institutions (HEA III-F, section 371)	M	15,000	0	0	0	—
Subtotal		2,500	3,600	3,780	180	5.0%
(l) Strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-A, section 320)	D	5,000	0	0	0	—
(m) Mandatory strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-F, section 371)	M	7,500	3,600	3,780	180	5.0%
Subtotal		5,000	3,600	3,780	180	5.0%
(n) Strengthening Native American-serving nontribal institutions (HEA III-A, section 319)	D	0	3,600	3,780	180	5.0%
(o) Mandatory strengthening Native American-serving nontribal institutions (HEA II-F, section 371)	M	5,000	0	0	0	—
Subtotal		5,000	3,600	3,780	180	5.0%
(p) Minority science and engineering improvement (HEA III-E-1)	D	8,577	9,503	9,503	0	0.0%
Subtotal, Aid for institutional development						
Discretionary	D	588,909	496,268	520,030	23,762	4.8%
Mandatory	M	42,409	494,768	508,530	23,762	4.9%
		16,500	11,500	0	0	0.0%

NOTE: Category Codes are as follows: D = discretionary program; M = mandatory program.

DEPARTMENT OF EDUCATION FISCAL YEAR 2011 PRESIDENT'S REQUEST

Office, Account, Program and Activity	Category Code	2009 Appropriation	2010 Appropriation	2011 President's Budget	Change from 2010 Appropriation	
					Amount	Percent
<i>Higher Education (continued)</i>						
2. Aid for Hispanic-serving institutions:						
(a) Developing Hispanic-serving institutions (HEA V-A)	D	93,256	117,429	123,300	5,871	5.0%
(b) Developing HSU STEM and articulation programs (HEA II-F, section 371(b)(2)(B))	M	100,000	0	0	0	-
(c) Promoting postbaccalaureate opportunities for Hispanic Americans (HEA V, section 512)	D	0	10,500	10,500	0	0.0%
(d) Mandatory promoting postbaccalaureate opportunities for Hispanic Americans (HEA VIII-AA, section 898)	M	11,500	11,500	11,500	0	0.0%
Subtotal		204,756	139,429	148,300	5,871	4.2%
Discretionary	D	93,256	127,929	133,900	5,871	4.6%
Mandatory	M	111,500	11,500	11,500	0	0.0%
3. Other aid for institutions:						
(a) International education and foreign language studies:						
(1) Domestic programs (HEA VI-A and B)	D	102,335	108,360	108,360	0	0.0%
(2) Overseas programs (MECEA section 102(b)(6))	D	14,709	15,576	15,576	0	0.0%
(3) Institute for International Public Policy (HEA V-C)	D	1,837	1,945	1,945	0	0.0%
Subtotal		118,881	125,881	125,881	0	0.0%
(b) Fund for the improvement of postsecondary education:						
(1) Fund for the improvement of postsecondary education (HEA VII-B)	D	132,667	140,153	64,036	(76,117)	-54.3%
(2) Centers for excellence for veteran student success (HEA VIII-T)	D	0	6,000	0	(6,000)	-100.0%
(3) Erma Byrd scholarships (Department of Education Appropriation Act, section 515)	D	1,000	1,500	0	(1,500)	-100.0%
(4) College textbook rental pilot initiative (HEOA section 803)	D	0	10,000	0	(10,000)	-100.0%
(5) Training for maritime writers (HEA VIII-S)	D	0	1,000	0	(1,000)	-100.0%
(6) Off-campus community service program (HEA Title IV-C)	D	0	750	0	(750)	-100.0%
Subtotal		133,667	159,403	64,036	(95,367)	-59.8%
(c) Demonstration projects to support postsecondary faculty, staff, and administrators						
In educating students with disabilities (HEA VII-D-1)	D	6,755	6,755	6,755	0	0.0%
(d) Model transition programs for students with intellectual disabilities into higher education (HEA VII-D-2)	D	0	11,000	11,000	0	0.0%
(e) Tribally controlled postsecondary career and technical institutions (CTEA section 117)	D	7,773	8,162	8,162	0	0.0%
(f) Special programs for migrant students (HEA IV-A-5)	D	34,168	36,668	36,668	0	0.0%

DEPARTMENT OF EDUCATION FISCAL YEAR 2011 PRESIDENT'S REQUEST

(in thousands of dollars)

Office, Account, Program and Activity	Category Code	2009 Appropriation	2010 Appropriation	President's Budget	Change from 2010 Appropriation Amount Percent
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Higher Education (continued)

4. Assistance for students:

- (a) Federal TRIO programs (HEA IV-A-2, Chapter 1)
- (b) Additional funds for Upward Bound (HEA 402C(g))

Subtotal

(c) Gaining early awareness and readiness for undergraduate programs
(GEAR UP) (HEA IV-A-2, Chapter 2)

(d) Scholarships and fellowships:

- (1) Javits fellowships (HEA VII-A-1)
- (2) Graduate assistance in areas of national need (HEA VII-A-2)
- (3) Thurgood Marshall legal educational opportunity program (HEA VII-A-3)
- (4) Byrd honors scholarships (HEA IV-A-6)
- (5) B.J. Stupak Olympic scholarships (HE Amendments of 1982, section 1543)
- (6) Child care access means parents in school (HEA IV-A-7)
- (7) GPRRA data/HE program evaluation (Department of Education Appropriations Act)
- (8) Underground railroad program (HE Amendments of 1998, VII-H)
- (9) Loan repayment for civil legal assistance attorneys (HEA-IV-B, section 428L)
- (10) College access challenge grant program (HEA VII-E)

Total	D 2,483,134	2,327,149	2,211,493	(115,656)	-5.0%
Discretionary	D 2,082,134	2,247,149	2,131,493	(115,656)	-5.1%
Mandatory	M 401,000	80,000	80,000	0	0.0%
Outlays					---
Discretionary	D 2,240,000	2,475,000	2,384,000	(91,000)	-3.7%
Mandatory	M 200,000	2,071,000	2,159,000	128,000	6.2%
			404,000	165,000	(219,000)
			0	0	0

Higher Education, Recovery Act

1. Teacher quality partnership (HEA, II-A)

Total	D 100,000	0	0	0	---
Outlays	D 0	73,000	18,000	(55,000)	-75.3%
Discretionary	D 2,583,134	2,327,149	2,211,493	(115,656)	-5.0%
Mandatory	M 401,000	2,182,134	2,247,149	(115,656)	-5.1%
			80,000	80,000	0

HIGHER EDUCATION

Summary of Request

The Administration's request for fiscal year 2011 includes \$2.1 billion in discretionary funds for programs in the Higher Education account. The request would maintain support for the majority of Higher Education programs, which were reauthorized in the Higher Education Opportunity Act on August 14, 2008. These programs would continue to complement the Administration's commitment to elementary and secondary education by ensuring that quality postsecondary educational opportunities are available.

The Administration requests a total of \$508.5 million in discretionary funding for Title III for the **Aid for Institutional Development** programs, an overall increase of \$23.8 million, or 4.9 percent, over the fiscal year 2010 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 \$88.2 million, an increase of \$4.2 million for the **Strengthening Institutions Program**. The Administration is also requesting \$279.9 million, an increase of \$13.3 million for **Strengthening Historically Black Colleges and Universities** (HBCUs); \$64.5 million, an increase of \$3.1 million for **Strengthening Historically Black Graduate Institutions** (HBGIs); and \$11.3 million, an increase of \$540,000 for the **Strengthening Predominantly Black Institutions** program. 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 \$31.7 million, an increase of \$1.5 million for the **Tribally Controlled Colleges and Universities** program; \$15.8 million, an increase of \$754,000 for the **Alaska Native and Native Hawaiian-serving Institutions** program; \$3.8 million, an increase of \$180,000 for the **Native American-serving Nontribal institutions** program; and \$3.8 million, an increase of \$180,000 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 2010 appropriation for the **Minority Science and Engineering Improvement Program** (MSEIP) to help improve science and engineering programs at postsecondary institutions with predominantly minority enrollments. The request provides a 5 percent increase over the 2010 appropriation for virtually all of the Title III discretionary grant programs except MSEIP.

The Administration requests \$123.3 million in discretionary funding for **Developing Hispanic-serving Institutions** (HSIs), an increase of \$5.9 million or 5 percent, over the 2010 appropriation. In addition, the request includes \$10.5 million, the same as the 2010 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.

HIGHER EDUCATION

The Administration requests \$125.9 million for the **International Education and Foreign Language Studies** (IEFLS) programs, the same as the 2010 appropriation. The 14 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. The request for IEFLS includes \$108.4 million for the **Domestic Programs**, \$15.6 million for the **Overseas Programs**, and \$1.9 million for the **Institute for International Public Policy**.

The Administration's request for the **Federal TRIO Programs and Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)** would maintain discretionary funding at their fiscal year 2010 levels of \$853.1 million and \$323.2 million, respectively. These programs are designed to increase postsecondary access by providing low-income students with the necessary tools to enroll and successfully complete in college. The request of \$853.1 million for the **Federal TRIO programs** includes funding for Student Support Services, Upward Bound, Upward Bound Math and Science, Talent Search, Educational Opportunity Centers, and McNair Postbaccalaureate Achievement. The TRIO programs are the Department'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 Administration also requests \$64 million for the **Fund for the Improvement of Postsecondary Education** for fiscal year 2011 to fund exemplary, locally developed projects that are models for innovative reform and improvement in postsecondary education. To provide students with additional financial resources, the Administration requests \$31 million for **Graduate Assistance in Areas of National Need** (GAANN) and \$9.7 million for **Javits Fellowships** to provide merit-based scholarships and fellowships for graduate students.

The Administration proposes to eliminate funding for a number of programs that either duplicate other programs or have achieved their original purpose. These include **Byrd Honors Scholarships**, **B.J. Stupak Olympic Scholarships**, and the **Underground Railroad Program**.

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 2010 budget request:

- \$57 million for each of the fiscal years 2008 through 2011 to provide assistance to all **TRIO Upward Bound** applicants that did not receive funding in the fiscal year 2007 competition and have an application score above 70.
- \$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.

HIGHER EDUCATION

Aid for institutional development

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

FY 2011 Authorization (\$000s): \$75,000 (Strengthening Predominantly Black Institutions),
Indefinite (all other discretionary), \$11,500 (mandatory)

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
Strengthening Institutions (Part A discretionary)	\$84,000	\$88,200	+\$4,200
Strengthening Tribally Controlled Colleges and Universities (Part A discretionary)	30,169	31,677	+1,508
Strengthening Alaska Native and Native Hawaiian-serving Institutions (Part A discretionary)	15,084	15,838	+754
Strengthening Historically Black Colleges and Universities (Part B discretionary)	266,586	279,915	+13,329
Strengthening Historically Black Graduate Institutions (Part B discretionary)	61,425	64,496	+3,071
Master's Degree Programs at HBCUs and PBIs (Title VIII mandatory)			
Master's Degree Programs at HBCUs	9,000	9,000	0
Master's Degree Programs at PBIs	<u>2,500</u>	<u>2,500</u>	<u>0</u>
Subtotal	11,500	11,500	0
Strengthening Predominantly Black Institutions (Part A discretionary)	10,801	11,341	+540
Strengthening Asian American and Native American Pacific Islander-serving Institutions (Part A discretionary)	3,600	3,780	+180
Strengthening Native American-serving Nontribal Institutions (Part A discretionary)	3,600	3,780	+180
Minority Science and Engineering Improvement Program (Part E discretionary)	<u>9,503</u>	<u>9,503</u>	<u>0</u>
Total	496,268	520,030 ¹	23,762
Discretionary	484,768	508,530	23,762
Mandatory	11,500	11,500	0

¹ The Administration supports the funding for minority-serving institutions included in H.R. 3221 (the House-passed Student Aid and Fiscal Responsibility Act of 2009, now pending in the Senate). If enacted, this bill would provide total funding of \$255 million annually in mandatory funding to eligible minority-serving institutions to support grants to increase persistence and completion rates for students attending these institutions. This funding is reflected in the 2011 President's Budget.

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 technology. 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. Lastly, 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.

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. 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

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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. 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 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.

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

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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.

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 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

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for each eligible institution. If an HBCU receives funding under this program, it cannot receive funding under Part A.

Strengthening Historically Black Graduate Institutions (HBGIs) (Part B, Section 326) authorizes 5-year 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 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 a 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.

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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 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 new 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 will be 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

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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 will be 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 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 their 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

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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), Title V Promoting Postbaccalaureate Opportunities for Hispanic Americans (Section 512), or Title VII Master's Degree Programs for HBCUs and PBIs (Sections 723 and 724) for a fiscal year is not eligible to apply for a grant or receive grant funding under Section 897—Master's Degree Programs for HBCUs and PBIs—for the same fiscal year.

Strengthening Predominantly Black Institutions (PBIs) (Part A, Section 318) authorizes 5-year 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 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

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

Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISI) (Part A, Section 320) authorizes 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 field of instruction of the faculty; 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 student's 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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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.

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 promote 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.

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Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$419,630
2007	419,630
2008	571,458 ¹
2009	588,909 ¹
2010	496,268 ²

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

² Includes \$11,500 thousand in mandatory funds provided under the HEA.

FY 2011 BUDGET REQUEST

The Administration requests \$508.5 million in discretionary funding for the Aid for Institutional Development programs, an increase of \$23.8 million over the 2010 appropriation for discretionary programs. The 2011 request proposes a 5 percent increase over the fiscal year 2010 level for all Title III discretionary grant programs that were funded in fiscal year 2010, except the Minority Science and Engineering Improvement Program. An important strategy in closing the gap 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 problems that threaten their ability to survive. 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 \$88.2 million for the Part A, Section 311 *Strengthening Institutions program*, an increase of \$4.2 million or 5 percent over the 2010 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. This funding level would support 181 non-competing continuation (NCC) grants and would enable the Department to award 41 new individual development grants.
- The request also includes \$31.7 million for the Part A, Section 316 *Strengthening Tribally Controlled Colleges and Universities program*, an increase of \$1.5 million or 5 percent over the 2010 appropriation. There are 32 federally recognized Tribal Colleges and Universities in the United States. 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. These facilities were insufficient, technologically deficient, and unsuited for continued use as academic buildings.

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The total enrollment in TCCUs increased by 24 percent, from 14,100 in fall 2001 to 17,400 in fall 2007. In 2007, some 13,800 students in TCCUs were American Indian/Alaska Native, representing 79 percent of total enrollment. Just over 7 percent of all American Indian/Alaska Native college students were enrolled in TCCUs in 2007. American Indian/Alaska Native college and university enrollment increased at a faster rate between 2001 and 2007 than did American Indian/Alaska Native enrollment at TCCUs generally (20 percent versus 18 percent).

Fiscal year 2009 was the first time funding was allocated to eligible TCCUs according to a statute-driven formula. The Administration is seeking appropriations language similar to the enacted 2010 language that would permit awards amounting to the greater of either an institution's NCC grant or the amount the institution would receive under the new funding formula specified in Section 316(d) of the HEA. Grantees would be required to spend the funds in accordance with the terms of their multi-year grant. This provision would ensure that 15 grantees in fiscal year 2010 and 7 grantees in fiscal year 2011 would receive a formula allocation equal to or greater than their NCC grant. The Department expects to award 32 individual development grants to TCCUs under the formula. No funds would be reserved for construction, however, grantees would be permitted to conduct construction-related activities under their approved individual development grants.

- The request also includes \$15.8 million for Part A, Section 317 *Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH)* program, an increase of \$754,000 or 5 percent over the 2010 appropriation. This funding level would support 12 non-competing continuation grants and will enable the Department to award a number of new individual development grants and renovation grants. Like TCCUs, these institutions are typically located in remote areas not served by other postsecondary educational institutions. Between 1976 and 2007, American Indian/Alaska Native enrollment at institutions of higher education increased from 76,100 students to 190,000 students; and Asian/Pacific Islander enrollment increased from 197,900 to 1.2 million. In 2007, nearly 30,000 students in ANNH-serving institutions were either American Indian/Alaska Native or Asian/Pacific Islander, representing 54 percent of total enrollment at these institutions. (NCES combines Asians and Native Hawaiians or Other Pacific Islanders into one category—Asians/Pacific Islanders—in indicators for which the data were not collected separately or in indicators where it was necessary to increase the sample size required for reporting the two groups.)
- The Administration requests \$279.9 million for the *Strengthening HBCUs program* under Part B, Section 323, an increase of \$13.3 million or 5 percent over the 2010 appropriation. In addition, the Administration requests \$64.5 million for the *Strengthening HBGIs program* under Part B Section 326, an increase of \$3.1 million or 5 percent over the 2010 appropriation. The fiscal year 2011 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 our Nation's colleges and universities, they have produced 18 percent of the African Americans who currently hold undergraduate degrees. HBCUs enroll nearly 11 percent of all African American students in higher education. Figures compiled by the National Center for Education Statistics (NCES) indicate that an estimated 255,150 African American students were enrolled at HBCUs in 2006.

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African American enrollment at institutions of higher education more than doubled between 1976 and 2007 from about 1.03 million students to 2.38 million students. Despite the increases in college enrollment and degree attainment, African American students continue to lag behind their white cohorts in overall educational attainment. In 2006-2007, African Americans earned only 9.6 percent of the bachelor's degrees, 10.3 percent of the master's degrees, and 6.1 percent of PhDs awarded in the United States, though African Americans comprise 13.5 percent of the population. Further, African American student participation in and completion of advanced programs in the physical and natural sciences, engineering, and mathematics continues to be low. African American students need greater access to scientific and technological academic programs at both the undergraduate and graduate levels to address this problem. 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.

- The request includes \$11.3 million for the newly authorized Part A, Section 318 *Predominantly Black Institutions (PBIs)* program, an increase of \$540,000 or 5 percent over the 2010 appropriation. This funding level would support a second year of funding for 21 PBI grantees and fund 1 new grant. PBIs are primarily urban and rural 2-year colleges that serve at least 50 percent low-income or first-generation college students. While HBCUs also serve African-American students, institutions with this designation were established prior to 1964 and are not required to serve students with financial hardship.
- The request includes \$3.8 million in discretionary funds for Part A, Section 320 *Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISI)* program, an increase of \$180,000 or 5 percent over the 2010 appropriation. This funding level would support 5 non-competing continuation grants and 2 new awards for institutions serving AANAPI students. The population of AANAPI is an exceptionally diverse population. Characteristics of the AANAPI population vary according to ethnicity, immigration patterns, historical experiences, and social group issues. While Asian Americans and Pacific Islanders had the highest college graduation rates (i.e., 44 percent) of any group of students in 2000, certain subgroups of Asian Americans and Pacific Islanders have much lower rates of degree attainment. Only 13.8 percent of Pacific Islanders, 13.8 percent of Vietnamese Americans, 5.8 percent of Laotian Americans, 6.1 percent of Cambodian Americans, and less than 5.1 percent of Hmong Americans successfully completed college.
- The request includes \$3.8 million in discretionary funds for Part A, Section 319 *Strengthening Native American-serving, Nontribal Institutions (NASNTI)* program, an increase of \$180,000 or 5 percent over the 2010 appropriation. This funding level would support a second year of funding for 7 NASNTI grantees. 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.

Despite the increases in college enrollment (more than doubled between 2001 and 2007) and degree attainment (bachelor's degree or higher increased 30 percent between 2001 and 2007), American Indian/Alaska Native students continue to lag behind their white cohorts in

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overall educational attainment. In 2006-2007, American Indian/Alaska Natives earned only 0.8 percent of the bachelor's degrees, 0.6 percent of the master's degrees, and 0.4 percent of PhDs awarded in the United States, though American Indian/Alaska Natives comprise 1.6 percent of the population. With increasing enrollment, 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.

- The Administration requests \$9.5 million for *the Minority Science and Engineering Improvement Program*. This proposal 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 2010*, published by the National Science Board, between 1995 and 2007:

- The proportion of science and engineering (S&E) bachelor's degrees awarded to Asians/Pacific Islanders increased from 8 percent to 9 percent; to Black students, from 7 percent to 8 percent; to Hispanic students, from 6 percent to 8 percent; and to American Indian/Alaska Native students, from 0.5 percent to 0.7 percent, although the shares to Black and American Indian/Alaska Native students have remained fairly flat since 2000.
- The proportion of S&E master's degrees awarded to Asians/Pacific Islanders accounted for 8 percent of S&E master's degrees in 2007, up from 6 percent in 1995. Blacks, Hispanics, and American Indian/Alaska Natives also registered gains during this period (from 4 percent to 7 percent for Blacks, from 3 percent to 5 percent for Hispanics, and from 0.3 percent to 0.5 percent for American Indian/Alaska Natives).

In addition, the Administration supports the funding for minority-serving institutions included in H.R. 3221, the Student Aid and Fiscal Responsibility Act of 2009, which was passed by the House and is pending in the Senate. This funding is reflected in the 2011 President's Budget. If enacted, this bill would provide \$255 million annually in mandatory funding to eligible Historically Black Colleges and Universities (including Howard University), Historically Black Graduate Institutions, Hispanic-serving Institutions, Tribal Colleges and Universities, Alaska Native-serving institutions, Native Hawaiian-serving institutions, Predominantly Black Institutions, Asian American and Native American Pacific Islander-serving Institutions, and Native American-serving nontribal institutions. Funds would support grants to increase persistence and completion rates for students attending these institutions.

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Strengthening Institutions:			
Number of new development awards	57 ¹	43	41
Average new development award	\$374	\$415	\$415
Total new development award funding	\$21,307	\$17,830	\$16,995
Number of NCC development awards	158	172	181
Average NCC development award	\$371	\$380	\$389
Total NCC development award funding	\$58,693	\$65,330	\$70,323
Peer review of new award applications	0	\$840	\$882
Total award funding (Section 311)	\$80,000	\$84,000	\$88,200
Total number of awards	215	215	222
Strengthening TCCUs:			
Discretionary funding:			
Number of development awards	21	32	32
Average development award	\$905	\$943	\$990
Total development award funding	\$19,010 ²	\$30,169 ³	\$31,677 ³
Number of NCC development awards	9	0	0
Average NCC development award	\$419	0	0
Total NCC development award funding	\$3,766 ⁴	0	0
Supplemental award (discretionary)	\$382 ⁵	0	0
Mandatory funding:			
Number of new construction awards	5	0	0
Average new construction award	\$991	0	0
Total new construction award funding	\$4,956	0	0

¹ Instead of conducting a new competition in fiscal year 2009, the Department funded down the fiscal year 2008 grant slate to make new awards in fiscal year 2009 because a significant number of high-quality applicants remained on the fiscal year 2008 slate.

² In fiscal year 2009, 21 institutions applied for and received designation as an eligible institution, and submitted data on student enrollments and Indian student counts. These institutions received an award that was equal to the greater of either the amount calculated according to the formula or the amount of their fiscal year 2009 non-competing continuation (NCC) award, if the TCCU was previously awarded a multi-year grant with 2009 continuation costs.

³ In fiscal year 2010 and 2011, it is assumed that 32 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.

⁴ In order to receive an allocation of funds determined by the TCCU formula, an institution must first apply for designation as an eligible institution. In fiscal year 2009, 9 TCCUs failed to apply for such designation and were subsequently awarded funding equal to their 2009 NCC award previously approved in their original grant agreement. Three out of the 9 failed to submit data on student enrollments and Indian student counts.

⁵ Due to limited funds available in fiscal year 2008, Little Priest Tribal College's 1-year construction grant was reduced by \$381,827. In fiscal year 2009, this amount was awarded as a supplement using fiscal year 2009 funds.

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Strengthening TCCUs (cont'd):			
Number of NCC construction awards	13	0	0
Average NCC construction award	\$1,924	0	0
Total NCC construction award funding	\$25,013	0	0
Peer review of new award applications	\$31	0	0
Total award funding	\$53,158	\$30,169	\$31,677
Discretionary (Section 316)	\$23,158	\$30,169	\$31,677
Mandatory (Section 371)	\$30,000	0	0
Total number of awards	38 ¹	32	32
Strengthening Alaska Native and Native Hawaiian-serving Institutions:			
Discretionary funding:			
Number of new development awards	3	6	4
Average new development award	\$345	\$500	\$500
Total new development award funding	\$1,034	\$3,000	\$2,000
Number of renovation awards	0	11	11
Average renovation award	0	\$741	\$750
Total renovation award funding	0	\$8,151	\$8,250
Number of NCC development awards	16	8	12
Average NCC development award	\$426	\$485	\$461
Total NCC development award funding	\$6,819	\$3,883	\$5,532
Supplemental awards (discretionary)	\$3,099	0	0
Peer review of new award applications	\$3	\$50	\$56
Mandatory funding:			
Number of new renovation awards	4	0	0
Average new renovation award	\$1,921	0	0
Total new renovation award funding	\$7,683	0	0
Number of NCC renovation awards	9	0	0
Average NCC renovation award	\$1,229	0	0
Total NCC renovation award funding	\$11,062	0	0

¹ The total number of awards appears higher than the number of recipients because the total includes both discretionary grants authorized under Title III, Part of the HEA and mandatory grants authorized under Title III, Part F of the HEA.

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PROGRAM OUTPUT MEASURES (\$000s)	<u>2009</u>	<u>2010</u>	<u>2011</u>
Strengthening Alaska Native and Native Hawaiian-serving Institutions (cont'd):			
Peer review of new award applications	\$8	0	0
Supplemental awards (mandatory)	\$2,205	0	0
Total award funding	\$31,913	\$15,084	\$15,838
Discretionary (Section 317)	\$10,955 ¹	\$15,084	\$15,838
Mandatory (Section 371)	\$20,958 ²	0	0
Total number of awards	32 ³	25	27
Strengthening HBCUs:			
Discretionary funding:			
Number of NCC awards	96	96	96
Average NCC award	\$2,480	\$2,777	\$2,916
Total NCC award funding	\$238,095	\$266,586	\$279,915
Mandatory funding:			
Number of NCC awards	96	0	0
Average NCC award	\$885	0	0
Total NCC award funding	\$85,000	0	0
Total award funding	\$323,095	\$266,586	\$279,915
Discretionary (Section 323)	\$238,095	\$266,586	\$279,915
Mandatory (Section 371)	\$85,000	0	0
Total number of awards	192 ⁴	96	96
Strengthening HBGIs:			
Number of new awards	19	0	0
Average new award	\$1,702	0	0
Total new award funding	\$32,335	0	0

¹ Excludes \$624 thousand in unobligated funds transferred to the Career, Technical, and Adult Education account to help support the Adult Education State Grants program. Authority to transfer available funds that would otherwise lapse was provided in Section 804 of the Supplemental Appropriations Act, 2009 (P.L. 111-32).

² Includes \$5,958 thousand that was carried over from fiscal year 2008 pursuant to Title III, Part F, Section 371 of the HEA.

³ The total number of awards appears higher than the number of recipients because the total includes both discretionary grants authorized under Title III, Part A of the HEA and mandatory grants authorized under Title III, Part F of the HEA.

⁴ The total number of awards appears higher than the number of recipients because the total includes both discretionary grants authorized under Title III, Part B of the HEA and mandatory grants authorized under Title III, Part F of the HEA.

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Strengthening HBGIs (cont'd):			
Number of NCC awards	5	24	24
Average NCC award	\$5,233	\$2,559	\$2,687
Total NCC award funding	\$26,165	\$61,425	\$64,496
 Total award funding (Section 326)	 \$58,500	 \$61,425	 \$64,496
Total number of awards	24	24	24
 Master's Degree Programs at HBCUs:			
Mandatory funding:			
Number of new awards	18	0	0
Average new award	\$500	0	0
Total new award funding	\$9,000	0	0
 Number of NCC awards	 0	 18	 18
Average NCC award	0	\$500	\$500
Total NCC award funding	0	\$9,000	\$9,000
 Total award funding	 \$9,000	 \$9,000	 \$9,000
Total number of awards	18	18	18
 Master's Degree Programs at PBIs:			
Mandatory funding:			
Number of new awards	5	0	0
Average new award	\$500	0	0
Total new award funding	\$2,500	0	0
 Number of NCC awards	 0	 5	 5
Average NCC award	0	\$500	\$500
Total NCC award funding	0	\$2,500	\$2,500
 Total award funding	 \$2,500	 \$2,500	 \$2,500
Total number of awards	5	5	5
 Total Master's Degree Programs funding (Section 897)	 \$11,500	 \$11,500	 \$11,500
Total Master's Degree Programs awards	23	23	23

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Strengthening Predominantly Black Institutions:			
Discretionary funding:			
Number of new development awards	0	21	1 ¹
Average new development award	0	\$513	\$540
Total new development award funding	0	\$10,766	\$540
Number of NCC development awards	0	0	21
Average NCC development award	0	0	\$514
Total NCC development award funding	0	0	\$10,801
Peer review of new award applications	0	\$35	0
Mandatory funding:			
Number of new awards	11	0	0
Average new award	\$533	0	0
Total new award funding	\$5,860 ²	0	0
Number of NCC awards	21	0	0
Average NCC award	\$568	0	0
Total NCC award funding	\$11,926	0	0
Peer review of new award applications	\$14	0	0
Total award funding	\$17,800	\$10,801	\$11,341
Discretionary (Section 318)	0	\$10,801	\$11,341
Mandatory (Section 371)	\$17,800	0	0
Total number of awards	32	21	22

Strengthening Asian American and Native American Pacific Islander-serving Institutions:

Discretionary funding:			
Number of new development awards	2	5	2
Average new development award	\$1,163	\$513	\$604
Total new development award funding	\$2,325	\$2,567	\$1,208
Number of NCC development awards	1	1	5
Average NCC development award	\$175	\$1,028	\$513
Total NCC development award funding	\$175	\$1,028	\$2,567

¹ Instead of conducting a new competition in fiscal year 2011, the Department expects to fund down the fiscal year 2010 slate to make one new award, if a high-quality applicant remains on the fiscal year 2010 slate.

² Includes \$2,800 thousand in funds carried over from fiscal year 2008 pursuant to Title III, Part F, Section 371 of the HEA.

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Strengthening Asian American and Native American Pacific Islander-serving Institutions (cont'd):			
Peer review of new award applications	0	\$5	\$5
Mandatory funding:			
Number of NCC development awards	6	0	0
Average NCC development award	\$833	0	0
Total NCC development award funding	\$5,000	0	0
Total award funding	\$7,500	\$3,600	\$3,780
Discretionary (Section 320)	\$2,500	\$3,600	\$3,780
Mandatory (Section 371)	\$5,000	0	0
Total number of awards	9 ¹	6	7
Strengthening Native American-serving Nontribal institutions:			
Discretionary funding:			
Number of new development awards	0	7	0
Average new development award	0	\$510	0
Total new development award funding	0	\$3,570	0
Number of NCC development awards	0	0	7
Average NCC development award	0	0	\$540
Total NCC development award funding	0	0	\$3,780
Peer review of new award applications	0	\$30	0
Mandatory funding:			
Number of NCC development awards	6	0	0
Average NCC development award	\$833	0	0
Total NCC development award funding	\$5,000	0	0
Total award funding	\$5,000	\$3,600	\$3,780
Discretionary (Section 319)	0	\$3,600	\$3,780
Mandatory (Section 371)	\$5,000	0	0
Total number of awards	6	7	7

¹ The total number of awards appears higher than the number of recipients because the total includes both discretionary grants authorized under HEA Title III, Part B and mandatory grants authorized under Title III, Part F.

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Minority Science and Engineering Improvement Program:			
Number of new awards			
	16	22	15
Average new award	\$176	\$181	\$176
Total new award funding	\$2,822	\$3,990	\$2,633
Number of NCC awards			
	38	32	38
Average NCC award	\$149	\$169	\$178
Total NCC award funding	\$5,669	\$5,418	\$6,775
Peer review of new award applications	\$86	\$95	\$95
Total award funding	\$8,577	\$9,503	\$9,503
Total number of awards	54	54	53

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 2011 and future years, and 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: 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
2009		5.1 (4-year change)
2013	6.4	

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Persistence Measure (combined 4-year/2-year): 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 SIP institution.

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	Target			Actual		
	4-year/2-year	4-year	2-year	4-year/2-year	4-year	2-year
2006	68.0			61.0		
2007	68.0			60.0		
2008	68.0			65.0	71.0	61.0
2009	61.0	72.0	61.0	61.0	75.0	59.0
2010	65.0	72.0	62.0			
2011	65.0	72.0	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	Target		Actual	
	4-year	2-year	4-year	2-year
2006	47.0	25.0	49.0	22.0
2007	47.0	26.0	47.0	19.0
2008	48.0	26.0	54.0	21.0
2009	48.5	22.0		
2010	49.5	22.0		
2011	50.0	23.0		

Assessment of progress: 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 NCES/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. 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 measure success for the 5-year grant period 2008-2012 and was developed in late 2008. The enrollment data presented here takes into account student enrollment for the full set of SIP institutions receiving continuation grants.

In the past, the Department combined persistence data for 4-year and 2-year institutions. This combined data threatens the validity of the aggregate measure. The Department recognizes that performance measure levels differ for 4-year and 2-year institutions, and as a result, beginning in fiscal year 2008 separated the persistence measure data for these institutions in

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reporting and analysis. The program met the 2009 target set for student persistence in the aggregate 4-year/2-year institutions persistence measure, although performance declined when compared to the 2008 rate. Persistence at 4-year SIP institutions (75 percent) exceeds the target set for 2009; however, lags behind persistence rates at 4-year public and private schools (78.4 percent). The current performance level for 2-year SIP institutions (59 percent) fell short of the target set for 2009 and is 1 percentage point lower than the rate for all 2-year public and private schools nationally (60.1 percent). The Department has revised targets for the aggregate 4-year/2-year persistence measure and established targets for the separate measures.

Persistence data for 2010 will be available in December 2010.

Performance on the 4-year graduation measure (54 percent) exceeded the target set in 2008. The targets for fiscal year 2010 and beyond will serve to gradually narrow the gap between program and national (57.5 percent) performance. Program performance on the 2-year graduation measure fell short of the program's goal. None of the Title III or Title V programs providing support for 2-year institutions met the graduation targets for 2-year institutions. Graduation data for 2008-2009 will be available in December 2010. Four-year SIP institutions exceeded the persistence and graduation targets set for 2008; the only Title III program to do so.

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 (combined 4-year/2-year): 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 TCCU institution.

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 institution.

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 institution.

Year	Target			Actual		
	4-year/2-year	4-year	2-year	4-year/2-year	4-year	2-year
2006	41.0			44.0		
2007	42.0			42.5		
2008	43.0			55.0	47.0	59.0
2009	44.0			43.0	45.0	46.0
2010	45.0	48.0	50.0			
2011	46.0	49.0	51.0			

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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	Target		Actual	
	4-year	2-year	4-year	2-year
2006	32.0	29.0	36.0	21.0
2007	32.0	29.0	42.0	28.0
2008	32.0	29.0	15.0	27.0
2009	37.0	23.0		
2010	37.0	27.0		
2011	37.0	27.0		

Assessment of progress: 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 NCES/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. 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 measure success for the 5-year grant period 2008-2012 and was developed in late 2008.

In the past, the Department combined persistence data for 4-year and 2-year institutions. This combined data threatens the validity of the aggregate measure. The Department recognizes that performance measure levels differ for 4-year and 2-year institutions, and as a result, beginning in fiscal year 2008, separated the persistence measure data for these institutions in reporting and analysis. Program performance on the persistence measure exceeded the target for the second year in a row in 2008; however, did not meet the target in 2009 in the aggregate 4-year/2-year persistence measure. The Department has revised targets for the aggregate 4-year/2-year persistence measure and established targets for the separate measures. Persistence data for 2010 will be available December 2010.

Persistence rates for 4-year TCCUs (45 percent) currently lag far behind national persistence rates for 4-year public and private schools (78.4 percent). The targets for fiscal year 2010 and beyond are set at levels that will gradually reduce this gap. However, as there are only seven 4-year TCCUs receiving program funding, the national comparison may not necessarily be meaningful. Persistence rates for 2-year TCCUs (46 percent) currently lag behind national persistence rates for 2-year public and private schools (60.1 percent).

Program performance on the 4-year graduation measure exceeded the target set for 2007; however, failed to meet the target set for 2008. Only six 4-year grantees were the basis of the calculation in 2008; the large decrease from 2007 to 2008 can be attributed to 2 institutions that account for much of the undergraduate student total. In addition, the 2-year graduation rate fell short of the target set for 2008. None of the Title III or Title V programs providing support for

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2-year institutions met the graduation targets for 2-year institutions; however, TCCUs is the only program to exceed the national 2-year rate (22.7 percent). Graduation data for 2008-2009 will be available in December 2010. 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	

Persistence Measure (combined 4-year/2-year): 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 ANNH institution.

Year	Target	Actual
	4-year/2-year	4-year/2-year
2006	46.0	62.5
2007	62.0	60.5
2008	62.0	62.7
2009	63.0	69.0
2010	63.0	
2011	64.0	

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	Target		Actual	
	4-year	2-year	4-year	2-year
2006	27.0	16.0	33.0	14.0
2007	28.0	16.0	37.0	13.0
2008	28.0	16.0	43.0	15.0
2009	29.0	16.0		
2010	29.0	16.0		
2011	30.0	16.0		

Assessment of progress: 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 NCES/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. 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

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base year 2003 (13,638). The target for 2013 will be used to measure success for the 5-year grant period 2008-2012 and was developed in late 2008.

Persistence rates for this program are currently measured with an aggregate 4-year/2-year performance measure. Given the very small number of institutions that received grants under this program in 2008, the Department did not split persistence rates between 4-year and 2-year institutions, as it was believed they would generate data lacking any meaning. However, there are more institutions in the data pool in 2009—five 4-year and five 2-year institutions. Program performance in 2009 for the aggregate persistence measure exceeds the target set for 2009. The 2009 persistence rate for 4-year ANNH-serving institutions is 73 percent and 61 percent for the 2-year institutions. As more data become available, the Department expects to measure these rates separately, consistent with the other Aid for Institutional Development programs. Persistence data for 2010 will be available in December 2010.

Program performance on the 4-year graduation measure exceeded the target set in 2008; however, only four 4-year grantees were the basis of the calculation. Program performance on the 2-year graduation measure fell short of the target; however, represents an improvement over the prior year. The 2-year graduation rates in this program are comparable to the 2-year graduation rates in Strengthening HBCUs program. Graduation data for 2008-2009 will be available in December 2010. 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 (combined 4-year/2-year): 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 HBCU.

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	Target			Actual		
	4-year/2-year	4-year	2-year	4-year/2-year	4-year	2-year
2006	65.0			64.0		
2007	66.0			62.0		
2008	66.0			65.0	66.0	56.0
2009	66.0	67.0	56.0	59.0	66.0	52.0
2010	63.0	67.5	56.5			
2011	64.0	68.0	56.5			

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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	Target		Actual	
	4-year	2-year	4-year	2-year
2006	37.0		38.0	
2007	39.0		35.0	13.0
2008	39.0		35.0	15.0
2009	40.0	14.0		
2010	40.0	14.5		
2011	40.0	15.0		

Assessment of progress: 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 NCES/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. 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 measure 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. Achieving this target will require annual increases of slightly more than 1.25 percent.

In the past, the Department combined persistence data for 4-year and 2-year institutions. This combined data threatens the validity of the aggregate measure. The Department recognizes that performance measure levels differ for 4-year and 2-year institutions, and as a result, beginning in fiscal year 2008 separated the persistence measure data for these institutions in reporting and analysis. For the fourth year in a row, the program did not meet the target set for student persistence. Persistence rates at 4-year HBCUs (66 percent) currently lag behind national persistence rates for 4-year public and private schools (78.4 percent). Persistence rates at 2-year HBCUs (52 percent) are currently lower than the national persistence rates for 2-year public and private schools (60.1 percent). However, the aggregate 4-year/2-year persistence rate compares favorably with the rate at Title III SIP institutions. The Department has revised targets for the aggregate 4-year/2-year persistence measure and established targets for the separate measures. Persistence data for 2010 will be available December 2010.

The 2008 graduation rate reported for 4-year institutions failed to meet the target. The target of 40 percent set for the outyears is ambitious given the most recent data, and would seem be narrow the gap between the 4-year HBCU graduation rate and the rate for all public and private 4-year institutions nationally (currently 57.5 percent). The Department added a new 2-year graduation measure since there are twelve 2-year HBCUs. The graduation rate for HBCUs falls short of the national rate of 22.7 percent for 2-year institutions by almost 8 percentage points. Graduation data for 2008-2009 will be available in December 2010. Performance data for these

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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.

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
2006	4,178	4,542
2007	4,498	4,535
2008	4,588	4,335
2009	4,680	
2010	4,774	
2011	4,870	

Assessment of progress: 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 NCES/IPEDS fall enrollment data for all full-time graduate students as the former measure except that the new measure tracks program enrollment at the beginning 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 measure 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.

The number of degrees awarded for 2008 exceeds the target set. Graduation data for 2009 will be available in December 2010. Beginning in 2007, targets for graduation have been changed to reflect the higher than expected levels. 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 in the number of full-time, degree-seeking minority undergraduate students at MSEIP grantee institutions enrolled in the fields of engineering or physical or biological sciences, compared to the average minority enrollment in the same fields in the three-year period immediately prior to the beginning of the current grant.

Year	Target	Actual
2007		4.3
2009	5.0	-7.0
2011	5.0	

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Graduation Measure: The percentage of minority students enrolled at 4-year minority-serving institutions in the fields of engineering or physical or biological sciences who graduate within 6 years of enrollment.

Year	Target	Actual
2006		44.5
2007		50.6
2008		54.8
2009	45.0	
2010	46.0	
2011	46.0	

Assessment of progress: The enrollment percentage change of -7.0 reported for fiscal year 2009 was calculated by comparing the average of enrollment in field in fiscal year 2005 and fiscal year 2007 to enrollment in field in fiscal year 2009. There were no data for fiscal year 2008 and no data will be available for fiscal year 2010 because enrollment data by field of study is provided only biennially in IPEDS. Data for fiscal year 2011 will be available in September 2012.

The Department proposes to delete the persistence measure for MSEIP of the percentage of full-time degree-seeking undergraduate minority 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 in the fields of engineering or physical or biological sciences. Data are not available in IPEDS because there is no national data collection for persistence by field of study. The Department had intended to revise the MSEIP annual performance report (APR) to collect this information. The persistence measure was based on an assumption that MSEIP would have its own APR in the future. However, current plans are to use the Title III Aid for Institutional Development Programs APR for MSEIP. Although there is room for some individual program tailoring under this umbrella APR, we believe it would not be cost effective to require MSEIP grantees to collect persistence data by field of study.

The completion rate uses 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, fiscal year 2006 data serves as the baseline for graduation and was used to set the target for fiscal year 2009. The fiscal year 2008 4-year completion rate was calculated using data generated from 39 IPEDS CIP codes (covering 15 major fields of study) selected by the Department relevant to this program and enrollment data from IPEDS in 4 basic fields of study—math, engineering, biological sciences, and physical sciences. The total number of first or second majors awarded at 4-year MSEIP-grantee institutions in fields of study consistent with the 39 CIP codes (8,271) was divided by the total fall 2003 enrollment in the 4 basic IPEDS enrollment fields of study at 4-year MSEIP-grantee institutions (15,103). The Department has decided not to report on 2-year graduation for MSEIP, as the number of 2-year institutions among current and recent years' program grantees is too small to generate a meaningful rate.

Similar measures—enrollment, persistence, and graduation—have also been established for the Asian American and Native American Pacific Islander-serving Institutions (AANAPISI) program, the Native American-serving Nontribal institutions (NASNTI) program, and the Predominantly

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Black Institutions (PBIs) program. Targets for these measures will be developed as soon as baseline data become available. More specifically, the effectiveness of these programs will be measured as follows:

- The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduate students enrolled at grantee institutions;
- 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 grantee institution;
- The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year grantee institutions who graduate within 6 years of enrollment; and
- The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year grantee institutions who graduate within 3 years of enrollment.

No program performance-related information is available for Master's Degree Programs for HBCUs and PBIs at this time. However, the Department has developed program performance measures of enrollment, completion, and time to degree for this program. 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. Targets for these measures will be developed as soon as baseline data become available. Performance data for these measures will be derived from annual performance reports from program grantees.

Efficiency Measures

The Department developed a common efficiency measure for the Aid for Institutional Development programs. The measure examines the cost per successful program outcome, which for these programs is defined as a student who obtains an undergraduate or graduate degree.

Measure: Cost per successful outcome: Federal cost per undergraduate and graduate degree at SIP institutions.		
Year	Target	Actual
2006		\$491
2007		341
2008		448
2009	\$350	
2010	350	
2011	350	

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Measure: Cost per successful outcome: Federal cost per undergraduate degree at Tribally Controlled Colleges and Universities.

Year	Target	Actual
2006		\$12,665
2007		13,546
2008		30,238
2009	\$12,500	
2010	12,500	
2011	12,500	

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

Year	Target	Actual
2006		\$2,831
2007		2,772
2008		3,394
2009	\$2,775	
2010	2,775	
2011	2,775	

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

Year	Target	Actual
2006		\$5,337
2007		5,425
2008		7,218
2009	\$5,400	
2010	5,400	
2011	5,400	

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

2006		\$12,571
2007		12,771
2008		13,126
2009	\$12,700	
2010	12,700	
2011	12,700	

Assessment of progress: These measures are calculated as the appropriation for the program divided by the number of undergraduate and graduate degrees awarded. The average cost per successful outcome for the Strengthening TCCUs program is higher, in part, because Congress has provided relatively more funds per student for this program in order to address significant infrastructure needs at these schools. The efficiency measure data, along with data for other performance measures, will be used as part of grantee-level analyses. The Department completed a grantee-level analysis of the SIP program's 2004-2005 performance data and posted grantee performance data on the Department's website at www.ed.gov/programs/iduestitle3a/performance.html. The Department expects to complete grantee-level analysis for the remaining Title III programs and post it to the Department's

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website during 2010. 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 exemplary practices for improving program performance outcomes. Targets for these programs were developed in November 2008. A similar efficiency measure has been established for the Developing HSIs program and for Howard University. In addition, a similar efficiency measure will be established for Asian American and Native American Pacific Islander-serving institutions, Native American-serving Nontribal institutions, and Predominantly Black Institutions. This metric may enable the Department to assess program performance across institutions with similar types of missions.

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 become available.

Other Performance Information

The Department continues to monitor the implementation of the *Assessment of the Financial Health of Institutions Supported by Title III and Title V of the Higher Education Act*. One purpose of the analysis is to determine whether the financial status of the institutions is improving or becoming worse and to identify what factors are related to the financial health of institutions, including whether enrollment, persistence, and graduation—the established measures for the Title III/V programs—are drivers of financial health. In addition, the analysis is expected to show whether the programs authorized by the HEA are positively affecting the institutions' financial health.

The Consolidated Financial Index (CFI) is the measure used to assess the fiscal status of the Title III institutions in this study because it is the most practical and widely understood measure of financial health in higher education. The variables that comprise the CFI are the Primary Reserve Ratio, the Viability Ratio, the Return on Net Assets Ratio, and the Net Income Ratio. The study computed CFI data covering the 6-year period of Title III grants from 1999 through 2004 and included a qualitative component based on site visits and telephone interviews with a sample of grantee institutions. The Department received a much improved draft of the qualitative report for review; however, it provided insufficient background information on the CFI, which was used to identify financially stronger and weaker institutions to include in the qualitative study. Because this contract expired in March 2009, no new requests can be made to complete a study report. Instead, the Department intends to use quantitative (CFI) and qualitative data from the reports already submitted to produce a report to address the study questions.

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

FY 2011 Authorization (\$000s): Indefinite (discretionary); \$11,500 (mandatory)

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
Developing Hispanic-serving Institutions (discretionary) (HEA V-A)	\$117,429	\$123,300	+\$5,871
Promoting Postbaccalaureate Opportunities for Hispanic Americans (discretionary) (HEA V-B)	10,500	10,500	0
Promoting Postbaccalaureate Opportunities for Hispanic Americans (mandatory) (HEA VIII-AA, Section 898)	<u>11,500</u>	<u>11,500</u>	<u>0</u>
Total	139,429	145,300 ¹	+\$5,871
Discretionary	127,929	133,800	+\$5,871
Mandatory	11,500	11,500	0

¹ The Administration supports the funding for minority-serving institutions included in H.R. 3221 (the House-passed Student Aid and Fiscal Responsibility Act of 2009, now pending in the Senate). If enacted, this bill would provide total funding of \$255 million annually in mandatory funding to eligible minority-serving institutions to support grants to increase persistence and completion rates for students attending these institutions. This funding is reflected in the 2011 President's Budget.

PROGRAM DESCRIPTION

The Aid for Hispanic-serving Institutions programs support institutions of higher education (IHEs) enrolling high percentages of Hispanic American students. Grants are given directly to Hispanic-serving Institutions (HSIs) to help improve the educational offerings and financial stability of institutions that educate a disproportionate share of Hispanic Americans. An HSI is defined as an institution that has 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.

Discretionary 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. Cooperative arrangement development grants enable IHEs to combine their resources to better achieve institutional goals. In addition,

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1-year planning grants may be awarded for the preparation of plans and applications for a grant under this program.

When making awards, priority is given to HSIs that work with, or have a cooperative agreement to work with, local educational agencies in reducing Hispanic dropout rates, improving rates of Hispanic academic achievement, and increasing the rates at which Hispanic high school graduates enroll in higher education.

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 capabilities, 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.

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 authorized and appropriated \$11.5 million in mandatory funding for this program for 5 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 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 upon the submission of application.

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

	(\$000s)
2006	\$94,914
2007	94,914
2008	193,256 ¹
2009	204,756 ^{1,2}
2010	139,429 ²

¹ Includes \$100,000 thousand in mandatory funds provided under the Higher Education Act of 1965, as amended by the Higher Education Opportunity Act of 2008.

² Includes \$11,500 thousand in mandatory funds provided under the Higher Education Act of 1965, as amended by the Higher Education Opportunity Act of 2008.

FY 2011 BUDGET REQUEST

The Administration requests \$123.3 million for the Developing Hispanic-serving Institutions program, \$5.9 million more than the 2010 appropriation, and \$10.5 million for the Promoting Postbaccalaureate Opportunities for Hispanic Americans program, level with the 2010 appropriation. In addition, mandatory funding totaling \$11.5 million is provided for the Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA) program under Title VIII, Part AA of the HEA. These mandatory funds are not part of the Department's fiscal year 2011 request.

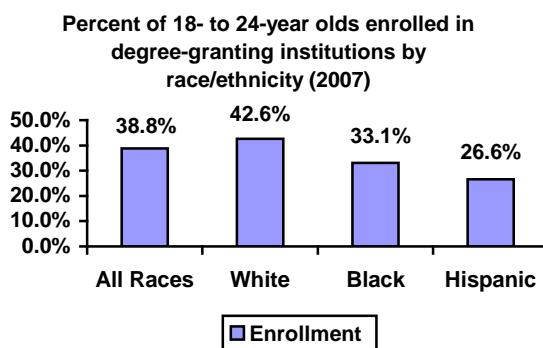
In 1976, about 383,800 Hispanic Americans attended degree-granting institutions of higher education. Since then, Hispanic enrollment has grown steadily and in 2007 reached 2.1 million. Hispanics constitute the largest minority group in the Nation, fully 15.1 percent of the total U.S. population. As of 2007, the United States was home to 45.5 million Hispanic people. 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. This 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 3.5 percent of students enrolled in colleges and universities and 3.7 percent of the undergraduate enrollment; in 2007, they represented 11.4 percent of the total enrollment and 12.3 percent of the undergraduate enrollment. Hispanic enrollment in HSIs accounted for more than half of the total Hispanic enrollment in colleges and universities in 2006.

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While Hispanics have made significant gains in education over the last several decades, their enrollment rates and degree attainment remain lower than those of their non-Hispanic peers. In 2007, only 26.6 percent of all Hispanics in the age group 18-24 years were enrolled in degree-granting institutions, compared to 42.6 percent of all non-Hispanic White peers and 33.1 percent of Black peers (see graph). In 2006-2007, Hispanics earned 7.5 percent of bachelor's degrees, 5.8 percent of master's degrees, and 3.4 percent of PhDs awarded in the United States despite constituting over 15 percent of the total national population.



The 2011 request, combined with the mandatory funding available through Title VIII, Part AA, is intended to help close the achievement gap between HSI and non-HSI students by supporting approximately 36 new Title V awards, 156 non-competing Title V continuation projects at HSIs, and 42 non-competing PPOHA continuation awards.

In addition, the Administration supports the funding for minority-serving institutions included in H.R. 3221, the Student Aid and Fiscal Responsibility Act of 2009, which was passed by the House and is pending in the Senate. This funding is reflected in the 2011 President's Budget. If enacted, this bill would provide \$255 million annually in mandatory funding to eligible Historically Black Colleges and Universities (including Howard University), Historically Black Graduate Institutions, Hispanic-serving Institutions, Tribal Colleges and Universities, Alaska Native-serving institutions, Native Hawaiian-serving institutions, Predominantly Black Institutions, Asian American and Native American Pacific Islander-serving Institutions, and Native American-serving nontribal institutions. Funds would support grants to increase persistence and completion rates for students attending these institutions.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Developing Hispanic-serving Institutions			
Discretionary Funding:			
Individual Development awards:			
Number of new awards	24	45	20
Average new award	\$539	\$624	\$627
Total new award funding	\$12,942	\$28,079	\$12,548
Number of NCC awards	89	91	120
Average NCC award	\$510	\$538	\$575
Total NCC award funding	\$45,354	\$49,002	\$69,000

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Developing Hispanic-serving Institutions			
(cont'd):			
Cooperative Arrangement awards:			
Number of new awards	5	26	16
Average new award	\$683	\$792	\$784
Total new award funding	\$3,413	\$20,600	\$12,547
Number of NCC awards	44	26	36
Average NCC award	\$715	\$714	\$777
Total NCC award funding	\$31,444	\$18,574	\$27,972
Peer review of new award applications	\$103	\$1,174	\$1,233
Total award funding	\$93,256	\$117,429	\$123,300
Total number of awards	162	188	192
HSI STEM and Articulation Programs			
Mandatory funding:			
Number of NCC awards	100	0	0
Average NCC award	\$1,000	0	0
Total NCC award funding	\$100,000	0	0
Total award funding	\$100,000	0	0
Total number of awards	100	0	0
Promoting Postbaccalaureate Opportunities for Hispanic Americans			
Discretionary funding:			
Number of new awards	0	20	0
Average new award	0	\$520	0
Total new award funding	0	\$10,395	0
Number of NCC awards	0	0	20
Average NCC award	0	0	\$525
Total NCC award funding	0	0	\$10,500
Peer review of new award applications	0	\$105	0
Total award funding	0	\$10,500	\$10,500
Total number of awards	0	20	20

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Promoting Postbaccalaureate Opportunities for Hispanic Americans (cont'd):			
Mandatory funding:			
Number of new awards	22	0	0
Average new award	\$518	0	0
Total new award funding	\$11,397	0	0
Number of NCC awards	0	22	22
Average NCC award	0	\$523	\$523
Total NCC award funding	0	\$11,500	\$11,500
Peer review of new award applications	\$103	0	0
Total award funding	\$11,500	\$11,500	\$11,500
Total number of awards	22	22	22
Total PPOHA award funding	\$11,500	\$22,000	\$22,000
Total number of PPOHA awards	22	42	42
Total HSI award funding	\$204,756	\$139,429	\$145,300
Discretionary	\$93,256	\$127,929	\$133,800
Mandatory	\$111,500	\$11,500	\$11,500
Total number of HSI awards	284	230	234

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 2011 and future years, and 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.

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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	

Persistence Measure (combined 4-year/2-year): 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 HSI.

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	Target			Actual		
	4-year/2-year	4-year	2-year	4-year/2-year	4-year	2-year
2006	67			64		
2007	68			64		
2008	68			69	77	63
2009	68			65	75	67
2010	69	78	64			
2011	69	78	64			

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	Target		Actual	
	4-year	2-year	4-year	2-year
2006	34	36	35	21
2007	37	22	44	16
2008	37	22	42	20
2009	44	22		
2010	45	22		
2011	45	22		

Assessment of progress: 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 TCCUs in the base year 2003 (773,859). The target of 11 percent for 2013 will be used to measure success for the 5-year grant period 2008-2012 and was developed in late 2008.

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Persistence at 2-year and 4-year institutions will now be measured separately, with corresponding targets, as it is for several Title III programs. HSIs are outperforming most Title III institutions, with a 75 percent 4-year persistence rate and a 67 percent 2-year persistence rate, as compared to 45 percent and 46 percent for Tribally Controlled Colleges and Universities, 66 percent and 52 percent for Historically Black Colleges and Universities, and 75 percent and 59 percent for Strengthening Institution Program (SIP) institutions.

Fiscal year 2008 data show that the 4-year graduation target was met, while the 2-year graduation target was not. HSIs are graduating students from 2-year and 4-year institutions at rates similar to those of the Title III institutions. 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	

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

Year	Target	Actual
2013	20	

Assessment of progress: 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

The Department measures cost per successful outcome for the Developing Hispanic-serving Institutions and the Promoting Postbaccalaureate Opportunities for Hispanic Americans programs.

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

Year	Target	Actual
2006		\$962
2007		929
2008		1,230
2009	\$950	
2010	950	
2011	950	

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		\$629
2010	\$2,215	
2011	2,215	

Assessment of progress: 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 2011. While fiscal year 2008 data show a marked decrease in efficiency from the prior two years, the Department does not plan to adjust targets in fiscal year 2010. 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. 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. The Department plans to adjust targets in 2010 since the actual 2009 data suggest the Department overestimated the cost of a successful outcome at participating institutions.

The HSI STEM and Articulation program was funded by the College Cost Reduction and Access Act (CCRAA), which expired at the end of fiscal year 2009. Because funding was made available for only 2 years, the Department did not establish any performance measures for this program.

Other Performance Information

The Department continues to monitor the implementation of the *Assessment of the Financial Health of Institutions Supported by Title III and Title V of the Higher Education Act*. One

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purpose of the analysis is to determine whether the financial status of the institutions is improving or becoming worse and to identify what factors are related to the financial health of institutions, including whether enrollment, persistence, and graduation—the established measures for the Title III/V programs—are drivers of financial health. In addition, the analysis is expected to show whether the programs authorized by the HEA are positively affecting the institutions' financial health.

The Consolidated Financial Index (CFI) is the measure used to assess the fiscal status of the Title III institutions in this study because it is the most practical and widely understood measure of financial health in higher education. The variables that comprise the CFI are the Primary Reserve Ratio, the Viability Ratio, the Return on Net Assets Ratio, and the Net Income Ratio. The study computed CFI data covering the 6-year period of Title III grants from 1999 through 2004 and included a qualitative component based on site visits and telephone interviews with a sample of grantee institutions. The last draft of the qualitative report the Department received for review provided insufficient background information on the CFI, which was used to identify financially stronger and weaker institutions to include in the qualitative study. Because this contract expired in March 2009, no new requests can be made to complete a study report. Instead, the Department intends to use quantitative (CFI) and qualitative data from the reports already submitted to produce a report to address the study questions.

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

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

<u>2010</u>	<u>2011</u>	<u>Change</u>
\$108,360	\$108,360	0

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.

Discretionary grants and contracts are awarded for nine Domestic Programs supporting a broad range of activities. Grants are awarded to support centers, programs, and fellowships in institutions of higher education in order to produce increased numbers of trained personnel and research in foreign languages and in area and international studies, as well as to develop a pool of international experts to meet national needs. 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 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.

Program legislation requires that institutions that receive funding under Title VI and that meet the following criteria must report to the Department, as consistent 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

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corporation or foundation during any fiscal year that 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 government service in areas of national need, as well as in areas of need in the education, business, and nonprofit sectors.

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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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Business and International Education (BIE) Projects support IHEs in designing 2-year projects both to enhance international academic programs and to promote linkages between the IHEs and the international business community engaged in international economic activity. Eligible activities include but are not limited to: improving the business and international education curriculum of institutions to serve the needs of the business community, including the development of new programs for mid-career or part-time students; developing programs to inform the public of increasing international economic interdependence and the role of U.S. businesses within the international economic system; internationalizing curricula at the junior and community college level and at undergraduate and graduate schools of business; developing area studies and interdisciplinary international programs; establishing export education programs; conducting research and develop specialized teaching materials appropriate to business-oriented students; establishing student and faculty fellowships and internships or other training or research opportunities; creating opportunities for business and professional faculty to strengthen international skills; developing research programs on issues of common interest to IHEs and private sector organizations and associations engaged in or promoting international economic activity; establishing internships overseas to enable foreign language students to develop their foreign language skills and knowledge of foreign cultures and societies; establishing links overseas with IHEs and organizations that contribute to the educational objectives of the BIE program; and establishing summer institutes in international business, foreign areas, and other international studies designed to carry out the purposes of the BIE program.

Each application must include an assurance that, where applicable, the activities funded will reflect diverse perspectives and a wide range of views on world regions and international affairs. The Federal share of the projects cannot exceed 50 percent of the total cost.

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

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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.

Technological Innovation and Cooperation for Foreign Information Access supports IHEs, public or nonprofit private libraries, or a partnership of an IHE and one or more IHE, library or nonprofit educational organization in developing innovative techniques or programs using electronic technologies to collect, organize, preserve, and widely disseminate information from foreign sources on world regions that address our Nation's teaching and research needs in international education and foreign languages.

Grants may be used to acquire, facilitate access to, or preserve foreign information resources in print or electronic forms; develop new means of immediate, full-text document delivery for information and scholarship from abroad; develop new means of or standards for shared electronic access to international data; support collaborative projects for indexing, cataloging, and providing other means of bibliographic access for scholars to important research materials published or distributed outside the United States; develop methods for the wide dissemination of resources written in non-Roman language alphabets; assist teachers of less commonly taught languages in acquiring, via electronic and other means, materials suitable for classroom use; promote collaborative technology-based projects in foreign languages, area studies, and international studies among grant recipients under Title VI; and creation of linkages to facilitate carrying out activities between the institutions receiving grants and other institutions of higher education, nonprofit educational organizations, and libraries overseas. The Federal share of the projects cannot exceed two-thirds of the total cost. Awards are made for 4 years.

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Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$91,541
2007	91,541
2008	93,941
2009	102,335
2010	108,360

FY 2011 BUDGET REQUEST

The Administration requests a total of \$108.4 million for the Domestic Programs, the same as the 2010 appropriation. 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.

Continued funding for the Domestic programs addresses the urgent need to strengthen instruction in foreign languages and related area studies that are less commonly taught, especially for the purposes of national security readiness. The Domestic Programs focus their resources on those areas of the world often neglected in the curricula of institutions of higher education and the foreign languages that are spoken in those world areas. Today, these programs support the teaching of 130-140 foreign languages and training in a great variety of disciplines focused on the regions where these languages are spoken. Among these languages are: Arabic, Amharic, Zulu, Armenian, Serbo-Croatian, Tajik, Turkish, Urdu, Uzbek, and Persian/Dari. Current and former participants in the Domestic Programs and their employing institutions are important sources of interdisciplinary expertise in areas critical to the national interest. These critical world areas include Central Asia, South Asia, the Middle East, East Asia, Southeast Asia, East Europe and Eurasia, Africa, and Latin America.

The request for the Domestic Programs recognizes that a strong Federal commitment to leadership in international education is essential for American success in an increasingly internationalized economy. Through the International Education and Foreign Language Studies (IEFLS) business programs, IHEs are linked with businesses in a mutually beneficial relationship that fosters our Nation's economic strength. There were 31 Centers for International Business Education (CIBEs) throughout the United States in fiscal year 2009 and 2 additional CIBEs would be supported in fiscal year 2010. The fiscal year 2011 funding level would provide continued support for 33 CIBEs throughout the United States.

IEFLS programs provide "seed money" that is matched by institutions, associations, and private sector firms. Federal funding provided by the IEFLS programs leverages a large amount of non-Federal funding. Thus, the Administration is able to have a more substantial impact on the field of international education for its investment of taxpayer dollars. Since some of the

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IEFLS programs focus on training teachers, they also create a significant educational “ripple effect.” Each teacher or faculty member trained under an IEFLS program takes the experience back to the classroom, in training the next generation of language and area studies experts.

In fiscal year 2010, the Department announced the following priorities for its grant competitions:

- Undergraduate International Studies and Foreign Language Program:

Competitive preference priorities for applications that: (a) require entering students to have successfully completed at least 2 years of secondary school foreign language instruction; (b) require each graduating student to earn 2 years of postsecondary credit in a foreign language or to have demonstrated equivalent competence in the foreign language; or (c) in the case of a 2-year degree granting institution, offer 2 years of postsecondary credit in a foreign language.

Invitational priorities for applications that propose: (1) through collaborative efforts between colleges, departments, or schools of education and other colleges, departments, or schools of education within a single higher education institution or consortium of higher education institutions, projects that will strengthen instruction in foreign languages and international studies in teacher education programs that provide pre-service training for K-12 teachers in foreign languages and international studies; and (2) programs or activities primarily focused on language instruction or applications that propose the development of area or international studies programs to include language instruction on any of the 78 priority languages that were selected from the Department of Education’s list of LCTLs indicated on the previous page.

- Business and International Education Projects:

Competitive preference priorities for applications that propose projects (1) that provide innovation and improvement of international education curricula to serve the needs of the business community, including the development of new programs for nontraditional, mid-career, or part-time students; and (2) to internationalize curricula at junior and community colleges, and at undergraduate and graduate schools of business.

Invitational priority for applications that focus on language instruction in any of the 78 priority languages that were selected from the Department of Education’s list of LCTLs indicated on the previous page.

- International Research and Studies Program:

Competitive preferences priorities for (1) the development of specialized instructional or assessment materials focused on any of the 78 priority languages that were selected from the Department of Education’s list of LCTLs indicated on the previous page; and (2) research, surveys, or studies relating to current needs for improving internationalization (including foreign language instruction, area studies, and international studies) in Historically Black Colleges and Universities, Predominantly Black Institutions, Hispanic-serving Institutions, Tribally Controlled Colleges and Universities, Asian American and Native

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American Pacific Islander-serving Institutions, Native American-serving Nontribal Institutions, or Alaskan Native and/or Native Hawaiian institutions (as defined in Title III and Title V of the Higher Education Act of 1965, as amended).

- Centers for International Business Education Program:

Invitational priorities for applications that propose programs or activities focused on (1) language instruction or performance testing and assessment for any of the 78 priority languages that were selected from the Department of Education's list of LCTLs indicated on the previous page; and (2) outreach activities or consortia with business programs located at other institutions of higher education (including those that are eligible to receive assistance under part A or B of Title III or under Title V) for the purpose of providing expertise regarding the internationalization of such programs, such as assistance in research, curriculum development, faculty development, or educational exchange programs.

Grants awarded under these competitions would continue in fiscal year 2011. The Department has not yet announced priorities for the other 2010 competitions, including the National Resource Centers, Foreign Language and Area Studies Fellowships, and Language Resource Centers.

In fiscal year 2011, \$7.9 million, or 7.3 percent, of the budget request for the Domestic Programs will be used to conduct competitions for new awards in the following programs: Undergraduate International Studies and Foreign Language, International Research and Studies, Business and International Education, and American Overseas Research Centers.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
National Resource Centers:			
Number of new awards	0	126	0
Average new award	0	\$268	0
Total new award funding	0	\$33,811	0
Number of NCC awards	125	1	126
Average NCC award	\$261	\$230	\$270
Total NCC award funding	\$32,583	\$230	\$34,041
Total award funding	\$32,583	\$34,041	\$34,041
Total number of awards	125	127	126

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PROGRAM OUTPUT MEASURES (\$000s)

	2009	2010	2011
Foreign Language and Area Studies			
Fellowships:			
Academic year graduate fellowships	1,007	800	800
Average academic year fellowship	\$27	\$33	\$33
Academic year undergraduate fellowships	0	150	150
Average academic year fellowship	0	\$15	\$15
Summer fellowships	909	900	900
Average summer year fellowship	\$7	\$8	\$8
Number of new awards	0	126	0
Average new awards	0	\$281	0
Total new award funding	0	\$35,400	0
Number of NCC awards	124	0	126
Average NCC award	\$267	0	\$281
Total NCC award funding	\$33,097	0	\$35,400
Total award funding	\$33,097	\$35,400	\$35,400
Total number of awards	124	126	126
Undergraduate International Studies and Foreign Language Program:			
Number of new awards	30	23	27
Average new award	\$86	\$86	\$88
Total new award funding	\$2,565	\$1,982	\$2,384
Number of NCC awards	24	30	25
Average NCC award	\$86	\$88	\$90
Total NCC award funding	\$2,069	\$2,652	\$2,250
Total award funding	\$4,634	\$4,634	\$4,634
Total number of awards	54	53	52

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
International Research and Studies:			
Number of new awards	22	8	14
Average new award	\$158	\$156	\$168
Total new award funding	\$3,481	\$1,248	\$2,354
Number of NCC awards	22	33	28
Average NCC award	\$140	\$159	\$148
Total NCC award funding	\$3,089	\$5,261	\$4,155
Total award funding	\$6,570	\$6,509	\$6,509
Total number of awards	44	41	42
Business and International Education Projects:			
Number of new awards	31	23	30
Average new award	\$85	\$85	\$86
Total new award funding	\$2,620	\$1,955	\$2,571
Number of NCC awards	23	30	23
Average NCC award	\$86	\$86	\$85
Total NCC award funding	\$1,972	\$2,571	\$1,955
Total award funding	\$4,592	\$4,526	\$4,526
Total number of awards	54	53	53
Centers for International Business Education:			
Number of new awards	0	33	0
Average new award	0	\$387	0
Total new award funding	0	\$12,757	0
Number of NCC awards	31	0	33
Average NCC award	\$371	0	\$387
Total NCC award funding	\$11,527	0	\$12,757
Total award funding	\$11,527	\$12,757	\$12,757
Total number of awards	31	33	33

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PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Language Resource Centers:			
Number of new awards	0	15	0
Average new award	0	\$335	0
Total new award funding	0	\$5,022	0
Number of NCC awards	15	0	15
Average NCC award	\$335	0	\$335
Total NCC award funding	\$5,022	0	\$5,022
Total award funding	\$5,022	\$5,022	\$5,022
Total number of awards	15	15	15
American Overseas Research Centers:			
Number of new awards	0	0	11
Average new award	0	0	\$109
Total new award funding	0	0	\$1,197
Number of NCC awards	11	11	0
Average NCC award	\$109	\$109	0
Total NCC award funding	\$1,197	\$1,197	0
Total award funding	\$1,197	\$1,197	\$1,197
Total number of awards	11	11	11
Technological Innovation and Cooperation for Foreign Information Access:			
Number of new awards	13	0	0
Average new award	\$162	0	0
Total new award funding	\$2,108	0	0
Number of NCC awards	0	13	13
Average NCC award	0	\$162	\$162
Total NCC award funding	0	\$2,108	\$2,108
Total award funding	\$2,108	\$2,108	\$2,108
Total number of awards	13	13	13

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Program evaluation, national outreach, and information dissemination	\$927	\$1,083	\$1,083
Peer review of new award applications	\$78	\$1,083	\$1,083
Total Domestic funding	\$102,335	\$108,360	\$108,360
Total Domestic awards	471	472	471

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 2011 and future years, and 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: 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.

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
2006
2007
2008
2009
2010
2011
Target
1.20
1.20
1.20
1.20
1.20
1.20
Actual
1.20
1.05

Assessment of progress: 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). The average competency score of FLAS fellowship recipients' rate fell short of the target set for 2007. 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 overall goal for the program.

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International education and foreign language studies: Domestic programs

Grantees are required to submit annual performance reports via the International Resource Information System (IRIS). Data for 2008 will be available in March 2010.

In 2007, the Department developed additional annual and long-term performance measures for the two largest Title VI Domestic programs—National Resource Centers (NRC) and Foreign Language and Area Studies (FLAS) Fellowships. Fiscal year 2008 data will be used to establish a baseline for the new measures and will be available in March 2010. Targets are expected to be set beginning in 2010.

The new NRC measures track the:

- Percentage of less and least commonly taught languages, as defined by the Department of Education, that are taught at our Nation's Title VI NRCs.
- Percentage of priority languages (formerly referred to as critical need languages), as defined by the Department of Education, taught at NRCs. These languages were selected by the Department, in consultation with foreign language professionals representing government agencies, associations, and the academy, from the list of less commonly taught languages as languages for which there is a critical need for instruction in foreign language and area and international studies.
- Percentage of NRC grantees teaching intermediate or advanced courses in priority languages (formerly referred to as critical need languages), as defined by the Department of Education.

The new FLAS measures track the:

- Percentage of FLAS masters' and doctoral graduates who studied priority languages (formerly referred to as critical need languages), as defined by the Department of Education, and
- Percentage of FLAS participants who report that they found employment that utilizes their language and area skills.

In 2007, the Department replaced the prior measure of employment for NRC graduates, which focused on higher education, government, and national security (military) with another measure that will track FLAS participants who report that they found employment that utilizes their language and area skills against established targets. The Department intends to report data by employment sector, as the International Resource Information System (IRIS) tracks placement at the BA, MA, and PhD for the following sectors—elementary/secondary, Federal Government, foreign government, graduate study, higher education, international organizations (in the U.S. and abroad), private sector (profit and non-profit), military service, State and local government, unemployed, and unknown. The Department will make data by employment sector available on its website. Data for these performance measures will be derived from IRIS. The Department expects to compile baseline data and develop targets for these measures by March 2010.

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International education and foreign language studies: Domestic programs

In addition, the Department has developed performance measures for the remaining Domestic programs—UISFL, IRS, BIE, CIBE, LRC, AORC, and TICFIA. Data for these performance measures will be derived from IRIS. Some baseline data are currently available; however, targets have not been established. The new measures track the:

- 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.
- Percentage of critical 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 grant or matching funds in the reporting period.
- Number 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;
- Percentage of scholars who indicated they were "highly satisfied" with the services the grant provided.
- Percentage of projects judged to be successful by the program officer, based on a review of information provided in annual performance reports. The Department developed and implemented a Project Evaluation Profile (PEP) standard tool in IRIS that is used by Department program officers to assess performance reports. 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. Each PEP is placed in the official grant file and is required for all annual and final reports.

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	Actual
2006	1,647	\$17,124
2007	1,434	\$20,313

Assessment of progress: 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 2006 cost per successful outcome of \$17,124 was calculated by dividing the annual funding allocation of \$28,203,500 by the 1,647 fellows; the 2007 cost per successful outcome of \$20,313 was calculated by dividing the annual funding allocation of \$29,129,500 million by the 1,434 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 2008 will be available and the Department expects to establish targets in March 2010.

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

In addition, the Department has established new efficiency measures for the remaining Domestic programs. Some baseline data are currently available; however, targets have not been established. The new efficiency measures track the:

- Cost per high-quality, successfully-completed project; and
- Cost per Master's, including MBA, degree recipient or doctoral graduate employed in business-related fields, including teaching in a business school.

Data for these efficiency measures will be derived from IRIS.

Other Performance Information

The Department has initiated two studies to assess the effectiveness of two of the Title VI programs—National Resource Centers and Language Resource Centers. These studies will assess both the accomplishments of each program as a whole along with those of the individual centers. The results from the studies can be used to monitor the effectiveness of the National Resource Centers program and the Language Resource Centers program in the future. 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;

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International education and foreign language studies: Domestic programs

- 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 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

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International education and foreign language studies: Domestic programs

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.

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.

HIGHER EDUCATION

International education and foreign language studies: Overseas programs (Mutual Educational and Cultural Exchange Act of 1961, Section 102(b)(6))

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$15,576	\$15,576	0

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.

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.

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International education and foreign language studies: Overseas programs

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 improve 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:

	(\$000s)
2006	\$12,610
2007	12,610
2008	13,372
2009	14,709
2010	15,576

FY 2011 BUDGET REQUEST

The Administration requests \$15.6 million for the Overseas Programs, the same as the 2010 level. This request will continue to help meet the increasing need for international expertise by providing postsecondary students and faculty first-hand exposure to the cultures and languages of other countries. The Overseas Programs strengthen American international expertise in world areas and foreign languages that can be tapped into directly as needed for economic, foreign affairs, and defense purposes. More than ever, our country must be aware of other countries and their cultures. The events surrounding the September 2001 terrorist attacks on the United States and the war on terrorism underscore this point. To address this urgent need, in the appropriations language for fiscal years 2002 through 2010, Congress expanded the Overseas Programs by targeting certain world areas and permitting use of funds to serve

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International education and foreign language studies: Overseas programs

individuals in fields outside of teaching, including government, professional fields, and international development. The Administration proposes the same policy for fiscal year 2011.

The IEFLS Overseas Programs have an impact that outweighs the relatively small Federal investment in them. First, the programs provide "seed money" that is matched by institutions, associations, and private sector firms. Evidence seems to suggest that the Federal funding provided by the IEFLS programs leverages a large amount of non-Federal funding, especially for Group Projects Abroad and Special Bilateral Projects. Thus, the program is able to make an important impact on the field of international education for a proportionally small investment of taxpayer dollars. Secondly, because some of these programs focus on training teachers, they create a significant educational "ripple effect." Each teacher or faculty member trained under an IEFLS Overseas Program takes the experience back to the classroom, particularly K-12 teachers who participate in the Group Projects Abroad and Special Bilateral Projects programs.

In the fiscal year 2010 competitions, the Department established an absolute priority to limit awards to projects that 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). In addition, the Department set the following competitive preference priority for all four Overseas programs:

- Projects that focus on any of the seventy-eight (78) priority languages selected from the U.S. Department of Education's list of Less Commonly Taught Languages (LCTLs). These languages are: Akan (Twi-Fante), Albanian, Amharic, Arabic (all dialects), Armenian, Azeri (Azerbaijani), Balochi, Bamanakan (Bamana, Bambara, Mandikan, Mandingo, Maninka, Dyula), Belarusian, Bengali (Bangla), Berber (all languages), Bosnian, Bulgarian, Burmese, Cebuano (Visayan), Chechen, Chinese (Cantonese), Chinese (Gan), Chinese (Mandarin), Chinese (Min), Chinese (Wu), Croatian, Dari, Dinka, Georgian, Gujarati, Hausa, Hebrew (Modern), Hindi, Igbo, Indonesian, Japanese, Javanese, Kannada, Kashmiri, Kazakh, Khmer (Cambodian), Kirghiz, Korean, Kurdish (Kurmanji), Kurdish (Sorani), Lao, Malay (Bahasa Melayu or Malaysian), Malayalam, Marathi, Mongolian, Nepali, Oromo, Panjabi, Pashto, Persian (Farsi), Polish, Portuguese (all varieties), Quechua, Romanian, Russian, Serbian, Sinhala (Sinhalese), Somali, Swahili, Tagalog, Tajik, Tamil, Telugu, Thai, Tibetan, Tigrigna, Turkish, Turkmen, Ukrainian, Urdu, Uyghur/Uigur, Uzbek, Vietnamese, Wolof, Xhosa, Yoruba, and Zulu.

The Group Projects Abroad Program also has the following competitive preference priority: Short-term seminars that develop and improve foreign language and area studies at elementary and secondary schools.

The Department expects to establish similar priorities for the fiscal year 2011 competitions.

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International education and foreign language studies: Overseas programs

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Group Projects Abroad:			
Number of new projects	31	33	33
Average new project	\$80	\$83	\$81
Total new project funding	\$2,484	\$2,730	\$2,673
Number of NCC projects	18	18	18
Average NCC project	\$151	\$149	\$149
Total NCC project funding	\$2,714	\$2,686	\$2,686
Total project funding	\$5,198	\$5,416	\$5,359
Total number of projects	49	51	51
Total number of participants	747	732	732
Faculty Research Abroad:			
Number of new fellows	19	23	23
Average new fellowship	\$74	\$69	\$69
Number of new awards	18	19	19
Average new award	\$78	\$84	\$84
Total new award funding	\$1,399	\$1,587	\$1,587
Doctoral Dissertation Research Abroad:			
Number of new fellows	148	151	151
Average new fellowship	\$37	\$39	\$40
Number of new awards	42	50	51
Average new award	\$129	\$119	\$118
Total new award funding	\$5,438	\$5,941	\$5,998
Seminars Abroad—Special Bilateral Projects:			
Number of new projects	9	8	9
Average new project	\$237	\$259	\$230
Total new project funding	\$2,130	\$2,070	\$2,070
Total number of participants	141	121	144
Department of State administrative costs	\$250	\$250	\$250
Program evaluation, national outreach, and information dissemination	\$147	\$156	\$156
Peer review of new award applications	\$147	\$156	\$156
Total Overseas funding	\$14,709	\$15,576	\$15,576
Total Overseas participants	1,055	1,027	1,050

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International education and foreign language studies: Overseas programs

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 2011 and future years, and 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 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
2006		0.49
2007	0.75	0.55
2008	0.75	
2009	0.75	
2010	0.56	
2011	0.57	

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
2006	0.38	0.72
2007	0.50	0.54
2008	0.50	
2009	0.50	
2010	0.54	
2011	0.54	

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International education and foreign language studies: Overseas programs

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
2006		1.20
2007	0.50	1.15
2008	0.50	
2009	0.50	
2010	1.10	
2011	1.10	

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
2006		100
2007		100
2008		
2009		
2010	95	
2011	95	

Assessment of progress: In 2008, the Department established new 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 will be 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.

The Department plans to re-evaluate the performance targets for these programs as more performance data become available.

HIGHER EDUCATION

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.

	Doctoral Dissertation Research Abroad		Faculty Research Abroad		Group Projects Abroad	
Year	Target	Actual	Target	Actual	Target	Actual
2007		\$111,122		\$465,000		\$27,968
2008		\$164,174		\$354,512		\$43,519
2009						
2010	\$138,000		\$375,000		\$36,000	
2011	\$138,000		\$375,000		\$36,000	

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

Year	Target	Actual
2007		\$403,387
2008		\$474,788
2009		
2010	\$440,000	
2011	\$440,000	

Assessment of progress: 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, except for the Seminars Abroad—Special Bilateral Projects program, where success is defined as a high-quality, successfully completed seminar. The data used to calculate the efficiency measure come from IRIS. The measure is calculated by dividing the annual funding for the program by the number of program recipients who increase their language competency appropriately. As more data become available, the targets may be revised.

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International education and foreign language studies: Institute for International Public Policy

(Higher Education Act of 1965, Title VI, Part C)

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$1,945	\$1,945	0

PROGRAM DESCRIPTION

The Institute for International Public Policy (Institute) program is intended to enhance the international competitiveness of the United States by increasing the participation of underrepresented populations in international service, including private international voluntary organizations and the foreign service of the United States. A single grant of up to 5 years is awarded competitively to assist a consortium of institutions of higher education in establishing an Institute. A consortium of institutions of higher education consisting of one or more of the following entities is eligible to apply for the grant: Historically Black Colleges and Universities (HBCUs), Hispanic-serving Institutions (HSIs), Tribally Controlled Colleges and Universities (TCCUs), Alaska Native and Native Hawaiian-serving institutions (ANNH), institutions that serve substantial numbers of underrepresented minority students, and institutions with programs to train foreign service professionals. An institutional match equal to 50 percent of the Federal grant is required.

The Institute was established in 1994 with a grant to the United Negro College Fund. The grant was later transferred to the United Negro College Fund Special Programs Corporation, which has administered the Institute for over a decade. The current award is for a 5-year period that ends in 2014.

The Institute may grant summer stipends to low-income students to facilitate their participation in Institute programs. A summer stipend awarded to a student, which is to be used to defray costs of travel, living, and educational expenses, may not exceed \$3,000 per summer. The Institute also may award Ralph Bunche scholarships, given to a full-time student at an institution of higher education who is accepted into a program funded under an Institute program. Scholarships must be used to pay costs related to the cost of attendance, as defined in Section 472 of the Higher Education Act. The scholarship award may not exceed \$5,000 per academic year. The Institute also awards subgrants, on a competitive basis, to HBCUs, HSIs, TCCUs, ANNH-serving, and other institutions serving minority students to support their international service programs.

HIGHER EDUCATION

International education and foreign language studies: Institute for International Public Policy

The Institute supports a variety of activities, including:

- Sophomore Summer Policy Institute and Junior Summer Policy Institute that provide academic preparation for minority students;
- A Junior Year Study Abroad program for students entering their third year of study at institutions of higher education serving significant numbers of minority students. The institution enters into an agreement with the Institute whereby the institution agrees to pay one-third of the cost of each student it nominates for participation in the Study Abroad program;
- A Summer Language Institute for students that consists of an intensive summer language course of study;
- A program leading to an advanced degree in international relations, international affairs, international economics, or other academic areas related to the Institute fellows' career objectives. The Institute may also offer fellowships at the same level of support as those offered by the National Science Foundation. Fellows must agree to enter into international service upon graduation; and
- Agreements with HBCUs, other minority-serving institutions, and institutions with programs in training foreign service professionals, to offer academic year, summer, and postbaccalaureate internships in government agencies or other international organizations.

Students accepted into the Institute's Fellowship program begin with the 7-week Sophomore Summer Policy Institute. After Institute Fellows successfully complete the Sophomore Summer Policy Institute, they participate in the Junior Year Study Abroad component. Through study abroad at accredited institutions, Fellows study for at least 1 semester at approved overseas institutions. Following their junior year abroad, Institute Fellows attend the Junior Summer Policy Institute that includes 7 weeks of intensive, graduate-level work in international relations and foreign policy on such topics as security, development, economics and trade, and statistics. Fellows without previously demonstrated foreign language competency are required to participate in the Summer Language Institute, an intensive language-training program, during the summer following their senior year of college. The Institute's internship component is generally a postbaccalaureate experience, however, an internship can also occur during the junior and/or senior years of college. Occasionally the postbaccalaureate internship can last up to a year, providing valuable job experience that strengthens a Fellow's graduate school applications and bolsters his or her professional credentials.

The Institute also has supported institutional and faculty capacity building activities such as the Globalizing Business Schools program supported through a partnership with the University of Memphis. This partnership allowed the Institute to support the development and modification of international business curricula at Historically Black Colleges and Universities. This collaborative program trained faculty members through seminars and workshops, funded faculty and student study abroad visits, supported international research efforts, assisted in the

HIGHER EDUCATION

International education and foreign language studies: Institute for International Public Policy

development of new undergraduate and graduate level international business courses, and provided support for the creation of new international business minors.

Once every 2 years, the Institute is required to submit a report on the activities of the Institute to the Secretary of Education and the Secretary of State.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$1,600
2007	1,600
2008	1,670
2009	1,837
2010	1,945

FY 2011 BUDGET REQUEST

The Administration requests \$1.9 million for the Institute, the same as the 2010 appropriation. The funds requested would support a sequence of pipeline activities for participating students. The 2011 request would support approximately 113 Institute Fellows and a number of institutional and faculty capacity building activities. The requested level also would enable the Institute to continue to subgrant to HBCUs, HSIs, TCCUs, ANNH-serving, and other institutions serving minority students.

Funding for the Institute addresses the need to increase the number of minorities in foreign policy positions in the U.S. Government. The Institute assists members of underrepresented minority groups to enter the international and foreign service pipeline—resulting in a Federal Government that is more truly representative of its people. Funding for the Institute, which in turn, competitively awards grants to HBCUs, HSIs, TCCUs, ANNH-serving and other institutions serving minority students, also supports a long-standing Federal commitment to these institutions. Now in its 15th year, the Institute has placed more than 300 Fellows in more than 50 countries across the globe to study foreign affairs and global policy.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new awards	1	0	0
Total new award funding	\$1,832	0	0
Number of NCC awards	0	1	1
Total NCC award funding	0	\$1,926	\$1,926
Program evaluation, national outreach, and information dissemination	0	\$19	\$19

HIGHER EDUCATION

International education and foreign language studies: Institute for International Public Policy

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Peer review of new award applications	\$5	0	0
Total award funding	\$1,837	\$1,945	\$1,945
Total number of students	95 ¹	110 ¹	113 ¹
Average cost per student (whole \$)	\$19,337 ²	\$17,682 ²	\$17,212 ²
Fellowship Components			
Sophomore Summer Policy Institute	15	25	25
Average summer stipend	\$1,000	\$1,500	\$1,500
Junior Year Study Abroad ³	19	25	25
Junior Summer Policy Institute	30	15	25
Average summer stipend	\$1,000	\$1,600	\$1,600
Summer Language Institute	6	15	13
Average summer stipend	\$1,000	\$1,700	\$1,700
Postbaccalaureate Internships ⁴	14	10	10
Graduate School Scholarships	11	20	15
Average scholarship	\$15,000	\$15,000	\$15,000
Ralph Bunche Scholarships	0	10	10
Average scholarship	0	\$2,500	\$2,500

¹ Fiscal year 2009 began a new grant cycle for the Institute, which accepted 15 new students from 14 different colleges and universities who will be served alongside of Fellows from prior cohorts. Of the 95 Fellows who received financial support from the Institute in 2009, 22 graduated from their undergraduate programs and 4 Fellows completed graduate school. In each of fiscal years 2010 and 2011, 25 new Fellows are expected to be served.

² Funding supports new and prior year Institute Fellows and capacity-building initiatives.

³ The Institute provides funding for as much as one-half of the total cost of study abroad for Fellows, with the unmet half being covered by a combination of government, institutional aid, and personal family income.

⁴ The fellowship covers the following: up to \$2,000 plus travel cost for unpaid, domestic, semester internships; up to \$4,000 plus travel cost for unpaid, international, semester internships; up to \$3,500 plus travel cost for unpaid, domestic, year internships; up to \$8,000 plus travel cost for unpaid, international, year internships.

HIGHER EDUCATION

International education and foreign language studies: Institute for International Public Policy

PROGRAM PERFORMANCE INFORMATION

Performance Measures

The Department developed two new measures for the program—the percentage of Institute for International Public Policy graduates employed in government or international service and the percentage of Institute for International Public Policy program participants who complete a master's degree within 6 years of enrolling in the program. Baseline data for 2006 will be available in March 2010. Once the Department receives these baseline data, targets will be established to maintain or improve the level of performance for these measures. Data for these measures will be derived from the International Resource Information System (IRIS) performance reporting system.

Efficiency Measures

The efficiency measure for this program is the cost of a successful outcome, where success is defined as program graduates employed in government or international service. The data used to calculate the efficiency measure will be derived from the IRIS. The measure is calculated by dividing the annual appropriation for the program by the number of program graduates who become employed in government or international service within a year of graduation as reported annually by the grantee. Baseline data for 2006 will be available in March 2010.

Other Performance Information

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 recognized that the Title VI/Fulbright-Hays programs have served as a foundation in the internationalization of higher education and should continue to do so. The Council made the following conclusions and recommendations for the Institute for International Public Policy:

- The program appears to have had little effect so far on the number of underrepresented minorities in international service. The Institute's Fellowship Program doesn't reach many students and has significant costs. The Committee concluded that the Institute has enrolled approximately 250 students from 1995-2006, but the grantees can document only 22 students who have entered any kind of government employment and only 16 who work for an international organization.

This information was obtained from a survey conducted by the Institute in 2006 that collected placement data on the first 7 cohorts of the program. There were a number of data limitations, including lack of employment history for 35 percent of the students and

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International education and foreign language studies: Institute for International Public Policy

difficulty interpreting employment data because the employment categories were not well defined in the survey. Participants' employment choices were business, government, international organization, educational organization, non-profit organization, and research organization, with no definitions or instructions on how the categories differed. Of the 141 participants in the first 7 cohorts, employment data were obtained for 93 participants (66 percent) of them. The program could clearly document only 38 placements (27 percent of all participants and 41 percent of those for whom placement data were available) that they would consider a success: 22 participants employed in government and other 16 employed at an international organization. While the Committee admits that this may be an undercount, and collection of data and analysis of job placements of graduates are difficult in general, the program has not yet demonstrated significant results and has few graduates to date and significant costs per fellow.

- The small number of graduates and significant costs per fellow for all components is influenced by the comprehensive design of the program. The Institute should redesign its activities in order to increase graduation rates and facilitate entry in careers in international service. The Federal awareness of what the Institute does is quite low; it might attract more students with a significant interest in international service or the Foreign Service if its profile was raised.

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education (Higher Education Act of 1965, Title VII, Part B)

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$159,403	\$64,036	-\$95,367

PROGRAM DESCRIPTION

The Fund for the Improvement of Postsecondary Education (FIPSE) supports exemplary, locally developed 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, in consultation with the FIPSE Board, the Department determines the competitions and funding priorities that will be announced and sets procedures for awarding grants. Discretionary grants and contracts, typically 3 years in duration, are awarded to institutions of higher education and other public and private nonprofit institutions and agencies.

FIPSE currently supports the following discretionary grant programs:

Comprehensive Program—FIPSE awards the majority of its grants under this program, providing funds for projects to foster a broad range of improvements in postsecondary education. Projects are typically action-oriented, focusing on improvements in practice rather than support for basic research. Each year, the program announces invitational priorities for those areas of reform and improvement that the Administration determines to be most critical. These priority areas are highlighted in workshops and information materials.

International Consortia Programs—These programs include the U.S./European Community (Atlantis) Program, the North American Mobility Program, the U.S./Brazil Program, and the US/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:

	(\$000s)
2006	\$21,989
2007	21,989
2008	120,333 ¹
2009	133,667 ²
2010	159,403 ³

¹Includes \$98,742 thousand for Congressional earmarks.

²Includes \$91,243 thousand for Congressional earmarks.

³Includes \$101,507 thousand for Congressional earmarks.

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education

FY 2011 BUDGET REQUEST

For fiscal year 2011, the Administration requests \$64.0 million for the Fund for the Improvement of Postsecondary Education (FIPSE), a decrease of \$95 million overall but an increase of \$25 million over the amount available in fiscal year 2010 for FIPSE competitive grants. The reduction in the overall request level reflects the elimination of funding for congressionally earmarked projects and programs not authorized under Title VII, Part B of the HEA.

The Comprehensive Program is FIPSE's primary mechanism for supporting innovative projects to reform and improve higher education. The request includes \$20.7 million for new grant awards in the Comprehensive Program, which will support approximately 28 new projects. Performance data suggest that the program is achieving its goals and projects are highly successful at being replicated—i.e., adopted or adapted by others—and institutionalized for continuation beyond grant funding. These are general indicators of the overall value and effectiveness of the FIPSE program.

The request includes \$25 million for a new undergraduate Science, Technology, Engineering, and Mathematics (STEM) initiative to identify and validate more effective approaches for attracting, retaining, and teaching undergraduates in STEM fields that can be brought to scale. The activities supported through this initiative will be part of a coordinated Federal strategy developed in collaboration with the Institute of Education Sciences, the National Science Foundation (NSF), and other Federal agencies. The agencies will:

- Clarify and align evidence standards so that grant recipients understand the type and quality of evidence their projects must generate to be eligible for grants; and
- Identify the innovations that are yielding the most promising evidence of effectiveness—that would merit further Federal investment in replication and validation using rigorous evaluation—to assess their suitability for scale-up.

Applicants would receive funding to develop or implement a change model that has the potential for wide-spread adoption and all grantees would be required to work with an ED-funded evaluator that would ensure that grantees collect appropriate evidence of success. We anticipate that the project would build on the efforts of the NSF Course, Curriculum, and Laboratory Improvement grants and other initiatives to improve the quality of STEM education. At the request level, ED would spend up to \$1 million on the evaluation and up to \$24 million on the first year of 5-year development or implementation grants, including peer review costs. Each development or implementation grantee would be eligible for an additional 3- to 5-year grant to gather data on long-term project sustainability and effectiveness.

The fiscal year 2011 budget request would continue support for FIPSE's international consortia programs, increasing the number of partnerships between U.S. institutions of higher education and institutions in Canada, Mexico, the European Community, Russia, and Brazil. Combined, a total of \$12.4 million would support 155 academic consortia. These programs are designed to foster multilateral and bilateral partnerships so that students have increased opportunities to enhance their education by studying abroad. Members of consortia coordinate curricular areas and allow for the transfer of credits to facilitate on-time degree completion.

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education

The request includes \$4.8 million for the continuation costs for the Special Focus Competition on Innovative Strategies in Community Colleges for Working Adults and Displaced Workers conducted in fiscal year 2009. No funds are needed in 2011 to continue projects funded under 2010 competitions, other than those funded under the international consortia programs. All costs for any multi-year grants will be covered with funds provided in fiscal year 2010.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Comprehensive Program			
Number of new awards	0	36	28
Average new award	0	\$759	\$739
Total new award funding	0	\$27,307	\$20,697
Number of NCC awards	17	0	0
Average NCC award	\$208	0	0
Total NCC award funding	\$3,541	0	0
Total award funding	\$3,541	\$27,307	\$20,697
Total number of awards	17	36	28
U.S./European Community Program			
Number of new awards	25	25	25
Average new award	\$79	\$80	\$80
Total new award funding	\$1,987	\$2,000	\$2,000
Number of NCC awards	28	38	48
Average NCC award	\$100	\$85	\$83
Total NCC award funding	\$2,812	\$3,223	\$3,963
Number of supplements	1	0	0
Average suppl. award	\$43	0	0
Total supplement funding	\$43	0	0
Total award funding	\$4,842	\$5,223	\$5,963
Total number of awards	54	63	73

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Fund for the Improvement of Postsecondary Education

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
North American Mobility Program			
Number of new awards	0	10	10
Average new award	0	\$30	\$30
Total new award funding	0	\$300	\$300
Number of NCC awards	28	19	19
Average NCC award	\$55	\$49	\$55
Total NCC award funding	\$1,528	\$928	\$1,046
Total award funding	\$1,528	\$1,228	\$1,346
Total number of awards	28	29	29
U.S./Brazilian Program			
Number of new awards	11	14	14
Average new award	\$35	\$35	\$35
Total new award funding	\$380	\$490	\$490
Number of NCC awards	33	38	41
Average NCC award	\$64	\$58	\$63
Total NCC award funding	\$2,101	\$2,205	\$2,584
Total award funding	\$2,481	\$2,695	\$3,074
Total number of awards	44	52	55
U.S./Russia Program			
Number of new awards	3	6	6
Average new award	\$109	\$133	\$133
Total new award funding	\$328	\$798	\$798
Number of NCC awards	3	3	9
Average NCC award	\$201	\$131	\$131
Total NCC award funding	\$604	\$393	\$1,175
Total award funding	\$932	\$1,191	\$1,973
Total number of awards	6	9	15

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Undergraduate STEM Initiative			
Number of new awards	0	0	32
Average new award	0	0	\$750
Total new award funding	0	0	\$24,000
 Total evaluation funding	 0	 0	 \$1,000
 Total funding	 0	 0	 \$25,000
 Innovative Strategies in Community Colleges for Working Adults and Displaced Workers (Special Focus Competition)			
Number of new awards	29	0	0
Average new award	\$388	0	0
Total new award funding	\$11,252 ¹	0	0
 Number of NCC awards	 0	 0	 29
Average NCC award	0	0	\$166
Total NCC award funding	0	0	\$4,814
 Total award funding	 \$11,252	 0	 \$4,814
Total number of awards	29	0	29
 Erma Byrd Scholarship Program			
Number of awards	145 ²	217 ³	0
Average award	\$7	\$7	0
Total award funding	\$1,000	\$1,500	0

¹ This amount includes funding for continuation costs for 2010.

² The number of awards includes new awards made in fiscal year 2009 and new and continuation awards made in 2010 with multi-year funds appropriated in fiscal year 2009.

³ The number of awards includes new and continuation awards to be made in fiscal years 2010 and 2011 with multi-year funds appropriated in fiscal year 2010.

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
College Textbook Rental Pilot Initiative			
Number of new awards	0	10	0
Average new award	0	\$990	0
Total new award funding	0	\$9,900	0
Peer review of new award applications	0	\$100	0
Total funding	0	\$10,000	0
Centers of Excellence for Veteran Student Success			
Number of new awards	0	6	0
Average new award	0	\$990	0
Total new award funding	0	\$5,940	0
Peer review of new award applications	0	\$60	0
Total funding	0	\$6,000	0
Training for Realtime Writers			
Number of new awards	0	4	0
Average new award	0	\$248	0
Total new award funding	0	\$990	0
Peer review of new award applications	0	\$10	0
Total funding	0	\$1,000	0
Off-campus Community Service Program			
Total new award funding	0	\$743	0
Peer review of new award applications	0	\$8	0
Total funding	0	\$750	0

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Graduate Programs at Institutions of Higher Education Serving Hispanic Americans (Special Focus Competition)			
Number of new awards	30	0	0
Average new award	\$273	0	0
Total new award funding	\$8,200	0	0
College Course Materials Rental Initiative (Special Focus Competition)			
Number of new awards	30	0	0
Average new award	\$276	0	0
Total new award funding	\$8,274	0	0
Congressional Earmarks:			
Number of awards	330	264	0
Average award	\$276	\$384	0
Total award funding	\$91,053	\$101,507	0
Contracts			
FIPSE Database	\$147	\$400	\$400
Annual Meetings	0	\$200	\$200
Peer review of FIPSE new award applications	\$227	\$402	\$569
Total FIPSE funding	\$133,477 ¹	\$159,403	\$64,036
Total number of awards	713	690	261

¹ Excludes \$190 thousand in unobligated funds transferred to the Career, Technical, and Adult Education account to help support the Adult Education State Grants program. Authority to transfer available funds that would otherwise lapse was provided in Section 804 of the Supplemental Appropriations Act, 2009 (P.L. 111-32).

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

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education

FY 2011 and future years, and 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
2006	90	98
2007	90	96
2008	91	96
2009	91	
2010	92	
2011	92	

Assessment of progress: 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 2008 data demonstrate that the program is successful in achieving its performance goal. It is expected that the 2009 data will be available in spring 2010.

Measure: The percentage of projects reporting institutionalization on their home campuses.		
Year	Target	Actual
2006	91	93
2007	92	94
2008	92	96
2009	93	
2010	93	
2011	94	

Assessment of progress: 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 2008 data demonstrate that the program is successful in achieving its performance goal. It is expected that the 2009 data will be available in spring 2010.

Other Performance Information

No independent review of FIPSE performance has been conducted since 2004 when the American Institute for Research found that FIPSE was successfully achieving its goals. 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.

HIGHER EDUCATION

Demonstration projects to support postsecondary faculty, staff, and administrators in educating students with disabilities

(Higher Education Act of 1965, Title VII, Part D, Subpart 1)

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$6,755	\$6,755	0

PROGRAM DESCRIPTION

The Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrators in Educating Students with Disabilities program supports model projects that enhance the quality of higher education for students with disabilities. This program provides discretionary grants of up to 3 years in duration to institutions of higher education to provide technical assistance and professional development for faculty and administrators.

Projects receiving funds must carry out one or more of the following activities: developing innovative, effective, and efficient teaching methods and strategies; developing means to ensure the successful transition of students with disabilities from secondary to postsecondary education; synthesizing research and information; developing the ability to provide accessible distance programs or classes; providing information, training, and technical assistance to secondary and postsecondary faculty, staff, and administrators with respect to disability-related fields; conducting professional development and training sessions for faculty and administrators from other institutions of higher education; and improving accessibility through curriculum development. In making awards, the Department must ensure that projects are distributed equitably across geographic regions and ensure that the activities supported are developed for a range of types and sizes of institutions of higher education.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$6,875
2007	6,875
2008	6,755
2009	6,755
2010	6,755

FY 2011 BUDGET REQUEST

The Administration requests \$6.8 million for Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrators in Educating Students with Disabilities for fiscal year 2011, the same as the fiscal year 2010 appropriation. All funds would be used for new awards.

HIGHER EDUCATION

Demonstration projects to support postsecondary faculty, staff, and administrators in educating students with disabilities

Research shows that overall, students with disabilities are less likely to enroll in and complete postsecondary degrees than those without disabilities. The *National Longitudinal Transition Study-2* found that approximately 63 percent of students with disabilities had enrolled in some form of postsecondary education 2 years after completing high school, compared with about 72 percent of students without disabilities. Furthermore, the *Beginning Postsecondary Students Longitudinal Study* found that among students enrolled in public 4-year institutions, 33 percent of students with disabilities completed bachelor's degrees, compared with 48 percent of students without disabilities. Census data from the 2006 American Community Survey on the population aged 18 to 34 who are not in school show 22.3 percent of those with disabilities had less than a high school education, as compared to 11.5 percent for individuals without disabilities, and that only 5.6 of the population with disabilities not currently enrolled in school had at least a bachelor's degree, as compared to 24.0 percent of the population without disabilities.

The Demonstration Projects program seeks to address these attainment gaps by developing innovative instructional models designed to assist educators in improving outcomes for students with disabilities. Such projects may include the development of guidance on how best to support transition into higher education, teaching methods and strategies, and strategies for implementing distance education technologies, among others.

These projects focus on promoting and honing methods that incorporate the most current research and respond to the ever-changing needs of the population. The demonstration projects supported in this program may also serve as examples that other institutions of higher education can use to model their own instructional practices.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new awards	0	0	23
Average new award	0	0	\$291
Total new award funding	0	0	\$6,687
Number of NCC awards	23	23	0
Average NCC award	\$294	\$294	0
Total NCC award funding	\$6,755	\$6,755	0
Peer review of new award applications	0	0	\$68
Total program funding	\$6,755	\$6,755	\$6,755

HIGHER EDUCATION

Demonstration projects to support postsecondary faculty, staff, and administrators in educating students with disabilities

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 2011 and future years, and the resources and efforts invested by those served by this program.

Goal: To improve the quality of higher education for students with disabilities.

Objective: *Ensure that faculty and administrators in institutions of higher education increase their capacity to provide a high-quality education to students with disabilities.*

Measure: The percentage of faculty trained through project activities who incorporate elements of their training into their classroom teaching.

Year	Target	Actual
2006		87.3
2007	88.0	
2008	88.5	
2009	89.0	
2010	89.5	
2011	90.0	

Assessment of progress: The program's goal is to improve the quality of postsecondary education for students with disabilities. Progress toward the achievement of this goal is measured through newly developed performance measures. This indicator measures the percentage of faculty trained in project activities that incorporate elements of the training into their classroom teaching. These data are collected by grant recipients and reported in the annual performance reports. Data for fiscal year 2007 are expected in December 2010.

Measure: The difference between the rate at which students with documented disabilities complete courses by faculty trained through project activities and the rate at which other students complete the same courses.

Year	Target	Actual
2006		5.3
2007	5.1	
2008	5.0	
2009	5.0	
2010	5.0	
2011	5.0	

Assessment of progress: The program's goal is to improve the quality of postsecondary education for students with disabilities. This indicator measures that impact by calculating the

HIGHER EDUCATION

Demonstration projects to support postsecondary faculty, staff, and administrators in educating students with disabilities

difference between the rate at which students with documented disabilities complete courses taught by faculty trained in project activities and the rate at which students without documented disabilities complete those same courses. These data are collected by grant recipients and reported in the annual performance reports. Data for fiscal year 2007 are expected in December 2010.

HIGHER EDUCATION

Tribally controlled postsecondary career and technical institutions

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

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$8,162	\$8,162	0

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 the Tribally Controlled College or University 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.

HIGHER EDUCATION

Tribally controlled postsecondary career and technical institutions

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

	(\$000s)
2006	\$7,366
2007	7,366
2008	7,546
2009	7,773
2010	8,162

FY 2011 BUDGET REQUEST

For fiscal year 2011, the Administration requests \$8.2 million for the Tribally Controlled Postsecondary Career and Technical Institutions (TCPCTI) program, the same amount as the 2010 level. The request would provide funding for tribally controlled postsecondary career and technical institutions that receive no funds under either the Tribally Controlled College or University Assistance Act of 1978 or the Navajo Community College Act.

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. According to Navajo Tech and UTTC officials, these institutions 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.

Although the two institutions are very 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 difficulties providing sufficient financial aid to students. In addition, each school serves a number of students who lack preparation for postsecondary school and need academic and support services to help them develop academic and technical skills adequate for postsecondary work.

Program funds, which may be used for institutional support and capital expenditures, may also be used to improve the institutions' academic and career and technical offerings. Both institutions have reported that they are working to upgrade their programs to ensure that those programs are able to provide students with the skills they need to work in a 21st century economy. The two institutions will be engaged in the process of re-accreditation between 2010 and 2011, and both have begun development of 4-year degrees for a limited number of programs.

HIGHER EDUCATION

Tribally controlled postsecondary career and technical institutions

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Range of awards	\$3,677-4,096	\$3,769-4,199	\$3,769-4,199
Number of awards	2	2	2

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 2011 and future years, and the resources and efforts invested by those served by this program.

In 2007, the Department adopted new performance measures for the program in order to align its program objectives with the purpose of the reauthorized Perkins Act. The new measures address student mastery of academic knowledge as measured by the percentage of students who receive degrees, certificates or credentials; student attainment of State-established or program-established industry-validated career and technical skills standards; student retention and completion of postsecondary career and technical education programs; and student placement in jobs, military service, or higher-level continuing education programs. Another measure addresses the availability of programs offering skill competencies, related assessments, and postsecondary industry-recognized skills certificates.

The Department collected baseline data for these 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.

The Department worked with the grantees to help ensure that they collect performance data consistently, but both grantees acknowledged weaknesses in the data on post-program outcomes (such as placement in jobs or continuing education). The grantees 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. At this time, the Department does not validate the data for these indicators, which are obtained from grantee performance reports.

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.*

HIGHER EDUCATION

Tribally controlled postsecondary career and technical institutions

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

	Navajo Technical College		United Tribes Technical College	
Year	Target	Actual	Target	Actual
2008	Baseline	65	Baseline	26
2009	70	70	30	50
2010	75		40	
2011	80		50	

Assessment of progress: The data show that percentage of students who received a degree, certificate, or credential increased from 2008 to 2009 for both Navajo Tech CTE and UTTC. Navajo Tech met its target of 70 percent, and UTTC surpassed its target of 30 percent.

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

	Navajo Technical College		United Tribes Technical College	
Year	Target	Actual	Target	Actual
2008	Baseline	58	Baseline	41
2009	63	73	45	40
2010	70		55	
2011	75		60	

Assessment of progress: The data show that percentage of Navajo Tech students who were retained in, and completed a postsecondary CTE program increased from 2008 to 2009, and that Navajo Tech surpassed its target of 63 percent. The percentage of UTTC students who were retained in, and completed a postsecondary CTE program decreased slightly from 2008 to 2009, and UTTC failed to meet its target of 45 percent.

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

	Navajo Technical College		United Tribes Technical College	
Year	Target	Actual	Target	Actual
2008	Baseline	80	Baseline	67
2009	83	78	70	70
2010	86		75	
2011	88		80	

Assessment of progress: The data show that the percentage of Navajo Tech students who met State-established or program-established industry-validated CTE skill standards decreased slightly from 2008 to 2009, and Navajo Tech failed to meet its target of 83 percent. The percentage of UTTC students who met State-established or program-established industry-validated CTE skill standards increased from 2008 to 2009, and UTTC met its target of 70 percent.

HIGHER EDUCATION

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 services, or higher-level continuing education programs upon graduation or completion of the postsecondary career and technical education programs.				
	Navajo Technical College		United Tribes Technical College	
Year	Target	Actual	Target	Actual
2008	Baseline	22	Baseline	20
2009	32		30	
2010	42		40	
2011	50		50	

The Department requires both Navajo Tech and UTTC to collect placement data at the 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 2009 for this measure will be available in 2010.

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, 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.

The following table shows total costs per participant for fiscal years 2003 through 2007. The 2006 Perkins Act reauthorization changed the procedures for calculating Indian student counts. The old process required the recipients to count the number of full-time Indian students registered as of October 1st, plus the full-time equivalents for part-time students, students enrolled during the preceding summer term, and continuing education students. The new process requires recipients to count the number of credit hours for which Indian students were enrolled during the summer, fall, and spring terms and the number of credit hours for which continuing education Indian students were enrolled, then divide the total number of credit hours by 12 to arrive at the number of full-time equivalent Indian students. The main difference is that the new process counts both the number of students enrolled in the fall and spring terms, instead of just the number of students enrolled in the fall term.

In order to maintain comparability across years, the Department will calculate the cost per participant starting with fiscal year 2006 data by dividing the reported number of full-time equivalent Indian students by two. Data for fiscal year 2009 will be available by the end of calendar year 2010.

HIGHER EDUCATION

Tribally controlled postsecondary career and technical institutions

	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Cost per participant	\$8,297	\$6,782	\$6,453	\$6,659	\$6,460

Note: The validity of the student count data provided by the recipients is unknown. 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)

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$36,668	\$36,668	0

PROGRAM DESCRIPTION

The Special Programs for Migrant Students provide 5-year grants to institutions of higher education (IHEs) and to 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. All 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.

These programs were reauthorized in 2008 under the Higher Education Opportunities Act, which added a provision allowing the Department to reserve up to one half of 1 percent of the funds appropriated for the two programs for outreach, technical assistance, and professional development activities. In addition, under the reauthorization, 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 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.

HIGHER EDUCATION

Special programs for migrant students

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

	<u>HEP</u> (\$000s)	<u>CAMP</u> (\$000s)	<u>Special programs for migrant students</u> (\$000s)
2006	\$18,550	\$15,377	-
2007	18,550	15,377	-
2008	18,226	15,108	-
2009	-	-	\$34,168
2010	-	-	36,668

FY 2011 BUDGET REQUEST

For 2011, the Administration requests a total of \$36.7 million for the Special Programs for Migrant Students, the same amount as the 2010 level. Funds would support grants under the High School Equivalency and College Assistance Migrant programs. HEP provides academic and support services for students who are engaged in, or whose families are engaged in, migrant and seasonal, thus improving HEP participants' prospects for obtaining a high school equivalency certificate and entering postsecondary education. CAMP projects seek to improve participants' prospects for continuing their postsecondary education. The goal of both programs is to improve participants' likelihood of obtaining better employment.

The Department would reserve approximately \$183,000 for outreach, technical assistance, and professional development activities.

Migrant youth are particularly at risk for poor educational, employment, and earnings outcomes. The 2002-03 National Agricultural Workers Survey (NAWS), conducted by the U.S. Department of Labor, found that 87 percent of school-aged migrant workers had dropped out of school in either the U.S. or their country of origin. Of the remaining 13 percent, 10 percent were behind in school, and only 3 percent were in school and performing at grade level. Their poor educational outcomes affect their ability to pursue postsecondary education or obtain skilled work that pays higher wages.

Many migrant youth are sometimes migrant workers themselves as well as dependents of migrant workers. Furthermore, a substantial number of migrant youth are living on their own. According to the NAWS, migrant youth working in farmwork on their own constitute 11 percent of the total farm labor force. Their likelihood of being able to subsist and support themselves for an extended period of time through farmwork, however, is poor. According to the US Department of Agriculture's Economic Research Service (ERS) report, *Profile of Hired Farmworkers, a 2008 Update*, the unemployment rates of farmworkers are double those of all wage and salary workers; hired farmworkers earn less than other workers; and the rate of poverty among farmworkers is more than double that of all wage and salary employees.

HEP and CAMP programs focus on finding and assisting migrant youth who have potential but who have not been able—due to lack of positive role models, lack of outreach on the part of local school authorities, interrupted schooling, or other obstacles—to complete high school or go on to postsecondary education. HEP and CAMP projects emphasize services to out-of-school-

HIGHER EDUCATION

Special programs for migrant students

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 (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Outreach, technical assistance, and professional development	\$171	\$183	\$183
HEP:			
Number of students served (projected)	7,016	7,524	7,866
Number of awards:			
First year	16	13	10
Second year	0	16	13
Third year	4	0	16
Fourth year	11	4	0
Fifth year	<u>10</u>	<u>11</u>	<u>4</u>
Total	41	44	43
Funding:			
New awards	\$7,233	\$6,153	\$5,067
Peer review of new award applications	185	199	199
Continuation awards	11,170	13,596	14,683
Average grant award	453	453	443
Average Federal contribution per student (whole dollars)	\$2,649	\$2,651	\$2,651

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Special programs for migrant students

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
CAMP:			
Number of students served (projected)	1,658	1,794	1,748
Number of awards:			
First year	13	10	6
Second year	0	13	10
Third year	9	0	13
Fourth year	7	9	0
Fifth year	<u>7</u>	<u>7</u>	<u>9</u>
Total	36	39	38
Funding:			
New awards	\$5,364	\$4,602	\$2,581
Peer review of new award applications	154	165	165
Continuation awards	9,891	11,769	13,790
Average grant award	428	424	435
Average Federal contribution per student (whole dollars)	\$9,294	\$9,218	\$9,460

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 2011 and future years, and 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, to begin postsecondary education, enter military service, or obtain employment.

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

HIGHER EDUCATION

Special programs for migrant students

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

Year	Target	Actual
2006	66	63
2007	67	54
2008	68	87
2009	69	
2010	69	
2011	69	

Source: Grantee Performance Reports

Assessment of progress: The 2008 data seem to show a large increase in the percentage of HEP students who received a GED between 2007 and 2008, but preliminary analyses indicate that there was wide variation in the data grantees reported. Grantees used a new annual reporting format and met new requirements for reporting 2008 data; the purpose of the new reporting system was to improve the quality of the data. However, the variation in the data grantees reported for this measure indicates there may be problems in how GED attainment rates were calculated. The Department is reviewing the methods used for calculating the outcomes, and, for that reason, is keeping the target for fiscal year 2010 and 2011 at 69 percent. The Department plans to reset program targets after it has received 2 years of actual performance data from grantees using the new reporting format, which will provide grantees with time and experience in reporting data in a new way and will allow the Department to provide further technical assistance to improve the consistency of the data. Data collected for fiscal year 2009 will be available in spring of 2010.

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, upgraded employment, or the military.

Year	Target	Actual
2006	78	89
2007	79	84
2008	80	67
2009	81	
2010	80	
2011	80	

Source: Grantee Performance Reports.

Assessment of progress: The percentage of HEP participants who received a GED and then entered postsecondary education programs, upgraded employment, or the military decreased between 2007 and 2008, and failed to meet the target of 80 percent. Note that prior to 2008, data for this measure were based on projections rather than data 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, and the new reporting format should improve the consistency and accuracy of the data. The

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Special programs for migrant students

performance data for 2007 (for which only a small group of grantees used the new reporting format) and 2008 (when all grantees started using it) seem to indicate that there was a significant decrease in the percentage of HEP participants who received a GED and then entered postsecondary education programs, upgraded employment, or the military. Based on analysis of the data reported for 2008 and 2009 the Department may reset the target for fiscal year 2011.

Goal: Assist migrant and seasonal farmworker students to successfully complete their first academic year of college and to continue 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
2006	86	86
2007	86	75
2008	86	79
2009	86	
2010	86	
2011	86	

Source: Grantee Performance Reports.

Assessment of progress: The percentage of CAMP participants who successfully completed the first year of their postsecondary program increased between 2007 and 2008, but did not meet the target of 86 percent. Note that, because projects are funded in the fall, after the school year may have already started, data for projects completing their first year of implementation are not included in the data for any given year. 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. Data for 2009 will be available in spring 2010. The Department will examine whether program targets need to be reset once 2009 data are analyzed. CAMP grantees used the new performance data reporting format on a voluntary basis for 2008, and all grantees will be required to use the new format for reporting 2009 data. The Department may reset the target for fiscal year 2011 once it has completed an analysis of the data submitted by recipients.

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

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Special programs for migrant students

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
2006	81	93
2007	82	91
2008	83	91
2009	84	
2010	85	
2011	85	

Source: Grantee Performance Reports.

Assessment of progress: The percentage of CAMP participants who continued their postsecondary education after completing their first year of college remained the same between 2007 and 2008 but surpassed the target of 83 percent. Note that prior to 2008, data for this measure were based on projections rather than data 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, and the new reporting format should improve the consistency and accuracy of the data. Data for 2009 will be available in spring of 2010. The Department will examine whether program targets need to be reset once 2009 data are analyzed. CAMP grantees used the new performance data reporting format on a voluntary basis for 2008 and all grantees will be required to use the new format for reporting 2009 data. The Department may reset the target for fiscal year 2011 once it has completed an analysis of the data submitted by recipients.

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 plans to establish future targets for the efficiency measures upon completion of analyses of differences in costs between commuter and residential HEP and CAMP programs. Data for 2009 will be available in spring of 2010.

Year	HEP	CAMP
	Cost per participant earning a GED	Cost per participant completing first year of postsecondary education and continuing postsecondary education
2005	\$7,223	\$7,804
2006	\$8,814	\$9,506
2007	\$4,830	\$11,195
2008	\$4,821	\$9,305

HIGHER EDUCATION

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

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

<u>2010</u>	<u>2011</u>	<u>Change</u>
\$11,000	\$11,000	0

PROGRAM DESCRIPTION

The Model Transition Programs for Students with Intellectual Disabilities into Higher Education award competitive grants 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 to support: 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 cooperative agreement to establish a Coordinating Center that provides technical assistance, information, and opportunities for communication among institutions with postsecondary programs for students with intellectual disabilities.

FY 2011 BUDGET REQUEST

The Administration requests \$11 million for Model Transition Programs for Students with Intellectual Disabilities into Higher Education for fiscal year 2011, the same as fiscal year 2010. All funds would be used to support continuation awards.

Among youth with disabilities who have left high school, those with mental retardation are among the least likely to have completed a degree (72 percent), and within the group of completers are among the least likely to have graduated with a regular diploma (84 percent). They are also less likely than other students with disabilities to be engaged in school, work, or

HIGHER EDUCATION

Model transition programs for students with intellectual disabilities into higher education

preparation for work shortly after high school (52 percent) (NCES, National Longitudinal Transition Study-2 (NLTS-2), 2005). Students with intellectual disabilities are, therefore, at a disadvantage as they leave secondary education. With no further academic, professional, or life guidance, members of this population are less likely to lead independent lives (NCES, NLTS-2, 2005, 2009). Currently, little is known about which practices are most effective in supporting these students and helping them become contributing and independent members of society. The Model Transition programs will demonstrate new and innovative methods of serving students with intellectual disabilities.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new awards	0	25	0
Average new award	0	\$422	0
Total new award funding	0	\$10,560	0
Number of NCC awards	0	0	25
Average NCC award	0	0	\$427
Total NCC award funding	0	0	\$10,670
Peer review of new award applications	0	\$110	0
Coordinating Center	0	\$330	\$330
Total program funding	0	\$11,000	\$11,000

PROGRAM PERFORMANCE INFORMATION

This is a new program; no performance measures have been established.

HIGHER EDUCATION

Federal TRIO programs

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

FY 2011 Authorization (\$000s): Indefinite¹

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
Discretionary	\$853,089	\$853,089	0
Mandatory	<u>57,000</u> ²	<u>57,000</u> ²	0
Total	910,089	910,089	0

¹The authorization for mandatory funding is \$57,000 thousand and will expire on September 30, 2011.

² Mandatory funds are made available by Section 402C(g) of the Higher Education Act of 1965, as amended. These funds are not part of the Administration's fiscal year 2011 budget request.

PROGRAM DESCRIPTION

The Federal TRIO Programs consist primarily of five discretionary grant programs—Talent Search, Upward Bound, Student Support Services, Educational Opportunity Centers, and McNair Postbaccalaureate Achievement—that fund postsecondary education outreach and student support services designed 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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Federal TRIO programs

Upward Bound provides services to high school students that are designed to generate the skills and motivation needed to pursue and complete a postsecondary education. Projects provide similar services as Talent Search projects, except that 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. The *Upward Bound Math/Science* program establishes mathematics and science centers that encourage students to pursue postsecondary degrees in those fields specifically. The *Veterans Upward Bound* projects are designed to assist veterans in preparing for a program of postsecondary education.

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 or limited English proficiency, homeless students, and students in foster care; and grant aid (not to exceed 20 percent of a project's 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 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 the Upward Bound programs and Student Support Services, which together accounted for over 70 percent of TRIO funding in 2009. The programs vary greatly in the intensity of services, with per participant annual costs ranging from a high for the McNair Postgraduate Achievement program of \$8,696 per participant to a low of \$240 for the Educational Opportunity Centers. The Upward Bound projects, on average, spend approximately \$4,800 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

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Federal TRIO programs

of \$2,368 in 2009. Most projects are located at colleges, although non-profit organizations operate a substantial number of Talent Search and Educational Opportunity Center projects.

Number of Awards, Total Funding, and Award Amounts, FY 2009

Award Type	Number of awards	Funding (in millions)	Average project award	Range in annual grant amount
Talent Search	464	\$141.5	\$304,976	\$220,000 - \$680,000
Upward Bound	779	\$257.4 ¹	\$330,453 ¹	\$250,000 - \$600,000 ¹
Upward Bound Veterans	48	\$14.0	\$291,095	\$250,000 - \$543,000
Upward Bound Math/Science	132	\$35.2	\$266,695	\$250,000 - \$354,000
Upward Bound Earmarks	184 ¹	\$55.6 ¹	\$302,140 ¹	\$250,000 - \$600,000 ¹
Educational Opportunity Centers	124	\$46.8	\$377,664	\$220,000 - \$600,000
Student Support Services	946	\$301.5	\$318,737	\$220,000 - \$600,000
McNair	200	\$47.3	\$236,491	\$220,000 - \$365,000

¹ In 2007, Congress amended the TRIO legislation to provide \$57 million in mandatory funding for awards to unsuccessful Upward Bound applicants for the fiscal year 2007 competition who scored above an average peer review score of 70 out of 115 points.

Number of Awards, Number of Participants, and Cost per Participant, FY 2009

Award Type	Number of participants	Average number of participants per project	Average grantee cost per participant
Talent Search	361,179	778	\$392
Upward Bound	53,531	68	\$4,809
Upward Bound Veterans	5,900	123	\$2,368
Upward Bound Math/Science	7,057	53	\$4,988
Upward Bound Earmarks	11,598	63	\$4,793
Educational Opportunity Centers	194,795	1,571	\$240
Student Support Services	197,439 ¹	209 ¹	\$1,527 ¹
McNair	5,439	27	\$8,696

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

HIGHER EDUCATION

Federal TRIO programs

Percentage of 2009 Funds by Institution Type, for Key Programs

Institution Type	Talent Search	Upward Bound	Educational Opportunity Centers	Student Support Services	McNair
Postsecondary Institutions					
Public, 4-year	38.8	44.5 ¹	40.0	38.5	75.4
Public, 2-year	31.9	28.5 ¹	27.8	46.5	0.0
Private, 4-year	10.2	18.6 ¹	6.2	14.2	24.2
Private, 2-year	0.4	0.5 ¹	0.0	0.8	0.0
Total, Postsecondary	81.3	92.0 ¹	74.0	100.0	99.5
Non-profit organizations	16.0	6.3 ¹	24.6	0.0	0.5
Other	2.7 ²	1.7 ^{1,2}	1.4 ²	0.0 ²	0.0 ²
Total	100.0	100.0	100.0	100.0	100.0

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

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

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

Funding for 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.

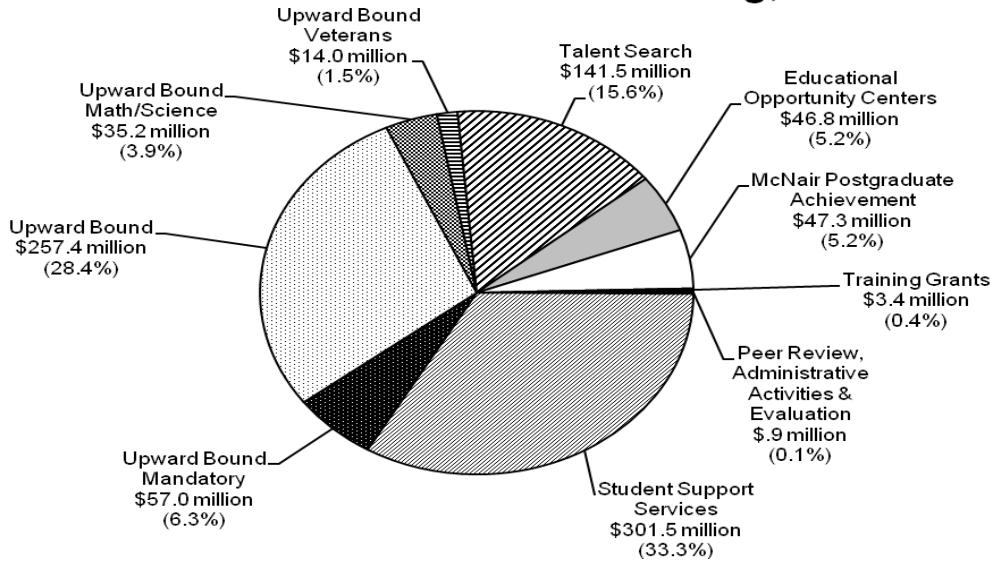
Funding for Evaluation activities help to improve the effectiveness of TRIO programs and projects. The statute requires rigorous evaluation of TRIO programs and projects and requires that the Department undertake an evaluation of the Upward Bound program by June 30, 2010. The evaluation must examine the characteristics of the programs and projects that most benefit students; use of a randomized control trial design is prohibited.

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.

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Distribution of TRIO Funding, FY 2009



In 2007, Congress amended the Higher Education Act to provide \$57 million in mandatory funding for 4-year awards to 186 unsuccessful Upward Bound applicants for the fiscal year 2007 competition who scored above an average peer review score of 70 out of 115 points. This funding is available in 2008 through 2011, and any funds not needed for grants may be used for technical assistance and administration costs for the Upward Bound program.

The Higher Education Opportunity Act of 2008 (HEOA) reauthorized the Higher Education Act and made a number of changes to the programs, including the following:

- All new Talent Search, Upward Bound, Educational Opportunity Centers, Student Support Services, and McNair grant awards will be for 5 years, whereas in the past awards were for 4 years, except for the highest-scoring grantees, which received 5-year awards. The statute also authorized the Department to make one-time, limited extensions to awards, which will help the Department to align the grant periods of awardees that now, because of the differing prior award periods, have different start years.
- The statute mandates that all projects provide certain services to participants, whereas previously the applicants had flexibility in determining which services were provided. In addition, projects now must provide services or connections to services to improve the financial and economic literacy of students or their parents. The statute also explicitly states that projects may provide services specifically designed for students who have disabilities, are limited-English proficient, are homeless, or are in foster care or are aging out of foster care.

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- The Department must submit an annual report to the authorizing committees that documents the performance of all TRIO programs on specific outcome criteria provided in the statute and that provides information on the number of applications that receive a second peer review due to errors in the peer review process.
- The statute rescinded the priority used in the last Upward Bound competition that required projects to ensure that at least 30 percent of the students served by the program have a high need for academic services and that mandated participation in a randomized control trial evaluation.
- The statute requires the Department to conduct evaluations of TRIO programs, but prohibits the use of rigorous evaluation designs by forbidding the use of control groups.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$828,178
2007	828,178
2008	885,178 ¹
2009	905,089 ¹
2010	910,089 ¹

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

FY 2011 BUDGET REQUEST

The Administration is requesting \$853.1 million in discretionary funding for TRIO programs in 2011, the same as the 2010 appropriation. In FY 2011, TRIO will also receive \$57 million in mandatory funding for the Upward Bound program. The TRIO programs are the Department's oldest college preparation and student support programs. Dating back to the 1960s, they have a long history of providing low-income students and students whose parents never completed college with support and preparation to enter and complete postsecondary education programs.

At the request level:

- *Talent Search* would receive approximately \$142.0 million in 2011 to support approximately 464 projects. Approximately \$123.6 million would be used for new awards.
- *Upward Bound (UB)* would receive \$306.9 million in discretionary money to support approximately 958 grants. Included in these figures are:
 - Approximately \$257.8 million to support 778 *regular Upward Bound* projects.
 - Approximately \$13.9 million to support 48 *Veterans Upward Bound* projects, including projects begun in 2009 by high-ranking applicants from the 2007 competition. Veterans Upward Bound projects are designed to assist veterans in preparing for a program of postsecondary education.

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- Approximately \$35.2 million to support 132 *Upward Bound Math/Science (UBMS)* projects. The Upward Bound Math/Science program establishes mathematics and science centers that encourage students to pursue postsecondary degrees in those fields specifically.

In addition, the 2011 mandatory appropriation of \$57 million for Upward Bound will provide support for 178 projects that were not funded in the 2007 competition because they received scores below the cut-off point for new awards, as well as technical assistance, training, and administrative activities.

It is uncertain whether the Department will conduct an Upward Bound grant competition in 2011 as originally planned because it will be conducting competitions for both Talent Search and Educational Opportunity Centers in 2011 (delayed from 2010). The Department may decide to delay the Upward Bound competition until 2012. If the competition is postponed, 2011 Upward Bound funding would be used mostly to support non-competing continuation (NCC) awards for projects that receive one-time grant extensions as authorized under HEOA.

- *Educational Opportunity Centers (EOC)* would receive \$46.8 million in 2011, level with 2010, which would support 124 projects. Approximately \$33.4 million would be used for a new grant competition in 2011.
- *Student Support Services* would receive \$301.0 million in 2011, level with 2010, which would support 983 projects. Approximately \$24.0 million would be used for new awards.
- *McNair Post baccalaureate Achievement* would receive \$47.6 million to support 200 projects helping disadvantaged college students prepare for graduate education, including additional projects begun in 2009 by high-ranking applicants from the 2007 competition. The Department currently plans to conduct a new grant competition in 2011. However, given that new competitions for Talent Search and EOC are also planned for 2011, the Department may choose to delay the McNair competition until 2012. If the competition is postponed, 2011 McNair funding would be used mostly to support NCC awards for projects that receive one-time grant extensions as authorized under HEOA.
- Finally, the budget includes \$3.4 million for *Staff Training*, which would help provide TRIO professionals with the skills necessary to run effective projects; \$1.5 million for *Evaluations*, including a mandated evaluation of Upward Bound; and \$3.9 million to maintain *Administrative support* for the TRIO programs, including support for conducting competitions, peer reviewer honoraria, project monitoring, and the costs of collecting and analyzing grantee performance data.

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PROGRAM OUTPUT MEASURES

	Funding (\$000s)			Number of Awards		
	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>
Talent Search						
New Awards	\$699	\$0	\$123,607	2	0	409
Continuation Awards	<u>140,810</u>	<u>141,954</u>	<u>18,347</u>	<u>462</u>	<u>464</u>	<u>55</u>
<i>Total</i>	<i>141,509</i>	<i>141,954</i>	<i>141,954</i>	<i>464</i>	<i>464</i>	<i>464</i>
Upward Bound						
New Awards	\$12,528	\$1,320	\$165,126 ²	30	4	515
Continuation Awards	<u>244,895</u> ¹	<u>256,511</u> ¹	<u>92,705</u> ¹	<u>749</u> ¹	<u>774</u> ¹	<u>263</u> ¹
<i>Total</i>	<i>257,423</i>	<i>257,831</i>	<i>257,831</i>	<i>779</i>	<i>778</i>	<i>778</i>
Veterans Upward Bound						
New Awards	3,404	0	5,686 ²	12	0	20
Continuation awards	<u>10,569</u>	<u>13,852</u>	<u>8,166</u>	<u>36</u>	<u>48</u>	<u>28</u>
<i>Total</i>	<i>13,973</i>	<i>13,852</i>	<i>13,852</i>	<i>48</i>	<i>48</i>	<i>48</i>
Upward Bound Math-Science						
New Awards	5,193	0	16,246 ²	20	0	60
Continuation awards	<u>30,011</u>	<u>35,230</u>	<u>18,984</u>	<u>112</u>	<u>132</u>	<u>72</u>
<i>Total</i>	<i>35,204</i>	<i>35,230</i>	<i>35,230</i>	<i>132</i>	<i>132</i>	<i>132</i>
Educational Opportunity Centers						
New Awards	2,704	0	33,424	5	0	92
Continuation awards	<u>44,126</u>	<u>46,830</u>	<u>13,406</u>	<u>119</u>	<u>124</u>	<u>32</u>
<i>Total</i>	<i>46,830</i>	<i>46,830</i>	<i>46,830</i>	<i>124</i>	<i>124</i>	<i>124</i>
Student Support Services						
New Awards	0	274,332	24,033	0	906	70
Continuation awards	<u>301,526</u>	<u>26,668</u>	<u>276,967</u>	<u>946</u>	<u>77</u>	<u>913</u>
<i>Total</i>	<i>301,526</i>	<i>301,000</i>	<i>301,000</i>	<i>946</i>	<i>983</i>	<i>983</i>
McNair Post Baccalaureate						
New Awards	4,283	239	21,601 ²	19	1	92
Continuation awards	<u>43,015</u>	<u>47,355</u>	<u>25,993</u>	<u>181</u>	<u>199</u>	<u>108</u>
<i>Total</i>	<i>47,298</i>	<i>47,594</i>	<i>47,594</i>	<i>200</i>	<i>200</i>	<i>200</i>

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PROGRAM OUTPUT MEASURES

	Funding (\$000s)			Number of Awards		
	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>
Staff Training						
New Awards	0	3,425	0	0	8	0
Continuation awards	<u>3,425</u>	<u>0</u>	<u>3,425</u>	<u>8</u>	<u>0</u>	<u>8</u>
<i>Total</i>	<u>3,425</u>	<u>3,425</u>	<u>3,425</u>	<u>8</u>	<u>8</u>	<u>8</u>
Evaluation	0	\$1,500	\$1,500			
Administrative expenses:						
Peer review of new award applications	0	2,200	2,200			
Other expenses	<u>\$901</u>	<u>1,673</u>	<u>1,673</u>			
<i>Total</i>	<u>901</u>	<u>3,873</u>	<u>3,873</u>			
Subtotal, discretionary	848,089	853,089	853,089	2,701	2,737	2,737
Upward Bound Mandatory Funding						
Earmark grant awards	55,594	53,238	53,238	184	178	178
Staff training grants	850	1,300	1,300	2	3	3
Other	<u>556³</u>	<u>2,462³</u>	<u>2,462³</u>	—	—	—
Subtotal, mandatory	57,000	57,000	57,000	186	181	181
Total	905,089	910,089	910,089	2,887	2,918	2,918

¹ Excludes grants supported with mandatory funding.

² If the competitions originally planned for 2011 are delayed, funds would be used to support NCC awards for projects that receive one-time grant extensions as authorized under HEOA.

³ Funds support technical assistance and administration as well as grant supplements to Upward Bound grantees for training activities.

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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 2011 and future years, and the resources and efforts invested by those served by this program.

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		Upward Bound		Ed Opportunity Centers	
	Target	Actual	Target	Actual	Target	Actual
2006	78.5	77.8	65.0	79.0	58.0	58.4
2007	79.0	77.1	65.0	77.4	58.5	54.2
2008	79.0	78.7	70.0		59.0	55.9
2009	79.5		75.0		59.5	
2010	79.5		75.0		60.0	
2011	80.0		76.0		60.5	

Assessment of progress: 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. Note that, for Talent Search and Educational Opportunity Centers, the percentages include only those students who are considered to be ready to apply to college; in Upward Bound, percentages are of those expected to graduate from high school in a given reporting period.

- 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 a high school senior, adults who had graduated from high school 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.) Data for this indicator show that over three-quarters (78.7 percent) of “college ready” Talent Search participants, just short of the goal of 79 percent, enrolled in postsecondary education during the reporting period or the next fall term. The Department has established a long-term target of 80 percent by 2011. The Department revised the definition of “college ready” for 2006-07 reporting to include postsecondary dropouts and potential postsecondary transfers, so data are not strictly comparable to prior years.

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- 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, grantees divide 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 Department exceeded its target of 65 percent for this program in 2007; with more than 3 out of every 4 such participants (77 percent) enrolling in postsecondary institutions. 2008 data is expected in December 2010.
- Data for the Educational Opportunity Centers show that the program met its target of 58 percent for 2006, but that percentage dropped slightly in 2007 and 2008 due, in part, to a refinement in the methodology that broadened the denominator for this measure by explicitly identifying which categories of students must be included in the calculation.

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
2006	27.0	24.6
2007	27.5	25.1
2008	27.5	27.8
2009	28.0	
2010	28.0	
2011	28.5	

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
2006	28.0	33.5
2007	29.0	32.3
2008	29.0	31.9
2009	29.5	
2010	29.5	
2011	30.0	

Assessment of progress: Grantees provide data on college completion in their Annual Performance Reports. During a review of program measures, the Department determined that the previous performance measure for college completion, which tracked the combined completion rates of participants in 2-year and 4-year institutions, should be divided into separate indicators. Based on evaluation data, a long-term target had been previously set at 31 percent for the combined college completion rate of all program participants. Although performance was falling somewhat short of this target, the combined data masked improvement in certain areas; the college completion (or transfer) rate at 2-year institutions is lower than that at 4-year institutions, causing the appearance of a decrease in performance as the proportion of 2-year institutions in Student Support Services increased. For the separated measures, new long-term

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completion targets were established for 2011, with revised annual targets beginning in 2006. In 2008, the program met both the target for the percentage of students completing a Bachelor's degree within 6 years, and the percentage completing an Associate's degree or transferring to a 4-year college within 3 years. A continuing shortcoming of these measures is that they only measure degree completion of participants who remain at the grantee institution and do not include students who have completed degrees at other institutions, because the Department is unable to track the students across institutions. It is likely that some students complete their education at a different institution, and that the measures, therefore, underestimate performance.

Measure: The percentages of TRIO McNair participants enrolling and persisting in graduate school.				
	Enrolling		Persisting	
Year	Target	Actual	Target	Actual
2006	37.0	56.2	79.0	80.6
2007	39.0	51.8	79.0	81.1
2008	39.5	52.8	79.5	76.9
2009	39.5		79.5	
2010	40.0		80.0	
2011	40.0		80.0	

Assessment of progress: Data from annual performance reports reveal that McNair Post Baccalaureate Achievement continues to achieve its targets for graduate school enrollment and persistence. Although performance levels fluctuate from year-to-year, the data appear to reflect a general trend of improvement, and the program met its targets for 2005 through 2008. Long-term targets were set at 40 percent enrollment and 80 percent persistence by 2011. The Department will re-examine the targets to determine whether the targets are insufficiently ambitious. In addition, the Department is also considering 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

Efficiency Measures

The Department developed a common efficiency measure for the TRIO Student Support Services, Upward Bound, and Talent Search programs to track the average annual cost per successful annual outcome. The actual measure used is 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. A successful annual outcome is defined as a student who persists toward or achieves the primary program goal—for example, a college student who remains in school or graduates.

For the Student Support Services program, the efficiency data and recently established target are included below. The efficiency data for Upward Bound and Talent Search also are included below, but targets for those programs have not yet been established.

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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Cost per successful outcome: The “cost per successful outcome” data is provided here both to put the “gap” data in context and to provide a more complete picture of the TRIO programs’ performance.

- In 2008, the cost per successful outcome for Student Support Services—in which a successful outcome is defined as graduation, transfer, or postsecondary persistence—was approximately \$1,499. This figure was calculated by dividing the total program funding by the number of SSS participants that graduated, transferred, or persisted in postsecondary school. Subtracting the cost per participant (\$1,306) generates the \$192 gap between cost per successful outcome and cost per participant. The 2008 cost per successful outcome decreased from 2007 (\$1,515) and from 2006 (\$1,548).
- 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 2008, this figure was approximately \$4,472, a decrease from 2007 (\$4,490). Subtracting the 2008 UB cost per participant (\$4,250) yields the \$223 gap between cost per successful outcome and cost per participant for UB.
- For Talent Search, the data are unavailable for 2007 and 2008 because the Department is considering revising the methodology for determining what counts as a “success.” However, it is worth noting that, under the proposed, more restrictive definition, the cost per successful outcome was approximately \$405 in 2006. Compared to the \$368 cost per participant in 2006, the actual gap between cost per successful outcome and cost per participant is approximately \$37 (instead of \$1.90). In 2007, the cost per successful outcome under the proposed definition was \$420 and the gap was \$35; in 2008, the cost per successful outcome dropped slightly to \$417 and the gap dropped to \$31.

Measure: The gap between cost per successful outcome and cost per participant.						
	Talent Search		Upward Bound		Student Support Services	
Year	Target	Actual	Target	Actual	Target	Actual
2006		\$1.9		\$210		\$209
2007				\$278	\$239	\$214
2008				\$223	\$236	\$192
2009					\$233	
2010					\$223	
2011					\$213	

NOTE: In 2007, the Upward Bound data were re-calculated using an improved methodology that uses data from a longitudinal file, instead of a 1-year snapshot file. As a consequence, the data presented here are different from figures reported in past years.

Assessment of progress: The measures for these indicators are calculated using data from Annual Performance Reports. The data suggest that efficiency improved for both Upward Bound and Student Support Services. Using the proposed definition of “success” under Talent Search, the efficiency of this program improved from 2007 to 2008. However, because the Department is still in the early stages of implementing efficiency measures for the TRIO programs, it is too early to draw conclusions about their efficiency. As more trend data become

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available, additional data analyses are completed, and feedback is received from the TRIO community, the Department will work to ensure that efficiency measure data are informative and useful, and to ensure that efficiency measure targets are sufficiently ambitious yet reasonable.

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
2006		\$41,177
2007		28,297
2008	\$39,000	26,263
2009	39,000	
2010	38,000	
2011	38,000	

In 2006, the cost per successful participant was \$41,177, which exceeds the targets set for 2008 through 2010. In 2007, the cost per McNair baccalaureate recipient enrolling in graduate school within 3 years of graduation dropped to \$28,300, and dropped further to \$26,263 in 2008. The Department is examining the data to identify whether the drop from 2006 is related to changes in the data collection procedures, which could have resulted in more accurate reporting of graduate school enrollment, or whether other factors may have influenced the results.

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; i.e., the projects were conducted 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 reported to be 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,

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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 and enroll in public postsecondary institutions. 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 participant 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.
- *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, does not provide evidence that Upward Bound has effects on most key outcome measures for the typical participant. In general, Upward Bound attracts able, motivated students who are more likely to succeed than the average disadvantaged student. 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, compared to less than 60 percent of students whose parents had a similar level of education or income as Upward Bound participants, but who did not apply to the Upward Bound program. (The difference between the 81 percent of participants and the 79 percent of applicants who enroll 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 degrees—Upward Bound increased the rate of postsecondary enrollment by 6 percentage points and postsecondary completion by 12 percentage points. The

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evaluation also found that longer participation in Upward Bound was associated with higher rates of postsecondary enrollment and completion.

Of course, in the context of a complex, longitudinal study like the Upward Bound evaluation, many problematic evaluation design and implementation issues can complicate the interpretation of the results, and given the age of the data—the students in the study participated in Upward Bound in the early 1990s—it is difficult to reach definitive conclusions about the program.

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, in September 2006. However, Congress cancelled the evaluation due to concerns over the use of a randomized control design. The Department is required, however, to begin a new evaluation of the program by June 30, 2010.

- *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 who often provided students with same-race role models. Approximately 60 percent of the students were female and over three-quarters were members of racial/ethnic minority groups. To assess program impact, UBMS participants were compared with a comparison group of students that had applied for regular Upward Bound but did not participate in Upward 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, which is expected to be released early in 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 national evaluation of Student Support Services, which was initiated in 1990, indicates that participation in supplemental services is related to improved student outcomes. The quasi-experimental study was based on a random cross-section of projects, so the findings are reflective of the Student Support Services program as a whole. The Department anticipates releasing the final evaluation report in the spring of 2010.
- *McNair Post baccalaureate Achievement:* The study of McNair Post Baccalaureate 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

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Federal TRIO programs

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 *TRIO Promising and Innovative Practices Studies* are conducting site visits and on-line discussions to help identify promising and innovative practices. The contractor has completed the data collection for both the Student Support Services and the Upward Bound programs. The Department expects to release reports from the studies in February of 2010.

The Department of Education's Office of the Inspector General (OIG) issued two reports on TRIO programs during 2008. On July 3, 2008, the OIG issued an audit report on one TRIO Upward Bound grantee that questioned whether the grantee served the appropriate number of students and maintained effective control over grant funds. While the Office of Postsecondary Education (OPE) monitors all of its grantees, it is not possible to guarantee that all grantees will always follow appropriate procedures. However, OPE provides guidance on appropriate uses for grant funds and in 2008 made awards for 10 new staff training grants, 2 more than were funded in prior years. The two additional grants will focus entirely on Upward Bound projects.

On September 8, 2008, the OIG issued a report summarizing findings from a review of how OPE awarded prior experience points in the 2006 Educational Opportunity Center and Talent Search grant competitions. The report recommended that OPE cease awarding prior experience points for grantees that do not meet certain minimum program requirements and cease awarding partial prior experience points. These issues will be addressed to some extent in regulations to implement changes made by the Higher Education Opportunity Act, which amended the Higher Education Act. Also, the OIG report recommended improving quality control and the use of clearly documented data to support the calculation of prior experience points; the Department agrees that a more transparent process is warranted and is taking steps to improve its processes.

HIGHER EDUCATION

Gaining early awareness and readiness for undergraduate programs

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

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$323,212	\$323,212	0

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 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, parental involvement, 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, 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 project costs with cash or in-kind contributions from non-Federal sources accrued over the full duration of the grant award. The Department may authorize a reduction in the required match 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 hold in reserve funds for scholarships equivalent to the effective minimum Pell grant amount (up to \$976 in fiscal year 2009) multiplied by the number of students 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 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.

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Gaining early awareness and readiness for undergraduate programs

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 must be used to conduct a national evaluation of the GEAR UP program.

Funding levels for the past 5 fiscal years were:

(\$000s)	
2006	\$303,423
2007	303,423
2008	303,423
2009	313,212
2010	323,212

FY 2011 BUDGET REQUEST

The Administration requests \$323.2 million for Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) in fiscal year 2011, the same as the fiscal year 2010 appropriation. 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.

The Administration's budget request for GEAR UP is based on the demonstrated promise of the program's approach with early indications suggesting that GEAR UP is having some success. 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 the first year of college, and offers a financial support to attend college. Early evaluation findings and performance data show that GEAR UP has some positive impacts through the 8th grade. Furthermore, GEAR UP has achieved many of its early performance targets. At the level requested, 42 States and 169 Partnerships would receive funding to serve approximately 748,000 students.

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Gaining early awareness and readiness for undergraduate programs

Significantly, several features of GEAR UP, including targeting entire grades of students, partnering with local organizations, and matching local contributions, allow projects to serve substantial numbers of students at a relatively low cost to the Federal Government. Furthermore, the considerable State and local investments it requires through both the creation of partnerships and matching contributions suggest that it is well designed to have a sustainable impact on the educational outcomes of low-income middle and high school students.

PROGRAM OUTPUT MEASURES (\$000s)

	2009	2010	2011
State Grants:			
Number of new awards	1 ¹	0	27
Average new award	\$3,000	0	\$2,860
Total new award funding	\$3,000	0	\$77,233
Number of NCC awards	41	42	15
Average NCC award	\$2,932	\$2,986	\$2,971
Total NCC award funding	\$120,229	\$125,420	\$44,574
Total award funding	\$123,229	\$125,420	\$121,807
Total number of awards	42	42	42
Total number of students	441,741	442,000	429,000
Federal cost per student (whole \$)	\$279	\$284	\$284
Partnership Grants:			
Number of new awards	4 ¹	0	99
Average new award	\$1,432	0	\$1,114
Total new award funding	\$5,727	0	\$110,286
Number of NCC awards	163	167	70
Average NCC award	\$1,111	\$1,175	\$1,271
Total NCC award funding	\$182,618	\$196,182	\$88,987
Total award funding	\$188,345	\$196,182	\$199,273
Total number of awards	167	167	169
Total number of students	305,519	306,000	319,000
Federal cost per student (whole \$)	\$612	\$641	\$625
Evaluation	\$1,485	\$1,500	\$1,500
Peer review	0	0	\$500
Web data collection	138	110	132

¹ Instead of conducting new competitions in fiscal year 2009, the Department funded down fiscal year 2008 grant slates to make new awards in fiscal year 2009 because a significant number of high-quality applicants remained on the fiscal year 2008 slate.

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Gaining early awareness and readiness for undergraduate programs

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Total program funding	\$313,197 ¹	\$323,212	\$323,212
Total number of awards	209	209	211
Total number of students	747,260	748,000	748,000

¹ Excludes \$15 thousand in unobligated funds transferred to the Career, Technical, and Adult Education account to help support the Adult Education State Grants program. Authority to transfer available funds that would otherwise lapse was provided in Section 804 of the Supplemental Appropriations Act, 2009 (P.L. 111-32).

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 2011 and future years, and the resources and efforts invested by those served by this program.

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
2006		84.4
2007	73.0	85.5
2008	73.5	
2009	74.0	
2010	86.0	
2011	86.0	

Assessment of progress: The primary goals of the GEAR UP program are to increase the high school completion and college enrollment rates of low-income students. In 2007, 85.5 percent of GEAR UP students who were high school seniors graduated. According to the National Center for Education Statistics (NCES), the national averaged freshman graduation rate, that is the rate of public school students who graduated 4 years after starting 9th grade, was 74.3 percent for 2004-05, the latest year for which there are data. While these data are not directly comparable to data from this performance measure, it does provide some context for

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the GEAR UP performance data on this measure. The Department is currently considering changing the methodology for this measure, either to match the NCES methodology or to capture the graduation rate for the total cohort of GEAR UP students who started with the program in 7th grade. Additionally, the Department is considering the efficacy of utilizing the adjusted cohort graduation rate methodology, recently established as the standard for the Elementary and Secondary Education Act Title I program, for this performance measure. The Department plans to address the graduation rate issue when it revises the Annual Performance Report for GEAR UP in 2010. 2008 data will be available in February 2010.

Measure: The percentage of former GEAR UP high school graduates who immediately enrolled in college.		
Year	Target	Actual
2006		55.2
2007	65.0	60.2
2008	65.5	
2009	66.0	
2010	59.0	
2011	59.0	

Assessment of progress: The primary goals of the GEAR UP program are to increase the high school completion and college enrollment rates of low-income students. In 2007, 60.2 percent of GEAR UP students who graduated from high school were enrolled in postsecondary education the following September. While the program missed the target for 2007, the change from 2006 showed an improvement of almost 5 percentage points. Targets were developed using data from NCES with the goal of closing the gap between low-income students and their peers in college enrollment. According to NCES, 68.6 percent of all high school completers enrolled in postsecondary education immediately following high school graduation in 2005. In that same year, 53.5 percent of low-income students enrolled in postsecondary education immediately following high school graduation, according to the same NCES research. 2008 data will be available in February 2010.

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

Measure: The percentage of GEAR UP students who passed pre-algebra by the end of the 7 th grade and the percentage of GEAR UP students who passed Algebra I by the end of the 9 th grade.				
Year	Target		Actual	
	Pre-algebra	Algebra I	Pre-algebra	Algebra I
2006	30	50	30	50
2007	35	50	32	43
2008	35	50	25	53
2009	35	50	27	53
2010	32	50		
2011	32	50		

Assessment of progress: This measure tracks completion rates for two middle-school 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

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from the prior year. In 2007, the program did not meet its target for either measure and while the 2008 data for the 9th grade measure rebounded, the data for the 7th grade declined even further. 2009 data indicate a slight improvement for the 7th grade measure. The Department has adjusted its targets in future years because it believes that standards for completion of rigorous algebra classes are becoming more difficult across the nation. 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. This measure will be calculated by dividing funding by the number of GEAR UP students who are enrolled in postsecondary education immediately following high school graduation. The Department is considering several methods for calculating the measure, such as determining total funding for a cohort over the 6-year period during which they are served. The Department expects to report data for this measure by winter of 2010. Data from this measure will allow program managers to identify grantees that are performing at different levels and will be used to focus technical assistance efforts where they could be most effective, as well as to identify exemplary practices for improving program performance outcomes. Efficiency measure data will also be used to track and make program and project-level improvements over time.

Other Performance Information

In 2001, the Department initiated an evaluation on the early effects of the GEAR UP program. The final report of this evaluation was released in 2008. This study 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 that data were not yet available. Overall, the study found 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 made 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.

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Gaining early awareness and readiness for undergraduate programs

- GEAR UP had a positive effect on improving parents' knowledge about postsecondary education opportunities and benefits for their children and on parents' involvement in their children's education. GEAR UP increased parents' expectations about college for their child.
- GEAR UP schools provided more and a wider variety of 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 ability to secure financial resources from other sources.

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Byrd honors scholarships

(Higher Education Act of 1965, Title IV, Part A, Subpart 6)

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$42,000	0	-\$42,000

PROGRAM DESCRIPTION

The Byrd Honors Scholarships program promotes academic excellence and achievement by awarding merit-based scholarships to high school students, through formula grants to State educational agencies, who have demonstrated outstanding academic achievement and who show promise of continued academic excellence. Scholarships of \$1,500 per year are awarded for up to 4 years for study at any institution of higher education.

Program funds are allocated to States, including the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands, based on the ratio of the State's school-aged population (5-17 years old) to the total school-aged population in all participating States and territories. No State or territory may receive less than \$15,000 for new scholarships. The program is administered by State educational agencies, which establish specific scholar-selection criteria in consultation with school boards, teachers, counselors, and parents.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$40,590
2007	40,590
2008	40,284
2009	40,642
2010	42,000

FY 2011 BUDGET REQUEST

For fiscal year 2011, the Administration is requesting no funding for the Byrd Honors Scholarships program. This program duplicates the efforts of other Federal, State, and local initiatives that increase college access. Students can receive grant, work-study, and loan assistance through the Department's postsecondary student aid programs. In addition, the Administration believes that the elimination of small, categorical programs and increasing funding for larger programs with more flexible authorities will result in administrative savings. The Administration's budget request for other Federal student financial assistance programs

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Byrd honors scholarships

demonstrates its commitment to ensuring that all Americans have access to and financial assistance for lifelong learning.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new scholarships	7,373	7,348	0
Total new scholarship funding	\$11,060	\$11,022	0
Number of NCC scholarships	19,721	20,652	0
Total NCC scholarship funding	\$29,582	\$30,978	0
Total program funding	\$40,642	\$42,000	0
Total number of scholarships	27,094	28,000	0
Scholarship amount (whole \$)	\$1,500	\$1,500	0

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, and the resources and efforts invested by those served by this program.

Goal: To promote student excellence and to recognize exceptionally able students who show promise of continued excellence.

Objective: Byrd Honor Scholars will successfully complete postsecondary education programs at high rates.

Measure: The percentage of Byrd scholars graduating within 4 years.

Year	Target	Actual
2006	93	96.0
2007	93	93.0
2008	93	93.0
2009	94	
2010	94	

Assessment of progress: Data for this measure are collected through annual performance reports. In 2008, the program continued to meet the target on this measure of 93 percent. A recently published study produced by the National Center for Education Statistics found that the 5-year degree completion rate among undergraduate students was 47 percent. While these data may not be directly comparable to data from this performance measure, it does provide some context for the Byrd performance data on this measure. Performance on this measure

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Byrd honors scholarships

should also be understood within the context that students who receive Byrd scholarships are top-ranked students who would be expected to have a higher graduation rate than the student population as a whole. It is expected that the 2009 data will be available in December 2010. The Administration is not requesting funds for this program in fiscal year 2011, so no targets are shown for that year.

Objective: *Byrd Scholars will successfully persist from one school year to the next at high rates.*

Measure: The percentage of Byrd Scholars in their first 3 years of study who persist for 1 year.		
Year	Target	Actual
2006	98	99.7
2007	98	98.0
2008	98	98.0
2009	98	
2010	98	

Assessment of progress: Data for this measure are collected through annual performance reports. The data are based on the number of scholars who are in their first 3 years for study who persist to the end of the year. In 2008, 98 percent of Byrd scholars who were in their first 3 years of study successfully persisted for 1 year. A recently published study produced by the National Center for Education Statistics found that the 5-year persistence rate among undergraduate students was 65 percent. While these data may not be directly comparable to data for this performance measure, they do provide some context for the Byrd performance data on this measure. Performance on this measure should also be understood within the context that students who receive Byrd scholarships are top-ranked students who would therefore be expected to have a higher persistence rate than the student population as a whole. It is expected that the 2009 data will be available in December 2010. The Administration is not requesting funds for this program in fiscal year 2011, so no targets are shown for that year.

Efficiency Measures

Measure: The cost of a successful outcome: the Federal cost per Byrd recipient student who successfully persists or graduates.		
Year	Target	Actual
2005		\$2,121
2006		1,651
2007		1,626
2008	\$1,650	1,540
2009	1,650	
2010	1,650	

Assessment of progress: The efficiency measure for this program is the cost of a successful outcome, where success is defined as persistence or graduation. This measure ties in directly with the program's performance measures. This measure is calculated by dividing the appropriation by the number of students persisting or completing during the school year. There have been significant problems collecting accurate data on this measure. Data from 5 of the 55 reporting entities could not be included here because of inaccuracies in reported data. In addition, there are indications that many recipients have over reported the number of successful

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Byrd honors scholarships

outcomes that drive this measure. For 2008, the measure ranges from approximately \$1,207 to \$2,055 for the 50 States and territories for which the Department has sufficient data to calculate the measure. It is expected that the 2009 data will be available in December 2010. The Administration is not requesting funds for this program in fiscal year 2011, so no targets are shown for that year.

HIGHER EDUCATION

Javits fellowships

(Higher Education Act of 1965, Title VII, Part A, Subpart 1)

FY 2011 Authorization (\$000s): \$30,000

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$9,687	\$9,687	0

PROGRAM DESCRIPTION

The Javits Fellowships program provides fellowships to students of superior ability who are pursuing doctoral degrees in the arts, humanities, and social sciences at any institution of higher education. Students pursuing a master's degree in the arts, humanities, and social sciences in fields for which a master's degree is commonly accepted as the highest terminal degree are also eligible. The Javits Fellowships Board establishes program policies, oversees program operations, selects fields of study in which fellowships are to be awarded, determines the criteria for distributing fellowships, and appoints panels to select fellows. Fellows are selected for a period of up to 4 years through a national competition on the basis of demonstrated achievement, financial need, and exceptional promise.

Funds for this program provide fellowships for the academic year beginning in the fiscal year following the fiscal year for which the funds are appropriated, ensuring that fellowships are awarded before fellows must make final decisions about graduate school. 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 National Science Foundation's Graduate Research Fellowships program. The institutional payment is adjusted annually based on the Consumer Price Index.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$9,699
2007	9,699
2008	9,530
2009	9,687
2010	9,687

FY 2011 BUDGET REQUEST

The Administration requests \$9.7 million for the Javits Fellowships program for fiscal year 2011, the same as the fiscal year 2010 appropriation. The Administration's request would provide support for 218 fellowships in fiscal year 2011. The Javits Fellowships program is the primary means of Federal support for graduate study in the arts, humanities, and social sciences. The Javits Fellowships program reduces the gaps in access to postsecondary education for

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Javits fellowships

low-income students by providing students with exceptional promise and high financial need with the resources that they need to pursue post-graduate studies. This request recognizes the role that graduate education plays in contributing to the advancement of national prosperity and demonstrates the Administration's commitment to outstanding achievement and a high quality education. The Administration again proposes appropriations language be included to provide that funds would be available for obligation for 2 fiscal years in order to fund fellowships the following school year.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new fellowships	72	27	33
Average new fellowship	\$44	\$44	\$44
Total new fellowship funding	\$3,136	\$1,189	\$1,453
Number of NCC fellowships	165	192	185
Average NCC fellowship	\$38	\$44	\$44
Total NCC fellowship funding	\$6,289	\$8,401	\$8,138
Average institution payment	\$14	\$14	\$14
Average stipend	<u>\$30</u>	<u>\$30</u>	<u>\$30</u>
Total average fellowship	\$44	\$44	\$44
Peer review of new applications	\$95	\$97	\$97
Total program funding	\$9,520 ^{1,2}	\$9,687 ¹	\$9,687 ¹
Total number of fellowships	237	219	218

¹ Because the Javits Fellowships program is forward funded, these figures reflect the second year of the funds' availability, when awards are made.

² Excludes \$9 thousand in unobligated funds transferred to the Career, Technical, and Adult Education account to help support the Adult Education State Grants program. Authority to transfer available funds that would otherwise lapse was provided in Section 804 of the Supplemental Appropriations Act, 2009 (P.L. 111-32).

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 2011 and future years, and the resources and efforts invested by those served by this program.

Goal: To provide financial assistance to graduate students who have demonstrated superior academic ability, achievement and exceptional promise.

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Javits fellowships

Objective: To enable students of superior ability in the arts, humanities, and social sciences to complete their terminal degree.

Measure: The percentage of Javits fellows who complete a terminal degree within 7 years.		
Year	Target	Actual
2006	31	45
2007	32	39
2008	32	
2009	33	
2010	38	
2011	39	

Assessment of progress: Data collected through annual performance reports for this measure is cohort specific, so that data for 2007 reflects the performance of the cohort of students that first received a fellowship in the 2000-2001 academic year. These performance data show that 39 percent of these students completed their degree within 7 years. A recent study by the Council of Graduate Schools found that 30 percent of humanities students and 40 percent of social science students had completed their doctoral studies after 7 years. The Javits Fellowships program makes its awards to students with high financial need, who, research shows, typically graduate at a lower rate than the national student body as a whole. As such, achieving a level of performance better than the national average for graduate students in comparable subjects demonstrates that the program is successfully meeting its performance goal. In light of the fact that the program has consistently exceeded the established targets, the Department has established more ambitious performance targets for 2010 and 2011.

The Department recently completed a comprehensive evaluation of all of the Department's graduate fellowship programs, including the Javits Fellowships program. The study found that the overall 10-year graduation rate for students who received Javits fellowships (66 percent) compares favorably with the overall 10-year graduation rate for students in the same fields (30-50 percent). As such, the study's findings seem to confirm the validity of the annual performance report data.

Measure: Average time to degree completion for Javits fellows (in years).		
Year	Target	Actual
2006	6.3	5.6
2007	6.2	4.3
2008	6.2	4.9
2009	6.1	
2010	5.6	
2011	5.6	

Assessment of progress: This measure tracks the median number of years it takes Javits fellows who complete their degrees to do so. 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 an average time to completion of 4.3 years in 2007. Javits fellows pursuing a Masters in Fine Art (MFA) are excluded from this calculation, as MFA programs traditionally take a significantly shorter time to complete and this

HIGHER EDUCATION

Javits fellowships

would significantly skew the results. According to national data reported in 2005 by the National Opinion Research Council's annual Survey of Earned Doctorates, the median time to complete a doctoral degree in the United States was 9.7 years in the humanities and 8 years in the social sciences. The overall median time for all doctorates was 8.2 years. While these data are not directly comparable to the data for the Javits Fellowship program, they do provide some context for those data. The Javits Fellowships program makes its awards to students with high financial need. Research shows that these students take longer to complete terminal graduate degrees than the national student body as a whole. As such, achieving a level of performance that is better than the national average for graduate students demonstrates that the program is successfully meeting its performance goal. In light of the fact that the program has consistently met or exceeded the established targets, the Department has established more ambitious targets for 2010 and 2011.

The Department recently completed a comprehensive evaluation of all of the Department's graduate fellowship programs, including the Javits Fellowships program. The study found that Javits fellows completed their degrees in considerably less time than did all doctoral recipients in the humanities and social sciences during the period studied, the late 1990s and early 2000s. As such, the study's findings seem to confirm the validity of the annual performance report data.

Efficiency Measures

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

Measure: The Federal cost for each terminal degree (in dollars).		
Year	Targets	Actual
2006		\$192,049
2007		231,983
2008		253,632
2009		
2010	\$226,000	
2011	226,000	

The data used to calculate the efficiency measure come from the program's annual performance report, the Department's Grants and Payments database, and the Javits Fellowships program database. As Javits funding is provided for a maximum of 4 years and the average time to completion for students in the Javits fellowship program is more than 6 years, there will always be a time lag of 3 fiscal years between when data are reported and the year for which the data are being reported, so that data for 2007 reflect the performance of the cohort of students that first received a fellowship in the 2000-2001 academic year. The efficiency measure is calculated by dividing the total dollars allocated to all of the fellows in a particular cohort, during the 4-year funding period, by the number of fellowship recipients from that cohort reported as successfully completing their degree program within 7 years. The efficiency measure for 2008 was \$253,632, which represents a significant increase over the previous years' data. The fact that the cohorts of students are relatively small may contribute to the variability of the data from year to year. Data for FY 2009 are expected in April 2010.

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Javits fellowships

In 2005, the Department completed and posted to the Department's website grantee-level analyses using efficiency measure data and data from other performance measures. Grantee-level data analyses are being used to identify institutions that may benefit from technical training in areas such as data collection and reporting, as well as exemplary practices for improving program performance outcomes. Additionally, data from the grantee-level analyses may be used to compare the relative efficiency of the Javits Fellowships 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 Javits Fellowships program. The final report was published in September 2008. In order to be able to examine completion and employment outcomes for Javits fellows, the study tracked the characteristics and progress of three cohorts of Javits fellows, from the years 1997-1999. The study noted the following characteristics of Javits fellows:

- About 60 percent of Javits fellows were men and 40 percent women. This corresponds to national data for students in the humanities and social sciences for the period that the study examined;
- The majority (82 percent) of fellows were White, 8 percent were Asian, 4 percent were Hispanic or Latino, and the remainder were of multiple or other racial or ethnic backgrounds. This indicates that Javits fellows were slightly more diverse than for students overall in the humanities and social sciences for the period that the study examined;
- Most Javits fellows studied the humanities, 38 percent in history and 34 percent in other humanities fields, with an additional 23 percent studying social science fields;
- Nearly all fellows (99 percent) were enrolled full-time compared to 53 percent of doctoral students nationwide at the period that the study examined;
- The vast majority (94 percent) of fellows first received Javits funding in their first year of graduate study, and for three-quarters of fellows funding ended in their fourth year or after;
- About three-quarters of fellows received additional support from their institutions, 59 percent in equal or lower amounts and 16 percent in amounts greater than the Javits funding; and
- A majority (89 percent) of all fellows received support from at least one source other than the Javits funding, and most (70 percent) received other fellowships or scholarships.

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Javits fellowships

The study also investigated program outcomes and the extent to which fellowship recipients completed their doctoral studies and obtained employment in areas that correspond to their fields of study. Of the Javits fellows in the three cohorts studied:

- More than two-thirds (68 percent) had completed the degree supported by the Javits fellowship, whereas 19 percent were still enrolled, and 13 percent had stopped working on their degree. According to research by the Council of Graduate Schools cited in the report, nationally graduate students in the humanities and social sciences had completion rates of approximately 30–50 percent;
- Slightly over one-half (54 percent) completed their degree in 6 years or more, while 46 percent took 5 years or less. The study found that Javits fellows completed their degrees in considerably less time than the national average of 10 years among social sciences doctorate recipients and 11 to 12 years among humanities doctorate recipients in the comparable time-frame;
- In terms of post-degree employment, three-quarters of fellows had worked in jobs involving the expertise they had gained from the Javits fellowship funding. Of these fellows, 94 percent considered that work to be part of a long-term career they were pursuing;
- A majority (83 percent) of fellows reported that at least one of their related jobs was in education; and
- Most Javits fellows anticipated that they would continue to use their fellowship-gained expertise in the labor market in the near term. Three-quarters of Javits fellows expected that in 3 years they would be working in a job that involved the expertise they had gained through their fellowship-supported study.

These data indicate that Javits 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 Javits fellows complete their studies and go on to find employment in areas that correspond to their field of studies.

Finally, the study probed participants' perceptions of the extent to which the fellowship programs 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 (85 percent) learned of the Javits fellowship after they had chosen a major field of study to pursue in graduate school;
- About two-thirds of fellows reported that the fellowship had little or no influence on their choice of field of study; and
- The majority (90 percent) of fellows believed the Javits fellowship had been very helpful in finishing their degrees and about one-half believed the fellowship had been very helpful in obtaining employment in their desired fields.

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Javits fellowships

These data highlight the fact that fellowship recipients do not perceive that the program influenced their course 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

Graduate assistance in areas of national need

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

FY 2011 Authorization (\$000s): \$35,000

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$31,030	\$31,030	0

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 Secretary 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. Like Javits Fellows, recipients must have excellent academic records and high financial need. Recipients must also 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 2010 were: biology, chemistry, computer and information sciences, engineering, mathematics, nursing, physics, and educational assessment, evaluation, and research.

Institutions use program funds to award fellowships of up to five 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.

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.

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Graduate assistance in areas of national need

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$30,067
2007	30,067
2008	29,542
2009	31,030
2010	31,030

FY 2011 BUDGET REQUEST

The Administration requests \$31 million for the GAANN program for fiscal year 2011, the same as the fiscal year 2010 appropriation. The Administration's request would provide support for 702 fellowships in fiscal year 2011. Through its support of study in key disciplines, GAANN helps address the problem of insufficient numbers of students pursuing education in critical scientific and technical fields. GAANN provides students with exceptional promise and high financial need with the resources that they need to pursue post-graduate studies. This request recognizes the role that graduate education plays in contributing to the advancement of national prosperity, particularly in areas of national need, and demonstrates the Administration's commitment to outstanding achievement and a high quality education.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new awards	112	52	0
Number of new fellowships	493	209	0
Average new award	\$192	\$176	0
Total new award funding	\$21,471	\$9,149	0
Number of NCC awards	62	112	164
Number of NCC fellowships	213	493	702
Average NCC award	\$150	\$193	\$189
Total NCC funding	\$9,277	\$21,571	\$31,030
Average institution payment	\$14	\$14	\$14
Average stipend	<u>\$30</u>	<u>\$30</u>	<u>\$30</u>
Total average fellowship	\$44	\$44	\$44
Peer review of new award applications	\$246	\$310	0
Total program funding	\$30,994 ¹	\$31,030	\$31,030

¹ Excludes \$36 thousand in unobligated funds transferred to the Career, Technical, and Adult Education account to help support the Adult Education State Grants program. Authority to transfer available funds that would otherwise lapse was provided in Section 804 of the Supplemental Appropriations Act, 2009 (P.L. 111-32).

HIGHER EDUCATION

Graduate assistance in areas of national need

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Total number of awards	174	164	164
Total number of fellowships	706	702	702

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 2011 and future years, and the resources and efforts invested by those served by this program.

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.																					
<table><thead><tr><th>Year</th><th>Target</th><th>Actual</th></tr></thead><tbody><tr><td>2006</td><td>45</td><td>49.6</td></tr><tr><td>2007</td><td>46</td><td>58.2</td></tr><tr><td>2008</td><td>47</td><td>62.7</td></tr><tr><td>2009</td><td>48</td><td></td></tr><tr><td>2010</td><td>58</td><td></td></tr><tr><td>2011</td><td>58</td><td></td></tr></tbody></table>	Year	Target	Actual	2006	45	49.6	2007	46	58.2	2008	47	62.7	2009	48		2010	58		2011	58	
Year	Target	Actual																			
2006	45	49.6																			
2007	46	58.2																			
2008	47	62.7																			
2009	48																				
2010	58																				
2011	58																				

Assessment of progress: 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. However, as grant funding only lasts 3 years 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. Given the recent improvement in degree completion, 2010 and 2011 targets have been raised 10 percentage points higher than the 2009 level.

The Department recently completed a comprehensive evaluation of all of the Department's graduate fellowship programs, including the GAANN program. It found that 78 percent of GAANN

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Graduate assistance in areas of national need

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 ten years. As such, the study's findings seem to confirm the validity of the annual performance report data.

Measure: Median time to degree completion.		
Year	Target	Actual
2006	7.0	5.2
2007	5.9	5.0
2008	5.9	4.9
2009	5.9	
2010	5.1	
2011	5.1	

Assessment of progress: This measure tracks the median number of years it has taken GAANN fellows who have completed their degrees to do so. 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 2008. According to the most recent national data provided by the NRC's annual *Survey of Earned Doctorates*, the median time to degree completion for all graduate programs in the United States was 7.9 years in 2006. 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. 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 demonstrates that the program is successfully meeting its performance goal.

The median time to completion for GAANN fellows has been steadily decreasing since 2003. Given the recent performance, more ambitious targets have been established for 2010 and 2011.

The Department's recently completed 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.

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Graduate assistance in areas of national need

Efficiency Measures

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.

Measure: Cost per PhDs and those who pass preliminary exams.		
Year	Target	Actual
2006	\$127,500	70,894
2007		
2008	92,000	67,991
2009	91,000	
2010		
2011	70,000	

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 2006 was derived by dividing the total Federal funding for the 2001 cohort, which was \$38,566,582, by the total number of fellows who either completed their degree or passed preliminary exams by 2006, which was 544, for an efficiency measure of \$70,894. Under the program's funding structure, no new fellowships are awarded every third year, which is why there are no data or targets for 2007 and 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, a more ambitious target has been established for 2011.

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

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Graduate assistance in areas of national need

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;
- 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.

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Graduate assistance in areas of national need

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.

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

Thurgood Marshall legal educational opportunity program

(Higher Education Act of 1965, Title VII, Part A, Subpart 3)

FY 2011 Authorization (\$000s): \$5,000

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$3,000	\$3,000	0

PROGRAM DESCRIPTION

The Thurgood Marshall Legal Educational Opportunity program is designed to provide low-income, minority, or disadvantaged secondary school and college students with the information, preparation, and financial assistance needed to gain access to and complete law school study and admission to law practice.

The authorizing legislation earmarks funds for an award to the Council on Legal Education Opportunity (CLEO) for a period of not less than 5 years to administer each new award under this program. CLEO's responsibility is to identify secondary school and college students who are from low-income families, are minorities, or are from disadvantaged backgrounds; prepare these students for successful completion of a baccalaureate degree and for study at accredited law schools, and assist students with the development of analytical skills, writing skills, and study methods to enhance their success in, and promote their admission to and completion of, law school; assist students to select an appropriate law school and make application for entry into law school, and provide financial assistance for their study; and provide support services to students who are first-year law students to improve retention and success in law school studies.

In addition, CLEO provides support to motivate and prepare students for law school studies and practice in low-income communities, and to provide legal services to low-income individuals and families; and awards Thurgood Marshall Fellowships to eligible law school students who (1) participated in eligible summer institutes and who are enrolled in an accredited law school; or (2) who have successfully completed a comparable summer institute program that is certified by CLEO.

Funding for this program may be used to pay for services such as: information and counseling, summer academic programs for secondary school students who have expressed interest in a career in the law, tutorial services, pre-law mentoring programs, assistance and counseling on admission to accredited law schools, a 6-week summer law institute for Thurgood Marshall Fellows and Associates to prepare for legal studies, and mid-year seminars and other educational activities. These services may be provided prior to the period of law school study, including before and during undergraduate study; during the period of law school study; and during the period following law school study and prior to taking a bar examination.

Funds may also pay student fellowships and stipends. The Department is required to establish annually the maximum fellowship to be awarded and the maximum stipend to be paid, including

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Thurgood Marshall legal educational opportunity program

allowances for travel for participants and for their dependents for participation in summer institutes, midyear seminars, and bar preparation seminars. A Fellow or Associate is eligible for a fellowship or stipend only if the Fellow or Associate maintains satisfactory academic progress toward the Juris Doctor or Bachelor of Laws degree, as determined by the respective institutions, except with respect to a law school graduate enrolled in a bar preparation course.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$2,946
2007	2,946
2008	2,895
2009	3,000
2010	3,000

FY 2011 BUDGET REQUEST

The Administration requests \$3 million for the Thurgood Marshall Legal Educational Opportunity Program, the same as the 2010 appropriation. This request supports the Administration's goal to increase access to postsecondary education, and improve retention and graduation rates, particularly for low-income college students. This program has successfully provided college students with the information, preparation, and financial assistance needed to gain access to and complete law school study. For fiscal year 2011, the Administration is proposing appropriations language permitting grants under this program to be awarded competitively. The program provides earmarked assistance to a specific entity, and the Administration believes that competing funds rather than earmarking them will lead to higher-quality programs and improved student outcomes.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new awards	1	1	2
Average new award	\$3,000	\$3,000	\$1,485
Total new award funding	\$3,000	\$3,000	\$2,970
Peer review of new award applications	0	0	\$30
Number of Thurgood Marshall Fellows	166	166	166
Number of mid-year seminar participants	1,000	1,000	1,000
Total program funding	\$3,000	\$3,000	\$3,000

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Thurgood Marshall legal educational opportunity program

PROGRAM PERFORMANCE INFORMATION

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 2011 and future years, and the resources and efforts invested by those served by this program.

Goal: **To provide low-income, minority, or disadvantaged secondary school and college students with the information, preparation, and financial assistance needed to gain access to and complete law school study and admission to law practice.**

Objective: *Increase the number of low-income, minority, and disadvantaged college students who complete law school study.*

Measure: The percentage of pre-law program participants that enroll in law school.		
Year	Target	Actual
2007		90
2008		94
2009		
2010		
2011		

Measure: The percentage of fellows and associates that graduate from law school within 4 years.		
Year	Target	Actual
2007		87
2008		85
2009		
2010		
2011		

Measure: The percentage of fellows and associates who pass the Bar exam within 1 year of law school graduation.		
Year	Target	Actual
2007		56
2008		46
2009		
2010		
2011		

Assessment of progress: Fiscal year 2010 data will be used to set a baseline for these measures and will be available March 2010. Targets will be established after the Department determines a baseline. Data for these measures will be derived from the Thurgood Marshall annual performance report.

HIGHER EDUCATION

Thurgood Marshall legal educational opportunity program

Efficiency Measures

The efficiency measure tracks cost per successful outcome.

Measure: Federal cost per prior Thurgood Marshall Fellow/Associate who pass the Bar in a given year.		
Year	Target	Actual
2007		\$50,797
2008		\$60,303
2009		
2010		
2011		

Assessment of progress: The calculation for the efficiency measure is annual funding for the program divided by the number of Thurgood Marshall Fellows/Associates who pass the Bar in a given year.

Other Performance Information

In fiscal year 2008, the program performance report from CLEO—the single entity to which funds were awarded—cited the following accomplishments:

- Identified 2,433 college students (freshman, sophomores, or juniors) interested in receiving more information about programs that facilitate admission into and success once entering law school, 433 more than its projected goal of 2,000. Students were identified through a combination of college campus visits by the CLEO Pre-Law Coordinator, responses to promotional materials distributed by CLEO, on-campus marketing campaigns, public service announcements, information provided in the *CLEO Edge* magazine, visits to the CLEO website—<http://cleoscholars.com>, and the distribution of CLEO paraphernalia which advertised the College Scholars program.
- Provided 434 College Scholars with assistance in identifying preparatory courses and materials for the law school admission test (LSAT), 134 more than its goal of 300. College Scholars benefit from various pre-law seminars such as the Road to Law School, Sophomore Super Saturdays, and Junior Jumpstart the LSAT.
- Identified and enrolled 65 College Scholars in the Sophomore Summer Institute, a 4-week comprehensive sophomore summer program. The program fell short of its projected goal of 75 College Scholars. At the Sophomore Summer Institute, scholars are introduced to the rigors and requirements of law school, increasing their chances of being admitted to law school.
- Selected and prepared 85 qualified participants for successful law school study by enrolling them in an intensive 6-week, pre-law Summer Institute that emphasizes abstract thinking, legal analysis, and writing, 5 more than its goal of 80 participants. Summer Institute participants must be graduating seniors or graduates who plan to attend law school. Of the 85 students, 83 went on to successfully complete the CLEO Summer Institute program and were certified as CLEO/Thurgood Marshall Fellows. This makes them eligible to receive

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Thurgood Marshall legal educational opportunity program

law school placement assistance and enroll in law school at the conclusion of the program. Of the 83 students who successfully completed the CLEO Summer Institute program, 81 students are enrolled in ABA-accredited law schools and 73 students applied for and received financial assistance awards. All of the 81 students have been extended academic support and counseling services.

- Certified 176 second- and third-year Thurgood Marshall Fellows for eligibility for financial assistance and other support services to gain access to and complete law school study, 10 more than its goal of 166 Fellows. To be re-certified as a Thurgood Marshall Fellow, each year a student must provide proof of good standing at his respective law school, re-submit financial assistance forms, and attend Thurgood Marshall Program's mandatory seminars and workshops.
- Provided financial assistance of up to \$5,000 and other law school support services for 177 CLEO/Thurgood Marshall Fellows, 11 more than its goal of 166. These services help CLEO/Thurgood Marshall Fellows gain access to and successfully matriculate through law school.
- Certified 664 Thurgood Marshall Attitude is Essential Program participants (Thurgood Marshall Associates) for eligibility to participate in and receive continuing academic support services throughout law school study, 41 more than its goal of 623. Thurgood Marshall Associates are graduates who successfully complete the Attitude is Essential seminars and enroll in a law school that has been accredited by the American Bar Association.
- Conducted a Mid-Winter Academic Seminar, a Mid-Summer Professional Development Seminar, and other educational activities for Thurgood Marshall Fellows and Associates during their period of law school study to improve retention, graduation, and bar passage rates that was attended by 927 Fellows and Associates. Performance in 2008 fell short of the program's goal of 1,000 participants.

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B.J. Stupak Olympic scholarships

(Higher Education Amendments of 1992, Section 1543)

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$977	0	-\$977

PROGRAM DESCRIPTION

The B.J. Stupak Olympic Scholarships program provides financial assistance to athletes who are training at the United States Olympic Education Center or one of the United States Olympic Training Centers and who are pursuing a postsecondary education at an institution of higher education. Any Olympic athlete who is training at one of the four official Olympic training centers and is enrolled in a minimum of three credit hours of postsecondary education per semester is eligible to receive a scholarship under this program. Full-time and part-time undergraduate and graduate students are eligible for scholarships in amounts up to their cost of attendance. The scholarships are capped at \$15,000 and can cover the cost of tuition, books and supplies, room and board, travel, and sporting equipment. Athletes may receive scholarships in amounts sufficient to cover these costs without subtracting expected family contributions. The four official Olympic training centers are located in Marquette, Michigan; Colorado Springs, Colorado; Chula Vista, California; and Lake Placid, New York.

The program is managed by Northern Michigan University in Marquette, MI, which started awarding scholarships in fiscal year 2002. In academic year 2008-2009, the program provided scholarships to 111 undergraduate students, of whom 68 were male and 43 female. In the same year, scholarship recipients were enrolled at 14 different institutions of higher education, of which 12 were 4-year institutions. In 2008, 22 scholarship recipients competed in the Summer Olympics in Beijing, in the Olympic sports of boxing, shooting, cycling, wrestling, weightlifting, kayaking, judo, and modern pentathlon. In addition, 20 Stupak athletes competed in the 2004 Summer Olympics and 9 Stupak athletes competed in the 2006 Winter Olympics.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$970
2007	970
2008	953
2009	977
2010	977

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B.J. Stupak Olympic scholarships

FY 2011 BUDGET REQUEST

For fiscal year 2011, the Administration is requesting no funding for the B.J. Stupak Olympic Scholarships program. This program duplicates the efforts of other Federal, State, and local initiatives that increase college access. Athletes can receive grant, work-study, and loan assistance through the Department's postsecondary student aid programs. In addition, the Administration believes that the elimination of small, categorical programs and increasing funding for larger programs with more flexible authorities will result in administrative savings. The Administration's budget request for other Federal student financial assistance programs demonstrates its commitment to ensuring that all Americans have access to and financial assistance for lifelong learning.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of awards	1	1	0
Total program funding	\$977	\$977	0
Total number of scholarships	90	90	0

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 the resources and efforts invested by those served by this program.

Goal: To support Olympic athletes who are pursuing a postsecondary education at an institution of higher education.

Objective: Olympic athletes will successfully complete postsecondary education programs.

Measure: The percentage of Stupak scholarship recipients in their senior year of study that graduate.		
Year	Target	Actual
2006		53.0
2007		76.0
2008		71.0
2009	75	41.0
2010	75	

Assessment of progress: The Department worked with the grantee to modify the annual performance report to support the new measure. The program established targets for this measure in 2009. With very small cohorts of scholarship recipients, it is thought that

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B.J. Stupak Olympic scholarships

performance on this measure may be volatile, with significant fluctuations reflecting the actions of a small number of students. In the 2008-2009 academic year, 7 out of 17 seniors graduated, resulting in a 41 percent graduation rate. This represents a substantial decrease from the 2007-2008 school year, when 12 out of 17 seniors graduated resulting in a 71 percent graduation rate. It is expected that the fiscal year 2010 data will be available in December 2010. The Administration is not requesting funds for this program in fiscal year 2011, so no targets are shown for that year.

Objective: *Olympic athletes will successfully persist from one school year to the next.*

Measure: The percentage of Stupak scholarship recipients who persist in their postsecondary institution.		
Year	Target	Actual
2006		52.0
2007	72.0	67.0
2008	72.5	62.0
2009	73.0	65.0
2010	73.5	

Assessment of progress: Data from the annual performance report shows a persistence rate of 65 percent for the 2008-2009 academic year, which is below the established performance target. This represents a slight increase over the prior year rate. It is expected that the fiscal year 2010 data will be available in December 2010. The Administration is not requesting funds for this program in fiscal year 2011, so no targets are shown for that year.

Efficiency Measures

The cost of a successful outcome: the Federal cost for each Stupak scholarship recipient that persists in school or graduates.		
Year	Target	Actual
2006		\$10,659
2007		11,149
2008		12,218
2009	\$11,000	15,758
2010	11,000	

This measure is tied directly to the program's performance measures. The data used to calculate the efficiency measure come from the program's annual performance report. The efficiency measure is calculated by dividing the annual appropriation for that year by the number of scholarship recipients who either graduate or persist in that year. It is expected that the fiscal 2010 data will be available in December 2010. The Administration is not requesting funds for this program in fiscal year 2011, so no targets are shown for that year.

HIGHER EDUCATION

Child care access means parents in school

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

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$16,034	\$16,034	0

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.

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.

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Child access means parents in school

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$15,810
2007	15,810
2008	15,534
2009	16,034
2010	16,034

FY 2011 BUDGET REQUEST

The Administration requests \$16 million for the CCAMPIS program, the same as the 2010 appropriation. Funding this program continues to address the needs of low-income parents in postsecondary education for campus-based child care services. Obtaining postsecondary education is critical to meeting the needs of an increasingly technical workplace. However, a lack of convenient and affordable quality child care services may prevent low-income parents from pursuing postsecondary education. The CCAMPIS program helps to ensure that low-income student parents have access to postsecondary education and affordable and convenient child care.

Fiscal year 2011 funding maintains support to enable institutions to continue to support or establish campus-based child care programs; establish emergency back-up care and provide summer child care and before and after school services; provide child care tuition assistance; and establish programs serving the needs of student parents.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new awards	105	52	0
Average new award	\$102	\$102	0
Total new award funding	\$10,739	\$5,296 ¹	0
Number of NCC awards	55	105	157
Average NCC award	\$93	\$102	\$102
Total NCC award funding	\$5,140	\$10,738	\$16,034
Peer review of new award applications	\$155	0	0
Total award funding	\$16,034	\$16,034	\$16,034
Total number of awards	160	157	157

¹ Instead of conducting a new competition in fiscal year 2010, the Department intends to fund down the fiscal year 2009 grant slate to make new awards in fiscal year 2010 because a significant number of high-quality applicants remained on the fiscal year 2009 slate.

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Child care access means parents in school

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 2011 and future years, and the resources and efforts invested by those served by this program.

The Higher Education Opportunity Act reauthorized and amended the Higher Education Act of 1965 and changed the reporting requirements for the CCAMPIS program from 18- and 36-month performance reports to annual performance reports. The Department revised the data collection instrument and program performance measures to reflect this annual data collection. The Department will use the same measures of persistence and graduation that were previously established except that the data will be collected and reported on an annual basis. Once the Department receives baseline data, which is expected in March 2010, targets will be established. Data will be derived from the annual performance reports. The new annual program performance and efficiency measures track the:

- Percentage of CCAMPIS program participants enrolled at 4-year 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.
- Percentage of CCAMPIS program participants enrolled at 2-year 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.
- Graduation rate of CCAMPIS program participants in postsecondary education enrolled at 4-year CCAMPIS grantee institutions, as reported in the annual performance report.
- Graduation rate of CCAMPIS program participants in postsecondary education enrolled at 2-year CCAMPIS grantee institutions, as reported in the annual performance report.
- Efficiency: Federal cost per CCAMPIS student who persists in or graduates from an institution of higher education as reported in the annual performance report.

Previous Program Performance and Efficiency Measures: Previous program performance measures collected and reported data at 18- and 36-month intervals revealed the following data:

Measure: The percentage of CCAMPIS program participants receiving child care services who remain in postsecondary education at the end of the academic year as reported in the program performance report.				
Year	Target		Actual	
	18-month report	36-month report	18-month report	36-month report
2005		80.0		67.0
2007	65.0		74.0	
2008	65.5	81.0	73.0	74.0
2009		81.5		

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Measure: The graduation rate of CCAMPIS program participants in postsecondary education, in other than 4-year schools, as reported in the program performance report.

Year	Target		Actual	
	18-month report	36-month report	18-month report	36-month report
2005		23.0		24.0
2007	18.0		17.0	
2008	18.5	23.5	17.0	32.0
2009		24.0		

Measure (efficiency): Federal cost per CCAMPIS student who persists in or graduates from an institution of higher education as reported in the 36-month performance report.

Year	Target	Actual
2005		\$2,105
2008	\$2,055	\$4,856
2009	2,049	
2011	2,045	

Assessment of progress: Although data from the 36-month report are more meaningful for reporting persistence, data are also presented from 18-month reports. Targets were not established for 2006 because the Department did not receive data in that year due, in large part, to the statute-driven cycle of 18- and 36-month performance reports. The Department did not conduct competitions for new awards in fiscal years 2003 and 2004; those years would have yielded 2006 data. Due to the timing of the data collection for completion—formerly at 18- and 36-months—students attending 4-year institutions and those who enter the program in the later years of the grant would not be able to complete their education before data are collected for the final 36-month report. Therefore, to improve the quality and interpretability of the data used to measure completion, data were collected only from grantees with 2-year programs.

- Analysis of the 18-month performance reports for 2008, submitted by grantees from the 2006 grant competition, indicated that:
 - 73 percent, or 2,223, out of 3,061 student parents, persisted or remained enrolled for at least 1 year at their institution. The program exceeded the target set for 2008.
 - 17 percent of student parents completed their program of study based on grantee data received from 2-year schools. Of the 46 respondents, 26 were 2-year schools serving 1,351 student parents. Performance in 2008 fell short of the program's goal for completion.
- The 36-month performance reports received in 2008, submitted by grantees from the 2005 grant competition, indicated that:
 - 74 percent, or 4,561 out of 6,204 student parents, persisted, or remained enrolled for at least 1 year at their institution, exceeding the target of 65 percent set for 2008.
 - 32 percent, or 1,120 student parents at 2-year schools, completed their program of study. Of the 102 respondents, 49 were 2-year schools serving 3,529 student parents. The program exceeded the target set for 2008.

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- The 18-month performance reports received in 2007, submitted by grantees from the 2005 grant competition, indicated that:
 - 74 percent, or 5,885 out of 7,928 student parents, persisted, or remained enrolled for at least 1 year at their institution, exceeding the target of 65 percent set for 2007.
 - 17 percent, or nearly 250 student parents from 2-year schools, completed their program of study from the 1,505 student participants who either received CCAMPIS program services in the beginning of the fall 2005 term or were students transferring in. Of the 113 respondents, 57 were 2-year schools. Performance in 2007 fell short of the program's goal for completion.
- The 36-month performance reports received in 2005 were submitted by grantees from the 2002 grant competition. The 84 respondents (out of an initial 122 grantees) that reported data on persistence indicated that:
 - 67 percent, or 4,289 out of 6,401 student parents, persisted, or remained enrolled for at least 1 year at their institution. The program did not meet the target set for 2005.
 - 24 percent, or 1,038 student parents from 2-year schools, completed their program of study, exceeding the target of 23 percent set for 2005. Of the 84 respondents, 51 were 2-year schools serving 4,402 student parents.

The efficiency measure tracks student cost per successful outcome. The fiscal year 2008 value was calculated by taking the sum of the grant awards made in fiscal year 2005 through fiscal year 2007 (including non-competing continuation awards) for the 102 grantees that first received their award in fiscal year 2005 and submitted a 36-month performance report (\$27,588,188) and dividing it by the number of students persisting in and/or graduating from school during that period (5,681). The 36-month performance reports received in 2008 were submitted for grantees from the 2005 competition. Data for this efficiency measure were not available for fiscal years 2006 and 2007, and will not be available for 2010 as there were no competitions in 2003, 2004, and 2007. The targets were established by increasing the cost per student by 1 percent for each reporting period and increasing the success rate by 1 percentage point for each reporting period.

The Department has developed a new efficiency measure, consistent with annual program performance reporting—Federal cost per CCAMPIS student who persists in or graduates from an institution of higher education, as reported in the annual performance report. Baseline data for 2010 based on annual performance reports from fiscal year 2006 grantees will be available in March 2010 for this new measure. Once the Department receives baseline data, targets will be established. Grantee-level data will be used to identify ways to achieve improved program performance outcomes and efficiencies.

Other Performance Information

Study of the Child Care Access Means Parents in School Program: The Department recently completed a 4-year study with Mathematica, which began in 2005, designed to assess the availability of child care services at institutions of higher education. The main objectives of the

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study were to: (1) describe and document the types and amounts of child care services being provided; (2) compare child care programs at institutions with CCAMPIS grants and eligible institutions without CCAMPIS grants; (3) design and implement a web-based survey to compare the characteristics of these two groups of institutions, and the child care services they provide; and the institutional perceptions of the effects the services have on the educational outcomes of the students who use them; (4) synthesize and analyze relevant existing data to address other study questions; and (5) design (but not implement) a student-based survey that would provide policy-relevant data to use in planning for and evaluating the CCAMPIS program.

After extensive work, however, the Department determined that a number of objectives initially included in the study could not be achieved, and were subsequently dropped from the study. The Department determined that it was not feasible to compare child care programs at institutions with CCAMPIS grants and eligible institutions without CCAMPIS grants due to difficulty obtaining data and the sample design and coverage of outcomes for the student-level survey were inadequate. Rather than targeting students known to have used CCAMPIS-funded services, the design called for samples to be drawn from a larger pool of low-income students with dependent children.

In addition, there were problems with the survey to be used to determine institutional perceptions of how child care services on these campuses contribute to student outcomes. The survey was designed to be the primary data source for most of the study's research questions. The pre-test for the study's institutional survey among a sample of grantee and non-grantee institutions revealed that, in the majority of institutions surveyed, the CCAMPIS child care center could not provide data on the number of Pell Grant recipients using child care services and recipients' persistence or graduation status. Following pilot-testing, Mathematica made revisions to the survey in order to reduce burden and to eliminate items that were likely to yield high degrees of missing data. Unfortunately, without a means of obtaining reliable persistence data that could be used to validate program outcomes, the Department concluded that the cost of the survey and burden upon respondents outweighed the benefit of gathering the descriptive data called for in the survey. To address the significant void in information about persistence among low-income students, the Department used the National Center for Education Statistics (NCES)/ Integrated Postsecondary Education Data System (IPEDS) and financial aid data to examine persistence rates among recipients.

Given the challenges and obstacles that presented themselves during the course of the CCAMPIS study period, the Department will not be publishing an official report. Instead, information and documentation received from Mathematica will form the basis of The CCAMPIS Study Binder containing materials produced during the 4-year CCAMPIS study (2005-2009). The contents are intended to be informative about the CCAMPIS program and instructive in terms of guiding future research efforts on the important topic of child care access for low-income postsecondary students with young children. The binder contents are described briefly below:

- Refined Study Design document, completed in January 2006, outlines the conceptual model for the project, the key research questions to be answered, and the activities that were initially planned to address the research questions.

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- CCAMPIS Literature Review: (1) describes the characteristics of low-income student-parents and the challenges they face, especially in the area of child care; (2) documents the levels of persistence and graduation found among postsecondary students with children; (3) discusses strategies for addressing the challenges and promoting persistence and graduation among low-income student-parents; and (4) reviews what is known about the effectiveness of strategies for promoting greater persistence and graduation rates.
- Child Care Survey of Postsecondary Institutions—the original survey designed for child care directors at 2000-01 and 2001-02 CCAMPIS grantee institutions and a matched group of non-CCAMPIS grantee institutions. In addition, a memorandum that describes the pilot test results, including information about data collection procedures, response rates, respondents' use of the worksheets designed to facilitate completion of the survey, and respondents' experiences completing the survey. The memo concludes with a presentation of considerations for a revised data collection based on the pilot test experience.
- Revised Child Care Survey of Postsecondary Institutions—a revised version of the Child Care Survey based on results of the pilot test and intended to reduce respondent burden and improve data quality by eliminating items that yielded a high degree of item non-response. Omitted items called for persistence and graduation rates and detailed demographic characteristics of postsecondary students receiving services.
- Student Survey Design document and an instrument targeted at low-income student-parents (rather than child care providers). The instrument includes questions about the quality and convenience of their child care arrangements, including the center's proximity, hours of operation, and licensure or accreditation status; staff's qualifications and training; the attention their child receives; and satisfaction with the child care services overall. The student survey design and corresponding instrument were provided for the Department's consideration as part of its long term strategy for evaluating the program.
- Final Report of the CCAMPIS study, based on the revised research questions and changes in the study design, presents analyses and interpretation of data from the National Postsecondary Student Aid Study (NPSAS), the Beginning Postsecondary Student survey (BPS), and IPEDS, as well as analyses of data from 2005 CCAMPIS grantee institutions' 18-month Performance Reports. Key findings from the study follow.
 - Data from the 2004 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 nonwhite, 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 55 percent, respectively); black, non-Hispanic (30 versus 21 percent); and married (36 versus 4 percent);
 - the majority of low-income student-parents were balancing postsecondary school attendance with employment. Approximately 25 percent of all Pell Grant recipients worked at least 40 hours per week, 36 percent of those with children and 17 percent of those without children. Nearly 78 percent of Pell Grant recipients with children of

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child care age reported that they were working to pay tuition and living expenses, compared to 70 percent of all Pell Grant recipients, and 66 percent of those without children.

- Approximately 43 percent of Pell Grant recipients with children under age 5 and 27 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, 63 percent compared to 52 percent.
- Child care was a major expense for Pell Grant recipients who used it. Average monthly child care expenditures for both Pell Grant recipients with children under age 5 and those with children 5 to 11 were \$335 per month, which would amount to \$4,000 per year if used for a full year.
- Data from IPEDS showed that:
 - Among institutions receiving at least \$350,000 in Pell Grants, the number with on-campus child care centers increased slightly over time, from 930 in 1998 to 1,054 in 2007. During this same period, the number of Title IV institutions increased from 2,067 to 3,317. Taking the growth rate of Title IV institutions into account, the proportion with on-campus child care centers actually decreased from 45 percent in 1998 to 32 percent in 2007. During that same period, on-campus centers among CCAMPIS grantee institutions increased from 76 percent to 89 percent.
 - In 2005, 2-year institutions were more likely than four-year institutions to operate on-campus child care centers (40 percent versus 28 percent). Institutions that were publicly controlled (59 percent) and institutions with enrollments larger than 2,000 students (52 percent) also were more likely to operate on-campus child care centers.
 - The new 2005 CCAMPIS grantee institutions were very likely to have on-campus child care centers already operating. More than three-fourths of these grantees were offering on-campus child care as early as 1998; more than 85 percent offered on-campus child care during the year prior to receiving the grant. The grants enabled a few more institutions to open on-campus centers. By 2006, 90 percent of 2005 CCAMPIS grantees offered on-campus child care.
- 2005 Grantee Performance Reports showed that:
 - New 2005 CCAMPIS grantees received support from a variety of sources, including state funding (80 percent), in-kind contributions (76 percent), institutional funds (69 percent), local/community funding (62 percent) and other sources, and that the child care services they provided extended beyond those funded through the CCAMPIS grant.
 - Nearly all CCAMPIS participants were Pell Grant recipients (92 percent) and the vast majority were female (88 percent). In terms of race/ethnicity, the largest proportion

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- of participants was white (45 percent), and a sizable minority were Hispanic or Latino (23 percent). Nearly one-half of participants were single females who were head of household, and one-third were married females.
- New 2005 CCAMPIS grants supported a total of 167 child care centers at the 94 institutions that provided data for this study. Two of these institutions funded no child care centers through the CCAMPIS program, but instead provided subsidies for Pell Grant recipients to defray or cover the cost of child care at local child care centers.
 - A substantial proportion of the centers operated by CCAMPIS grantees provided child care that met the standards for high-quality child care reflected in the National Association for the Education of Young Children (NAEYC) accreditation criteria. Approximately 85 percent of the 167 child care centers were licensed. In addition, 48 percent were accredited and an additional 24 percent were seeking accreditation. In contrast, only 9.5 percent of all child care centers in the United States were accredited in 2005.
 - Nearly all 2005 CCAMPIS grantee institutions (92 percent) provided full-time child care, and the vast majority (81 percent) offered part-time child care. Fewer offered before- or after-school care for school-age children (30 percent and 42 percent, respectively). Even fewer offered care during nontraditional hours (evenings and weekends), drop-in child care, emergency child care, or 24-hour care (range 2 percent to 21 percent).
 - Forty to 69 percent of institutions provided additional support services for parents, including meetings, classes, and seminars on parenting and other topics; counseling; health screenings; referrals to other agencies; and library resources.
 - During the semester prior to implementation of the CCAMPIS grant, 64 percent of grantee institutions had a waiting list for child care services. At the beginning of the CCAMPIS grant, this increased slightly to 66 percent. At the end of the 18-month reporting period, 76 percent of grantee institutions had a waiting list.
 - To make child care affordable, approximately 81 percent of CCAMPIS grantees offered a sliding-fee scale for services, 45 percent offered partial tuition support, and 36 percent offered free child care services to parents participating in CCAMPIS-funded services.

With respect to persistence and attainment of Pell Grant recipients with children, data from the BPS longitudinal study (1996-2001) indicated that:

- Pell Grant recipients with dependent children are less likely than other Pell Grant recipients to persist in college or attain a degree or certificate. Slightly more than 40 percent of such students with dependent children under age 5 in 1995-96 attained a degree or certificate by 2001 and an additional 7 percent remained enrolled in 2001. During this same time period, 51 percent of Pell Grant recipients

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without children under 5 attained a degree or certificate by 2001 and an additional 15 percent remained enrolled in 2001.

- Among Pell Grant recipients with children under 5 in 1995-1996 who persisted or attained in 2001, 79 percent had a high school diploma, 69 percent were enrolled in college full-time, and only 11 percent had delayed enrollment in postsecondary education after high school. Their counterparts who did not persist or attain did not differ significantly on these characteristics.

HIGHER EDUCATION

GPRA data/HEA program evaluation

(Department of Education Appropriations Act, 2010)

FY 2011 Authorization (\$000s): 0¹

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$609	\$609	0

¹ The program is authorized in fiscal year 2010 through appropriations language. The Administration proposes to continue funding this program in fiscal year 2011 through appropriations language.

PROGRAM DESCRIPTION

The GPRA Data/HEA Program Evaluation program, first funded in fiscal year 2000, enables the Department to obtain data on performance measures needed to measure progress and to carry out evaluations of performance for Higher Education Act (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 data that are needed to assess the performance of individual programs and gives priority to those that are most critical. In the last 5 years, the majority of funds have been used to help the Department collect data that would otherwise not be available to assess the short- and long-term impacts of programs, and, thereby, to meet the requirements of the Government Performance and Results Act (GPRA). Historically, funds for this program have also supported the State teacher quality accountability reports required by Title II of the HEA, for which data are collected and reported annually. However, because of changes to HEA made by the Higher Education Opportunity Act (HEOA), it will no longer be necessary to fund this data collection effort through this program.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$970
2007	970
2008	609
2009	609
2010	609

FY 2011 BUDGET REQUEST

The Administration requests funding of \$609,000 for GPRA Data/HEA Program Evaluation activities in fiscal year 2011, the same as the fiscal year 2010 appropriation. These funds are necessary to collect and analyze performance data and to conduct program evaluations for those higher education programs that either lack funding set-asides to do so, or where funding set-asides are not sufficient to cover costs. GPRA Data/HEA Program Evaluation funds are a critical source of funding for data for program improvement activities. Continued funding will

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GPRA data/HEA program evaluation

ensure that higher education programs have access to the performance information necessary to comply with reporting requirements, assess program effectiveness, make program improvements, and inform budgetary decisions.

Fiscal year 2011 funds will be used to support program evaluations that will provide critical performance data regarding programs outcomes and effectiveness and will allow the Department to address program management and implementation issues. There are also a large number of studies and reports mandated by the HEOA for which no specific funding is authorized. In addition, the Department may use GPRA data/HEA Program Evaluation funds to support one or more studies mandated by the HEOA.

Fiscal year 2011 funds also will be used to continue the TEACH study. The HEOA amended the HEA to require the Department to prepare and submit to Congress not later than August 14, 2010, and every 2 years thereafter, a report on TEACH Grants that includes information on the institutions and students served by the grant recipients, such as the number of TEACH Grant recipients, the degrees obtained by such recipients, the location where grant recipients completed their service obligation, and the duration of such service. The Department will engage a contractor to prepare the reports.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Academic competitiveness and SMART grants study	\$609	\$106	0
TEACH study	0	250	\$250
Assessments and Studies	0	253	359
Total program funding	609	609	609

PROGRAM PERFORMANCE INFORMATION

Since fiscal year 2000, the first year of program funding, GPRA Data/HEA Program Evaluation program funds have been used for data collection, analysis, or evaluation studies for 16 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. Program funds have been used to support the State teacher quality accountability reports required by Title II of the HEA and an evaluation of the Academic competitiveness and SMART grants.

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Underground railroad program

(Higher Education Amendments of 1998, Title VIII, Part H)

FY 2011 Authorization (\$000s): \$3,000

Budget Authority (\$000s):

	<u>2010</u>	<u>2011</u>	<u>Change</u>
	\$1,945	0	-\$1,945

PROGRAM DESCRIPTION

The Underground Railroad (URR) program provides discretionary grants to one or more non-profit educational organizations that are established to house, display, interpret, and communicate information regarding artifacts and other materials relating to the history of the Underground Railroad, including the lessons to be drawn from such history. These grants are used to establish facilities that house, display, interpret, and communicate information to elementary and secondary schools, institutions of higher education, and the general public.

Organizations receiving funds must demonstrate substantial public and private support through a public-private partnership, must create an endowment fund that provides for the ongoing operations of the facility, may establish and maintain a network of satellite centers throughout the United States to help disseminate information regarding the Underground Railroad, and must establish and maintain the capability to electronically link the facility with other local and regional facilities that have collections and programs which interpret the history of the Underground Railroad, and lessons to be drawn from such history. Also, organizations must submit, for each fiscal year for which the organization receives funding, a report to the Department containing a description, plan, and evaluation of the programs and activities supported by the funding and the audited financial statement of the organization for the preceding year.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2006	\$1,980
2007	1,980
2008	1,945
2009	1,945
2010	1,945

FY 2011 BUDGET REQUEST

The Administration requests no funding for the Underground Railroad program for fiscal year 2011. Support for the Underground Railroad program was not intended to be a permanent Federal responsibility. Federal funds provided in prior fiscal years were sufficient to have enabled a number of program grantees to make progress in securing private support by using

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Underground railroad program

public-private partnerships and creating endowment funds to support ongoing operations. Other grantees, however, found it difficult to fully comply with the legislation and regulations governing the program and failed to provide all of the necessary documentation and reports, despite technical assistance provided by the Department. Organizations receiving funding under this program may also be able to apply for funding under broader grant competitions conducted by the Institute of Museum and Library Services. Furthermore, the narrow purpose of this program limits the pool of eligible applicants. Since 2002, the program has had 9 grantees, a few of which received multiple awards year after year.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Number of new awards	3	3	0
Average new award	\$647	\$647	0
Total program funding	\$1,940	\$1,940	0
Peer review of new award applications	\$5	\$5	0
Total award funding	\$1,945	\$1,945	0

PROGRAM PERFORMANCE INFORMATION

Grants made in prior fiscal years have succeeded in spreading the story of the Underground Railroad to the American people. The longest-standing grantee, the National Underground Railroad Freedom Center (the Freedom Center) located on the banks of the Ohio River in downtown Cincinnati, Ohio, opened in August 2004. Since 1999, the Freedom Center, a \$110 million facility, has received just under \$12 million in funding from the URR to support its establishment and operations. The Freedom Center's three buildings include seven exhibit galleries, two theaters, one authentic slave pen relocated from a Kentucky farm, a Teacher Resource Center, and Family Search Center. The Freedom Center's programs include Freedom Station affiliates, educational programming, presentations, performances and curriculum development and outreach. The Freedom Center has collaborated with national and local organizations.

Freedom Center partnerships resulted in Underground Railroad curriculum for K-12 students and teachers, offerings to and visits from nearby colleges and universities, and a significant Web presence. The Freedom Center developed many original educational tours, scholarly lectures, public programs, and permanent and changing exhibitions targeting the general public and institutions of higher education. Additional information on the Freedom Center's activities is available on its website at <http://freedomcenter.org/>.

Another grantee—the New-York Historical Society, New York, NY (N-YHS)—has received support from the URR program over the past 4 years for major exhibition development efforts that have annually attracted more than 200,000 visitors. In 2005, *Slavery in New York* launched

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this intense focus on the little known elements of the slavery era. It marked the first time a major cultural institution brought to the public attention the story of slavery in New York. This exhibit will continue through 2011 and includes exhibitions *New York Divided: Slavery and the Civil War* (2006-2007), *Grant and Lee in War and Peace* (2008-2009), and *Lincoln and New York* (2009-2010).

With URR program support, the Society's exhibitions extended into education and public programs. Every year, the Society presented more than 50 public programs, including Living History Days, walking tours, and weekly debates and discussions by journalists and faculty at local and regional colleges and universities including Princeton, Yale, CUNY, and Columbia. The document- and object-based materials assembled by the N-YHS as part of its work have also been incorporated into undergraduate courses taught by N-YHS staff at the Eugene Lang College, the New School for Liberal Arts, and New York University. Each of the URR-sponsored exhibitions generates supplementary materials—new catalogues, audio tours, and online resources, all of which allow hundreds of thousands of visitors from all corners of the Nation to learn from URR research and programming. The N-YHS reaches out to the scholarly community. Every year, its URR collections have reached more than 5,000 onsite library researchers. In order to broaden the reach of its URR programming, the Society posted digital collections and resource guides on the N-YHS flagship website. Three new exhibition websites were launched, www.slaveryinnewyork.org; www.nydivided.org; www.nyhistory.org/web/grantandlee; and the Society is currently developing a fourth.

The most recent URR grant has underwritten the production of *Lincoln and New York* which opened in fall 2009 and *Revolution!*, an exhibition that describes how revolutions in America, France and Haiti uniquely defined notions of freedom, equality, and human rights, and played a key role in the abolition of slavery in the U.S. by serving as a foundation for the rhetoric and activism of abolitionists.

HIGHER EDUCATION

Loan repayment for civil legal assistance attorneys

(Higher Education Act of 1965, Title IV, Part B, Section 428L)

FY 2011 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

<u>2010</u>	<u>2011</u>	<u>Change</u>
\$5,000	0	-\$5,000

PROGRAM DESCRIPTION

Under the Loan Repayment for Civil Legal Assistance Attorneys program, which was authorized by the Higher Education Opportunity Act of 2008, qualified individuals who enter and continue employment as civil legal assistance attorneys can receive up to \$40,000 in loans forgiveness benefits. Qualifying recipients must be full-time employees of either a nonprofit organization that provides legal assistance with respect to civil matters to low-income individuals at no cost or a protection and advocacy system or client assistance program that provides legal assistance with respect to civil matters and receives funding under a number of Federal laws related primarily to disability or social security benefits.

Loan forgiveness is available on Stafford, Unsubsidized Stafford, Graduate PLUS, or Perkins Loans, as well as Consolidation Loans used to repay Stafford, Unsubsidized Stafford, Graduate PLUS, or Perkins Loans. Loans in default are not eligible for forgiveness.

To qualify for forgiveness benefits, borrowers must sign an agreement with the Department specifying that they will: 1) remain employed as a civil legal assistance attorney for a required period of service of not less than 3 years, unless involuntarily separated; and 2) repay any forgiveness benefits if involuntarily separated on account of misconduct, or if voluntarily separated before the end of the agreed upon service period. The Department may waive repayment of forgiveness benefits in individual cases if it would be contrary to the public interest.

Subject to the availability of appropriations, the Department shall make student loan payments on behalf of borrowers for the period of the agreement. Payments may not be made for periods prior to the establishment of the agreement. Payments may not exceed \$6,000 a year or \$40,000 in total. Awards are made on a first-come, first-served basis, with priority given to borrowers who have practiced law for 5 years or less and, for not less than 90 percent of that time, have served as a civil legal assistance attorney, has received repayment benefits under this program during the preceding fiscal year, and has completed less than 3 years of the first required period of service specified in their agreement.

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Loan repayment for civil legal assistance attorneys

Funding levels for the past 5 fiscal years were:

(\$000s)

2006	0 ¹
2007	0 ¹
2008	0 ¹
2009	0
2010	\$5,000

¹ This program was not authorized prior to fiscal year 2009.

FY 2011 BUDGET REQUEST

The Administration's fiscal year 2011 budget request includes no funding for this new program, which is unnecessary since civil legal service attorneys already qualify for loan forgiveness benefits under the Public Service Loan Forgiveness provisions of the William D. Ford Direct Student Loan program. In addition, the Administration has found loan forgiveness programs funded through discretionary funds to be inequitable, given the likelihood that available funding will not be sufficient to fund awards to all eligible recipients. For example, the fiscal year 2010 appropriation would fund approximately 830 awards assuming the \$6,000 annual forgiveness level, while the number of potentially eligible borrowers exceeds 10,000. Such programs have also proven to be extremely difficult to administer, given the need to develop processes to make awards on a first-come, first-served basis.

PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>	<u>2010</u>	<u>2011</u>
Recipients	0	833	0
Aid available to students	0	\$5,000	0
Average award (in whole \$)	0	\$6,000	0