

**Department of Education**  
**HIGHER EDUCATION**  
**Fiscal Year 2020 Budget Request**  
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## HIGHER EDUCATION

For carrying out, to the extent not otherwise provided, titles [II, ]<sup>1</sup> III, IV, V, [VI,]<sup>2</sup> and VII of the HEA, [the Mutual Educational and Cultural Exchange Act of 1961,]<sup>3</sup> and section 117 of the Carl D. Perkins Career and Technical Education Act of 2006, [\$2,312,356,000] \$1,534,487,000: [*Provided*, 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:]<sup>4</sup> [*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:]<sup>5</sup> [*Provided further*, That up to 1.5 percent of the funds made available under chapter 2 of subpart 2 of part A of title IV of the HEA may be used for evaluation:]<sup>6</sup>  
(*Department of Education Appropriations Act, 2019.*)

## TITLE III GENERAL PROVISIONS

SEC. [305]304. (a) An institution of higher education that maintains an endowment fund supported with funds appropriated for title III or V of the HEA for fiscal year [2019]2020 may use the income from that fund to award scholarships to students, subject to the limitation in section 331(c)(3)(B)(i) of the HEA. The use of such income for such purposes, prior to the enactment of this Act, shall be considered to have been an allowable use of that income, subject to that limitation.<sup>7</sup>

## HIGHER EDUCATION

(b) Subsection (a) shall be in effect until titles III and V of the HEA are reauthorized.<sup>8</sup>

SEC. 307. Section 402H(b) of the Higher Education Act of 1965 (20 U.S.C. 1070a–18(b)) is amended —

(a) in paragraph (2) —

(1) by striking "shall" and inserting "may" in the material before clause (i) in subparagraph (A); and

(2) by inserting "the rigorous evaluation of the programs authorized by this chapter, which may also include" after "primary purpose" in subparagraph (B);  
and

(b) by striking paragraph (3) in its entirety and redesignating paragraph (4) as paragraph (3).

*(Department of Education Appropriations Act, 2019.)*<sup>9</sup>

### 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 appropriations language.

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### Analysis of Language Provisions and Changes

Language Provision	Explanation
<sup>1</sup> ...[II,]	This citation is deleted because no funds are requested for Teacher Quality Partnership in fiscal year 2020.
<sup>2</sup> ...[VI,]	This citation is deleted because no funds are requested for the Title VI International Education and Foreign Language Studies: Domestic Programs in fiscal year 2020.
<sup>3</sup> [the Mutual Educational and Cultural Exchange Act of 1961,]	This citation is deleted because no funds are requested for the International Education and Foreign Language Studies: Overseas Programs in fiscal year 2020.
<sup>4</sup> [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:]	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. This citation is deleted because no funds are requested for the Title VI International Education and Foreign Language Studies: Domestic and Overseas Programs in fiscal year 2020.

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### Analysis of Language Provisions and Changes

Language Provision	Explanation
<sup>5</sup> <i>[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:]</i>	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. This citation is deleted because no funds are requested for the Title VI International Education and Foreign Language Studies: Domestic and Overseas Programs in fiscal year 2020.
<sup>6</sup> <i>[Provided further, That up to 1.5 percent of the funds made available under chapter 2 of subpart 2 of part A of title IV of the HEA may be used for evaluation:]</i>	This language permits the Department to use up to 1.5 percent of the funds appropriated for Gaining Early Awareness and Readiness for Undergraduate Programs for evaluation. This citation is deleted because no funds are requested for GEAR UP in fiscal year 2020.
<b>TITLE III GENERAL PROVISIONS</b>  <sup>7</sup> SEC. [305] <u>304</u> . (a) An institution of higher education that maintains an endowment fund supported with funds appropriated for title III or V of the HEA for fiscal year [2019] <u>2020</u> may use the income from that fund to award scholarships to students, subject to the limitation in section 331(c)(3)(B)(i) of the HEA. The use of such income for such purposes, prior to the enactment of this Act, shall be considered to have been an allowable use of that income, subject to that limitation.	This language permits institutions of higher education supported by funds authorized by title III or V of the HEA to use the income from their endowment fund to award scholarships to students.

## HIGHER EDUCATION

### Analysis of Language Provisions and Changes

Language Provision	Explanation
<sup>8</sup> (b) Subsection (a) shall be in effect until titles III and V of the HEA are reauthorized.	This language recognizes that the preceding proviso shall remain in effect until the HEA is reauthorized.
<sup>9</sup> <u>SEC. 307. Section 402H(b) of the Higher Education Act of 1965 (20 U.S.C. 1070a–18(b)) is amended —</u> <u>(a) in paragraph (2) —</u> <u>(1) by striking "shall" and inserting "may" in the material before clause (i) in subparagraph (A); and</u> <u>(2) by inserting "the rigorous evaluation of the programs authorized by this chapter, which may also include" after "primary purpose" in subparagraph (B); and</u> <u>(b) by striking paragraph (3) in its entirety and redesignating paragraph (4) as paragraph (3).</u>	This language restores the Department's ability to conduct impact evaluations to assess overall program effectiveness of the Federal TRIO Programs using the most rigorous methodological approaches.

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### Appropriation, Adjustments, and Transfers (dollars in thousands)

Appropriation/Adjustments/Transfers	2018	2019	2020
<b>Discretionary:</b>			
Appropriation.....	\$2,246,551	\$2,312,356	\$1,534,487
<b>Mandatory:</b>			
Appropriation .....	255,000	255,000	0
Sequester (P.L. 112-25).....	<u>-16,830</u>	<u>-15,810</u>	<u>0</u>
Total, adjusted mandatory appropriation ..	<u>238,170</u>	<u>239,190</u>	<u>0</u>
Total, adjusted discretionary and mandatory appropriation.....	2,484,721	2,551,546	1,534,487

## HIGHER EDUCATION

### Summary of Changes (dollars in thousands)

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2019 Discretionary.....	\$2,312,356
2019 Mandatory .....	239,190
2020 Discretionary.....	1,534,487
2020 Mandatory .....	<u>0</u>
Net change .....	-1,017,059

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#### **Discretionary:**

##### **Increases:**

###### Program:

Funding is requested for a new Consolidated Minority-Serving Institution (MSI) Grant proposal to merge six existing Title III and V programs that have similar purposes and activities into a single new authority that would continue to provide funding for programs that specifically serve large numbers of minority students.

0      +\$147,906

Subtotal, discretionary increases

+147,906

##### **Decreases:**

###### Program:

Decrease funding for individual HEA Title III and V program authorities because funding is requested under new MSI Consolidated Grant proposal.

• Strengthening Alaska Native and Native Hawaiian-serving Institutions	\$15,930	-15,930
• Strengthening Predominantly Black Institutions	11,475	-11,475
• Strengthening Asian American and Native American Pacific Islander-serving Institutions	3,864	-3,864
• Strengthening Native American-serving Nontribal Institutions	3,864	-3,864
• Developing Hispanic-Serving Institutions	124,415	-124,415
• Promoting Postbaccalaureate Opportunities for Hispanic Americans	11,163	-11,163



## HIGHER EDUCATION

### Summary of Changes—Continued (dollars in thousands)

<b><u>Discretionary:</u></b>	<b><u>2019 base</u></b>	<b><u>Change from base</u></b>
<b>Decreases:</b>		
<b><u>Program:</u></b>		
Eliminate funding for the Strengthening Institutions Program (SIP) because the Administration believes the SIP program is duplicative of approximately 9 other Title III and V programs that provide both discretionary and mandatory funding for a wide range of authorized institutional support activities including strengthening infrastructure and enhancing fiscal stability.	\$99,875	-\$99,875
Decrease funding for the Strengthening Tribally Controlled Colleges and Universities program to refocus scarce Federal funds on higher priority programs and activities while maintaining the fiscal discipline required to reduce the Federal deficit.	31,854	-4,255
Decrease funding for the Minority Science and Engineering Improvement Program to refocus scarce Federal funds on higher priority programs and activities while maintaining the fiscal discipline required to reduce the Federal deficit.	11,135	-1,487
Eliminate funding for International Education and Foreign Language Studies: Domestic Programs to refocus Federal education investments on flexible formula grant programs serving the Nation's most vulnerable student populations while reducing or eliminating funding for programs that are duplicative, ineffective, or more appropriately supported with State, local or private funds.	65,103	-65,103
Eliminate funding for International Education and Foreign Language: Overseas Programs to refocus Federal education investments on flexible formula grant programs serving the Nation's most vulnerable student populations while reducing or eliminating funding for programs that are duplicative, ineffective, or more appropriately supported with State, local or private funds.	7,061	-7,061

## HIGHER EDUCATION

### Summary of Changes—Continued (dollars in thousands)

<b><u>Discretionary:</u></b>	<b><u>2019 base</u></b>	<b><u>Change from base</u></b>
<b>Decreases:</b>		
<u>Program:</u>		
Decrease funding for Tribally Controlled Postsecondary Career and Technical Institutions to refocus scarce Federal funds on higher priority programs and activities while maintaining the fiscal discipline required to reduce the Federal deficit.	\$9,564	-\$1,278
Decrease funding for the Federal TRIO Programs to a level at which the Department would still be able to fully fund all TRIO continuation awards and allocate significant funding to States through the proposal to transition TRIO from a series of competitive grant programs to a proposed State formula grant program.	1,060,000	-110,000
Eliminate funding for Gaining Early Awareness and Readiness for Undergraduate Programs because many of the activities supported under GEAR UP can be supported through other programs, and there is limited rigorous evidence that the program is effective.	360,000	-360,000
Eliminate funding for Graduate Assistance in Areas of National Need program because it is a high cost program that serves a small number of graduate students and is more appropriately supported through other Federal programs, as well as through institutional and other non-Federal resources.	23,047	-23,047
Decrease funding for the Child Care Access Means Parents in School program to return the program to its funding level before the increases enabled by the Bipartisan Budget Act of 2018.	50,000	-34,866
Eliminate funding for the Fund for the Improvement of Postsecondary Education because the Administration believes that the awards made under the Open Textbook Pilot in fiscal years 2018 and 2019 are sufficient to provide a meaningful demonstration of the potential for open source textbooks to improve the quality of instruction while generating significant savings for students.	5,000	-5,000

## HIGHER EDUCATION

### Summary of Changes—Continued (dollars in thousands)

<b><u>Discretionary:</u></b>	<b><u>2019 base</u></b>	<b><u>Change from base</u></b>
<b>Decreases:</b>		
<b><u>Program:</u></b>		
Eliminate funding for the Teacher Quality Partnership program because the Administration has determined that funding to support partnerships that enhance professional development activities and training for current and prospective teachers and staff may be provided through Elementary and Secondary Education Act (ESEA) formula grant funds (e.g., Title I, Title III), as well as from competitive grant programs.	\$43,092	<u>-\$43,092</u>
Subtotal, discretionary decreases		-925,775
<b><u>Mandatory:</u></b>		
<b>Decreases:</b>		
<b><u>Program:</u></b>		
Eliminate funding for the mandatory Strengthening Tribally Controlled Colleges and Universities program because the authorization of funding expires at the end of fiscal year 2019.	28,140	-28,140
Eliminate funding for the mandatory Strengthening Alaska Native and Native Hawaiian-serving Institutions program because the authorization of funding expires at the end of fiscal year 2019.	14,070	-14,070
Eliminate funding for the mandatory Strengthening Historically Black Colleges and Universities program because the authorization of funding expires at the end of fiscal year 2019.	79,730	-79,730
Eliminate funding for the mandatory Strengthening Predominantly Black Institutions program because the authorization of funding expires at the end of fiscal year 2019.	14,070	-14,070
Eliminate funding for the mandatory Strengthening Asian American and Native American Pacific Islander-serving Institutions program because the authorization of funding expires at the end of fiscal year 2019.	4,690	-4,690
Eliminate funding for the mandatory Strengthening Native American-serving Nontribal Institutions program because the authorization of funding expires at the end of fiscal year 2019.	4,690	-4,690

## HIGHER EDUCATION

### Summary of Changes—Continued (dollars in thousands)

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<b><u>Mandatory:</u></b>	<b><u>2019 base</u></b>	<b><u>Change from base</u></b>
<b>Decreases:</b>		
<b><u>Program:</u></b>		
Eliminate funding for the mandatory developing Hispanic-serving Institutions STEM and Articulation programs because the authorization of funding expires at the end of fiscal year 2019.	\$93,800	<u>-\$93,800</u>
Subtotal, mandatory decreases		<u>-239,190</u>
Net change		-1,017,059

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## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

Activity	2019 Authorized	2019 Estimate	2020 Authorized	2020 Request
Aid for institutional development:				
Strengthening tribally controlled colleges and universities (HEA-III-A-316).....	0	\$31,854	To be determined <sup>1</sup>	\$27,599
Strengthening historically Black colleges and universities (HEA-III-B-323) .....	0	282,420	To be determined <sup>1</sup>	282,420
Strengthening historically Black graduate institutions (HEA-III-B-326).....	0	73,037	To be determined <sup>1</sup>	73,037
Strengthening HBCU Master's Program (HEA-VII-A-4-723)	0	8,657	To be determined <sup>1</sup>	8,657
Minority science and engineering improvement (HEA-III-E-1).....	0	11,135	To be determined <sup>1</sup>	9,648
Consolidated MSI Grant (proposed legislation).....	0	0	To be determined <sup>1</sup>	147,906
Other aid for institutions:				
Model comprehensive transition and postsecondary programs for students with intellectual disabilities into higher education (HEA-VII-D-2).....	0	11,800	To be determined <sup>1</sup>	11,800
Tribally controlled postsecondary career and technical institutions (Carl D. Perkins CTEA section 117).....	9,763	9,564	9,899 <sup>2</sup>	8,286
Federal TRIO programs (HEA IV-A-2-1).....	0	1,060,000	To be determined <sup>1</sup>	950,000
Child care access means parents in school (HEA-IV-A-7) .....	0	50,000	To be determined <sup>1</sup>	15,134
<u>Unfunded authorizations</u>				
Interest subsidy grants (HEA-I-121).....	0	0	0	0
Teacher quality partnership (HEA II-A) .....	0	43,092	0	0
Hawkins Centers of Excellence (HEA-II-B-2) (discretionary).....	0	0	0	0
Aid for institutional development:				
Strengthening institutions (HEA-III-A-311).....	0	99,875	0	0

## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

		2019	2019	2020	2020
Activity		Authorized	Estimate	Authorized	Request
<u>Unfunded authorizations</u>					
R-13	Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA-III-A-317).....	0	\$15,930	0	0
	Strengthening predominantly Black institutions (HEA-III-A-318).....	0	11,475	0	0
	Strengthening Native American-serving Nontribal institutions (HEA-III-A-319).....	0	3,864	0	0
	Strengthening Asian American and Native American Pacific Islander-serving institutions (HEA-III-A-320).....	0	3,864	0	0
	Endowment challenge grants (HEA-III-C-331).....	0	0	0	0
	Programs in STEM Fields (HEA-III-E-2) .....	0	0	0	0
	Strengthening tribally controlled colleges and Universities (HEA-III-F-371) (mandatory).....	\$30,000 <sup>3</sup>	28,140 <sup>3</sup>	0	0
	Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA-III-F-371) (mandatory).....	15,000 <sup>3</sup>	14,070 <sup>3</sup>	0	0
	Strengthening historically Black colleges and universities (HEA-III-F-371) (mandatory).....	85,000 <sup>3</sup>	79,730 <sup>3</sup>	0	0
	Strengthening predominantly Black institutions (HEA-III-F-371) (mandatory).....	15,000 <sup>3</sup>	14,070 <sup>3</sup>	0	0
	Strengthening Asian American and Native American Pacific Islander-serving institutions (HEA-III-F-371)(mandatory).....	5,000 <sup>3</sup>	4,690 <sup>3</sup>	0	0
	Strengthening Native American-serving Nontribal institutions (HEA-III-F-371) (mandatory) .....	5,000 <sup>3</sup>	4,690 <sup>3</sup>	0	0
	Aid for Hispanic-serving institutions:				
	Mandatory developing HSI STEM and articulation programs (HEA III-F-371(b)(2)(B)) (mandatory).....	100,000 <sup>3</sup>	93,800 <sup>3</sup>	0	0

## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

Activity	2019 Authorized	2019 Estimate	2020 Authorized	2020 Request
<u>Unfunded authorizations</u>				
Assistance for students:				
Gaining early awareness and readiness for undergraduate programs ( <i>HEA-IV-A-2-2</i> ) .....	0	\$360,000 <sup>4</sup>	0	0
Byrd honors scholarships ( <i>HEA-IV-A-6</i> ) .....	0	0	0	0
Loan repayment for civil legal assistance attorneys ( <i>HEA-IV-B, section 428L</i> ) .....	0	0	0	0
Aid for Hispanic-serving institutions:				
Developing Hispanic-serving institutions ( <i>HEA-V-A</i> ) .....	0	124,415	0	0
Promoting postbaccalaureate opportunities for Hispanic Americans ( <i>HEA-V-B-512</i> ) ( <i>discretionary</i> ) .....	0	11,163	0	0
International education and foreign language studies:				
Domestic programs ( <i>HEA-VI-A and B</i> ) .....	0	65,103	0	0
Overseas programs ( <i>MECEA-102(b)(6)</i> ) .....	Indefinite	7,061	Indefinite	0
Institute for international public policy ( <i>HEA-VI-C</i> ) .....	0	0	0	0
Science and technology advanced foreign language Education ( <i>HEA-VI-D-637</i> ) .....	0	0	0	0
Javits fellowships ( <i>HEA-VII-A-1</i> ) .....	0	0	0	0
Graduate assistance in areas of national need ( <i>HEA-VII-A-2</i> ) ..	0	23,047	0	0
Thurgood Marshall legal educational opportunity program ( <i>HEA-VII-A-3</i> ) .....	0	0	0	0
Fund for the improvement of postsecondary education ( <i>HEA-VII-B</i> ) .....	0	5,000	0	0
National Technical Assistance Center ( <i>HEA-VII-D-4(a)</i> ) .....	0	0	0	0
College access challenge grant program ( <i>HEA-VII-E</i> ) ( <i>discretionary</i> ) .....	0	0	0	0

## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

		2019	2019	2020	2020
Activity		Authorized	Estimate	Authorized	Request
<u>Unfunded authorizations</u>					
R-15	College access challenge grants program (HEA-VII-E) (mandatory) .....	0	0	0	0
	Project GRAD (HEA-VIII-A) .....	0	0	0	0
	Mathematics and science scholars program (HEA-VIII-B) .....	0	0	0	0
	Business workforce partnerships for job skill training in high growth occupations or industries (HEA-VIII-C) .....	0	0	0	0
	Capacity for nursing students and faculty (HEA-VIII-D) .....	0	0	0	0
	American history for freedom (HEA-VIII-E) .....	0	0	0	0
	Patsy T. Mink fellowship program (HEA-VIII-G) .....	0	0	0	0
	Improving college enrollment by secondary schools (HEA-VIII-H) .....	0	0	0	0
	Early childhood education professional development and career task force (HEA-VIII-I) .....	0	0	0	0
	Improving science, technology, engineering, and mathematics education with a focus on Alaska Native and Native Hawaiian students (HEA-VIII-J) .....	0	0	0	0
	Pilot programs to increase college persistence and success (HEA-VIII-K) .....	0	0	0	0
	Student safety and campus emergency management (HEA-VIII-L-821) .....	0	0	0	0
	Education disaster and emergency relief loan program (HEA-VIII-L-824) .....	0	0	0	0
	Low tuition (HEA-VIII-M) .....	0	0	0	0
	Cooperative education (HEA-VIII-N) .....	0	0	0	0
	College partnership grants (HEA-VIII-O) .....	0	0	0	0
	Jobs to careers (HEA-VIII-P) .....	0	0	0	0



## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

		2019	2019	2020	2020
Activity		Authorized	Estimate	Authorized	Request
<u>Unfunded authorizations</u>					
R-16	Rural development grants for rural-serving colleges and universities ( <i>HEA-VIII-Q</i> ) .....	0	0	0	0
	Campus-based digital theft prevention ( <i>HEA-VIII-R</i> ).....	0	0	0	0
	University sustainability programs ( <i>HEA-VIII-U-881</i> ).....	0	0	0	0
	Modeling and simulation programs ( <i>HEA-VIII-V</i> ) .....	0	0	0	0
	Math to success program ( <i>HEA-VIII-W</i> ).....	0	0	0	0
	School of veterinary medicine competitive grant program ( <i>HEA-VIII-X</i> ) .....	0	0	0	0
	Early Federal Pell Grant commitment demonstration program ( <i>HEA-VIII-Y</i> ) .....	0	0	0	0
	Master's degree programs at HBCUs and PBIs ( <i>HEA VIII-AA-897</i> ) .....	0	0	0	0
	Promoting postbaccalaureate opportunities for Hispanic Americans ( <i>HEA-VIII-AA-898</i> ) .....	0	0	0	0
	Grants to states for workplace and community transition training for incarcerated individuals ( <i>Higher Education Amendments of 1998-VIII-D</i> ) .....	0	0	0	0
	B.J. Stupak Olympic scholarships ( <i>Higher Education Amendments of 1992, Section 1543</i> ).....	0	0	0	0
	Underground railroad program ( <i>Higher Education Amendments of 1998-VIII-H</i> ) .....	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
	Total definite authorization.....	\$255,000		0	
	Total appropriation.....		\$2,551,546		\$1,534,487
	Total discretionary appropriation.....		2,312,356		1,534,487
	Portion of discretionary request subject to reauthorization.....				1,534,487
	Portion of the discretionary request not authorized.....		0		0

## HIGHER EDUCATION

### Authorizing Legislation (dollars in thousands)

Activity	2019 Authorized	2019 Estimate	2020 Authorized	2020 Request
Total mandatory appropriation .....		\$239,190		0
Portion of the mandatory request not authorized .....		0		0

<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2020.

<sup>2</sup> The GEPA extension expired September 30, 2013; reauthorizing legislation is sought for fiscal year 2020.

<sup>3</sup> Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through fiscal year 2019.

<sup>4</sup> 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.

## HIGHER EDUCATION

### Appropriations History (dollars in thousands)

Year	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2011 Discretionary	\$2,131,493	\$2,177,915 <sup>1</sup>	\$2,243,895 <sup>2</sup>	\$1,903,944 <sup>3</sup>
2011 Mandatory	80,000	485,000	485,000	485,000
2012 Discretionary	2,277,069	1,628,052 <sup>4</sup>	1,903,946 <sup>4</sup>	1,869,656
2012 Mandatory	428,000	428,000	428,000	428,000
2013 Discretionary	1,950,590	1,869,656 <sup>5</sup>	1,911,348 <sup>5</sup>	1,881,098
2013 Mandatory	428,000	428,000	428,000	406,173
2014 Discretionary	2,182,799	N/A <sup>6</sup>	1,906,394 <sup>1</sup>	1,925,408
2014 Mandatory	428,000		428,000	397,184
2015 Discretionary	2,025,457	N/A <sup>6</sup>	1,968,799 <sup>7</sup>	1,924,839
2015 Mandatory	4,902,000		255,000	236,385
2016 Discretionary	2,072,045	1,909,042 <sup>8</sup>	2,038,510 <sup>8</sup>	1,982,185
2016 Mandatory	2,266,842	255,000	255,000	237,660
2017 Discretionary	2,189,200 <sup>9</sup>	1,976,666 <sup>9</sup>	1,986,792 <sup>9</sup>	2,055,439 <sup>9</sup>
2017 Mandatory	2,060,121	2,060,121	2,060,121	237,405
2018 Discretionary	1,545,305	2,038,126 <sup>10</sup>	2,048,439 <sup>10</sup>	2,246,551 <sup>10</sup>
2018 Mandatory	255,000	255,000	255,000	238,170
2019 Discretionary	1,485,848	2,300,551 <sup>11</sup>	2,260,551 <sup>11</sup>	2,312,356 <sup>11</sup>
2019 Mandatory	255,000	255,000	255,000	239,190
2020 Discretionary	1,534,487			
2020 Mandatory	0			

<sup>1</sup> The level for the House allowance reflects the House-passed full-year continuing resolution.

<sup>2</sup> The level for the Senate allowance reflects Committee action only.

<sup>3</sup> The level for appropriation reflects the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (P.L. 112-10).

<sup>4</sup> The level for the House allowance reflects an introduced bill; the level for the Senate allowance reflects Senate Committee Action only.

<sup>5</sup> The levels for the House and Senate allowance reflect action on the regular annual 2013 appropriations bill, which proceeded in the 112<sup>th</sup> Congress only through the House Subcommittee and the Senate Committee.

<sup>6</sup> The House allowance is shown as N/A because there was no Subcommittee action.

<sup>7</sup> The level for the Senate allowance reflects Senate Subcommittee action only.

<sup>8</sup> The levels for House and Senate allowances reflect action on the regular annual 2016 appropriations bills, which proceeded in the 14<sup>th</sup> Congress only through the House Committee and Senate Committee.

<sup>9</sup> The levels for the House and Senate allowances reflect Committee action on the regular annual 2017 appropriations bill; the Appropriation reflects the Consolidated Appropriations Act, 2017.

<sup>10</sup> The level for the House allowance reflects floor action on the Omnibus appropriations bill; the Senate allowance reflects Committee action on the regular annual 2018 appropriations bill; the Appropriation reflects the Consolidated Appropriations Act, 2018 (P.L. 115-141).

<sup>11</sup> The levels for the House and Senate Allowance reflect Committee action on the regular annual 2019 appropriations bill; the Appropriation reflects enactment of the Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019 (P.L. 115-245).

## HIGHER EDUCATION

### Significant Items in FY 2019 Appropriations Reports

#### Federal TRIO Programs

Senate: The Committee notes there is concern about the Department's planned allocation of the \$60,000,000 increase provided in fiscal year 2018 for TRIO. The Committee directs the Department to include in its fiscal year 2020 CJ information on how these increased funds were allocated, including a detailed budget justification. Further, the Committee expects funding allocations like this to be included in the Department's operating plan required under section 516 of this act in future fiscal years.

Response: The Department has included the requested information in the fiscal year 2020 CJ for the Federal TRIO programs.

Explanatory Statement: The Committee is concerned with the Department's planned allocation of the \$60,000,000 increase provided in fiscal year 2018 for TRIO, especially given language in the House report which specified the funding should be allocated as it was in fiscal year 2017. The Committee expects funding allocations such as these to be included in the Department's operating plan in future fiscal years.

JOINT STATEMENT: The conferees reiterate concerns communicated in both the House and Senate reports related to the allocation of the fiscal year 2018 funding for TRIO programs. The Department's plan disregarded House direction to allocate funding in the same ratio as the prior fiscal year. In addition, there is also concern that the Department may be placing burdensome requirements for the existing awardees in order for them to receive any additional funding. The conferees direct the Department to include in its fiscal year 2020 Congressional Justification information about how these additional funds were awarded, including a detailed budget justification. Additionally, the conferees expect plans for funding allocations by activity within the TRIO programs to be included in the operating plan required under section 516 of this Act. Last, the conferees direct the Department to brief the Committees on Appropriations of the House of Representatives and the Senate on final funding allocations at least 30 days prior to the awarding of additional funding and/or the posting of a Notice Inviting Applications for New Awards.

Response: The Department has included the requested information in the fiscal year 2020 CJ for the Federal TRIO programs and has provided the briefing regarding plans for allocating fiscal year 2019 TRIO funds, as directed by the conferees.

## HIGHER EDUCATION

### **Gaining Early Awareness and Readiness for Undergraduate Programs**

Explanatory  
Statement:

The conferees direct the Department to announce Notices Inviting Applications for New Awards for State Grants and Partnership Grants in the Federal Register. In such notice for State grants, the conferees direct the Department to uphold the long-standing guidance that States may only administer one active State GEAR UP grant at a time. The Secretary is directed to provide written guidance in the Federal Register notifying applicants that only States without an active State GEAR UP grant, or States that have an active State GEAR UP grant that is scheduled to end prior to October 1, 2019, will be eligible to receive a new State GEAR UP award funded in whole or in part by this appropriation.

Response:

Given the small amount of funding available for new awards in fiscal year 2019 and the need to rebalance GEAR UP funding towards State awards to comply with the requirements in Section 404B(a) of the HEA, the Department is planning to conduct a GEAR UP State competition only in fiscal year 2019. As in the fiscal year 2018 GEAR UP State competition, the Department will follow the directive and stipulate that only States without an active GEAR UP grant may apply for funding in fiscal year 2019.

### **Fund for the Improvement of Postsecondary Education**

Senate:

In addition, the Committee directs the Department to require any institution of higher education receiving a grant through the Open Textbook Pilot to report to the Secretary regarding the effectiveness of the project in expanding the use of open textbooks and in achieving savings for students; the impact of the project on expanding the use of open textbooks at institutions of higher education outside of the institution receiving the grant; open textbooks created or adapted under the grant, including instructions on where the public can access each open textbook; the impact of the project on instruction and student learning outcomes; and all project costs, including the value of any volunteer labor and institutional capital used for the project. Such reports should be made publicly available.

Response:

The Department plans to comply with this directive.

# HIGHER EDUCATION

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## DEPARTMENT OF EDUCATION FISCAL YEAR 2020 PRESIDENT'S BUDGET

(in thousands of dollars)

		Cat Code	2018 Appropriation	2019 Appropriation	2020 President's Budget	2020 President's Budget Compared to 2019 Appropriation	
						Amount	Percent
Higher Education							
1. Aid for institutional development:							
(a)	Strengthening institutions (HEA III-A, section 311)	D	98,886	99,875	0	(99,875)	-100.00%
(b)	Strengthening tribally controlled colleges and universities (HEA III-A, section 316)	D	31,539	31,854	27,599	(4,255)	-13.36%
(c)	Mandatory strengthening tribally controlled colleges and universities (HEA III-F, section 371)	M	28,020	28,140	0	(28,140)	-100.00%
	Subtotal		59,559	59,994	27,599	(32,395)	-54.00%
(d)	Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-A, section 317)	D	15,772	15,930	0	(15,930)	-100.00%
(e)	Mandatory strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-F, section 371)	M	14,010	14,070	0	(14,070)	-100.00%
	Subtotal		29,782	30,000	0	(30,000)	-100.00%
(f)	Strengthening HBCUs (HEA III-B, section 323)	D	279,624	282,420	282,420	0	0.00%
(g)	Mandatory strengthening HBCUs (HEA III-F, section 371)	M	79,390	79,730	0	(79,730)	-100.00%
	Subtotal		359,014	362,150	282,420	(79,730)	-22.02%
(h)	Strengthening historically Black graduate institutions (HEA III-B, section 326)	D	72,314	73,037	73,037	0	0.00%
(i)	Strengthening HBCU masters program (HEA, Title VII, section 723)	D	8,571	8,657	8,657	0	0.00%
(j)	Strengthening predominantly Black institutions (HEA III-A, section 318)	D	11,361	11,475	0	(11,475)	-100.00%
(k)	Mandatory strengthening predominantly Black institutions (HEA III-F, section 371)	M	14,010	14,070	0	(14,070)	-100.00%
	Subtotal		25,371	25,545	0	(25,545)	-100.00%
(l)	Strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-A, section 320)	D	3,826	3,864	0	(3,864)	-100.00%
(m)	Mandatory strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-F, section 371)	M	4,670	4,690	0	(4,690)	-100.00%
	Subtotal		8,496	8,554	0	(8,554)	-100.00%
(n)	Strengthening Native American-serving nontribal institutions (HEA III-A, section 319)	D	3,826	3,864	0	(3,864)	-100.00%
(o)	Mandatory strengthening Native American-serving nontribal institutions (HEA III-F, section 371)	M	4,670	4,690	0	(4,690)	-100.00%
	Subtotal		8,496	8,554	0	(8,554)	-100.00%
(p)	Minority science and engineering improvement (HEA III-E-1)	D	11,025	11,135	9,648	(1,487)	-13.35%
	Subtotal, Aid for institutional development		681,514	687,501	401,361	(286,140)	-41.62%
	Discretionary	D	536,744	542,111	401,361	(140,750)	-25.96%
	Mandatory	M	144,770	145,390	0	(145,390)	-100.00%

NOTES: D = discretionary program; M = mandatory program  
Detail may not add to totals due to rounding.

For most mandatory programs, with the exception of Pell Grants, Credit Liquidating, and Credit Reestimates, the levels shown in the 2019 Appropriation column reflect the 6.2 percent reduction that went into effect on October 1, 2018, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

# HIGHER EDUCATION

## DEPARTMENT OF EDUCATION FISCAL YEAR 2020 PRESIDENT'S BUDGET

(in thousands of dollars)

		Cat Code	2018 Appropriation	2019 Appropriation	2020 President's Budget	2020 President's Budget Compared to 2019 Appropriation	
						Amount	Percent
<b>Higher Education (continued)</b>							
2.	Aid for Hispanic-serving institutions:						
(a)	Developing Hispanic-serving institutions (HEA V-A)	D	123,183	124,415	0	(124,415)	-100.00%
(b)	Mandatory developing HSI STEM and articulation programs (HEA III-F, section 371(b)(2)(B))	M	93,400	93,800	0	(93,800)	-100.00%
(c)	Promoting postbaccalaureate opportunities for Hispanic Americans (HEA V, section 512)	D	11,052	11,163	0	(11,163)	-100.00%
	Subtotal		227,635	229,378	0	(229,378)	-100.00%
	Discretionary		134,235	135,578	0	(135,578)	-100.00%
	Mandatory		93,400	93,800	0	(93,800)	-100.00%
3.	Consolidated MSI Grant (proposed legislation)	D	0	0	147,906	147,906	---
4.	Other aid for institutions:						
(a)	International education and foreign language studies:						
(1)	Domestic programs (HEA VI-A and B)	D	65,103	65,103	0	(65,103)	-100.00%
(2)	Overseas programs (MECEA section 102(b)(6))	D	7,061	7,061	0	(7,061)	-100.00%
	Subtotal		72,164	72,164	0	(72,164)	-100.00%
(c)	Model transition programs for students with intellectual disabilities into higher education (HEA VII-D-2)	D	11,800	11,800	11,800	0	0.00%
(d)	Tribally controlled postsecondary career and technical institutions (CTEA section 117)	D	9,469	9,564	8,286	(1,278)	-13.36%
5.	Assistance for students:						
(a)	Federal TRIO programs (HEA IV-A-2, Chapter 1)	D	1,010,000	1,060,000	950,000	(110,000)	-10.38%
(b)	Gaining early awareness and readiness for undergraduate programs (GEAR UP) (HEA IV-A-2, Chapter 2)	D	350,000	360,000	0	(360,000)	-100.00%
(c)	Graduate assistance in areas of national need (HEA VII-A-2)	D	23,047	23,047	0	(23,047)	-100.00%
(d)	Child care access means parents in school (HEA IV-A-7)	D	50,000	50,000	15,134	(34,866)	-69.73%
6.	Fund for the improvement of post secondary education (FIPSE) (HEA VII-B)	D	6,000	5,000	0	(5,000)	-100.00%
7.	Teacher quality partnership (HEA II-A)	D	43,092	43,092	0	(43,092)	-100.00%
	Total		2,484,721	2,551,546	1,534,487	(1,017,059)	-39.86%
	Discretionary		2,246,551	2,312,356	1,534,487	(777,869)	-33.64%
	Mandatory		238,170	239,190	0	(239,190)	-100.00%

NOTES: D = discretionary program; M = mandatory program  
Detail may not add to totals due to rounding.

For most mandatory programs, with the exception of Pell Grants, Credit Liquidating, and Credit Reestimates, the levels shown in the 2019 Appropriation column reflect the 6.2 percent reduction that went into effect on October 1, 2018, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

## HIGHER EDUCATION

### Summary of Request

The Administration's fiscal year 2020 request includes \$1.5 billion in discretionary funds for Higher Education Programs aimed at improving student achievement and increasing access to a high quality education for all students.

To help close gaps among racial and socioeconomic groups in college enrollment and degree attainment, the request provides \$549.3 million in discretionary funding for programs that serve high proportions of minority students. Within this total, the request includes \$401.4 million to provide funding for the following Title III Aid for Institutional Development programs: **Strengthening HBCUs, Strengthening Historically Black Graduate Institutions, Strengthening Master's Degree Programs at HBCUs, Strengthening Tribally Controlled Colleges and Universities, and the Minority Science and Engineering Improvement program**. These programs would continue as separate line items in the budget. The request also includes \$147.9 million for the proposed **Consolidated MSI Grant program**, which would provide formula-based funding to under-resourced institutions that enroll large numbers of minority students. This proposed program would streamline grant-making by consolidating six MSI programs that have similar purposes and activities, including the **HEA Title V Aid for Hispanic-Serving Institutions** programs, into a single institutional formula grant program, providing funds more institutions can count on and yielding program management efficiencies. The request does not fund the Strengthening Institutions program, which is duplicative of other program funding for institutional support activities.

The request would provide \$950 million in fiscal year 2020 for the **Federal TRIO Programs**, a decrease of \$110 million from the fiscal year 2019 appropriation. Through this request, the Administration is proposing major changes to the Federal TRIO Programs to transition these programs from a series of competitive grant programs to a single State formula program. This proposal would shift authority and responsibility from the Federal government to the States, improve alignment between Federal resources and need, and enable the Department to re-allocate limited staff resources from competition-related activities to grant monitoring, performance improvement, and program evaluation.

The request also includes \$11.8 million for model comprehensive transition programs through the **Model Transition Programs for Students with Intellectual Disabilities (TPSID) program**, \$8.3 million for the **Tribally Controlled Postsecondary Career and Technical Institutions (TCPCTI) program**, and \$15.1 million for the **Child Care Access Means Parents in School program**.

The request also proposes through appropriations language a new HEA pooled evaluation authority, similar to that of the ESEA, that would permit the Department to reserve up to .5 percent of funding appropriated for each HEA program, with the exception of the Pell Grant program, to support rigorous independent evaluations and data collection and analysis of student outcomes of all HEA programs.

Lastly, the Administration's request for fiscal year 2020 eliminates a number of Higher Education Programs that duplicate other programs, are more appropriately supported with State, local, institutional, or private funds, are outside of the Department's core mission, or



## HIGHER EDUCATION

have not shown evidence of effectiveness. These programs include the **Strengthening Institutions Program, International Education and Foreign Language Studies programs, Gaining Early Awareness and Readiness for Undergraduate Programs, and Graduate Assistance in Areas of National Need.**

## HIGHER EDUCATION

### **Aid for institutional development**

(Higher Education Act of 1965, Title III and Title VII, Section 723)

(dollars in thousands)

FY 2020 Authorization: To be determined (discretionary)<sup>1</sup>; \$0 (mandatory)<sup>2</sup>

Budget Authority:

	<u>2019</u>	<u>2020</u>	<u>Change</u>
Discretionary:			
Strengthening Institutions (Part A)	\$99,875	0	-\$99,875
Strengthening Tribally Controlled Colleges and Universities (TCCUs) (Part A)	31,854	\$27,599	-4,255
Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNHs) (Part A)	15,930	0	-15,930
Strengthening Historically Black Colleges and Universities (HBCUs) (Part B)	282,420	282,420	0
Strengthening Historically Black Graduate Institutions (HBGIs) (Part B)	73,037	73,037	0
Strengthening HBCU Master's Degree Program (Section 723)	8,657	8,657	0
Strengthening Predominantly Black Institutions (PBIs) (Part A)	11,475	0	-11,475
Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISIs) (Part A)	3,864	0	-3,864
Strengthening Native American-serving Nontribal Institutions (NASNTIs) (Part A)	3,864	0	-3,864
Minority Science and Engineering Improvement Program (MSEIP) (Part E)	11,135	9,648	-1,487

<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2020.

<sup>2</sup> Mandatory appropriations provided under Title III, Part F, Section 371 of the HEA expire at the end of fiscal year 2019. The fiscal year 2019 funds will be carried over to fiscal year 2020 to support the final year of continuation costs for the following programs: Strengthening ANNH, Strengthening PBIs, Strengthening AANAPISIs, and Strengthening NASNTIs. The 2019 levels for mandatory programs have been reduced by 6.2 percent which became effective on October 1, 2018, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

## HIGHER EDUCATION

### Aid for institutional development

Budget Authority (cont'd):

	<u>2019</u>	<u>2020</u>	<u>Change</u>
Mandatory (Part F, Section 371):			
Strengthening TCCUs	\$28,140	0	-\$28,140
Strengthening ANNHs	14,070	0	-14,070
Strengthening HBCUs	79,730	0	-79,730
Strengthening PBIs	14,070	0	-14,070
Strengthening AANAPISIs	4,690	0	-4,690
Strengthening NASNTIs	<u>4,690</u>	<u>0</u>	<u>-4,690</u>
Discretionary	542,111	\$401,361	-140,750
Mandatory	145,390 <sup>1</sup>	0	-145,390 <sup>1</sup>

<sup>1</sup> Mandatory appropriations provided under Title III, Part F, Section 371 of the HEA expire at the end of fiscal year 2019. The fiscal year 2019 funds will be carried over to fiscal year 2020 to support the final year of continuation costs for the following programs: Strengthening ANNH, Strengthening PBIs, Strengthening AANAPISIs, and Strengthening NASNTIs. The 2019 levels for mandatory programs have been reduced by 6.2 percent which became effective on October 1, 2018, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

## PROGRAM DESCRIPTION

The Aid for Institutional Development (AID) programs, commonly referred to as the Title III programs, are designed to promote equity across U.S. postsecondary education by strengthening institutions of higher education (IHEs) 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 support, among other activities, improvements in academic quality, institutional management, and administrative capacity and fiscal stability; infrastructure; and student support services. Specifically, the Title III programs can provide financial assistance to help institutions improve student graduation rates by expanding student support services; improve their management and fiscal operations; build endowments; and make effective use of academic and technological resources. Funding is targeted to minority-serving and other institutions that enroll large proportions of financially disadvantaged students and have low per-student expenditures.

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 (HBCUs). The Higher Education Amendments of 1998 extended that mission to include programs to strengthen Tribally Controlled Colleges and Universities (TCCUs) and Alaska Native and Native Hawaiian-serving Institutions (ANNHs). In addition, 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 (AANAPISI), the Native American-serving Nontribal Institutions program (NASNTI), and the Predominantly Black Institutions program (PBIs).

## HIGHER EDUCATION

### Aid for institutional development

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#### **Strengthening Institutions Program (SIP)**

Strengthening Institutions (Part A, Section 311) authorizes competitions for 1-year planning grants and 5-year development grants. Under SIP, special consideration is given to institutions that (1) 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 (2) 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 apply to use their SIP funds to: plan, develop, and implement activities that encourage faculty and academic program development; support improvement in fund and administrative management; support joint use of libraries and laboratories; support construction, maintenance, renovation, and improvement of instructional facilities; support student services; and provide 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 may 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 dollar for dollar with non-Federal funds.

To participate in SIP, an institution must award bachelor degrees or be a junior or community college, provide an education program legally authorized by the State in which it is located, and be accredited or be making reasonable progress toward accreditation. An institution must also have below-average educational and general expenditures per full-time equivalent undergraduate student and include in its enrollment a significant percentage of financially needy students, as measured by enrollment of Pell Grant recipients or other Title IV need-based aid recipients.

#### **Strengthening Tribally Controlled Colleges and Universities (TCCUs)**

The TCCUs program, authorized by Part A, Section 316 of the HEA, awards 5-year formula-based discretionary grants that enable TCCUs to improve and expand their capacity to serve American Indian students. The term "Tribal College or University" means an institution that qualifies for funding under the Tribally Controlled Colleges and Universities Assistance Act of 1978 (25 U.S.C. 1801 et seq.) or the Navajo Community College Act (25 U.S.C. 640a note); or is cited in Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note). TCCUs do not have to wait 2 years between grants and thus may be funded continuously.

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 using a formula, with a minimum grant of \$500,000. Of the remaining funds (after reservation for construction), 60 percent are allocated based on Indian student counts at eligible institutions and the other 40 percent are distributed equally among eligible TCCUs.

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### **Aid for institutional development**

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Institutions may apply to use their funds to plan, develop, and implement a wide range of authorized activities that include: 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 endowment fund, with funds matched dollar for dollar with non-Federal funds.

### **Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH)**

The ANNH program, authorized by Part A, Section 317 of the HEA, makes competitive 5-year development grants that enable these institutions to improve and expand their capacity to serve Alaska Native and Native Hawaiian students. Like TCCUs, institutions receiving grants under section 317 do not have to wait 2 years between grants and thus may be funded continuously. Institutions may apply to use their funds to plan, develop, and implement a wide range of activities, including: 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 6306 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 6207 of the Elementary and Secondary Education Act of 1965).

### **Strengthening Historically Black Colleges and Universities (HBCUs)**

The Strengthening HBCUs program, authorized by Part B, Section 323 of the HEA, makes 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

## HIGHER EDUCATION

### Aid for institutional development

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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; establishment of a program of teacher education designed to qualify students to teach in public schools; 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; 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 other 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. Funds are allocated among HBCUs based on the number of Pell Grant recipients enrolled, the number of graduates, and the percentage of graduates who are attending graduate or professional school in degree programs in which African Americans are underrepresented. The statute provides for a \$250,000 minimum grant for each eligible institution.

### Strengthening Historically Black Graduate Institutions (HBGIs)

The Strengthening HBGIs program, authorized under Part B, Section 326 of the HEA, makes 5-year formula-based discretionary grants to 24 postgraduate institutions that are identified in the HEA.

A grant under this section can be used for a wide range of activities, including: scholarships and fellowships for needy graduate and professional students; construction, maintenance, renovation, and improvement of instructional facilities; 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; and tutoring, counseling, and student service programs designed to improve academic success. Program funds may also be used for other 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.

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.

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### Aid for institutional development

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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.

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 in the HEA; any amount appropriated in excess of \$56.9 million but less than \$62.9 million must be used to make grants to the six remaining HBGIs listed in the HEA. Any appropriated amount in excess of \$62.9 million must be made available to each of the 24 HBGIs pursuant to a formula that is based on: (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.

### Strengthening HBCU Master's Program

This program, authorized under Section 723 of the HEA, provides grants of up to 6 years in duration to specified eligible institutions to improve graduate education opportunities at the master's level in mathematics, engineering, physical or natural sciences, computer science, information technology, nursing, allied health or other scientific disciplines where African American students are underrepresented.

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

A grant under this section can be used for a wide range of activities, including: purchase, rental, or lease of scientific or laboratory equipment for educational purposes; construction, maintenance, renovation, and improvement in instructional facilities; 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

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maintenance of an institutional endowment; funds and administrative management; 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.

### Strengthening Predominantly Black Institutions (PBIs)

The Strengthening PBIs program, authorized by Part A, Section 318 of the HEA, makes 5-year formula-based discretionary grants to support activities outlined in Section 311(c) of the HEA, which include: 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 to pursue postsecondary education. No more than 50 percent of grant funds awarded may be used for construction or maintenance of classroom, library, laboratory, or other instructional facilities. Institutions may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. Institutions must provide matching funds from non-Federal sources in an amount that is equal to or greater than the Federal funds used for PBI program activities.

Funding is allocated among PBIs according to a formula that is based on: (1) the number of Pell Grant recipients enrolled; (2) the number of graduates; and (3) 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.

The term "Predominantly Black institution" is defined as an IHE 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;
  - Consisting of at least 1,000 undergraduate students;
  - Of which not less than 50 percent are low-income individuals or first-generation college students (as defined in Section 402A(h) of the HEA); and
  - Of which not less than 50 percent are enrolled in an educational program leading to a bachelor's or associate's degree that the institution is licensed to award by the State in which the institution is located;
- Is legally authorized to provide, and provides within the State, an educational program for which the institution of higher education awards a bachelor's degree, or in the case of a junior or community college, an associate's degree;
- Is accredited by a nationally recognized accrediting agency or association determined by the Department to be a reliable authority as to the quality of training offered, or is,



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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)**

The AANAPISI program, authorized by Part A, Section 320 of the HEA, makes 5-year competitive grants to eligible IHEs, 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 U.S. AANAPISIs do not have to wait 2 years between grants and thus may be funded continuously.

Grants are intended to enable these institutions to improve and expand their capacity to serve Asian American and Native American Pacific Islander students and low-income individuals. Funds may be used for a range of activities, including: the purchase, rental, or lease of scientific or laboratory equipment for educational purposes; renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the faculty’s field of instruction; curriculum development and academic instruction; establishing or improving an endowment fund; and academic instruction in disciplines in which Asian American and Native American Pacific Islanders are underrepresented.

#### **Strengthening Native American-serving Nontribal Institutions (NASNTI)**

This NASNTI program, authorized by Part A, Section 319 of the HEA, provides 5-year competitive grants to eligible IHEs, as defined under Section 312(b) of the HEA, that are not a Tribal College or University (as defined in Section 316 of the HEA) and have, at the time of application, an enrollment of undergraduate students that is not less than 10 percent Native American students. The term “Native American” means an individual who is of a tribe, people, or culture that is indigenous to the United States. NASNTIs do not have to wait 2 years between grants and thus may be funded continuously.

Funds generally may be used to plan, develop, undertake, and carry out activities to improve and expand the institutions’ capacity to serve Native Americans and low-income individuals. More specifically, allowable activities include: purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instruction and research; renovation and improvement in classroom, library, laboratory, and other instructional facilities; support of faculty exchanges, faculty development, and faculty

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fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; funds and administrative management, and acquisition of equipment for use in strengthening funds management; 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 requires a \$200,000 minimum grant for each eligible institution. Participating institutions are not eligible to receive funding under Part A or Part B of Title III or Part A of Title V of the HEA.

### Minority Science and Engineering Improvement Program (MSEIP)

The MSEIP, authorized by Part E, Subpart 1 of the HEA, supports competitive 3-year grants to IHEs that are designed to promote long-range improvement in science and engineering education at predominantly minority institutions and increase the participation of underrepresented ethnic and racial minorities in scientific and technological careers. Only colleges and universities with minority enrollments of greater than 50 percent are eligible to receive assistance under MSEIP. MSEIP allows grantee institutions to support a variety of innovative and customized projects. Typically, MSEIP projects are designed to implement one, or a combination of, educational projects, such as curriculum development, purchase of scientific equipment, or development of research capabilities.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$573,447 <sup>1</sup>
2016.....	606,656 <sup>2</sup>
2017.....	614,001 <sup>3</sup>
2018.....	681,514 <sup>4</sup>
2019.....	687,501 <sup>5</sup>

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<sup>1</sup> Includes \$143,685 thousand in mandatory funds provided under the HEA.

<sup>2</sup> Includes \$144,460 thousand in mandatory funds provided under the HEA.

<sup>3</sup> Includes \$144,305 thousand in mandatory funds provided under the HEA.

<sup>4</sup> Includes \$144,770 thousand in mandatory funds provided under the HEA.

<sup>5</sup> Includes \$145,390 thousand in mandatory funds provided under the HEA.

## FY 2020 BUDGET REQUEST

For fiscal year 2020, the Administration requests a total of \$401.4 million for the Aid for Institutional Development programs authorized under Title III of the Higher Education Act of 1965, as amended (HEA), a decrease of \$140.8 million from the fiscal year 2019 appropriation.

The Administration's fiscal year 2020 budget proposes to consolidate six Title III and V programs into a single institutional formula grant program that would merge separate overlapping, largely duplicative grant authorities into a new program. The new Consolidated Minority-Serving Institution (MSI) Grant program would allocate funding to institutions using a formula while maintaining current funding levels and helping to ensure that MSIs (including

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Hispanic-Serving Institutions) continue to receive support for critical investments in infrastructure, curricula, student services, and other activities currently authorized under Titles III and V. Additional information on the proposed consolidation may be found under the Consolidated MSI Grant justification on page R-71. Programs that would be consolidated include the following:

- Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNHs)
- Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISIs)
- Strengthening Native American-serving Nontribal Institutions (NASNTIs)
- Strengthening Predominantly Black Institutions (PBIs)
- Developing Hispanic-Serving Institutions (HSIs)
- Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA)

Additionally, \$145.4 million in fiscal year 2019 mandatory funding is available in fiscal year 2020 for the MSI programs authorized under Section 371 of the HEA. These multi-year mandatory funds will be carried over as the final year of authorized funding from fiscal year 2019 to support the final year of continuation awards under the following programs: Strengthening ANNH, Strengthening PBIs, Strengthening AANAPISIs, and Strengthening NASNTIs.

Aid for Institutional Development programs that are not proposed for consolidation are Strengthening HBCUs, Strengthening HBGLs, Strengthening HBCU Master's Programs, Strengthening TCCUs, and the MSEIP program. The fiscal year 2020 request would provide the following amounts for these programs:

- \$282.4 million for the Strengthening HBCUs program, the same as the fiscal year 2019 appropriation. In addition, the Administration requests \$73 million for the Strengthening HBGLs program, the same as the fiscal year 2019 appropriation. The fiscal year 2020 request demonstrates the Administration's continued support of HBCUs and HBGLs, which play a unique and vital role in providing higher education opportunities to minority and disadvantaged students. HBCUs enroll over 9 percent of all African American students in higher education. Figures compiled by National Center for Education Statistics (NCES) indicate that an estimated 226,843 African American students were enrolled at HBCUs in 2017. In addition, approximately 15 percent of African Americans who currently hold undergraduate degrees earned their credential from an HBCU. Grants provided under the Title III, Part B programs enable HBCUs and HBGLs to continue serving this population of students, encourage and prepare more African American students to pursue advanced study, and improve their academic quality, institutional management, and fiscal stability.
- \$8.7 million for the Strengthening HBCU Master's Degree Program, the same as the fiscal year 2019 appropriation. This request would provide funding to 18 specified HBCUs that make a substantial contribution to graduate education opportunities for African 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.

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- \$27.6 million for the Strengthening TCCUs program, a decrease of \$4.3 million from the fiscal year 2019 appropriation and the same as the fiscal year 2019 request. Funding would support 35 fully accredited Tribal Colleges and Universities. The majority of TCCUs are 2-year schools, primarily located in regions of the Midwest and Southwest not served by other postsecondary education institutions. TCCUs play a critical role by offering a broad range of degree and vocational certificate programs to students for whom these educational opportunities would otherwise be geographically and culturally inaccessible.
- \$9.6 million for MSEIP, a decrease of \$1.5 million from the fiscal year 2019 appropriation and the same as the fiscal year 2019 request. The fiscal year 2020 request would provide continued support for the improvement of STEM programs at IHEs enrolling large numbers of minority students and would further the Department's efforts to increase access to a quality higher education for individuals from underrepresented minority groups. MSIs play a critical role in serving underrepresented minorities. For example in 2012, HBCUs awarded 18 percent of the 50,000 science and engineering bachelor's degrees earned by African American U.S. citizens and permanent residents, and institutions enrolling large percentages of Hispanic students awarded about 34 percent of the 58,000 such degrees earned by Hispanics.

No funds are requested for the Strengthening Institutions Program (SIP) (Section 311) in fiscal year 2020. SIP is duplicative of approximately 7 other Title III and V programs that provide discretionary funding (in addition to 7 mandatory funding streams that are set to expire in fiscal year 2019) for a wide range of authorized institutional support activities, including strengthening infrastructure and enhancing fiscal stability. Under this request, the Administration would provide existing SIP grantees a reasonable period of time to close out existing projects and draw down grant funds already awarded in prior years.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Strengthening Institutions</b>			
Number of new development awards	30	27	0
Average new development awards	\$607	\$592	0
Total new development award funding	\$18,212	\$15,991	0
Number of new evidence awards	7	27	0
Average new evidence award	\$593	\$592	0
Total new evidence award funding	\$4,154	\$15,990	0
Number of NCC development awards	42	30	0
Average NCC development award	\$437	\$748	0
Total NCC development award funding	\$18,341	\$22,442	0
Number of NCC evidence awards	101	95	0
Average NCC evidence award	\$484	\$468	0
Total NCC evidence award funding	\$48,879	\$44,456	0

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#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Strengthening Institutions (cont'd)</b>			
Total supplemental award funding	\$9,300	0	0
Peer review of new award applications	0	\$998	0
Total award funding (Section 311)	\$98,886	\$99,875	0
Total number of awards	180	179	0
<b>Strengthening TCCUs</b>			
<b>Discretionary funding:</b>			
Number of new development awards	0	0	31
Average new development award	0	0	\$816
Total new development award funding	0	0	\$25,302
Number of NCC development awards	35	35	4
Average NCC development award	\$901	\$910	\$564
Total NCC development award funding	\$31,539	\$31,854	\$2,257
<b>Mandatory funding:</b>			
Number of NCC development awards	35	35	0
Average NCC development award	\$801	\$804	0
Total NCC development award funding	\$28,020	\$28,140	0
Total award funding	\$59,559	\$59,994	\$27,599
Discretionary (Section 316)	\$31,539	\$31,854	\$27,599
Mandatory (Section 371)	\$28,020	\$28,140	0
Total number of awards (discretionary and mandatory)	70	70	35
<b>Strengthening ANNHs</b>			
<b>Discretionary funding:</b>			
Number of new development awards	0	16	0
Average new development award	0	\$407	0
Total new development award funding	0	\$6,511	0
Number of NCC development awards	15	12	0
Average NCC development award	\$776	\$772	0
Total NCC development award funding	\$11,641	\$9,260	0
Total supplemental award funding	\$1,868	0	0
Total unobligated funding	\$2,263	0	0
Peer review of new award applications	0	\$159	0

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#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Strengthening ANNHs (cont'd)</b>			
<b>Mandatory funding:</b>			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$14,229	\$14,070	\$7,006
Number of new development awards	0	6	0
Average new development award	0	\$835	0
Total new development award funding	0	\$5,008	0
Number of NCC development awards	15	4	10
Average NCC development award	\$949	\$499	\$701
Total NCC development award funding	\$14,229	\$1,996	\$7,006
Peer review of new award applications	0	\$60	0
Total award funding:	\$29,782	\$30,000	0
Discretionary (Section 317)	\$15,772	\$15,930	0
Mandatory (Section 371)	\$14,010	\$14,070	0
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	0	\$7,006	0
Total number of awards (discretionary and mandatory)	30	38	10
<b>Strengthening HBCUs</b>			
<b>Discretionary funding:</b>			
Number of NCC awards	97	97	97
Average NCC award	\$2,883	\$2,912	\$2,912
Total NCC award funding	\$279,624	\$282,420	\$282,420
<b>Mandatory funding:</b>			
Number of NCC awards	97	97	0
Average NCC award	\$818	\$822	0
Total NCC award funding	\$79,390	\$79,730	0
Total award funding	\$359,014	\$362,150	\$282,420
Discretionary (Section 318)	\$279,624	\$282,420	\$282,420
Mandatory (Section 371)	\$79,390	\$79,730	0
Total number of awards (discretionary and mandatory)	194	194	97

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#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Strengthening HBGIs</b>			
Number of new awards	0	24	0
Average of new award	0	\$3,043	0
Total new award funding	0	\$73,037	0
Number of NCC awards	24	0	24
Average NCC award	\$3,013	0	\$3,043
Total NCC award funding	\$72,314	0	\$73,037
Total award funding	\$72,314	\$73,037	\$73,037
Total number of awards (Section 326)	24	24	24
<b>Strengthening HBCU Master's Program</b>			
Number of NCC awards	18	18	18
Average NCC award	\$476	\$481	\$481
Total NCC award funding	\$8,571	\$8,657	\$8,657
<b>Strengthening PBIs</b>			
<b>Discretionary funding:</b>			
Number of NCC development awards	10	10	0
Average NCC development award	\$1,136	\$1,148	0
Total NCC development award funding	\$11,361	\$11,475	0
<b>Mandatory funding (competitive):</b>			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$27,990	\$28,080	\$14,070
Number of new awards	0	0	24
Average of new award	0	0	\$586
Total new award funding	0	0	\$14,070
Number of NCC development awards	24	24	0
Average NCC development award	\$582	\$584	0
Total NCC development award funding	\$13,965	\$14,010	0
Total award funding	\$25,326	\$25,371	\$14,070
Discretionary (Section 318)	\$11,361	\$11,361	0
Mandatory (Section 371)	\$13,965	\$14,010	\$14,070

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#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Strengthening PBIs (cont'd)</b>			
<b>Mandatory funding (competitive):</b>			
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$14,010 <sup>1</sup>	\$14,070 <sup>1</sup>	0
Total number of awards (discretionary and mandatory)	34	34	24
<b>Strengthening AANAPISIs</b>			
<b>Discretionary funding:</b>			
Number of NCC development awards	11	11	0
Average NCC development award	\$297	\$351	0
Total NCC development award funding	\$3,270	\$3,864	0
Total supplemental award funding	\$436	0	0
Total unobligated funding	\$120	0	0
<b>Mandatory funding:</b>			
Total mandatory (Section 371) funds available for obligation at the start of the year	\$9,325	\$9,360	\$4,690
Number of NCC development awards	14	14	14
Average NCC development award	\$333	\$334	\$335
Total NCC development award funding	\$4,655	\$4,670	\$4,690
Total award funding	\$8,481	\$8,534	\$4,690
Discretionary (Section 320)	\$3,826	\$3,864	0
Mandatory (Section 371)	\$4,655	\$4,670	\$4,690
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$4,670 <sup>1</sup>	\$4,690 <sup>1</sup>	0
Total number of awards (discretionary and mandatory)	25	25	14

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<sup>1</sup> Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year.



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#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Strengthening NASNTIs</b>			
<b>Discretionary funding:</b>			
Number of NCC development awards	7	7	0
Average NCC development award	\$385	\$552	0
Total NCC development award funding	\$2,693	\$3,864	0
Total supplemental award funding	\$918	0	0
Total unobligated funding	\$215	0	0
<b>Mandatory funding:</b>			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$9,325	\$9,360	\$4,690
Number of NCC development awards	12	12	12
Average NCC development award	\$348	\$374	\$391
Total NCC development award funding	\$4,177	\$4,488	\$4,690
Total supplemental award funding	\$268	0	
Total unobligated funding	\$210	\$182	0
Total award funding	\$8,481	\$8,534	\$4,690
Discretionary (Section 319)	\$3,826	\$3,864	0
Mandatory (Section 371)	\$4,655	\$4,670	\$4,690
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$4,670 <sup>1</sup>	\$4,690 <sup>1</sup>	0
Total number of awards (discretionary and mandatory)	19	19	12
<b>Minority Science and Engineering Improvement</b>			
Number of new awards	10 <sup>2</sup>	23	8
Average new award	\$227	\$249	\$146
Total new award funding	\$2,267	\$5,732	\$1,167
Number of NCC awards	27	21	31
Average NCC award	\$221	\$253	\$270
Total NCC award funding	\$5,977	\$5,307	\$8,385

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<sup>1</sup> Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year.

<sup>2</sup> The Department funded down the fiscal year 2017 grant slate to make new awards in fiscal year 2018.

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Minority Science and Engineering Improvement (cont'd)</b>			
Total supplemental award funding for MSEIP Capacity Competitiveness Enhancement Model	\$2,781 <sup>1</sup>	0	0
Peer review of new awards applications	0	\$96	\$96
Total award funding	\$11,025	\$11,135	\$9,648
Total number of awards	37	44	39

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<sup>1</sup> The Department awarded 16 supplemental awards averaging \$173,800 to current grantees for the MSEIP Capacity Competitiveness Enhancement Model (CCEM), which focuses on leveraging federal investments through interagency and private-sector collaborations that enable faculty members and students to engage in cutting-edge STEM research and other experiences at leading governmental and nongovernmental STEM sites nationwide.

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

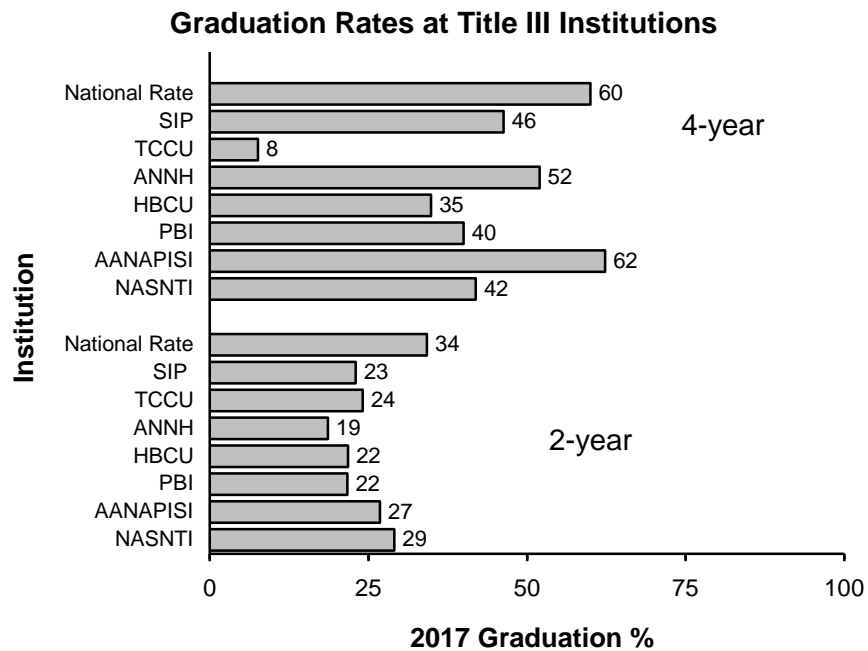
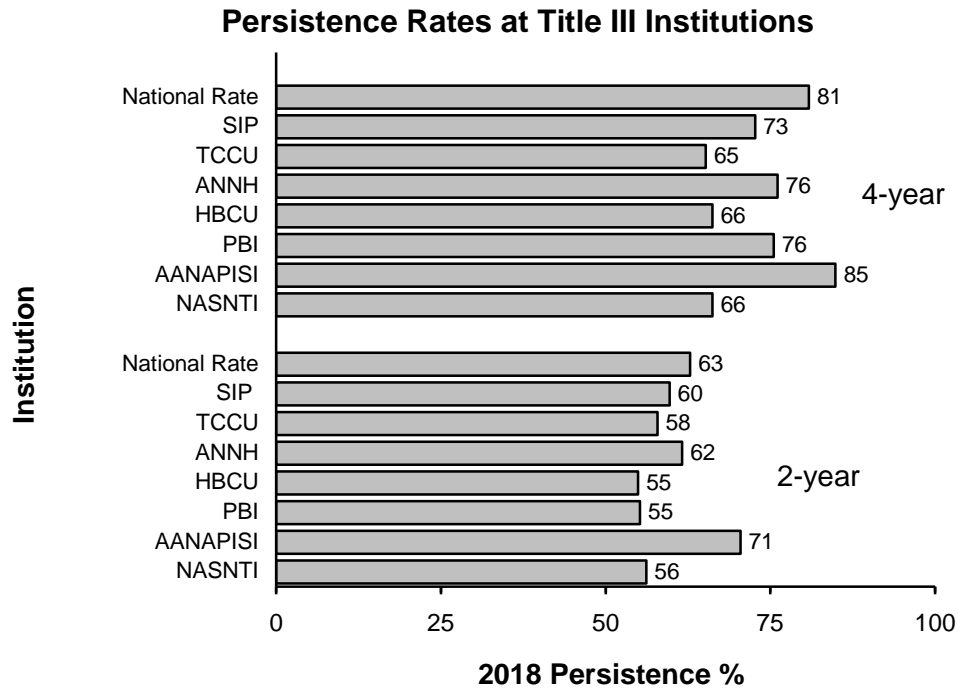
This section presents selected program performance information for grantees, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in fiscal year 2020 and future years, as well as the resources and efforts invested by those served by the programs.

The Department has identified a handful of critical indicators for which annualized data are available across all Title III institutions, including grantees. Such indicators include enrollment, persistence, and a number of outcome areas related to graduation. All national persistence and graduation rates reflected below are estimates based on preliminary data from NCES/Integrated Postsecondary Education Data Systems (IPEDS) and subject to minor changes. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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**Additional information:** AANAPISI grantee institutions had the highest persistence rates in 2018 for 4-year and 2-year Title III institutions (85 percent and 71 percent, respectively), exceeding the national rate of 81 percent and 63 percent, respectively. In addition, AANAPISI-grantee institutions had the highest graduation rates for 4-year grantee institutions—62 percent versus the national rate of 60 percent in 2017.

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

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

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

Year	Target	Actual
2008		+5.1% (4-year change)
2013	+6.4%	+11.3 (5-year change)
2018	+1.3	-10.0 (5-year change)

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department assesses progress against targets periodically (about every 5 years). The initial target of 6.4 percent for 2013 reflects the anticipated percentage increase in enrollment over the period fiscal year 2008-2013 based on actual enrollment data from grantees receiving continuation funding in fiscal year 2008 which, at the time, was 5.1 percent.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	74.5%	75.0%	62.5%	57.0%
2016	74.5	75.5	62.5	57.0
2017	75.0	75.0	63.0	59.0
2018	75.0	73.0	63.0	60.0
2019	75.5		63.5	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	52.0%	47.5%	24.5%	19.5%
2016	52.5	49.5	25.0	21.0
2017	53.0	46.0	25.0	23.0
2018	53.5		25.0	
2019	53.5		25.0	

**Additional information:** Persistence at 4-year SIP institutions fell short of meeting the target set for 2018 and is 8 percentage points lower than persistence rates at all 4-year public and (81 percent). In addition, the current performance level for 2-year SIP institutions is 3 percentage points lower than the rate for all 2-year public and private schools nationally (63 percent). Persistence data for 2019 will be available in December 2019.

The targets on the 4-year graduation measure will serve to gradually narrow the gap between program and national (60 percent) performance. Graduation rates at 2-year SIP-grantee institutions is comparable to the graduation rate at TCCUs, but falls short of the national graduation rate at 2-year public and private institutions (34 percent). Graduation data for 2017-2018 will be available in December 2019.

**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% (5-year change)
2013	+24.0%	+15.3 (5-year change)
2018	+1.3	-20.4 (5-year change)

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department assesses progress against targets periodically (about every 5 years). The initial target of 24 percent for 2013 reflects the anticipated percentage increase in enrollment over the period fiscal year 2008-2013 based on actual enrollment data from grantees receiving continuation funding in fiscal year 2008 (30 institutions).

Enrollment trends can be affected both by changes in population and by changing rates of enrollment. While overall enrollment increased at TCCUs and at degree-granting postsecondary institutions between 2004 and 2014, during the most recent part of this period, enrollment has been on the decline. Thus, the Department set the target for 2018 based on

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NCES' projection for the change in total undergraduate enrollment at degree-granting institutions from 2013-2018.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	50.0%	52.0%	52.0%	45.0%
2016	50.5	56.0	52.0	44.5
2017	51.0	56.0	53.0	47.0
2018	51.0	65.0	53.0	58.0
2019	51.5		53.5	
2020	51.5		54.5	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	17.0%	14.0%	28.0%	21.5%
2016	17.0	11.0	28.0	19.0
2017	18.0	8.0	28.5	24.0
2018	18.0		28.5	
2019	18.5		28.5	
2020	18.5		28.5	

**Additional information:** The 2018 persistence rate at 4-year and 2-year TCCUs exceeds the targets set for 2018. This is likely due to the fact that data are preliminary and subject to change during the subsequent data collection year through the IPEDS.

Likewise, the 2017 data for graduation rates at TCCUs differ greatly from the prior year's data. Institutions have an opportunity to revise their IPEDS data if they believe it was inaccurately reported in the prior year through IPEDS. The 2017 graduation rate at 4-year TCCUs failed to meet the target set for 2017. Graduation data for 2017-2018 will be available in December 2019.

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**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% (5-year change)
2013	0%	+13.4 (5-year change)
2018	+1.3	-14.8 (5-year change)

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department assesses progress against targets periodically (every 5 years). The initial target set for 2013 reflects the anticipated percentage increase in enrollment over the performance period of fiscal year 2008-2013 based on actual enrollment data from grantees receiving continuation funding in fiscal year 2008 (11 institutions), i.e., grantees from the fiscal years 2004-2007 competitions. The target of “0” for 2013 reflects the fact that the Department did not anticipate an increase in enrollment over the performance period. The Department set a target for 2018 based on NCES’ projection for the change in total undergraduate enrollment at degree-granting institutions from 2013-2018.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	77.5%	72.0%	71.0%	55.0%
2016	77.5	74.0	71.0	62.0
2017	78.0	75.0	71.5	60.0
2018	78.0	76.0	71.5	62.0
2019	78.0		71.5	
2020	78.0		71.5	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	47.5%	50.0%	16.5%	16.5%
2016	47.5	50.0	16.5	17.0
2017	48.0	52.0	16.5	19.0
2018	48.0		16.5	
2019	48.5		17.0	
2020	48.5		17.0	

**Additional information:** The 2018 persistence rate at 4-year ANNH-grantee institutions is 1 percentage point higher than the 2017 rate, and the persistence rate at 2-year institutions is 2 percentage points higher than the 2017 rate; however, both rates failed to meet the targets set for 2018 for 4-year and 2-year ANNH-grantee institutions. Graduation rates at 4-year and 2-year ANNH-grantee institutions exceeded the targets set for 2017. Graduation data for 2017-2018 will be available in December 2019.

**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% (5-year change)
2013	+8.0%	-0.3 (5-year change)
2018	+1.3	-7.1 (5-year change)

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department assesses progress against targets periodically (about every 5 years). The initial target of 8 percent for 2013 reflects the anticipated percentage increase in enrollment over the period fiscal year 2008-2013 based on actual enrollment data from HBCUs receiving funding in fiscal year 2008 (96 institutions).



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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	69.5%	67.0%	57.5%	51.5%
2016	69.5	66.0	57.5	57.0
2017	70.0	66.0	58.0	56.0
2018	70.0	66.0	58.0	55.0
2019	70.5		58.5	
2020	70.5		58.5	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	40.0%	34.0%	17.5%	16.5%
2016	40.0	33.0	17.5	18.0
2017	41.0	35.0	18.0	22.0
2018	41.0		18.5	
2019	41.5		19.0	
2020	41.5		19.0	

**Additional information:** The 2018 persistence rates at 4-year HBCUs (66 percent) and 2-year HBCUs (55 percent) currently lag behind national persistence rates for 4-year public and private schools is (81 percent) and 2-year public and private schools (63 percent). Both 4-year and 2-year HBCUs missed the targets set for 2018 by 4 percentage points and 3 percentage points, respectively. Persistence data for 2019 will be available December 2019.

The graduation rate for 4-year HBCUs falls short of the target set for 2017 by 6 percentage points and the national rate. Graduation data for 2017-2018 will be available in December 2019. The graduation rate at 2-year HBCUs exceeds the target set for 2017 by 4 percentage points and is comparable to the rates at PBIs (22 percent).

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

Year	Target	Actual
2008		+13.0% (5-year change)
2013	+13.0%	+22.0 (5-year change)
2018	+3.2	

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

Year	Target	Actual
2015	6,700	6,883
2016	6,800	7,258
2017	6,900	7,215
2018	7,000	
2019	7,100	
2020	7,000	

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department assesses progress against targets periodically (about every 5 years). Student enrollment at the original 18 HBGIs in 2008 (11,144) was used to calculate the percentage change against student enrollment at those HBGIs in the base year 2003 (9,860). Student enrollment for 2013 is for the 5-year grant period 2009-2013 and includes 6 additional HBGIs added in 2008 when the HEA was reauthorized. These include: Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie State University, and the University of the District of Columbia David A. Clarke School of Law. Student enrollment at the 24 HBGIs grew by nearly 23 percent, from 12,744 in 2008 to 15,632 in 2014, exceeding the target set for 2013 for student enrollment by 8 percentage points. The next enrollment period, fiscal years 2013-2018, was based on NCES' projection for the change in total graduate enrollment at degree-granting institutions during this time.

The program's performance exceeded the target set for 2017 for degree completion. Data for 2018 will be available in December 2019.

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

Year	Target	Actual
2011		+15.6% (1-year change)
2016		-28.1 (5-year change)
2021	+7.1%	

**Additional information:** This program received its first year of funding in 2008. Data for the 2013 persistence rate and the 2012 graduation rate are from PBI grantees who received a new award in 2010 and 2011 in the discretionary and mandatory PBI programs. For enrollment, the percentage change is calculated against the base year. Future progress will be assessed against targets every 5 years. Student enrollment at PBI-grantee institutions in 2011 (59,908) was used to calculate the percentage change against student enrollment at PBIs in the base year 2008 (56,629). However, the change in enrollment at grantee institutions decreased by 28 percent between 2011 and 2016; student enrollment at 19 grantee institutions decreased by 750 or more students during this time and one institution closed its doors. Program targets will be based on NCES' projection for the change in total undergraduate enrollment at degree-granting institutions. The target for 2021 is NCES' projection for the change in total undergraduate enrollment at all degree-granting institutions from 2016-2021.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	73.0%	70.0%	55.0%	53.0%
2016	73.0	67.5	55.0	52.0
2017	73.5	76.0	55.5	53.0
2018	73.5	75.5	55.5	55.0
2019	74.0		56.0	
2020	74.0		56.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	30.0%	26.0%	14.0%	13.5%
2016	30.0	40.0	14.0	18.5
2017	30.5	39.0	14.5	22.0
2018	30.5		14.5	
2019	31.0		15.0	
2020	31.0		15.0	

**Additional information:** The persistence rates at 4-year PBIs exceeded the target set for 2018 by 2 percentage points; however, lags behind the national 2018 persistence rate by 6 percentage points. The 2017 graduation rate at 4-year and 2-year PBIs exceeded the targets set for 2017. Graduation data for 2017-2018 will be available in December 2019.

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

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

Year	Target	Actual
2011		+3.4% (1-year change)
2016		+5.5 (5-year change)
2021	+7.1%	

**Additional information:** This program received its first year of funding in 2008. Recent data are from 17 grantees who received discretionary and mandatory funding from the AANAPISI programs—eight 2-year institutions and nine 4-year institutions. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at AANAPISI-grantee institutions in 2011 (68,687) was used to calculate the percentage change against student enrollment at AANAPISIs in the base year 2008 (63,000). The change in enrollment for fiscal years 2011-2015 was 5.5 percent.

Targets will be based on NCES' projection for the change in total undergraduate enrollment at degree-granting institutions. The target for 2021 projects the change in total undergraduate enrollment at degree-granting institutions from 2016-2021.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	80.5%	82.0%	70.5%	72.0%
2016	81.0	84.0	71.0	69.5
2017	81.0	84.5	71.0	70.0
2018	81.5	85.0	71.5	70.5
2019	81.5		71.5	
2020	82.0		72.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	49.0	60.5	23.0	23.0
2016	49.5	62.0	23.0	25.0
2017	49.5	62.0	23.5	27.0
2018	50.0		23.5	
2019	50.0		24.0	
2020	50.5		24.0	

**Additional information:** The performance rate of AANAPISI-grantee institutions not only exceeded the 2018 target set for persistence at 4-year grantee institutions, but also exceeded the national persistence rate for 4-year public and private schools (81 percent). In addition, 4-year AANAPISI-grantee institutions exceeded the national graduation rate for 4-year public and private schools (60 percent) by 2 percentage points.

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

Year	Target	Actual
2011		+16.7% (1-year change)
2016		+0.5 (5-year change)
2021	7.1%	

**Additional information:** This program received its first year of funding in 2008. Recent data in the NASNTI program are from 13 grantees who received funding in the discretionary NASNTI program in 2010—ten 2-year institutions and three 4-year institutions. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at NASNTI-grantee institutions in 2013 (20,637) was used to calculate the percentage change against student enrollment at NASNTIs in the base year 2011 (20,844). The change in enrollment for fiscal years 2011-2016 was 0.5 percent. Enrollment rates at current grantee institutions are on the decline.

Targets will be based on NCES' projection for the change in total undergraduate enrollment at degree-granting institutions. The target for 2021 projects the change in total undergraduate enrollment at degree-granting institutions from 2016-2021.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	72.0%	67.0%	53.0%	52.0%
2016	72.0	67.5	53.0	57.5
2017	73.0	68.0	53.5	57.0
2018	73.0	66.0	53.5	56.0
2019	73.5		54.0	
2020	73.5		54.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	34.5%	41.0%	21.0%	24.0%
2016	34.5	40.0	21.0	28.0
2017	35.0	42.0	21.5	29.0
2018	35.0		21.5	
2019	35.5		22.0	
2020	35.5		22.0	

**Additional information:** The 4-year persistence rate at NASNTI-grantee institutions failed to meet the target set for 2018 and is lower than the 2017 persistence rate. The 2-year persistence rate at NASNTI-grantee institutions exceeded the target set for 2018 and is comparable to the 2-year persistence rate at HBCUs and PBIs (55 percent).

Both the 4-year and 2-year graduation rates exceed the targets set for 2017 and are 2 percentage points and 1 percentage point higher than the 2016 rates, respectively. Graduation data for 2017-2018 will be available in December 2019.

### MSEIP Performance Measures

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

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

As an alternative, the Department used IPEDS data to determine whether the percentage of bachelor's degrees conferred that were in STEM fields increased between 2005 and 2014. Specifically, data examined were:

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- The percentage of bachelor's degrees conferred by the 2005 cohort of MSEIP grantees in 2005 and 2014 that were in STEM fields.
- The percentage of bachelor's degrees conferred by all Title IV eligible institutions in 2005 and 2014 that were in STEM fields.

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

The intent is to examine whether an increasing percentage of students in MSEIP institutions earn degrees in STEM fields, given that one of the main purposes of the MSEIP program is to increase the participation of underrepresented minorities in scientific and technological careers. STEM fields can include a wide range of disciplines. However, for purposes of this data analysis, STEM fields include computer and information sciences; engineering; engineering technologies and engineering-related fields; biological and biomedical sciences; mathematics and statistics; physical sciences; science technology/technicians; and agriculture, agriculture operations, and related sciences.

**Measure:** Number and percentage of bachelor's degrees conferred that are in STEM fields, 2005, 2010, and 2015.

	2005 MSEIP Grantees	2010 MSEIP Grantees	2015 MSEIP Grantees	2005 All Title IV IHEs	2010 All Title IV IHEs	2015 All Title IV IHEs
All Students: Number of STEM degrees	4,430	4,896	4,970	227,131	253,431	337,430
All Students: Number of degrees	23,866	32,663	27,888	1,411,002	1,620,629	1,840,490
All Students: Percent of degrees that are in STEM fields	15.7%	15.0%	17.8%	16.1%	15.6%	18.3%
Black or African American Students: Number of STEM degrees	915	847	1,792	16,405	16,196	35,805
Black or African American Students: Number of degrees	7,193	6,956	10,380	127,978	152,404	226,900
Black or African American Students: Percent of degrees that are in STEM fields	12.7%	12.2%	17.3%	12.8%	10.6%	15.8%
Hispanic Students: Number of STEM degrees	1,237	1,713	1,808	15,596	19,607	21,138
Hispanic Students: Number of degrees	9,407	12,688	11,610	111,616	147,205	182,778
Hispanic Students: Percent of degrees that are in STEM fields	13.1%	13.5%	15.6%	14.0%	13.3%	11.6%



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In 2005, approximately 15.7 percent of all bachelor's degrees conferred by the 2005 cohort of MSEIP grantees were in STEM fields, a figure that was slightly higher than the 2010 and 2014 percentages. These percentages are comparable to that of those at all Title IV institutions in 2005, 2010, and 2015. Overall, the percentages of STEM degrees awarded to "all students" in 2005, 2010, and 2015 were higher than the comparable percentages of STEM degrees awarded to both Black or Hispanic students, and the percentages did not change appreciably between 2005 and 2015.

### Efficiency Measures

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

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

Year	Target	Actual
2015	\$420	\$413
2016	415	470
2017	410	434
2018	405	
2019	400	

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

Year	Target	Actual
2015	\$32,600	\$28,004
2016	32,550	20,697
2017	32,500	21,769
2018	28,500	
2019	28,500	
2020	28,000	

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

Year	Target	Actual
2015	\$2,725	\$2,427
2016	2,700	2,329
2017	2,675	2,296
2018	2,400	
2019	2,225	
2020	2,200	

## HIGHER EDUCATION

### Aid for institutional development

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

Year	Target	Actual
2015	\$7,265	\$6,950
2016	7,190	6,702
2017	7,115	5,834
2018	7,000	
2019	6,900	
2020	6,800	

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

Year	Target	Actual
2015	\$9,165	\$9,194
2016	9,068	8,719
2017	8,975	10,023
2018	8,900	
2019	8,825	
2020	8,750	

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

Year	Target	Actual
2015	\$1,020	\$1,320
2016	1,010	1,162
2017	1,000	1,113
2018	990	
2019	900	
2020	875	

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

Year	Target	Actual
2015	\$290	\$141
2016	285	130
2017	280	133
2018	175	
2019	125	
2020	100	

## HIGHER EDUCATION

### Aid for institutional development

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

Year	Target	Actual
2015	\$1,005	\$501
2016	995	490
2017	985	536
2018	550	
2019	500	
2020	450	

**Additional information:** These measures are calculated as the appropriation for the program divided by the number of undergraduate and graduate degrees awarded. A similar efficiency measure has been established for the Developing HSIs program and for Howard University. This metric may enable the Department to assess program performance across institutions with similar types of missions. Performance on efficiency measures exceeded the targets set for 2016 on all but two Title III programs (SIP and PBIs).

## HIGHER EDUCATION

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### Aid for Hispanic-serving institutions

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

(dollars in thousands)

FY 2020 Authorization: To be determined (discretionary)<sup>1</sup>; \$0 (mandatory)<sup>2</sup>

Budget Authority:

	<u>2019</u>	<u>2020</u>	<u>Change</u>
Developing Hispanic-serving Institutions (discretionary) (HEA V-A)	\$124,415	0	-\$124,415
Promoting Postbaccalaureate Opportunities for Hispanic Americans (discretionary) (HEA V-B)	11,163	0	-11,163
Developing Hispanic-Serving Institutions Science, Technology, Engineering, and Mathematics and Articulation (mandatory) (HEA III-F)	<u>93,800</u>	<u>0</u>	<u>-93,800</u> <sup>2</sup>
Total	229,378	0	-229,378 <sup>2</sup>
Discretionary	135,578	0	-135,578 <sup>2</sup>
Mandatory	93,800	0	-93,800 <sup>2</sup>

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<sup>1</sup> The GEPA extension expired September 30, 2015; no appropriations language or reauthorizing legislation is sought for fiscal year 2020.

<sup>2</sup> Mandatory appropriations provided under Title III, Part F, Section 371 of the HEA expire at the end of fiscal year 2019. The fiscal year 2019 funds will be carried over to fiscal year 2020 to support the final year of this HSI STEM grantee cohort. The 2019 levels for mandatory programs have been reduced by 6.2 percent, which became effective on October 1, 2018, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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#### PROGRAM DESCRIPTION

The Developing Hispanic-serving Institutions program, authorized under Title V of HEA, provides competitive grants to Hispanic-Serving Institutions (HSIs) to expand educational opportunities for, and improve the academic attainment of, Hispanic students. The program supports efforts to expand and enhance academic offerings, program quality, and institutional stability of colleges and universities that are educating the majority of Hispanic college students and helping large numbers of Hispanic students and other low-income individuals complete postsecondary degrees. HSIs are defined as “eligible institutions” if they: (1) have below-average educational and general expenditures per full-time equivalent undergraduate student; (2) include in its enrollment a significant percentage of financially needy students, as measured by enrollment of Pell Grant recipients or other Title IV need-based aid recipients; and (3) have an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic.

Grants are awarded for a period of up to 5 years. Grantees may use their funds to plan, develop, and implement a wide range of authorized activities, including activities that encourage: faculty and academic program development; better management of funds and administration; construction and maintenance of instructional facilities; student services designed to improve college completion; establishment of a program of teacher education; establishment of community outreach programs that encourage elementary and secondary school students to develop an interest in pursuing postsecondary education; and creation or improvement of facilities for Internet or other distance learning academic instruction, including purchase or rental of telecommunications technology equipment and services. Also, HSIs may use no more than 20 percent of the grant funds to establish or increase an institution’s endowment fund with the Federal contribution matched dollar-for dollar by non-Federal funds. HSI grantees are not eligible to receive funding under Part A or Part B of Title III.

The program makes individual development grants to help institutions address unique challenges to building capacity and improving performance and cooperative arrangement development grants that promote joint efforts between two or more IHEs to resolve common challenges to institutional effectiveness. In addition, the Department may award 1-year planning grants for the preparation of plans and grant applications under this program.

The HSI STEM and Articulation Program, authorized under Title III, Part F of the HEA, is designed to increase the number of Hispanic and other low-income students attaining degrees in STEM fields and to support the development of model transfer and articulation agreements between 2-year HSIs and 4-year IHEs in such fields.

The Promoting Postbaccalaureate Opportunities for Hispanic Americans program, authorized under Title V of HEA, seeks to expand the number of Hispanic students entering postbaccalaureate education and attaining advanced degrees. The program is designed to help institutions of higher education that are educating large numbers of Hispanic and low-income students increase their postbaccalaureate academic offerings and enhance program quality. To be eligible for a grant under this program, an institution of higher education must be an HSI that offers a program that leads to a postbaccalaureate certificate or degree. Grants are awarded for up to 5 years and participating institutions also may receive funds under Title V, Part A.

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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The program statute authorizes a wide variety of institutional and student support activities, including: 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 development, exchanges, 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 related to the promotion of postbaccalaureate study at HSIs are permissible, provided that they contribute to the overall purpose of the program and are approved by the Department.

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

Fiscal Year	(dollars in thousands)
2015.....	\$201,923 <sup>1</sup>
2016.....	210,666 <sup>2</sup>
2017.....	210,566 <sup>3</sup>
2018.....	227,635 <sup>4</sup>
2019.....	229,378 <sup>5</sup>

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<sup>1</sup> Includes \$92,700 thousand in mandatory funds provided under the HEA.

<sup>2</sup> Includes \$93,200 thousand in mandatory funds provided under the HEA.

<sup>3</sup> Includes \$93,100 thousand in mandatory funds provided under the HEA.

<sup>4</sup> Includes \$93,400 thousand in mandatory funds provided under the HEA.

<sup>5</sup> Includes \$93,800 thousand in mandatory funds provided under the HEA.

### FY 2020 BUDGET REQUEST

For fiscal year 2020, the Administration does not include separate funding for the Aid for Hispanic-Serving Institutions programs because it is included in the Administration's proposal to consolidate six existing Title III and V programs into a single new \$147.9 million institutional formula grant program that would provide funding to institutions that meet the eligibility criteria for these six programs. The Administration believes HSIs provide critical support for activities designed to improve the educational outcomes at institutions with a significant share of low-income, Hispanic, and other minority students, but can more efficiently be supported under the proposed Consolidated MSI Grant program. The Consolidated MSI Grant program would ensure continued support for HSIs, which would make up the majority of institutions served under the proposal, while eliminating redundant activities, reducing the Federal role, improving alignment between Federal resources and actual institutional needs, and enabling the Department to re-allocate limited staff resources from competition-related activities to grant monitoring and performance improvement. Under this proposal, during the transition to the Consolidated MSI Grant, the Department would continue supporting continuation awards to HSIs with current grants under both the Developing HSIs and PPOHA programs. More information is available in the request for the Consolidated MSI Grant Program.

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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In addition to the funding available to HSIs under the Consolidated MSI Grant proposal, \$93.8 million in fiscal year 2019 mandatory funding is available in fiscal year 2020 to support the final year of continuation awards under the HSI STEM and Articulation program authorized under Section 371 of the HEA; these multi-year mandatory funds are carried over as the final year of authorized funding from fiscal year 2019.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Developing HSIs</b>			
Number of new awards	34	42	0
Average new award	\$598	\$579	0
Total new award funding	\$20,346	\$24,438	0
Number of NCC awards	184	183	0 <sup>1</sup>
Average NCC award	\$534	\$543	0 <sup>1</sup>
Total NCC award funding	\$98,223	\$99,327	0 <sup>1</sup>
Supplements	4,613	0	0
Peer review of new award applications	0	\$650	0
Total award funding	\$123,183	\$124,415	0 <sup>1</sup>
Total number of awards	218	225	0 <sup>1</sup>
<b>Promoting Postbaccalaureate Opportunities for Hispanic Americans</b>			
Number of New awards	0	20	0
Average New award	0	\$553	0
Total New award funding	0	\$11,063	0
Number of NCC awards	19	0	0 <sup>2</sup>
Average NCC award	\$509	0	0 <sup>2</sup>
Total NCC award funding	\$11,052	0	0 <sup>2</sup>
Peer review of new award applications	0	\$100	0
Total program funding	11,052	11,163	0 <sup>2</sup>

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<sup>1</sup> The Department is expecting to make 126 NCC awards under this program in FY 2020, totaling \$72,067 thousand. Funding for these awards is shown in the request for the Consolidated MSI Grant program.

<sup>2</sup> The Department is expecting to make 20 NCC awards under this program in FY 2020, totaling \$11,063 thousand. Funding for these awards is shown in the request for the Consolidated MSI Grant program.

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>HSI STEM and Articulation Programs</b>			
<b>Mandatory funding:</b>			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$186,500	\$187,200	\$93,800
Number of NCC awards	91	91	91
Average NCC award	\$1,024	\$1,026	\$1,099
Total NCC award funding	\$92,537	\$93,400	\$93,800
Supplements	500	0	0
Total Unobligated Funding	63	0	0
Total Program funding	93,100	93,400	93,800
Mandatory (Section 371) estimated carryover (mandatory funds remaining at the end of the fiscal year)	\$93,400 <sup>1</sup>	\$93,800 <sup>1</sup>	0

<sup>1</sup> Unobligated mandatory funding carried over for obligation in the succeeding fiscal year.

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information for grantees, 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 fiscal year 2020 and future years, as well as the resources and efforts invested by those served by this program.

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



## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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**Objective:** Increase the enrollment, persistence, and graduation rates at grantees from Hispanic-Serving Institutions.

**HSI Enrollment Measure:** The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolling at HSIs receiving grants under this program.

Year	Target	Actual
2013	+11.0%	+27.1
2018	+1.3	-4.9

**Additional Information:** This measure uses National Center for Education Statistics (NCES) Integrated Postsecondary Education Data Systems (IPEDS) fall enrollment data for all full-time degree-seeking undergraduate students to track 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 grantee institutions in 2018 (629,663) was used to calculate the percentage change against student enrollment at those same institutions in the base year 2013 (661,996). In 2017, the Department developed the 2018 target of 1.3 percent based on NCES' projection for the change in total undergraduate enrollment at degree-granting institutions from 2013-2018. Over the 5-year grant period of the 2013 grantee institutions, enrollment decreased by 4.9 percent, falling short of the 1.3 percent target.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	78.5%	79.0%	66.0%	65.0%
2016	78.5	76.5	66.0	66.5
2017	79.0	73.3	66.0	67.5
2018	79.0	80.0	66.5	67.1
2019	79.0		66.5	
2020	79.0		66.5	

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	46.5%	45.0%	22.5	23.0%
2016	46.5	47.1	22.5	22.5
2017	47.0	53.3	23.0	23.8
2018	47.0		23.0	
2019	47.5		23.5	
2020	47.5		23.5	

**Additional Information:** 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.*

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

Year	Target	Actual
2013	+2.5%	-0.6%
2019	+4.4	

**Additional Information:** The long-term measure for change in enrollment assesses the percentage change in enrollment at the PPOHA grantee institutions over a 5-year period. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). For 2013, the measure was calculated as the percentage change in the number of graduate students enrolling at PPOHA grantee institutions, using the 2008 baseline of 100,570 students. During this period, total graduate enrollment at PPOHA grantee institutions decreased to 99,969 in 2013, or 0.6 percent from 2008.

The Department has set the target for 2019 based on NCES projections for total post baccalaureate enrollment growth at degree-granting institutions between 2014 and 2019. Thus far, enrollment for fiscal years 2014-2018 for these institutions has increased by 1.2 percent (from 52,805 to 52,196).

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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**PPOHA Degree Completion 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 grantee institutions.

Year	Target	Actual
2013	20.0%	63.0%
2019	5.8	

**Additional Information:** The long-term measure for change in graduate degrees assesses the percentage change in graduate degrees and certificates awarded over a 5-year period. For 2013, the measure was calculated as the percentage change in the number of degrees and certificates awarded at the grantee institutions. The change from 2008 to 2013 was 63 percent, based on a 2008 baseline of 18,108 degrees and certificates and the 29,580 degrees and certificates in 2013. The Department has set a target for 2019 based on NCES projections for the growth in master's and doctoral degrees conferred between 2014 and 2019.

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

Year	Target	Actual
2016		-0.8%
2021	4.5%	

**Additional Information:** The Department has established an enrollment measure that focuses on changes in enrollment. The measure uses the National Center for Education Statistics (NCES) Integrated Postsecondary Education Data Systems (IPEDS) fall enrollment data and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. Student enrollment at HSI STEM grantee institutions in 2016 (522,042) was used to calculate the percentage change against student enrollment at HSIs in the base year 2011 (526,069).

The Department has established a 2021 target of 4.5 percent based on NCES' projection for the change in total undergraduate enrollment at degree-granting institutions from 2016-2021. Thus far, enrollment for fiscal years 2016-2018 for these institutions has increased by .7 percent (from 572,406 to 576,242).

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	78.5%	78.0%	66.0%	65.5%
2016	78.5	78.5	66.0	67.0
2017	79.0	80.6	66.0	66.2
2018	79.0	79.7	66.5	66.8
2019	79.5		66.5	
2020	79.5		67.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2015	46.5%	46.5%	22.5%	22.5%
2016	46.5	52.7	22.5	23.7
2017	47.0	52.8	23.0	25.6
2018	47.0		23.0	
2019	47.5		23.5	
2020	48.0		24.0	

**Additional Information:** 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.

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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#### Efficiency Measures

**Developing HSIs:** Cost per successful outcome: Federal cost per undergraduate and graduate degree at HSI grantee institutions.

Year	Target	Actual
2015	\$1,250	\$417
2016	1,235	353
2017	1,220	317
2018	500	
2019	500	
2020	475	

**Additional Information:** The Developing Hispanic-serving Institutions efficiency measure is calculated by dividing the appropriation for the Developing HSIs program by the number of undergraduate and graduate degrees awarded. The Department notes that it is difficult to attribute increases or decreases under this measure to the Federal share of funds due to the limited amount of the Federal contribution. Given that the average cost per successful outcome for 2012-2015 was significantly lower than the established targets, the Department revised its targets, beginning in 2018, to more accurately reflect actual performance.

**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 grantee institutions.

Year	Target	Actual
2015	\$2,215	\$568
2016	650	553
2017	625	550
2018	600	
2019	575	
2020	550	

**Additional Information:** The PPOHA efficiency measure is calculated by dividing the appropriation for the PPOHA program by the number of graduate degrees and certificates awarded at grantee institutions. In fiscal year 2017, when PPOHA obligations totaled \$9.7 million, grantee institutions awarded 17,599 graduate degrees. Grantees have outperformed the initial targets, which were set based on eligible institutions. Given that the average cost per successful outcome for 2012-2015 was significantly lower than the established targets, the Department revised its targets, beginning in 2016, to more accurately reflect actual performance. The PPOHA efficiency measure can also be used to assess overall program performance over time.

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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**HSI STEM:** Cost per successful outcome: Federal cost for undergraduate and graduate degrees at institutions in the Hispanic-Serving Institutions STEM and Articulation Programs.

Year	Target	Actual
2015		\$489
2016	\$610	472
2017	600	474
2018	590	
2019	580	
2020	570	

**Additional Information:** The HSI STEM efficiency measure is calculated by dividing the appropriation for the HSI STEM program by the number of undergraduate and graduate degrees awarded at grantee institutions. In fiscal year 2017, when HSI STEM obligations totaled \$93.2 million, grantee institutions awarded 196,795 undergraduate and graduate degrees.

## HIGHER EDUCATION

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### **Consolidated Minority-Serving Institutions Grant**

(Proposed Legislation)

(dollars in thousands)

FY 2020 Authorization: To be determined

Budget Authority:

	<u>2019</u>	<u>2020</u>	<u>Change</u>
Consolidated MSI Grant Proposal	0	\$147,906	+\$147,906

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### **PROGRAM DESCRIPTION**

The Consolidated Minority-Serving Institutions (MSI) Grant program would provide formula-based funding to Minority-Serving Institutions to develop and implement projects to improve and expand the institutions' capacity to serve minority and low-income students. The institutions of higher education that meet the eligibility requirements, including the minority enrollment thresholds, for at least one of the following currently authorized programs, would be eligible for formula allocations under this program:

- Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNHs)
- Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISIs)
- Strengthening Native American-serving Non-Tribal Institutions (NASNTIs)
- Strengthening Predominantly Black Institutions (PBIs)
- Developing Hispanic-Serving Institutions (HSIs)
- Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA)

Under the proposal, Consolidated MSI Grant funding would be allocated using a formula that would take into consideration factors such as: (1) the number of Pell Grant recipients enrolled and (2) the number of Pell Grant recipients who graduate. Under the proposal, institutions would need to meet the same eligibility requirements—including the minority enrollment thresholds—that currently apply under these 6 programs. As under current law, no institution that receives funds under this proposal could concurrently receive funding under Part B of Title III of the Higher Education Act (HEA).

Institutions receiving awards under the Consolidated MSI Grant program could use funding to undertake the same wide range of activities of institutional and student support activities currently authorized in Titles III and V of the HEA.

## HIGHER EDUCATION

### Consolidated MSI Grant

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#### **FY 2020 BUDGET REQUEST**

For fiscal year 2020, the Administration requests \$147.9 million for the proposed Consolidated MSI Grant program, which would consolidate six programs currently authorized in Titles III and V of the HEA into a single institutional formula grant program. The fiscal year 2020 request is a decrease of \$22.8 million from the 2019 appropriation for the six antecedent programs, and is the same as the fiscal year 2019 request, reflecting the President's government-wide commitment to increase support for national security and public safety without adding to the Federal budget deficit. Fiscal year 2020 funds would first be used to fully pay all continuation awards under the six consolidated programs; remaining funds would be allocated through the proposed institutional formula.

Currently, the HEA authorizes numerous Title III and Title V programs that have similar, and in some cases identical, purposes and activities, with most funds awarded through competitions that are administratively burdensome for both applicants and the Department. Rather than continuing to invest significant MSI and Department staff time and resources into individual grant competitions, the Administration proposes to streamline these multiple, complex award processes, reduce burden on applicants and grantees, and lower Federal administrative costs by consolidating the following six Title III and V programs into a single new institutional formula grant program that would continue to provide strong support to institutions that serve large numbers of minority students:

- Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNHs)
- Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISIs)
- Strengthening Native American-serving Non-Tribal Institutions (NASNTIs)
- Strengthening Predominantly Black Institutions (PBIs)
- Developing Hispanic-Serving Institutions (HSIs)
- Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA)

The proposed consolidated institutional formula grant program would ensure continued support for MSIs, including HSIs, while eliminating redundant authorities, reducing the Federal role, improving alignment between Federal resources and institutional needs, and enabling the Department to re-allocate limited staff resources from competition-related activities to grant monitoring and performance improvement. The proposal also would enable the Department to administer these programs in a more efficient and equitable way while continuing to meet institutional needs, and reducing administrative burden for grantees and the Department alike.

The Administration anticipates that its proposed institutional allocation formula would include key factors to target funds to institutions with the highest need and a track record of success. For example, the formula may include: (1) the number of Pell Grant recipients enrolled and (2) the number of Pell Grant recipients who graduate. Current eligibility requirements—including the minority enrollment thresholds—for the six categories of institutions funded under existing programs would continue to apply. The Administration is also considering a requirement for institutions to meet a minimum Pell graduation rate threshold to maintain



## HIGHER EDUCATION

### Consolidated MSI Grant

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eligibility for funding. The consolidated program would retain the wide range of allowable activities currently authorized by the HEA for the antecedent programs.

Finally, the Administration is also proposing a new authority, aligned with the Pooled Evaluation authority under the ESEA, that would enable the Department to reserve up to .5 percent of funding annually appropriated for certain HEA programs for rigorous program evaluation, data collection, and analysis of outcome data. This new authority would provide essential resources to support performance improvement and evidence-building in all HEA programs, including the Consolidated MSI Grant program. If Congress does not enact this proposed HEA-wide evaluation authority, the Administration would seek a separate, program-specific set-aside of 0.5 percent under the proposed Consolidated MSI Grant program to support technical assistance, data collection, and rigorous program evaluation.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2020</u>
<b>Consolidated MSI Grant Formula Allocation</b>	
Number of new awards	TBD
Average new award	TBD
Total new award funding	\$43,852 <sup>1</sup>
<b>Developing Hispanic Serving Institutions</b>	
Number of NCC awards	126
Average NCC award	\$572
Total NCC award funding	\$72,067
<b>Promoting Postbaccalaureate Opportunities for Hispanic Americans</b>	
Number of NCC awards	20
Average NCC award	\$553
Total NCC award funding	\$11,063
<b>Strengthening ANNHs</b>	
Number of NCC awards	12
Average NCC award	\$772
Total NCC award funding	\$9,260
<b>Strengthening PBIs</b>	
Number of NCC awards	10
Average NCC award	\$1,148
Total NCC award funding	\$11,475

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<sup>1</sup> The total number of new awards cannot be determined at this time; however, the Department expects to award 169 non-competing continuation awards.

## HIGHER EDUCATION

### Consolidated MSI Grant

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#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2020</u>
<b>Strengthening AANAPISIs</b>	
Number of NCC awards	1
Average NCC award	\$300
Total NCC award funding	\$300
<b>Strengthening NASNTIs</b>	
Number of NCC awards	0
Average NCC award	0
Total NCC award funding	0
<b>Total Program Funding</b>	<b>\$147,906</b>

#### **PROGRAM PERFORMANCE INFORMATION**

##### **Performance Measures**

The Department would continue to use existing performance measures for MSIs receiving continuation awards under existing authorities until the end of their project periods, and would develop performance measures for the Consolidated MSI Grant program based closely on the measures used for the antecedent programs.

## HIGHER EDUCATION

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### **International education and foreign language studies: Domestic programs**

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

(dollars in thousands)

FY 2020 Authorization: 0<sup>1</sup>

Budget Authority:

<u>2019</u>	<u>2020</u>	<u>Change</u>
\$65,103	0	-\$65,103

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is not sought for fiscal year 2020.

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### **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 originated in the National Defense Education Act of 1958, as a response to the need to strengthen instruction in the areas of international studies and foreign languages that were insufficiently taught in the United States.

Funds are used to support a broad range of activities under ten Domestic Programs, at all levels, including primary and secondary education through a variety of K-12 outreach and teacher training collaborations. Grants are awarded to institutions of higher education (IHEs) to support centers, programs, and fellowships to increase the number of experts in foreign languages and international studies, meet national needs, and strengthen the teaching of foreign languages and international education at all levels. Prior to each grant cycle, the Department must consult with and receive recommendations from other relevant Federal Agencies to determine the “areas of national need” for expertise in foreign languages and world areas.

When awarding grants, the Department is required to take into account a variety of factors, including: the degree to which applicants’ proposed activities address national needs and inform the public; the applicants’ record placing students into postgraduate employment, education, or training in areas of national need; and the applicants’ proposed plans and strategies to increase this number. Emphasis is placed on less commonly taught languages and the regions where those languages are used.

The Department is required to assist grantees in developing a survey to administer to students who have completed programs under Title VI to determine postgraduate employment, education, or training. Grantees must administer this survey once every 2 years and report their

## HIGHER EDUCATION

### **International education and foreign language studies: Domestic programs**

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survey results to the Department. The first report, published in 2015, tracked the post-graduation career trajectory of FLAS fellowship recipients from 2010 to 2012. The Department produced a second report in 2017 that tracked FLAS recipients from 2010 to 2014. Subsequent surveys will continue to track this cohort in addition to new FLAS graduates. The next report is expected to be available later this year. 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.

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

The Domestic Programs include the following program investment areas:

The National Resource Centers (NRCs) Program supports IHEs or consortia of such institutions in establishing, operating, and strengthening comprehensive or undergraduate centers of excellence to train students, specialists, and other scholars. Activities may include: supporting instructors of less commonly taught languages; bringing visiting scholars and faculty to the Center to teach, conduct research, or participate in conferences or workshops; maintaining important library collections and related training and research facilities; conducting advanced research on issues in world affairs that concern one or more countries; establishing linkages between IHEs and other academic, governmental, and media entities; operating summer institutes in the U.S. 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 help students in science, technology, engineering, and mathematics fields achieve foreign language proficiency. NRCs are funded for up to 4 years, with funds awarded on an annual basis pending satisfactory performance by the Centers and availability of funds.

The Foreign Language and Area Studies Fellowships Program supports academic year and summer fellowships for graduate- and undergraduate-level training at IHEs offering high quality, performance-based modern language programs, in combination with area studies, international studies, or the international aspects of professional studies. Students apply to IHEs that receive fellowship allocations from the Department. To be eligible for fellowships, students must be:

- 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.

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### **International education and foreign language studies: Domestic programs**

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Before awarding a fellowship for use outside the U.S., an institution must obtain approval from the Department. A fellowship may be approved for use outside the U.S. if: (1) the student is enrolled in an overseas modern foreign language program approved by the institution where the student is enrolled in the U.S.; or (2) the student is engaged in research that cannot be effectively done in the U.S. 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.

The 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: development of a global or international studies program that is interdisciplinary in design; development of a program that focuses on specific 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; establishment of internship opportunities for faculty and students in domestic and overseas settings; and development of study abroad programs.

All 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 describe: how the applicant will provide information to students regarding federally funded scholarship programs in related areas; 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; how the applicant will encourage service in “areas of national need,” as identified by the Department.

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 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.

The International Research and Studies (IRS) Program provides grants to institutions, public and private agencies, organizations, and individuals to conduct research and studies to improve and strengthen instruction in modern foreign languages, area studies, and other international fields. An applicant may apply for IRS funds to conduct research and studies, including the following activities: (1) studies and surveys to determine the need for increased or improved instruction in modern foreign languages and area studies and other international fields;

## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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(2) research and studies on more effective methods of instruction and achieving competency in modern foreign languages, area studies, or other international fields; and (3) development and publication of specialized materials.

The Centers for International Business Education (CIBE) Program supports 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 international business contexts; 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 resources to local businesses and chambers of commerce by offering programs and providing research designed to meet the international training needs of such businesses; and serve other faculty, students, and IHEs and K-12 schools with additional teacher and student outreach programs located within their respective regions.

CIBEs are eligible for 4 years of support. 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.

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

The American Overseas Research Centers Program makes grants to consortia of U.S. IHEs that operate overseas, facilitating research and scholarship in a particular region of the world. They 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.

## HIGHER EDUCATION

### **International education and foreign language studies: Domestic programs**

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Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$65,103
2016.....	65,103
2017.....	65,103
2018.....	65,103
2019.....	65,103

### **FY 2020 BUDGET REQUEST**

For fiscal year 2020, the Administration requests no funding for the Title VI Domestic Programs, a decrease of \$65.1 million from the fiscal year 2019 appropriation. This request reflects the Administration's commitment to refocusing Federal education investments on flexible formula grant programs serving the Nation's most vulnerable student populations while reducing or eliminating funding for programs that are duplicative, ineffective, or more appropriately supported with State, local or private funds. A number of other Federal agencies offer programs that are similar and potentially duplicative of the Department's Title VI programs. These include:

- Department of Defense:
  - The National Security Education Program provides funds for undergraduate and graduate student study abroad in areas less commonly visited by U.S. students.
  - Language Flagship Grants to Institutions of Higher Education and Language Flagship Fellowships support undergraduate language flagship programs at Flagship Centers enabling students from all majors to work towards professional-level language proficiency in foreign languages.
- Central Intelligence Agency:
  - The Undergraduate Scholarship Program offers major-related career experience for undergraduate students, including those majoring in foreign language, area studies, international affairs, national security studies, geography/GIS, and linguistics.
  - The Central Intelligence Agency Undergraduate Co-Op/Intern Program and Graduate Studies Program provide students pursuing degrees in a variety of liberal arts degree programs the opportunity to work as Open Source Collection and Exploitation Officers, Foreign Language Specialists, Intelligence Analysts, Collection Management Officers, and Staff Operations Officers.
- The United States Agency for International Development (USAID) supports academic involvement in international development projects, training in the U.S. for technical and professional personnel from developing countries, and linkages with universities in developing nations.

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### International education and foreign language studies: Domestic programs

In addition, there is a significant private market presence for language learning programs, including innovative online tools, as well as hundreds of similar programs maintained and operated by institutions of higher education across the country. Consequently, the Administration believes there no longer is a critical need for Title VI domestic programs. However, under this request, the Administration would provide existing Domestic Program grantees a reasonable period of time to close out existing projects and draw down grant funds already awarded in prior years.

### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>National Resource Centers (NRC) Program:</b>			
Number of new awards	96	0	0
Average new award	\$237	0	0
Total new award funding	\$22,743	0	0
Number of NCC awards	0	96	0
Average NCC award	0	\$237	0
Total NCC award funding	0	\$22,743	0
Total award funding	\$22,743	\$22,743	0
Total number of awards	96	96	0
<b>Foreign Language and Area Studies (FLAS) Fellowships:</b>			
Academic year graduate fellowships	673	673	0
Average academic year fellowship	\$33	\$33	0
Academic year undergraduate fellowships	291	291	0
Average academic year fellowship	\$15	\$15	0
Summer fellowships	534	534	0
Average summer year fellowship	\$8	\$8	0
Number of new awards	105	0	0
Average new award	\$294	0	0
Total new award funding	\$30,852	0	0
Number of NCC awards	0	105	0
Average NCC award	0	\$294	0
Total NCC award funding	0	\$30,852	0
Total award funding	\$30,852	\$30,852	0
Total number of awards	105	105	0



## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Undergraduate International Studies and Foreign Language (USIFL) Program:</b>			
Number of new awards	21	10	0
Average new award	\$80	\$92	0
Total new award funding	\$1,684	\$920	0
Number of NCC awards	5	21	0
Average NCC award	\$134	\$79	0
Total NCC award funding	\$670	\$1,667	0
Total award funding	\$2,354	\$2,587	0
Total number of awards	26	31	0
<b>International Research and Studies (IRS) Program:</b>			
Number of new awards	0	8	0
Average new award	0	\$89	0
Total new award funding	0	\$712	0
Number of NCC awards	8	0	0
Average NCC award	\$71	0	0
Total NCC award funding	\$712	0	0
Total award funding	\$712	\$712	0
Total number of awards	8	8	0
<b>Centers for International Business Education (CIBE):</b>			
Number of new awards	15	0	0
Average new award	\$305	0	0
Total new award funding	\$4,571	0	0
Number of NCC awards	0	15	0
Average NCC award	0	\$305	0
Total NCC award funding	0	\$4,571	0
Total award funding	\$4,571	\$4,571	0
Total number of awards	15	15	0
<b>Language Resource Centers (LRC) Program:</b>			
Number of new awards	16	0	0
Average new award	\$172	0	0
Total new award funding	\$2,747	0	0

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### International education and foreign language studies: Domestic programs

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Language Resource Centers Program (cont'd)</b>			
Number of NCC awards	0	16	0
Average NCC award	0	\$172	0
Total NCC award funding	0	\$2,747	0
 Total award funding	 \$2,747	 \$2,747	 0
Total number of awards	16	16	0
 <b>American Overseas Research Centers (AORC) Program:</b>			
Number of NCC awards	10	10	0
Average NCC award	\$65	\$65	0
Total NCC award funding	\$650	\$650	0
 Total award funding	 \$650	 \$650	 0
Total number of awards	10	10	0
 <b>Total award funding:</b>			
Total new award funding	\$62,597	\$1,632	0
Total NCC award funding	\$2,032	\$63,230	0
 <b>Program evaluation, national outreach, and information dissemination</b>	 \$295	 \$191	 0
 <b>Peer review of new award applications</b>	 \$179	 \$50	 0
 <b>Total Domestic funding</b>	 \$65,103	 \$65,103	 0
<b>Total Domestic awards</b>	276	281	0

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information for grantees, 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 fiscal year 2020 and future years, as well as the resources and efforts invested by those served by the programs.

**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.**

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### International education and foreign language studies: Domestic programs

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**Objective:** *Provide grants to institutions of higher education or consortia of institutions of higher education to establish, strengthen, and operate comprehensive and undergraduate language and area/international studies centers.*

**Measure:** Percentage of priority languages defined by the Department taught at NRCs.

Year	Target	Actual
2015		83.0%
2016		78.0
2017		62.0
2018		
2019	TBD	
2020	TBD	

**Additional information:** Grantees are required to submit annual performance reports via the International Resource Information System (IRIS), the Web-based performance reporting system for the IEFLS programs. Data for this measure is obtained through NRC grantee language course uploads. The percentage of priority languages defined by the Department taught at NRCs is calculated by taking the total number of distinct priority language courses uploaded by institutions and dividing the total number of priority languages defined by the Department. Currently, 48 languages, or 62 percent, of 78 critical languages are being taught in Title VI institutions. The Department plans to establish targets after 2018 data become available in summer.

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

Year	Target	Actual
2015		59.0%
2016		56.0
2017		51.0
2018		
2019	TBD	
2020	TBD	

**Additional information:** Grantees are required to submit annual performance reports via the International Resource Information System (IRIS), the Web-based performance reporting system for the IEFLS programs. Data for the measure is obtained from grantee NRC language course uploads. The percentage of NRC grants teaching intermediate or advanced courses in priority languages is calculated by taking the total number of priority language courses uploaded by institutions where level equals 3 and dividing the total number of priority languages defined by the Department. Currently, 40 of the 78 priority languages are teaching intermediate or advanced courses in Title VI institutions. The Department plans to establish targets after 2018 data become available in summer 2019.

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### International education and foreign language studies: Domestic programs

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**Measure:** Percentage of less and least commonly taught languages as defined by the Department of Education taught at NRCs.

Year	Target	Actual
2015		36.0%
2016		35.0
2017		24.0
2018		
2019	TBD	
2020	TBD	

**Additional information:** Grantees are required to submit annual performance reports via the International Resource Information System (IRIS), the Web-based performance reporting system for the IEFLS programs. Data for this measure is obtained from grantee NRC language course uploads. The percentage of less and least commonly taught languages is calculated by taking the total distinct least commonly taught language courses uploaded by institutions and dividing the total least commonly taught languages. During fiscal year 2017, 70 languages of 287 were taught in Title VI institutions. The Department plans to establish targets after 2018 data become available in summer 2019.

**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:** Percentage of FLAS masters and doctoral graduates who studied priority languages as defined by the Department.

Year	Target	Actual
2015		83.0%
2016		83.0
2017		83.0
2018		
2019	TBD	
2020	TBD	

**Additional information:** The measure is created by taking the total master's and doctorate fellows who are studying a priority language and dividing the number by the total master's and doctoral fellows. In fiscal year 2017, 1,088 out of 1,314, or 83 percent of FLAS masters and doctoral fellows were studying a priority language. The Department plans to establish targets after 2018 data become available in summer 2019.

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### International education and foreign language studies: Domestic programs

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**Measure:** Percentage of FLAS graduated fellows who secured employment that utilizes their foreign language and area studies skills within 8 years after graduation based on FLAS tracking survey (long-term measure).

Year	Target	Actual
2012		77.0%
2014		80.0
2016		
2018		
2020	TBD	

**Additional information:** Data are obtained from the Survey of Post-Graduates for International Education Fellowship Recipients. Grantees must administer this survey once every 2 years and report their survey results to the Department. The most recent data are based on a survey that tracked FLAS fellowship recipients from 2010 to 2014 who have since graduated. This report follows on the first report, published in 2015, which covered FLAS fellows who graduated in 2010–2012. This report adds FLAS fellows who graduated in 2012–2014 to the ones who graduated in 2010–2012. When asked to what extent the fellows' current primary employment related to the fields in which they received their degrees, of the fellows that were surveyed, 80 percent of respondents reported that their principal jobs were “closely related” (51 percent) or “somewhat related” (29 percent) to the fields in which they received their degrees. Twenty percent responded that their principal jobs were “not related” to the fields in which they received their degrees and 5 percent of fellows were unemployed. Data for 2016 will be available December 2019 and future targets will be established.

#### Other Performance Measures

The Department established additional performance measures in an effort to increase transparency and accountability for the IFLE programs. These include a number of long-term measures for which data will not be available until 2020. However, the Department experienced difficulties compiling and reporting grantee performance data for these measures. The Department is currently working to identify and address these reporting issues. These measures include the following:

- Percentage of NRCs that increased the number of certificate, minor, or major degree programs in the priority and/or LCTLs, area studies, or international studies during the course of the 4-year grant period (long-term measure).
- Percentage of NRCs that increased the number of intermediate or advanced level language courses in the priority and/or LCTLs during the course of the grant period (long-term measure).
- Percentage of FLAS fellows who increased their foreign language reading, writing, and/or listening/speaking scores by at least 1 proficiency level (annual measure).
- Percentage of UISFL projects that added or enhanced courses in international studies in critical world areas and priority foreign languages (annual measure).
- Percentage of UISFL consortium projects that established certificates and/or undergraduate degree programs in international or foreign language studies (annual measure).

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### **International education and foreign language studies: Domestic programs**

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- Percentage of CIBE program participants who advanced in their professional field 2 years after their participation (intermediate measure).
- Percentage of CIBE projects that established or internationalized a concentration, degree, or professional program with a focus on or connection to international business over the course of the CIBE grant period (long-term measure).
- The percentage of CIBE projects whose business industry participants increased export business activities (annual measure).
- Percentage of LRC products or activities judged to be successful by LRC customers with respect to quality, usefulness, and relevance (annual measure).
- Percentage of LRC products judged to be successful by an independent expert review panel with respect to quality, relevance, and usefulness (annual measure).
- Number of individuals conducting postgraduate research utilizing the services of AORCs.
- Percentage of AORCs program participants who advanced in their professional field 2 years after their participation (intermediate measure).

### **Efficiency Measures**

The Department also has developed the following efficiency measures:

- Cost per NRC that increased the number of intermediate or advanced level language courses in the priority and/or LCTLs during the course of the grant period (long-term measure).
- Cost per FLAS fellowship program fellow who increased his/her reading, writing, and/or listening/speaking language score by at least one proficiency level (annual measure).
- Cost per CIBE doctoral or Master's graduate employed in international business-related fields, including teaching in a business school or program within 8 years after graduation as measured by the International and Foreign Language Education (IFLE) Tracking Survey (long-term measure).
- Cost per LRC project that increased the number of training programs for K-16 instructors of LCTLs (annual measure).

Efficiency measures for the remaining Domestic Programs have not been finalized.

### **Other Performance Information**

- In February 2019, the Department released an International and Foreign Language Education Annual Report for 2017 that highlights the results of the IFLE programs and provides a snapshot of the ways in which funded programs have benefited the nation's students, educators, institutions, and the nation at large. The Report provides a brief update on each IFLE program and summarizes the results of the most recent (fiscal year 2017) program competitions. More information is available at the following link: <https://www2.ed.gov/about/offices/list/oie/iegps/2017ifleannualreport.pdf>.

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### **International education and foreign language studies: Domestic programs**

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- A number of studies have been conducted over the years to evaluate aspects of the Domestic Programs, including the following:
  - When Congress reauthorized the HEA, by way of the Higher Education Opportunity Act of 2008 (HEOA), it directed the Department to assist grantees in developing a survey to administer to students who have completed programs authorized by Title VI of the HEA to determine postgraduate employment, education, or training. The most recent report is based on a survey that tracked FLAS fellowship recipients from 2010 to 2014 who have since graduated. This report follows on the first report, published in 2015, which covered FLAS fellows who graduated in 2010–2012. This report adds FLAS fellows who graduated in 2012–2014 to the ones who graduated in 2010–2012. Subsequent surveys will continue to track this cohort in addition to new FLAS graduates. The survey data for this cohort demonstrate that graduated FLAS fellows tend to use their training in their jobs.
  - Key findings of this report were as follows:
    - FLAS fellows studied 95 languages during their first fellowship; 60 percent of the languages studied were considered priority languages.
    - Slightly over one-quarter of fellows used their fellowship to study at overseas institutions.
    - More than three-quarters of respondents are working in fields that are related to the area of study during their fellowship.
    - Sixty percent indicated that knowledge of a foreign language is a requirement or a key asset to their current job, and 64 percent reported that knowledge of area/international studies is a requirement or a key asset to their current job.
    - More than 60 percent reported using their area/international studies training in their current work on a regular basis with 37 percent reporting daily use.
    - Sixty-eight percent reported that they were “unlikely to achieve advanced language proficiency” without the FLAS fellowship.

Data for the 2014-2016 cohort is currently being analyzed and will be ready later in 2019. It will be repeated in 2020 adding FLAS fellowship recipients from 2016–2018, with a view toward both generating longitudinal data and improving on survey design and administration

- A 2008 study of the Department’s graduate fellowship programs 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 indicate:
  - FLAS fellows studied a wide variety of languages. South Asian 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

## HIGHER EDUCATION

### International education and foreign language studies: Domestic programs

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- 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 (speaking and listening were rated on a 5-point scale; reading and writing on a 6-point scale) with FLAS support both at the start and upon completing FLAS-supported study at a variety of levels. FLAS fellowship recipients averaged a one-level gain in proficiency. These data compare favorably to data collected through IRIS on Title VI FLAS fellowship recipients.
  - Nearly all fellows (92 percent) worked after completing their fellowships, and a majority of fellows (71 percent) worked in jobs that involved expertise they had gained through their FLAS-supported study. Nearly all fellows who reported working in a related job considered that job to be part of a career they were pursuing.
  - Among fellows who had held at least one job related to the field they had studied with FLAS support, three-quarters of fellows worked in education, one-fifth in a U.S. private sector job, and one-fifth in foreign or international jobs. About one in nine worked for the military or other Government positions.
  - Of fellows who had worked for pay since completing the fellowship, 68 percent worked in a job in which teaching was a major responsibility. These fellows had taught for an average of 3 years at the time of the survey, and 86 percent of them had taught in a field related to the FLAS-supported study.
  - FLAS fellows believed that FLAS was very helpful in their degree completion and at least somewhat helpful in obtaining employment in a desired field. Over one-half reported that receiving a FLAS fellowship influenced their occupation and career choices.

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 limitations, the data indicate positive outcomes.



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### **International education and foreign language studies: Overseas programs**

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

(dollars in thousands)

FY 2020 Authorization: Indefinite

Budget Authority:

<u>2019</u>	<u>2020</u>	<u>Change</u>
\$7,061	0	-\$7,061

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### **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). Grants are provided on an annual basis to eligible institutions that, in turn, support projects of varying duration under the following programs:

Group Projects Abroad (GPA) Program supports short-term projects, group training, research, and curriculum development in modern foreign languages and area studies for American teachers, college students, and faculty for periods from 1 to 12 months. In addition, the GPA program supports Advanced Overseas projects designed to provide advanced language training to students in foreign countries for a period of up to 12 months. Projects can 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. 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. Fellowships are from 6 to 12 months in length.

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

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

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

The Overseas Programs are specifically designed to increase the supply of specialists in area, international, and language studies. These programs also improve public access to knowledge of other countries and languages by supporting activities such as: 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 less commonly taught foreign languages, and those areas of the world in which those languages are spoken. Emphasis is placed on languages and regions defined as high priority by the Administration.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$7,061
2016.....	7,061
2017.....	7,061
2018.....	7,061
2019.....	7,061

### **FY 2020 BUDGET REQUEST**

For fiscal year 2020, the Administration requests no funding for the Overseas Programs, a decrease of \$7 million from the fiscal year 2019 appropriation, consistent with the Administration's goal of rightsizing the Federal role in education by reducing or eliminating funding for programs that duplicate other programs; are ineffective; or are more appropriately supported with State, local or private funds.

Other Federal agencies and organizations offer programs that are similar to and/or duplicative of the Department's Fulbright-Hays programs, including those administered by the Bureau of Educational and Cultural Affairs (BECA) at the Department of State. BECA programs support studies or internships abroad, intensive summer language institutes in critical languages and for cultural enrichment, and opportunities for international graduate study, advanced research, university teaching, and primary and secondary school teaching. Additionally, the American Councils for International Education organization administers many programs for overseas language and culture study in all world regions.

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

In addition, there is a significant private market presence for language learning programs, including innovative online tools, as well as hundreds of similar programs maintained and operated by institutions of higher education across the country. Consequently, the Administration believes there no longer is a critical need for the Overseas Programs. Under the request, the Department would provide existing Overseas Program grantees a reasonable period of time to close out existing projects and draw down grant funds already awarded in prior years.

### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Group Projects Abroad:</b>			
Short-Term Projects:			
Number of new projects	13	25	0
Average new project	\$82	\$50	0
Total new project funding	\$1,071	\$1,250	0
Advanced Overseas Projects:			
Number of new projects	6	15	0
Average new project	\$240	\$93	0
Total new project funding	\$1,437	\$1,400	0
Total GPA project funding	\$2,508	\$2,650	0
Total number of GPA projects	19	40	0
Total number of GPA participants	425	500	0
<b>Doctoral Dissertation Research Abroad:</b>			
Number of new fellows	100	90	0
Average new fellowship	\$37	\$37	0
Number of new awards	42	40	0
Average new award	\$89	\$87	0
Total new award funding	\$3,745	\$3,466	0
<b>Seminars Abroad—Special Bilateral Projects:</b>			
Number of new awards	3	3	0
Average new award	\$166	\$206	
Total new award funding	\$498	\$617	0
Total number of participants	48	48	0
Department of State administrative costs	\$182	\$200	0
Program evaluation, national outreach, and information dissemination	\$58	\$58	0
Peer review of new award applications	\$70	\$70	0
Total Overseas funding	\$7,061	\$7,061	0
Total Overseas participants	573	638	0

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

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#### **PROGRAM PERFORMANCE INFORMATION**

##### **Performance Measures**

The Department established program performance measures for the International Education and Foreign Language Studies (IEFLS) programs, including the Overseas Programs, to improve the quality of program-level outcome data and increase transparency and accountability for the programs. However, the Department experienced difficulties compiling and reporting grantee performance data for these measures. Although data are not available, the Department is currently working to identify and address these reporting issues in 2019.

The Department intends to use the following program performance measures for the Overseas Programs. Data will be based on pre- and post-grant scores on standardized, instructor-led examinations.

- Percentage of DDRA fellows who increased their foreign language scores in speaking, reading, and/or writing by at least one proficiency level (annual measure).
- Percentage of GPA participants in the Advanced Language Program who increased their reading, writing, and/or listening/speaking foreign language scores by one proficiency level (Long-Term Projects).

Grantees are required to submit annual performance reports via the International Resource Information System (IRIS), the Web-based performance reporting system for the IEFLS programs.

##### **Efficiency Measures**

The Department also has developed the following efficiency measures. Data will be collected from grantee institutions via their performance reports.

- Cost per DDRA fellow who found employment that utilized their language and area studies skills within 8 years.
- Cost per GPA participant who increased his/her foreign language score in reading, writing, and/or listening/speaking by at least one proficiency level.

##### **Other Performance Information**

- In February 2019, the Department released an International and Foreign Language Education Annual Report for 2017 that highlights the results of the IFLE programs and provides a snapshot of the ways in which funded programs have benefited the nation's students, educators, institutions, and the nation at large. The Report provides a brief update on each IFLE program and summarizes the results of the most recent (fiscal year 2017) program competitions. More information is available at the following link: <https://www2.ed.gov/about/offices/list/oie/iegps/2017ifleannualreport.pdf>.

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### **International education and foreign language studies: Overseas programs**

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- A 2008 study of the Department's graduate fellowship programs revealed several key findings regarding the DDRA program. The data gathered through this study indicated that:
  - DDRA fellows took less time to complete their degrees than other doctoral recipients did, which may be related to DDRA fellows having been enrolled full-time at higher rates than most doctoral students.
  - Over 90 percent of DDRA fellows completed their degrees, with only 1 percent dropping out of their programs and the remainder planning to complete their degrees.
  - DDRA fellows who were awarded fellowships late in their graduate school careers finished their doctoral degrees at a rate of 93 percent.
  - DDRA fellows studied a wide variety of languages: only 20 percent of fellows studied European languages and more students studied South or East Asian languages than languages from any other geographic region. Nearly two-thirds studied a language deemed "critical" by the Department.
  - Nearly all (89 percent) DDRA fellows worked in jobs that used the expertise they had gained through their fellowship-funded research, and all fellows in these jobs described them as part of a career they had pursued for an average of 4 years and were continuing to pursue.

## HIGHER EDUCATION

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### **Model transition programs for students with intellectual disabilities into higher education**

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

(dollars in thousands)

FY 2020 Authorization: To be determined<sup>1</sup>

Budget Authority:

	<u>2019</u>	<u>2020</u>	<u>Change</u>
	\$11,800	\$11,800	0

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2020.

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### **PROGRAM DESCRIPTION**

The Model Transition Programs for Students with Intellectual Disabilities into Higher Education (TPSID) support competitive grants to institutions of higher education (IHEs) (as defined under section 101(a) of the Higher Education Act of 1965, as amended (HEA)), or consortia of IHEs, to create or expand high-quality, inclusive model comprehensive transition and postsecondary programs for students with intellectual disabilities. Funds from this program also support a national Coordinating Center (Center), which develops evaluation standards for TPSID grantees and provides technical assistance, information, and opportunities for communication among institutions with postsecondary programs for students with intellectual disabilities. The Center assists in developing, evaluating, funding, conducting outreach, and supporting continuous improvement activities for model transition programs.

Grants under this program are awarded for 5 years. All grant recipients must partner with one or more local educational agencies to support students with intellectual disabilities who are eligible for special education and related services under the Individuals with Disabilities Education Act (IDEA). IHEs receiving funds under this program are required to match Federal funds in an amount that is no less than 25 percent of the award amount. Funds may be used for a variety of activities, including student support services; academic enrichment, socialization, or living skills programs; integrated work experiences; development of individualized instruction plans; evaluation of the model program, in cooperation with the Center; program sustainability; and development of a program credential.

## HIGHER EDUCATION

### Model transition programs for students with intellectual disabilities into higher education

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$11,800
2016.....	11,800
2017.....	11,800
2018.....	11,800
2019.....	11,800

### **FY 2020 BUDGET REQUEST**

For fiscal year 2020, the Administration requests \$11.8 million for TPSID, the same as the fiscal year 2019 appropriation. Funds appropriated in fiscal year 2020 would support a competition for new awards to institutions of higher education, as well as the Coordinating Center.

Among all students with disabilities, students with intellectual disabilities are the least likely to have college enrollment listed as a goal on their Individualized Education Program (IEP) in high school, and are among the least likely (along with students with multiple disabilities) to enroll in postsecondary education within 4 years after high school. According to the 2011 report, “Post-High School Outcomes of Young Adults With Disabilities up to 8 Years After High School” from the National Longitudinal Transition Study-2 (NLTS2), only 29 percent of students with intellectual disabilities enrolled in postsecondary education settings, the lowest rate of all disability categories after 8 years, and of these students, only 7 percent enrolled in 4-year colleges. Among those youth with disabilities who do attend college, students with intellectual disabilities are less likely than others to successfully find employment, live independently, or see friends at least weekly.

TPSID programs identify, promote, and demonstrate innovative strategies to serve students with intellectual disabilities in areas such as access to academically inclusive college courses, participation in internships and integrated competitive employment, and engagement in social and personal development activities.

The current TPSID Coordinating Center is Think College, a project of the Institute for Community Inclusion at the University of Massachusetts Boston. In the most recent annual report for the 2015-2020 cohort, released in 2019, Think College reported that TPSID served a total of 843 students on 48 campuses across 19 states in the third year of data collection, i.e., fiscal year 2018. TPSID reported successes in a number of areas, including continued growth in enrollments in inclusive courses, the number and percentage of students completing programs, and the percentage of students who held paid jobs when they exited the TPSID program. Additionally, the percentage of TPSID students attending programs approved as Comprehensive Transition and Postsecondary Programs (CTPs) increased from 42 percent to 63 percent in from Year 2 to Year 3.

## HIGHER EDUCATION

### Model transition programs for students with intellectual disabilities into higher education

#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
Number of new awards	0	0	25
Average new award	0	0	\$388
Total new award funding	0	0	\$9,700
Number of non-competing continuation (NCC) awards	25	25	0
Average NCC award	\$392	\$392	0
Total NCC award funding	\$9,800	\$9,800	0
Coordinating Center	\$2,000	\$2,000	\$2,000
Peer review of new award applications	0	0	\$100
Total	\$11,800	\$11,800	\$11,800

#### **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 fiscal year 2020 and future years, as well as the resources and efforts invested by those served by this program.

**Goal:** To promote the successful transition of students with intellectual disabilities into higher education.

**Objective:** Increase the percentage of students with intellectual disabilities who are enrolled in programs funded under TPSID who complete the programs and obtain a meaningful credential, as defined by the Center and approved by the Department.

**Measure:** The percentage of students with intellectual disabilities enrolled in programs funded under TPSID who complete the programs and obtain a meaningful credential, as defined by the Center and approved by the Department.

<b>Year</b>	<b>Target</b>	<b>Actual</b>
<b>2016</b>	85%	72%
<b>2017</b>	85	75
<b>2018</b>	85	77
<b>2019</b>	85	
<b>2020</b>	85	



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### Model transition programs for students with intellectual disabilities into higher education

**Additional Information:** Possible credentials include certificates specifically for TPSID students granted by an IHE, specialized certificates granted by a program, certificates available to all students, specialized certificates issued from a Local Educational Agency (LEA), and Bachelor or Associate degrees available to all students. Reporting year 2018 represents the third year of the second cohort (i.e., 2015-2020) of TPSID grantees. Of the 267 students who exited a TPSID program during fiscal year 2018, 206 students (77 percent) received a meaningful credential.

**Objective:** *Increase the percentage of TPSID grant recipients that meet Department-approved, Center-developed standards for necessary program components.*

**Measure:** The percentage of TPSID grant recipients that meet Department-approved, Center-developed standards for necessary program components, including Academic Access, Career Development, Campus Membership, Self-Determination, Alignment with College Systems and Practices, Coordination and Collaboration, Sustainability, and Ongoing Evaluation.

Year	Target	Actual
2016	90%	88%
2017	90	63
2018	90	75
2019	90	
2020	90	

**Additional Information:** The Center developed the Think College Standards for Inclusive Higher Education in 2012. These eight standards include 18 quality indicators and 87 benchmarks and provide an evaluation framework for TPSID performance in areas of academic, vocational, social, and independent living skills; evaluation of student progress; program administration and evaluation; student eligibility; and program credit equivalency.

## HIGHER EDUCATION

### Model transition programs for students with intellectual disabilities into higher education

The Center looks at the TPSID grantees as a cohort in this measure, determining the percentage of standards that are met by all projects. In 2018, which corresponds to the third year of the second cohort, 100 percent of TPSIDs met six of the eight standards (75 percent). This decrease from the prior year is largely the result of a single grantee that did not meet three of the eight standards in its second year. The following table provides a breakout of the individual standards and the percentage of grantees that met each, respectively, by year.

Standard	FY 2016	FY 2017	FY 2018
1. <b>Academic Access:</b> To facilitate quality academic access for students with intellectual disabilities, the comprehensive postsecondary education program should provide access to a wide array of college course types that are attended by students without disabilities and address issues that may impact college course participation.	100%	96%	100%
2. <b>Career Development:</b> To facilitate career development leading to competitive employment for students with intellectual disabilities, the comprehensive postsecondary education program should provide students with the supports and experiences necessary to seek and sustain competitive employment.	93	92	92
3. <b>Campus Membership:</b> To facilitate campus membership for students with intellectual disabilities, the comprehensive postsecondary education program should provide access to and support for participation in existing social organizations, facilities, and technology.	100	100	100
4. <b>Self-Determination:</b> To facilitate the development of self-determination in students with intellectual disabilities, the comprehensive postsecondary education program should ensure student involvement in and control of the establishment of personal goals through use of person centered planning and have a stated process for family involvement.	100	100	100
5. <b>Alignment with College Systems and Practices:</b> To facilitate alignment with college systems and practices for students with intellectual disabilities, the comprehensive postsecondary education should offer an educational credential (e.g., degree or certificate) established by the institution for students enrolled in the program, provide access to academic advising college campus resources, collaborate with faculty and staff, and adhere to the college's schedules, policies and procedures, public relations, and communications.	100	100	100

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### Model transition programs for students with intellectual disabilities into higher education

Standard	FY 2016	FY 2017	FY 2018
<b>6. Coordination and Collaboration:</b> To facilitate collaboration and coordination, the comprehensive postsecondary education program should establish connections and relationships with key college/university departments and have a designated person to coordinate program-specific services of the comprehensive postsecondary education program.	100%	100%	100%
<b>7. Sustainability:</b> To facilitate sustainability the comprehensive postsecondary education program should use diverse sources of funding and have a planning and advisory team.	100	100	100
<b>8. Ongoing Evaluation:</b> To facilitate quality postsecondary education services for students with intellectual disabilities, the comprehensive postsecondary program should conduct evaluation of services and outcomes on a regular basis.	100	96	96

The Department will continue to refine this measure for the fiscal year 2020 competition. The Department is also in the process of identifying additional performance measures, including long-term and efficiency measures, for the evaluation of TPSID grantees. Data from the current 25 grantees from the second cohort (2015-2020) as well as the 27 grantees from the first cohort (2010-2015) will inform measurement development and refinement.

## HIGHER EDUCATION

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### **Tribally controlled postsecondary career and technical institutions**

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

(dollars in thousands)

FY 2020 Authorization: \$9,899

Budget Authority:

<u>2019</u>	<u>2020</u>	<u>Change</u>
\$9,564	\$8,286	-\$1,278

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### **PROGRAM DESCRIPTION**

This program makes grants to tribally controlled postsecondary career and technical institutions to provide career and technical education to Indian students. The program was reauthorized by the Strengthening Career and Technical Education for the 21<sup>st</sup> Century Act with no significant changes.

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

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

## HIGHER EDUCATION

### **Tribally controlled postsecondary career and technical institutions**

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

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$7,705
2016.....	8,286
2017.....	8,286
2018.....	9,469
2019.....	9,564

### **FY 2020 BUDGET REQUEST**

For fiscal year 2020, the Administration requests \$8.3 million for the Tribally Controlled Postsecondary Career and Technical Institutions (TCPCTI) program, a decrease of \$1.3 million from the fiscal year 2019 appropriation and the same as the fiscal year 2019 request. The request would provide significant resources for the program while also maintaining the fiscal discipline necessary to support the President's goal of increasing support for national security and public safety without adding to the Federal budget deficit. Funds would be used to improve eligible institutions' academic and career and technical education offerings consistent with the purposes of the Carl D. Perkins Career and Technical Education Act of 2006, as reauthorized and amended by the Strengthening Career and Technical Education for the 21<sup>st</sup> Century Act, and for institutional support and capital expenditures.

This program currently makes awards to two institutions: Navajo Technical College (Navajo Tech) and United Tribes Technical College (UTTC). While UTTC is located in an urban setting and serves a diverse Indian student population and Navajo Tech is a rural institution that serves an almost entirely Navajo enrollment, they struggle with similar institutional and academic challenges. Both institutions serve an especially economically disadvantaged population and have difficulty providing sufficient financial aid to students. In addition, each school serves a number of students who lack preparation for postsecondary education and need academic and support services to help them develop the skills needed to succeed in a postsecondary setting.

Typical sources of institutional support, such as student tuition, endowments, and State assistance are not sufficient to meet student needs. Furthermore, 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. Consequently, these institutions rely on Federal assistance to help them provide postsecondary career and technical education services to their students.

## HIGHER EDUCATION

### Tribally controlled postsecondary career and technical institutions

#### **PROGRAM OUTPUT MEASURES**

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
Range of awards	\$2,541-\$6,928	\$2,566-\$6,998	\$2,223-\$6,063
Number of awards	2	2	2

#### **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 fiscal year 2020 and future years, as well as the resources and efforts invested by those served by this program.

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

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

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

<b>Year</b>	<b>Target Percentage, Navajo Tech</b>	<b>Actual Percentage, Navajo Tech</b>	<b>Target Percentage, UTTC</b>	<b>Actual Percentage, UTTC</b>
<b>2015</b>	90%	83%	58%	42%
<b>2016</b>	95	76	60	42
<b>2017</b>	88	99	62	26
<b>2018</b>	88		62	
<b>2019</b>	88		62	
<b>2020</b>	88		62	

**Additional information:** The source of data is grantee reports. UTTC reported that there has been a significant increase in the number of students who “stop out,” or leave the program to return later, in order to earn income. The Department reset targets in 2015 based on actual performance over the preceding 5 years; in particular, it reset targets for Navajo Tech given the changes in rigor due to its new status as a university and expected changes in performance due to these changes. Data for 2018 will be available in summer of 2019.

## HIGHER EDUCATION

### Tribally controlled postsecondary career and technical institutions

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**Measure:** The percentage of students who are retained in postsecondary CTE programs.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2015	85%	78%	65%	72%
2016	87	70	65	72
2017	82	66	58	35
2018	82		58	
2019	82		61	
2020	83		61	

**Additional information:** The source of data is grantee reports. The measure is based on students who complete CTE programs and students who have not yet completed, but have been retained, in CTE programs. The Department reset targets in 2015 based on actual performance over the preceding 5 years; in particular, it reset targets for Navajo Tech given the changes in rigor due to its new status as a university and expected changes in performance due to these changes. Data for 2018 will be available in summer of 2019.

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

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2015	85%	78%	80%	68%
2016	85	76	82	68
2017	83	70	76	88
2018	83		76	
2019	83		76	
2020	83		84	

**Additional information:** The source of data is grantee reports. The percentage of students who meet State- or program-established industry-validated CTE skills standards is based on the number of CTE concentrators (students who have completed at least 12 academic or CTE credits in a single program area or a full short-term CTE program comprised of less than 12 credits that results in an industry-recognized credential, certificate, or degree) who passed technical skill assessments that are aligned with industry-recognized standards during the reporting year divided by the number of CTE concentrators who took technical skill assessments during the reporting year. The Department reset targets in 2015 based on actual performance over the preceding 5 years; in particular, it reset targets for Navajo Tech given the changes in rigor due to its new status as a university and expected changes in performance due to these changes. Data for 2018 will be available in summer of 2019.

## 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 service, or higher-level continuing education programs upon graduation or completion of the postsecondary career and technical education programs.

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2015	70%	55%	85%	80%
2016	73	86	87	81
2017	77	74	82	75
2018	79		79	
2019	79		79	
2020	84		79	

**Additional information:** The source of data is grantee reports. The Department requires Navajo Tech and UTTC to collect placement data during the second quarter after students graduate from or complete their programs. Since most students do so in late spring or early summer, both institutions generally collect these data at the end of the calendar year. The Department reset targets in 2015 based on actual performance over the preceding 5 years; in particular, it reset targets for Navajo Tech given the changes in rigor due to its new status as a university and expected changes in performance due to these changes. Data for 2018 will be available in summer of 2019.

### Efficiency Measures

The Department adopted cost per participant as the efficiency measure for this program. The Department considered calculating the cost per successful outcome (which would be a more meaningful indicator of cost-effectiveness), but the recipients do not use the same methodology to determine degree completion, which limits the comparability of the data. In addition, there continue to be reliability concerns about these data due to challenges in obtaining an accurate student count. The Department developed guidance to help grantees improve the comparability and reliability of the data provided in their performance reports and expects to be able to calculate the cost per successful outcome more reliably in the future.

**Measure:** Annual cost per participant (whole dollars).

Year	Cost per participant, Navajo Tech	Cost per participant, UTTC
2012	\$3,104	\$4,128
2013	2,950	2,950
2014	3,172	3,172
2015	4,086	4,086
2016	4,150	4,150
2017	4,089	4,089



## HIGHER EDUCATION

### **Tribally controlled postsecondary career and technical institutions**

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**Additional information:** The statutory definition of Indian student count is an aggregate of the enrollment counts for each term: summer school, fall, spring, and continuing education; this means that an individual student may be included more than once in the total count. Since funding is distributed on an annual basis, the Department calculates the cost per participant by dividing the reported Indian student count by two to adjust for students who are counted multiple times. Data for fiscal year 2018 will be available by the fall of 2019. Note that the validity of the student count data provided by the recipients is uncertain.

## HIGHER EDUCATION

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### **Federal TRIO programs**

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

(dollars in thousands)

FY 2020 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2019</u>	<u>2020</u>	<u>Change</u>
\$1,060,000	\$950,000	-\$110,000

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2020.

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### **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 provide services to encourage individuals from disadvantaged backgrounds to enter and complete college and postgraduate education. Competitive grants are awarded for 5 years to eligible applicants, which include institutions of higher education; public and private agencies, including community-based organizations with experience in serving disadvantaged youth; and, as appropriate to the purposes of the program, secondary schools. At least two-thirds of the program participants must be low-income, first-generation college students (or individuals with disabilities for the Student Support Services program).

Talent Search identifies and assists individuals from disadvantaged backgrounds who are between 11 and 27 years of age by providing them with academic, career, and financial counseling and encouraging them to graduate from high school (or return to school, for those who have dropped out) and enroll in a postsecondary education program. Projects must provide a variety of supports and services, including: 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 academic tutoring services; connections to services designed to improve financial and economic literacy; and guidance and assistance in re-entering and completing secondary school. Projects also may provide academic tutoring; personal and career counseling; information on career options; exposure to college campuses; and services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care.

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Upward Bound provides services to high school students that are designed to generate the skills and motivation needed to pursue and complete a postsecondary education. Projects provide the same services as Talent Search projects, except that Upward Bound projects may provide an on-campus residential summer component and work-study positions that expose students to careers requiring a postsecondary degree. In addition to regular projects, Upward Bound supports projects that focus on math and science and also on veterans. The *Upward Bound Math and Science* program establishes mathematics and science centers that encourage students to pursue postsecondary degrees specifically in those fields. The *Veterans Upward Bound* projects are designed to assist veterans in preparing for a program of postsecondary education.

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, graduation, and transfer rates from 2-year to 4-year institutions. All projects must provide a range of supports and services, including: academic tutoring; advice on postsecondary course selection; financial aid counseling; services to improve financial and economic literacy; assistance in applying for graduate and professional programs; and activities to help students in 2-year institutions enroll in 4-year programs. Projects may also provide personal and career counseling; exposure to cultural events; mentoring; services to secure temporary housing during academic breaks for students who are homeless; activities for students with disabilities, limited English proficiency (English learner) students, 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.

The two largest programs, in terms of funding, are Upward Bound (which includes Veterans Upward Bound and Upward Bound Math and Science) and Student Support Services, which together accounted for over three-fourths of all TRIO funding in 2018, while Talent Search serves the largest number of students. TRIO programs vary greatly in service intensity, with annual per-student costs ranging from a high of \$9,133 for the McNair program to a low of \$267 for the Educational Opportunity Centers. Most projects are located at 2- and 4-year

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postsecondary institutions, although nonprofit organizations operate a substantial number of Talent Search and Educational Opportunity Center projects.

#### Number of Participants, Participants per Project and Cost per Participant (FY 2018)

Award Type	Number of Participants	Average number of participants per project	Federal cost per participant
Talent Search	309,905	655	\$511
Upward Bound	70,914	73	5,014
Veterans Upward Bound	8,157	132	2,254
Upward Bound Math and Science	13,184	62	5,134
Educational Opportunity Centers	193,530	1,382	267
Student Support Services	202,880	190	1,590
McNair	5,242	28	9,133

#### Percentage of Funds by Institution Type (FY 2018)

Institution Type	Talent Search	Upward Bound <sup>1</sup>	Educational Opportunity Centers	Student Support Services	McNair
Postsecondary Institutions					
Public, 4-year	43.3%	47.8%	42.5%	41.9%	75.0%
Public, 2-year	28.7	26.3	28.1	46.0	0.0
Private, 4-year	9.8	15.0	5.1	11.7	25.0
Private, 2-year	<u>0.0</u>	<u>0.1</u>	<u>0.0</u>	<u>0.4</u>	<u>0.0</u>
Total, Postsecondary	81.8	89.2	75.6	100.0	100.0
Other organizations <sup>2</sup>	<u>18.2</u>	<u>10.8</u>	<u>24.4</u>	<u>0.0</u>	<u>0.0</u>
Total	100.0	100.0	100.0	100.0	100.0

<sup>1</sup> Includes regular Upward Bound, Upward Bound Math and Science, and Upward Bound Veterans.

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

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

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

Funding for Evaluation activities helps to improve the effectiveness of TRIO programs and projects. The statute requires rigorous evaluation of TRIO programs and projects, but stipulates that the primary purpose of such evaluations must be the identification of successful practices and places limitations on the Department's ability to use experimental design methodologies in conducting evaluations of overall program effectiveness.

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 applicants and grantees.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015 .....	\$839,752
2016 .....	900,000
2017 .....	950,000
2018 .....	1,010,000
2019 .....	1,060,000

### FY 2020 BUDGET REQUEST

For fiscal year 2020, the Administration requests \$950 million for the Federal TRIO programs, a decrease of \$110 million from the fiscal year 2019 appropriation and the same as the fiscal year 2019 request. The request retains the Administration's fiscal year 2019 budget proposal to transition the Federal TRIO Programs from a set of competitive grant programs into a single State formula grant program that would support all existing TRIO activities, as well as those authorized under Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP), to help low-income and other disadvantaged students progress through the academic pipeline from middle school through college. The request would allow for all TRIO continuation awards to be fully funded and still have substantial funding remaining for formula grants to States for new awards.

The TRIO State formula grant consolidation proposal supports a number of the Administration's most important objectives in rightsizing the Federal role in education, including shifting authority and responsibility from the Federal government to the States, improving alignment between

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Federal resources and need, investing in activities that are most supported by evidence, and enabling the Department to re-allocate limited staff resources from competition-related activities to other core activities such as grant monitoring, technical assistance, performance improvement, and program evaluation.

Under this proposal, States would be responsible for determining how to allocate TRIO dollars among currently authorized TRIO activities (along with additional activities currently authorized under GEAR UP) as well as activities that best meet the needs of their eligible students and are most supported by evidence of effectiveness. States would also be empowered to follow their own preferred approach to determining subgrant allocations among institutions of higher education, local educational agencies, schools, and eligible nonprofit organizations. For example, States would decide whether to continue awarding prior experience (PE) points to current grantees or whether to fund high-cost per student activities focused on assisting a small number of students in enrolling in graduate school (such as those funded under McNair).

Restructuring the TRIO programs would also streamline a complex, resource-intensive Federal grant-making process that puts new applicants at a significant competitive disadvantage and generally results in a large number of awards to the same grantees each year. Across the TRIO competitions conducted between 2015 and 2017, approximately 83 percent of new funding was awarded to prior grantees; in those same competitions, prior grantee applicants were more than three times more likely than new applicants to win awards.

The proposed TRIO formula would require the Department to award funds based on statutory criteria such as each State's relative share of the population (in a particular age range) at or below 150 percent of the poverty line. The formula would also include "base allocations" to initially hold all States harmless according to the amounts they have historically received (through grantee recipients located in their States) on average, over some designated time period. The formula would include a set-aside for Freely Associated States and Outlying Areas, as well as for project staff training activities, data collection, and rigorous program evaluation.

The Department also would protect existing grantees during the transition to formula-based allocations by reserving sufficient funding to make continuation awards to existing grantees through the end of their approved project periods. In each year of the phase-in period, funding not needed for continuation awards would be distributed based on the formula. Accordingly, the majority of the amount requested for TRIO in fiscal year 2020 would be used to fully fund continuation awards, with the remaining funding distributed through a formula.

Finally, improving our understanding of the TRIO programs through comprehensive, rigorous evaluation methods is essential for maximizing the value of more than \$1 billion expended annually on programs that help ensure access to, and success in, postsecondary education for over 800,000 disadvantaged students each year. For this reason, the Administration proposes to remove the current statutory provisions limiting the agency's ability to rigorously evaluate the effectiveness of the TRIO programs.

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018 Funding</u>	<u>2019 Funding</u>	<u>2020 Request</u>	<u>2018 Awards</u>	<u>2019 Awards</u>	<u>2020 Awards</u>
<b>Talent Search</b>						
Continuation awards	\$158,260	\$165,516	\$165,507	473	473	473
STEM Supplements	<u>0</u>	<u>18,920</u>	<u>0</u>	<u>0</u>	<u>473</u>	<u>0</u>
Total	158,260	184,436	165,507	473	473	473
<b>Upward Bound</b>						
New awards	4,370	0	0	12	0	0
Continuation awards	324,643	344,481	344,477	955	967	967
STEM Supplements	<u>26,579</u>	<u>0</u>	<u>0</u>	<u>686</u>	<u>0</u>	<u>0</u>
Total	355,592	344,481	344,477	967	967	967
<b>Veterans Upward Bound</b>						
New awards	275	0	0	1	0	0
Continuation awards	<u>18,109</u>	<u>19,225</u>	<u>19,225</u>	<u>61</u>	<u>62</u>	<u>62</u>
Total	18,384	19,225	19,225	62	62	62
<b>Upward Bound Math and Science</b>						
New awards	550	0	0	2	0	0
Continuation awards	60,405	63,743	63,743	210	212	212
STEM Supplements	<u>6,732</u>	<u>0</u>	<u>0</u>	<u>170</u>	<u>0</u>	<u>0</u>
Total	67,688	63,743	63,743	212	212	212
<b>Educational Opportunity Centers</b>						
Continuation awards	<u>51,682</u>	<u>54,139</u>	<u>54,139</u>	<u>140</u>	<u>140</u>	<u>140</u>
Total	51,682	54,139	54,139	140	140	140
<b>Student Support Services</b>						
Continuation awards	<u>304,157</u>	<u>336,380</u>	<u>24,139</u>	<u>1,069</u>	<u>1,069</u>	<u>63</u>
Total	304,157	336,380	24,139	1,069	1,069	63
<b>McNair Postbaccalaureate</b>						
New awards	278	0	0	1	0	0
Continuation awards	<u>47,827</u>	<u>50,062</u>	<u>50,062</u>	<u>186</u>	<u>187</u>	<u>187</u>
Total	48,105	50,062	50,062	187	187	187

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<u>Output Measures</u>	<u>2018 Funding</u>	<u>2019 Funding</u>	<u>2020 Request</u>	<u>2018 Awards</u>	<u>2019 Awards</u>	<u>2020 Awards</u>
<b>Staff Training</b>						
New awards	\$3,078	0	0	12	0	0
Continuation awards	<u>0</u>	<u>\$3,219</u>	<u>0</u>	<u>0</u>	<u>12</u>	<u>0</u>
Total	3,078	3,219	0	12	12	0
<b>Total awards</b>						
Total new awards	8,552	0	0	28	0	0
Total Continuation awards	965,084	1,036,764	\$721,292	3,094	3,122	2,104
<b>STEM Supplements</b>	33,311	18,920	0	856	473	0
<b>State Formula Distribution</b>	0	0	226,708	0	0	59
<b>Evaluation</b>	746	0	2,000			
<b>Administrative expenses:</b>						
Peer review of new award applications	79	2,616	0			
Other expenses	<u>2,229</u>	<u>1,699</u>	<u>0</u>			
Total	2,307	4,316	0			
<b>Total</b>	<b>1,010,000</b>	<b>1,060,000</b>	<b>950,000</b>	<b>3,122</b>	<b>3,122</b>	<b>2,163</b>

In fiscal year 2018, consistent with the explanatory statement accompanying the Consolidated Appropriations Act, 2018, the Department reviewed grant applications submitted under the fiscal year 2017 UB, UBMS, VUB, and McNair competitions that were initially deemed ineligible due to budget errors. These applications were assessed by non-Federal peer reviewers using the same criteria, policies and procedures, and cutoff scores that were used for the fiscal year 2017 competitions. Of the 40 applications with budget errors that were reviewed in fiscal year 2018, 16 were successful and received new awards, including 12 UB grants (out of 20 applications reviewed); 2 UBMS grants (out of 8 applications reviewed); 1 VUB grant (out of 9 applications reviewed); and 1 McNair grant (out of 3 applications reviewed).

In addition, the Department used approximately \$33 million of the fiscal year 2018 funding to make one-year supplements of up to \$40,000 to existing UB and UBMS projects to support new or enhanced activities designed to improve student outcomes in Science, Technology, Engineering, and Math Education, with a particular focus on Computer Science. The Department made a total of 856 such supplements, including 686 supplements totaling \$26.6 million to UB projects and 170 supplements totaling \$6.7 million to UBMS projects. UB and UBMS grantees are using this supplemental funding to support creative approaches to enhance student mastery of key prerequisites necessary to enter postsecondary programs of study in STEM fields. The proposed initiatives include a wide range of approaches to engaging students with academic study, mentoring and practical application of STEM principles, including providing coursework in computer science, critical thinking and problem solving; and



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partnerships with research facilities, major corporations and organizations that will provide internships and work-based learning experiences.

Finally, consistent with the explanatory statement accompanying the Consolidated Appropriations Act, 2018, the Department also allocated approximately \$40 million to provide a 4.25 percent across-the-board increase to all existing TRIO grantees.

In fiscal year 2019, the Department will use the vast majority of the funding to support continuation awards across all programs. With the funds remaining, the Department is currently planning to make additional across-the-board award increases to all TRIO grantees and an additional round of supplements to enable Talent Search grantees to augment their activities designed to promote improve student outcomes in STEM, with a particular focus on computer science.

## 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 fiscal year 2020 and future years, as well as 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 Target	Talent Search Actual	Upward Bound Target	Upward Bound Actual	Educational Opportunity Centers Target	Educational Opportunity Centers Actual
2015	80.5%	78.7%	81.0%	84.9%	61.5%	58.0%
2016	81.0	77.6	81.5	84.1	61.5	57.1
2017	81.0	77.3	82.0	84.6	62.0	56.7
2018	81.0		82.0		62.0	
2019	81.0		82.5		62.0	
2020	81.0		84.0		62.0	

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

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- 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 have received a regular secondary school diploma or an alternative award such as a high school equivalency certificate.
- For the Upward Bound program, including the Math and Science projects, this measure tracks the percentage of Upward Bound participants with a regular secondary school diploma who subsequently enroll in postsecondary education.
- For Educational Opportunity Centers, the Department defines the cohort of participants comprising the denominator in the postsecondary enrollment calculation in the following way: participants who received a secondary school diploma or its equivalent during the reporting year, high school graduates or high school equivalency graduates not already enrolled in postsecondary education, postsecondary dropouts, or potential postsecondary transfers.

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

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

Year	Target	Actual
2015	37.0%	41.2%
2016	37.5	43.1
2017	38.0	43.6
2018	38.5	
2019	39.0	
2020	41.0	

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

Year	Target	Actual
2015	45.0%	50.4%
2016	47.0	55.9
2017	49.0	56.9
2018	50.0	
2019	51.0	
2020	53.0	

**Additional information:** Grantees provide data on college completion in their Annual Performance Reports (APR). Bachelor’s degree completion was calculated as the percentage of full-time, first-time freshman participants at four-year grantee institutions who received a bachelor’s degree (or an equivalent degree) from the same grantee institution within six years. In 2016–17, 56.9 percent of full-time, first-time freshmen from the 2011–12 cohort obtained a bachelor’s degree or an equivalent degree from the same grantee institution within six years of

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entering college. For 2-year institutions in 2016-17, 43.6 percent of full-time, first-time freshmen from the 2014-15 cohort completed an Associate's degree and/or transferred to a 4-year institution.

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

Year	Enrolling Target	Enrolling Actual	Persisting Target	Persisting Actual
2015	70.0%	69.7%	84.0%	81.4%
2016	70.0	68.7	84.5	84.4
2017	71.0	68.1	85.0	80.6
2018	71.0		85.0	
2019	71.0		85.0	
2020	71.0		85.0	

**Additional information:** The methodology for this enrollment measures counts as successes those McNair participants who enroll in graduate school within 3 years of postsecondary graduation. The reporting year in the table above represents the 3-year point of measurement. That is, 68.1 percent of McNair participants who graduated with their baccalaureate degree in 2014 had enrolled in graduate school by 2017. The persistence measure tracks the percentage of McNair participants who enrolled in graduate school and were still enrolled at the beginning of their second year.

### Efficiency Measures

**Measure:** The cost per successful outcome.

Year	Talent Search Target	Talent Search Actual	Upward Bound Target	Upward Bound Actual	Student Support Services Target	Student Support Services Actual
2015	\$470	\$460	\$4,585	\$4,273	\$1,680	\$1,671
2016	470	468	4,570	4,292	1,670	1,693
2017	465	524	4,555	4,422	1,660	1,694
2018	465		4,540		1,650	
2019	460		4,525		1,640	
2020	460		4,510		1,640	

**Additional Information:** The efficiency measure for the TRIO programs is the average annual cost per successful outcome, which is calculated by dividing the program's funding by the number of successful outcomes in each program in a given year. The definition of "successful outcome" varies by program; as a result, it is difficult to make valid comparisons across TRIO programs based on these data. For Talent Search and Upward Bound, participants are considered successful if they persist to the next grade level, graduate high school, or enroll in postsecondary school. For Student Support Services, participants are counted as successful if they graduate, transfer, or persist to the following academic year.

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

Year	Target	Actual
2015	\$32,000	\$34,991
2016	31,000	29,816
2017	30,000	26,301
2018	30,000	
2019	30,000	
2020	30,000	

**Additional information:** This measure is calculated by dividing the McNair funding allocation from the year in which participants graduated college by the number of college graduates from that cohort that enrolled in graduate school within 3 years.

### Other Performance Information

The Department has invested significant resources in evaluations and studies of the Federal TRIO Programs. Each TRIO evaluation and study was conducted independently by outside contractors that reported to the Department's evaluation offices. The Administration's proposal to remove the current statutory provisions limiting the agency's ability to rigorously evaluate the effectiveness of the TRIO programs is intended to maximize the usefulness of TRIO evaluation investments going forward.

Descriptions of past studies are available at the following link:

<http://www2.ed.gov/about/offices/list/oepd/ppss/reports.html#postsecondary>. Summaries of current TRIO evaluations are provided below:

*Upward Bound:* The Institute of Education Sciences began a new evaluation of Upward Bound promising practices in 2013, as required by section 402H(b)(1) of the Higher Education Act. The study is testing the use of practices aimed at improving college fit by evaluating the effectiveness of a professional development program for Upward Bound project staff on college enrollment outcomes for participating Upward Bound students. The intervention includes tools and resources, including information packets and a well-specified set of in-person college guidance strategies informed by recent research. The effort leverages work in the field to design effective informational materials on college costs and outcomes, application fee waivers, and guidance on colleges to which individual students could consider applying based on their location and standardized test scores. The training component is designed so that it can be used with regular high school counselors or Upward Bound project staff to maximize the return on investment in the demonstration. The evaluation builds on the developing body of research suggesting that low-income students may not be attending colleges that match their academic abilities and career objectives, in part because they do not have adequate information about their college options.

In October 2018, the Department published the first report (available at this link:

<https://ies.ed.gov/ncee/pubs/20194002/pdf/20194002.pdf>), which found that UB participants in the treatment group were 10 percentage points more likely to apply to four or more colleges and to those with a selectivity level of at least "Very Competitive." The intervention had no effect on

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overall FAFSA completion rates, but may have increased early FAFSA submission for some subgroups. The next report will examine the effects on selectivity of students' college choices, and their persistence in college. It is scheduled to be released in fall 2019. More information is available at the following link: [https://ies.ed.gov/ncee/projects/evaluation/pathways\\_upward.asp](https://ies.ed.gov/ncee/projects/evaluation/pathways_upward.asp)

*Educational Opportunity Centers:* In the spring of 2017, the Institute of Education Sciences announced a new evaluation to examine the effectiveness of a low cost approach to providing information designed to overcome key barriers to college enrollment to participants through a systematic set of timely and personalized text messages. The study, which is currently scheduled to be released in the fall of 2022, will evaluate the impact of the intervention on EOC participants' FAFSA completion and college enrollment rates. More information is available at the following link: [https://ies.ed.gov/ncee/projects/evaluation/pathways\\_postsec.asp](https://ies.ed.gov/ncee/projects/evaluation/pathways_postsec.asp)

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### **Gaining early awareness and readiness for undergraduate programs**

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

(dollars in thousands)

FY 2020 Authorization: 0<sup>1</sup>

Budget Authority:

<u>2019</u>	<u>2020</u>	<u>Change</u>
\$360,000	0	-\$360,000

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<sup>1</sup> The GEPA extension expired September 30, 2015. No appropriations language or reauthorizing legislation is sought for fiscal year 2020.

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### **PROGRAM DESCRIPTION**

Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) provides 6-year and 7-year grants to States and partnerships that support early college preparation and awareness activities at the State and local levels to ensure low-income middle and secondary school students are prepared to succeed in 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, GEAR UP projects provide a comprehensive set of early intervention services including mentoring, tutoring, academic and career counseling, and other college preparation activities like exposure to college campuses and financial aid information and assistance. These projects may also use funds to support efforts to expand rigorous curricula and coursework, such as Advanced Placement, International Baccalaureate, and dual or concurrent enrollment programs in order to reduce the need for remedial coursework at the postsecondary level. Second, GEAR UP projects provide scholarships, which must meet the minimum Pell grant amount, to participating students. In making awards to State applicants, the Department must give priority to funding entities that have carried out successful GEAR UP programs prior to enactment in 2008 of the Higher Education Opportunity Act; have a prior, demonstrated commitment to early intervention programs; and ensure that students previously served by GEAR UP programs receive services through the completion of secondary school. States and partnerships must provide matching funds of at least 50 percent of the total project costs with cash or in-kind contributions from nonfederal sources accrued over the full duration of the grant award. The Department may authorize a reduction in the required match for partnerships under certain circumstances.

GEAR UP supports two types of grants:

State Grants—States receiving funds are required to provide both an early intervention and a scholarship component, targeted to low-income students with services starting no later than the

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7<sup>th</sup> grade. At least 50 percent, but not more than 75 percent, of the grant funds must be used to provide scholarships to participating students. Conversely, at least 25 percent, but not more than 50 percent, of the funds must be used for early intervention services. State grantees must, unless they request and receive a waiver, hold in reserve funds for scholarships equivalent to the effective minimum Pell grant amount multiplied by the number of students the project is serving that the State estimates will enroll in an eligible institution of higher education. The State must make these funds available to eligible students who meet certain benchmarks. These scholarships are portable and may be used outside the State in which the GEAR UP program is located. States must provide all students served by the program with a personalized 21<sup>st</sup> Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college. The statute also specifies additional authorized activities for States, such as providing technical assistance to GEAR UP partnership grantees located in the State, providing professional development opportunities to individuals working with GEAR UP students, capacity-building strategies for partnership applicants to apply for a GEAR UP grant, and dissemination of best practices to improve services for eligible students.

Partnership Grants—Partnerships must include one or more degree granting institutions of higher education, one or more local educational agencies, and may include at least two community organizations or entities such as businesses, professional associations, State agencies, or other public or private organizations. Partnerships receiving funds are required to provide an early intervention component to: (1) at least one cohort or grade level of students beginning no later than the 7<sup>th</sup> grade, in a school that has a 7<sup>th</sup> grade and at least 50 percent of its enrolled students are eligible for free or reduced-price lunch; or (2) to an entire grade level of students, not later than the 7<sup>th</sup> grade, who reside in public housing. Partnerships must ensure that services will continue to be provided through the 12<sup>th</sup> grade. Partnerships may also provide scholarships. Partnerships must provide all students served by the program with a personalized 21<sup>st</sup> Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college.

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 allocated between States and Partnerships at the Department's discretion. Additionally, the statute allows up to 0.75 percent of the funds appropriated to be used to conduct a national evaluation of the GEAR UP program.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$301,639
2016.....	322,754
2017.....	339,754
2018.....	350,000
2019.....	360,000

## HIGHER EDUCATION

### Gaining early awareness and readiness for undergraduate programs

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#### FY 2020 BUDGET REQUEST

For fiscal year 2020, the Administration requests no funding for GEAR UP, a decrease of \$360.0 million from the fiscal year 2019 appropriation. Many of the activities supported under GEAR UP duplicate those provided by the Federal TRIO programs, including Talent Search and Upward Bound, as well as similar early intervention and college preparation activities that may be carried out under the \$15.9 billion Title I Grants to Local Educational Agencies program authorized by the Elementary and Secondary Education Act. The proposed elimination of GEAR UP is consistent with the Department's overall effort to eliminate duplicative programs and programs for which evidence of effectiveness is limited in order to reallocate scarce Federal resources to higher priority programs.

The Administration's proposal to transition the Federal TRIO programs into a single State formula grant program, first proposed as part of the President's 2019 Budget, would provide \$950 million for activities to help low-income and other disadvantaged students progress through the academic pipeline from middle school through college. The proposal would shift authority and responsibility from the Federal government to the States, improve alignment between Federal resources and need, invest in activities that are most supported by evidence, and enable the Department to re-allocate limited staff resources from competition-related activities to areas that are critical to help ensure appropriate use of limited taxpayer resources, such as grant monitoring and oversight, performance improvement, and program evaluation. The Administration believes that restructuring the Federal TRIO programs into a single State formula grant program, including by incorporating additional activities authorized under GEAR UP, would yield significant program management efficiencies and support more effective uses of Federal resources. More information is available in the request for the Federal TRIO programs.

#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>State Grants</b>			
Number of new awards	6	8	0
Average new award	\$3,400	\$3,535	0
Total new award funding	\$20,400	\$28,276	0
Number of continuation awards	33	32	0
Average continuation award	\$3,256	\$3,529	0
Total continuation award funding	\$107,747	\$112,940	0
Total award funding	\$128,147	\$142,216	0
Total number of awards	39	40	0



## HIGHER EDUCATION

### Gaining early awareness and readiness for undergraduate programs

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Partnership Grants:</b>			
Number of new awards	55	0	0
Average new award	\$1,995	0	0
Total new award funding	\$109,709	0	0
Number of continuation awards	67	118	0
Average continuation award	\$1,667	\$1,843	0
Total continuation award funding	\$111,662	\$217,501	0
Total award funding	\$221,370	\$217,501	0
Total number of awards	122	118	0
<b>Total award funding:</b>			
Total new award funding	\$130,109	\$28,116	0
Total continuation award funding	\$219,409	\$330,441	0
<b>Evaluation</b>	0	\$1,000	0
<b>Peer review of new award applications</b>	369	100	0
<b>Web data collection</b>	\$113	\$183	0
<b>Total program funding</b>	\$350,000	\$360,000	0
<b>Total number of awards</b>	161	158	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 as well as the resources and efforts invested by those served by this program. The Department has not established targets for 2020 because the Administration's request does not include funding for this program.

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

## HIGHER EDUCATION

### Gaining early awareness and readiness for undergraduate programs

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**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
2015	88.0%	83.9%
2016	88.0	77.1
2017	89.0	92.7
2018	89.0	
2019	89.0	

**Additional Information:** This measure indicates the percentage of GEAR UP high school seniors that graduated from high school. That is, the denominator used in the calculation includes only GEAR UP participants who persisted until the 12<sup>th</sup> grade while the numerator includes participants who both persisted until the 12<sup>th</sup> grade and graduated. The figures are based on data submitted by grantees in their Final Performance Reports. As a result, each year of data captures a different subset of grantees serving a fluctuating number of students, which could account for some of the annual variation in performance. The Department is exploring potential changes to the methodology to be inclusive of a larger set of grantees and students.

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

Year	Target	Actual
2015	61.0%	57.6%
2016	62.0	55.5
2017	62.0	61.7
2018	63.0	
2019	63.0	

**Additional Information:** This measure indicates the percent of GEAR UP students who graduated from high school and enrolled in postsecondary education the following September. The figures are based on data submitted by grantees in their Final Performance Reports.

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

**Measure:** The percentage of GEAR UP students who enrolled in pre-algebra by the end of the 8<sup>th</sup> grade who passed the course and the percentage of GEAR UP students enrolled in Algebra I by the end of the 9<sup>th</sup> grade who passed the course.

Year	Pre-algebra Target	Pre-algebra Actual	Algebra I Target	Algebra I Actual
2015	34%	58.3%	53%	67.7%
2016	55	53.6	54	58.1
2017	55	67.7	54	72.8
2018	56	71.2	55	71.2
2019	60		60	

## HIGHER EDUCATION

### **Gaining early awareness and readiness for undergraduate programs**

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**Additional Information:** This measure tracks completion rates for two mathematics classes that research has shown are key indicators of college readiness. Data for this measure, collected through Annual Performance Reports, reflect student completion levels from the prior year. It should be noted that, as the measure tracks only the percentage 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 lower. The Department increased the 2019 targets to be more ambitious.

### **Efficiency Measures**

The efficiency measure for this program is the cost of a successful outcome, where success is defined as enrollment in postsecondary education by GEAR UP students immediately following high school graduation. The Department calculates this measure by dividing the annual funding supporting closeout grantees (grantees serving cohorts of 12<sup>th</sup> graders) by the total number of postsecondary enrollees they produce. Using this methodology, the annual cost per successful outcome for the GEAR UP cohort that submitted Final Performance Reports in 2017 was \$2,674. The Department provided approximately \$9.0 million per year to the grantees in this cohort, which produced 3,354 postsecondary enrollees in the final year of their grants. It is important to note that this measure uses the strictest possible definition of “successful outcome.” For instance, students from this cohort who graduate high school with the help of GEAR UP programs but do not enroll in postsecondary education are not considered “successes” under this methodology. The Department is exploring alternative methodologies to measuring efficiency in this program.

### **Other Performance Information**

In 2001, the Department began an evaluation on the early effects of the GEAR UP program. This study, which was released in 2008, reported on the program’s impact on participants attending middle schools and their parents, and the effects of GEAR UP on middle schools and on the sustainability of the program’s activities after Federal funds are no longer available. The study did not report on two key outcomes of interest—secondary school graduation and postsecondary enrollment—because the data were not yet available. Overall, the study found no evidence of an association between GEAR UP participation and either grades or school behavior, nor was there any evidence of an association between attending a GEAR UP school and the strength of student intentions to attend college or expectations for postsecondary education. The study did find a positive association between GEAR UP participation and students’ and parents’ knowledge of postsecondary opportunities, and with parents’ involvement in their children’s education. The study is available at the following link: (<http://www2.ed.gov/rschstat/eval/highered/gearup/early-outcomes.pdf>). The Department initiated a follow up study designed to assess the impact of GEAR UP participation on high school graduation and college enrollment rates, but methodological issues, including very low survey response rates, prevented the Department being able to publish any meaningful results.

### **Current evaluation**

In fiscal year 2014, the Department began using GEAR UP evaluation funds to undertake a rigorous study of college access strategies designed to improve GEAR UP students’ college enrollment and completion. The findings from this evaluation will be useful to GEAR UP

## HIGHER EDUCATION

### **Gaining early awareness and readiness for undergraduate programs**

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grantees as they search for promising practices to incorporate into their projects, and also to policymakers seeking to enhance current college access efforts.

Specifically, the Department used approximately \$5.5 million of fiscal year 2014 and 2015 funds to test a low-cost communication strategy that targets GEAR UP high school seniors intending to enroll in college, providing them with a series of electronic communications through text messages and emails throughout the summer and into the fall of their first expected year of college. The messages remind students about key college-related tasks they need to complete, customized to the specific activities and deadlines of the colleges or universities in which they intend to enroll. The reminders focus on matriculation-related tasks such as award letters, fees, orientation and registration timelines and requirements, and early steps in college, such as meeting with advisors, connecting with campus support services, and FAFSA renewal. In addition, the messages assist program participants in ensuring that they obtain scholarship funds made available through their GEAR UP projects. The Department expects to publish a report assessing the intervention's impact on rates of college enrollment, FAFSA renewal, and first year college persistence by the fall of 2019. If the findings on college enrollment and persistence warrant further follow up, the Department could analyze and report on longer term persistence outcomes in the spring of 2020.

## HIGHER EDUCATION

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### **Graduate assistance in areas of national need**

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

(dollars in thousands)

FY 2020 Authorization: 0<sup>1</sup>

Budget Authority:

<u>2019</u>	<u>2020</u>	<u>Change</u>
\$23,047	0	-\$23,047

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<sup>1</sup> The GEPA extension expired September 30, 2015. No appropriations language or reauthorizing legislation is sought for fiscal year 2020.

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### **PROGRAM DESCRIPTION**

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

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 such areas fulfill a compelling national interest, the extent to which other Federal programs support post-baccalaureate studies in such areas, and the most significant impact that can be made with available resources.

Institutions use program funds to award fellowships for up to 5 years of study. Each fellowship consists of a student stipend to cover living costs and an institutional payment to cover each fellow's tuition and other expenses. The stipend is the lesser of demonstrated need or the level

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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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 classroom instruction.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$29,293
2016.....	29,293
2017.....	28,047
2018.....	23,047
2019.....	23,047

### FY 2020 BUDGET REQUEST

For fiscal year 2020, the Administration requests no funding for the Graduate Assistance in Areas of National Need program (GAANN), a decrease of \$23.0 million from the fiscal year 2019 appropriation, consistent with the Administration's goals of reducing the Federal role in education while also reallocating scarce Federal resources to higher priority programs. While GAANN provides significant financial support to the graduate students receiving fellowships, the program operates at a high cost per student and, as a result, provides support to a limited number of graduate students. The Department believes such fellowships can be more efficiently and more appropriately supported through other Federal programs, such as programs implemented by the National Science Foundation, as well as through institutional aid and other non-Federal resources.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
Number of new awards	74	14	0
Number of new fellowships	370	61	0
Average new award	\$249	\$218	0
Total new award funding	\$18,432	\$3,055	0
Number of NCC awards	18	74	0
Number of NCC fellowships	90	370	0
Average NCC award	\$248	\$249	0

## HIGHER EDUCATION

### Graduate assistance in areas of national need

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
Total NCC funding	\$4,460	\$19,992 <sup>1</sup>	0
Average institution payment	\$16	\$16	0
Average stipend	\$34	\$34	0
Total average fellowship	\$50	\$50	0
Peer review of new award applications	\$155	0	0
Total number of awards	92	88	0
Total number of fellowships	460	431	0
Total program funding	\$23,047	\$23,047	0

<sup>1</sup> Includes \$1,586 thousand for paying FY 2020 out year costs; these funds are excluded from average NCC award calculation.

## PROGRAM PERFORMANCE INFORMATION

### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years, as well as the resources and efforts invested by those served by this program. The Department has not established targets for 2020 because the request does not include funding for 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.

<b>Year</b>	<b>Target</b>	<b>Actual</b>
<b>2015</b>	60	67%
<b>2016</b>	60	75
<b>2017</b>	60	65
<b>2018</b>	60	
<b>2019</b>	65	

**Additional Information:** The data used to calculate performance for this measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The data are calculated by dividing the number of GAANN

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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fellows in the last year of their fellowships who have successfully completed their doctoral studies by the total number of GAANN fellows who are in the last year of their fellowships.

Because a fellow can receive no more than 5 years of funding and most doctoral students take 6–7 years to complete their doctoral programs, advancing to candidacy is used as a proxy for degree completion where appropriate. 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.

**Measure:** Median time to degree completion (years).

Year	Target	Actual
2015	5.0	5.2
2016	5.0	5.1
2017	5.0	4.9
2018	5.0	
2019	5.0	

**Additional Information:** Data collected through annual performance reports show that the program had a median time to completion of 4.9 years in 2017. According to the 2017 data provided by the National Science Foundation's annual "Survey of Earned Doctorates," the median time to doctoral degree completion, measured from initial enrollment in graduate school, was 6.2 years for the physical sciences, 6.7 years for engineering, and 6.8 years for life sciences. It is important to note that these figures are not directly comparable to those of GAANN because the GAANN completion rate includes students in non-doctoral programs who are likely to complete their degrees in a shorter number of years than doctoral students.

### Efficiency Measure

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

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

Year	Target	Actual
2015	68,500	\$74,775
2016	68,500	N/A
2017	68,500	56,951
2018	68,500	
2019	68,000	

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 data are 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. As the efficiency measure is based on data from a relatively small number of students,



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### **Graduate assistance in areas of national need**

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significant year-to-year fluctuations may be expected. This may reduce the usefulness of the measure at the program level. No data is provided for 2016 because there was no 2011 GAANN cohort.

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### **Child care access means parents in school**

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

(dollars in thousands)

FY 2020 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2019</u>	<u>2020</u>	<u>Change</u>
\$50,000	\$15,134	-\$34,866

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<sup>1</sup> The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2020.

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### **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, and may not be used to supplant funds for current child care services.

An institution is eligible to receive a grant 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

## HIGHER EDUCATION

### Child care access means parents in school

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

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$15,134
2016.....	15,134
2017.....	15,134
2018.....	50,000
2019.....	50,000

### FY 2020 BUDGET REQUEST

For fiscal year 2020, the Administration requests \$15.1 million for the Child Care Access Means Parents in School program, a decrease of \$34.9 million from the fiscal year 2019 appropriation and the same as the fiscal year 2019 request. This level would fund non-competitive continuation grants for previous awardees. The 2020 Budget returns the program to its funding level before the increases enabled by the Bipartisan Budget Act of 2018. The Administration remains committed to investing in child care, and the 2020 Budget focuses its increased investment in a new, one-time \$1 billion investment through the Department of Health and Human Services to build the supply of child care and stimulate employer investment in child care.

A National Center for Education Statistics (NCES) report entitled “Persistence and Attainment of 2011–12 First-Time Postsecondary Students After 3 Years,” indicates that single parents enrolled in 2-year and 4-year institutions are at significantly greater risk of not completing a certificate or degree. One significant barrier to completion for low-income students and single parents is the lack of convenient and affordable quality child care services.

Fiscal year 2019 funding would continue to support grantees at reduced levels to enable institutions to sustain or establish campus-based child care programs; establish emergency back-up care and provide summer child care and before and after school services; subsidize the costs of child care for low-income students; and establish programs involving parents.

## HIGHER EDUCATION

### Child care access means parents in school

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#### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
Number of new awards	139	166	0
Average new award	\$187	\$139	0
Total new award funding	\$25,925 <sup>1</sup>	\$23,000 <sup>2</sup>	0
Number of NCC awards	58	123	363
Average NCC award	\$148	\$156	\$42
Total NCC award funding	\$8,604	\$19,244	\$15,134
Frontload outyear costs	\$15,285	\$7,456	0
Peer review of new award applications	\$186	\$300	0
Total award funding	\$50,000	\$50,000	\$15,134
Total number of awards	197	289	363

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<sup>1</sup> In addition to conducting a competition for new awards in 2018, the Department funded down the fiscal year 2017 grant slate to make new awards (16 awards totaling \$4,058 thousand).

<sup>2</sup> In addition to conducting a competition for new awards in 2019, the Department is planning to fund down the fiscal year 2018 grant slate to make new awards (28 awards totaling \$4,517 thousand).

#### 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 fiscal year 2020 and future years, as well as the resources and efforts invested by those served by this program.

The Department recently dropped a performance measure that focused on completion rates at 4-year grantee institutions. The methodology used for this measure was problematic because the denominator included students who had not been in school long enough to graduate even if they persisted without interruption. The Department does not plan to replace this measure. CCAMPIS grantees at 4-year institutions will continue to be required to submit completion rate data for students served by their projects, however, the data will not be aggregated to obtain completion rates at 4-year CCAMPIS grantee institutions.

## HIGHER EDUCATION

### Child care access means parents in school

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

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

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

Year	4-year/2-year Target	4-year/2-year Actual	4-year Target	4-year Actual	2-year Target	2-year Actual
2015		66.7%		67.2%		66.1%
2016		75.9		77.6		73.9
2017		74.4		74.8		74.0
2018	73.9%		80.5%		60.7%	
2019	74.5		80.8		61.2	
2020	74.5		80.8		61.2	

**Additional information:** The overall persistence rate in 2017 for students participating in the CCAMPIS program is 74.4 percent (2,746 out of 3,690 student participants). Outyear targets are consistent with current retention rates compiled by NCES/IPEDS for first-time degree-seeking undergraduates at degree-granting postsecondary institutions. Program performance data for 2018 will be available in December 2019.

**Measure:** Percentage of CCAMPIS program participants enrolled at 2-year CCAMPIS grantee institutions receiving child care services who graduate from postsecondary education within 3 years of enrollment.

Year	2-year Target	2-year Actual
2015		19.5%
2016		19.4
2017		22.0
2018	22.0%	
2019	22.0	
2020	22.0	

**Additional information:** Outyear targets are intended to reduce gap in graduation rates for institutions participating in the CCAMPIS program and 2-year public institutions nationally (22 percent) participating in Title IV Federal financial aid programs. Targets are based on students receiving associate's degrees or certificates from their initial institutions of attendance only using data compiled by NCES/IPEDS. Program performance data for 2018 will be available in December 2019.

## HIGHER EDUCATION

### Child care access means parents in school

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#### Efficiency Measure

The efficiency measure tracks student cost per successful outcome.

**Measure:** Federal cost per CCAMPIS student enrolled at CCAMPIS-grantee institutions receiving child care services who remain in postsecondary education at the end of the academic year, as reported in the annual performance report.

Year	Target	Actual
2015		\$6,213
2016		5,572
2017		5,625
2018	\$4,500	
2019	4,500	
2020	4,500	

**Additional information:** For 2017, the cost per successful outcome of \$5,625 was calculated by dividing the program allocation of \$15.4 million by 2,746; the total number of students receiving child care services who remain in postsecondary education at the end of the academic year at 4-year and 2-year CCAMPIS-grantee institutions (includes 87 grantees from 2013 and 2014 cohorts). Program performance data for 2018 will be available in December 2019.

## HIGHER EDUCATION

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### **Fund for the Improvement of Postsecondary Education**

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

(dollars in thousands)

FY 2020 Authorization: 0 <sup>1</sup>

Budget Authority:

<u>2019</u>	<u>2020</u>	<u>Change</u>
\$5,000	\$0	-\$5,000

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<sup>1</sup> The GEPA extension expired September 30, 2015; no appropriations or reauthorizing legislation is sought for fiscal year 2020.

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### **PROGRAM DESCRIPTION**

The Fund for the Improvement of Postsecondary Education (FIPSE) provides assistance to support institutional reforms and innovative strategies designed to improve institutional effectiveness and to expand postsecondary opportunities. Under FIPSE, the Department has flexibility to carry out a wide range of activities to support innovative programs with the potential to transform postsecondary education. In recent years, Congress has provided funding for FIPSE for the Open Textbook Pilot (in fiscal years 2018 and 2019, as outlined in explanatory language in appropriations bills) and First in the World (fiscal years 2014 and 2015). In some cases, Congress also has provided funding under FIPSE for programs authorized elsewhere in the HEA. Discretionary grants and contracts are awarded to institutions of higher education and other public and private nonprofit institutions and agencies.

Most recently, the Open Textbook Pilot supports projects at institutions of higher education to create new open textbooks or expand their use while maintaining or improving instruction and student learning outcomes. This pilot program emphasizes the development of projects that demonstrate the greatest potential to achieve the highest level of savings for students through sustainable, expanded use of open textbooks in high-enrollment courses or in programs that prepare individuals for in-demand fields.

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Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2015.....	\$67,775
2016.....	0
2017.....	0
2018.....	6,000
2019.....	5,000

### FY 2020 BUDGET REQUEST

For fiscal year 2020, the Administration requests no funding for FIPSE, a decrease of \$5 million from the fiscal year 2019 appropriation. The Administration believes that the awards made under the Open Textbook Pilot in fiscal years 2018 and 2019, which provided nearly \$10 million to support three large consortia involving 20 institutions of higher education, are sufficient to provide a meaningful demonstration of the potential for open source textbooks to improve the quality of instruction while generating significant savings for students. Consequently, the Administration plans to monitor the implementation and performance of the grants already supported, but does not seek funding for additional pilot projects.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
<b>Open Textbook Pilot</b>			
Number of new awards	1	2	0
Average new award	\$4,950	\$2,500	0
Total new award funding	\$4,950	\$5,000 <sup>1</sup>	0
<b>Pilot Program for Cybersecurity Education Technological Upgrades for Community Colleges</b>			
Number of new awards	11	0	0
Average new award	\$99	0	0
Total new award funding	\$1,027 <sup>2</sup>	0	0
<b>Contracts</b>			
Peer review of new award applications	\$23	0	0

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<sup>1</sup> The Department used the \$5 million provided in FY 2019 to provide the majority of the funding requested by the next two applicants on the FY 2018 slate.

<sup>2</sup> After funding field reader costs and the top ranked applicant in the Open Textbook Pilot competition, the Department had approximately \$27 thousand remaining. These funds were allocated to provide additional funding for technological upgrades to community colleges with Cybersecurity education programs.



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<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
Total FIPSE funding	\$6,000	\$5,000	0
Total number of awards	12	2	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, as well as the resources and efforts invested by those served by this program. The measures and data presented below relate to the performance of FIPSE grantees that the Department funded under the First in the World initiative (FITW) in fiscal years 2014 and 2015. The Department has not established targets for 2020 because 2019 is the final year of the project periods for these grantees and the request does not include funding for this program. As described in detail below, the Department has established a new set of performance measures for the Open Textbook Pilot and will begin collecting data for these measures in fiscal year 2019.

**Goal: To improve educational outcomes for students by developing, identifying, and scaling up effective practices that are demonstrated to have an impact on rates of college completion, persistence and other student outcomes.**

**Objective:** *To promote rigorous evaluation of FITW-funded projects that will generate significant new information about the effectiveness of diverse programs, practices, or strategies to improve rates of college persistence and completion.*

**Measure:** The percentage of programs, practices, or strategies supported by a Validation grant with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes and would meet the What Works Clearinghouse (WWC) Standards with or without reservations.

<b>Year</b>	<b>Target</b>	<b>Actual</b>
<b>2015</b>	100%	N/A
<b>2016</b>	100	N/A
<b>2017</b>	100	100%
<b>2018</b>	100	
<b>2019</b>	100	

**Measure:** The percentage of programs, practices, or strategies supported by a Development grant with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes and would meet the What Works Clearinghouse (WWC) Standards with or without reservations.

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Year	Target	Actual
2015	100%	N/A
2016	100	N/A
2017	100	92.5%
2018	100	
2019	100	

**Additional Information:** The data is based on the most updated grantee evaluation plans and reflects the assessment of the Department's evaluation technical assistance provider as to the quality of the study designs of all FITW-funded projects. The Department made a total of 42 FITW grants across fiscal years 2014 and 2015, including 40 Development grants and 2 Validation grants. Both Validation grants are conducting independent evaluations that were on track to meet WWC standards as of December of 2017. Of the 40 Development grants, 37 grants were conducting independent evaluations that were on track to meet WWC standards as of December of 2017. Fiscal year 2014 FITW grantees are expected to submit their final evaluations by October of 2019; fiscal year 2015 FITW grantees will submit their final evaluations by October 2020.

The Department included the following set of measures in the 2018 Notice Inviting Applications for the Open Textbook Pilot program:

- The number of students who enrolled in courses that use open textbooks developed through the grant;
- The number of students who completed courses which used the open textbooks developed through the grant;
- Student and faculty evaluations of the quality of the open textbooks compared with other kinds of textbooks they have used, the ease of use of these materials and the cost savings associated with the use of open textbooks;
- The average cost savings per student;
- The total cost savings for students who used open textbooks compared to students in the same course of study who used traditional textbooks;
- The number and percentage of courses among consortium members that adopted the use of open textbooks, where appropriate, as opposed to those that continued to use paper or electronic textbooks; and the number of institutions outside of the consortium that adopted the use of the open textbooks produced through the grant.

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### **Teacher quality partnership**

(Higher Education Act of 1965, Title II, Part A)

(dollars in thousands)

FY 2020 Authorization: 0<sup>1</sup>

Budget Authority:

	<u>2019</u>	<u>2020</u>	<u>Change</u>
	\$43,092	0	-\$43,092

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<sup>1</sup> The GEPA extension expired September 30, 2015; no reauthorization is sought for fiscal year 2020.

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### **PROGRAM DESCRIPTION**

The Teacher Quality Partnership (TQP) program seeks to improve student achievement and the quality of teachers working in high-need schools and early childhood education (ECE) programs by improving the preparation of teachers and enhancing professional development activities for teachers; holding teacher preparation programs accountable for preparing effective teachers; recruiting highly qualified individuals, including minorities; and attracting talented professionals from outside the teaching pipeline into the classroom. Projects may also include a component to train school leaders in high-need or rural local educational agencies (LEAs) or a component to partner with a public broadcast television station or another entity that develops digital education content, to improve the quality of teacher preparation programs. The program is intended to help create a variety of effective pathways into teaching and support our Nation's teaching force in improving student outcomes.

Only partnerships may apply for funding under this program. Partnerships must include a high-need LEA; a high-need school or high-need ECE program (or a consortium of high-need schools or ECE programs served by the partner LEA); a partner institution of higher education (IHE); a school, department, or program of education within the partner IHE; and a school or department of arts and sciences within the partner IHE. A partnership may also include, among others, the Governor of the State, the State educational agency, the State board of education, the State agency for higher education, or a business.

In order to maximize resources and avoid duplication, applicants are required to explain how they plan to coordinate activities under the TQP program with other federally funded programs aimed at improving teacher effectiveness (e.g., Teacher Quality State Grants under Title II of the Elementary and Secondary Education Act (ESEA) and the Teacher and School Leader Incentive Grants program).

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The following three types of grants are eligible for funding through the program:

Pre-Baccalaureate Preparation of Teachers program (Pre-Baccalaureate)—Grants are provided to implement a wide range of reforms in teacher preparation programs and, as applicable, preparation programs for early childhood educators. These reforms may include, among other things, implementing curriculum changes that improve and assess how well prospective teachers develop teaching skills; using teaching and learning research so that teachers implement research-based instructional practices and use data to improve classroom instruction; developing a high-quality and sustained preservice clinical education program that includes high-quality mentoring or coaching; creating a high-quality induction program for new teachers; implementing initiatives that increase compensation for qualified early childhood educators who attain 2-year and 4-year degrees; developing and implementing high-quality professional development for teachers in partner high-need LEAs; developing effective mechanisms, which may include alternative routes to certification, to recruit qualified individuals into the teaching profession; and strengthening literacy instruction skills of prospective and new elementary and secondary school teachers.

Teaching Residency program—Grants are provided to develop and implement teacher residency programs that are based on models of successful teaching residencies and that serve as a mechanism to prepare teachers for success in high-need schools and academic subjects. Grant funds must be used to support programs that provide rigorous graduate-level course work to earn a master's degree while undertaking a guided teaching apprenticeship; learning opportunities alongside a trained and experienced mentor teacher; and clear criteria for selecting mentor teachers based on measures of teacher effectiveness. Programs must place graduates in targeted schools as a cohort in order to facilitate professional collaboration. Programs must also provide a 1-year living stipend or salary to members of the cohort, which must be repaid by any recipient who fails to teach full time at least 3 years in a high-need school and subject or area.

School Leadership program—Grants are provided to develop and implement effective school leadership programs to prepare individuals for careers as superintendents, principals, early childhood education program directors, or other school leaders. Such programs must promote strong leadership skills and techniques so that school leaders are able to:

- Create a school climate conducive to professional development for teachers;
- Understand the teaching and assessment skills needed to support successful classroom instruction;
- Use data to evaluate teacher instruction and drive teacher and student learning;
- Manage resources and time to improve academic achievement;
- Engage and involve parents and other community stakeholders; and
- Understand how students learn and develop in order to increase academic achievement.

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Grant funds must also be used to develop a yearlong clinical education program, a mentoring and induction program, and programs to recruit qualified individuals to become school leaders.

Partnerships may apply for funding under the Pre-Baccalaureate program, the Teaching Residency program, or both, and may also seek separate funding under the School Leadership program. In addition, grant funds are available to develop digital education content to carry out the activities for Pre-baccalaureate or Teaching Residency programs, but not for School Leadership programs. Partnerships are eligible to receive grants for up to 5 years and must provide matching funds from non-Federal sources equal to at least 100 percent of the grant amount.

Program funds also can be used to support evaluations of program activities; the Department last used funds for this purpose in 2010 when it awarded a contract for an evaluation of teacher residency programs supported through grants awarded in 2009 and 2010. Results from that evaluation are discussed in the “Other Performance Information” section below.

The Higher Education Act of 1965, as amended, also allows the Department to use program funds to support the State teacher quality accountability reporting system, as authorized by sections 205–207. The State teacher quality accountability reporting system gathers data from all 50 States, the District of Columbia, Puerto Rico, the outlying areas, and the Freely Associated States on such topics as the completion rates for traditional and alternative route teacher preparation programs, as well as State teacher assessments and certifications. These data are reported to Congress and the Nation through the Secretary’s annual report on teacher quality, and they provide critical information on both the progress toward the Nation’s goal of a highly qualified teacher in every classroom, and the areas needing further improvements (<http://title2.ed.gov>).

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

Fiscal Year	(dollars in thousands)
2015.....	40,592
2016.....	43,092
2017.....	43,092
2018.....	43,092
2019.....	43,092

### FY 2020 BUDGET REQUEST

For fiscal year 2020, the Administration requests no funding for the Teacher Quality Partnership (TQP) program. Instead, the request includes a significant increase for the Education Innovation and Research program to support the Administration’s goal of elevating the teaching profession—treating teachers like professionals who can identify their own needs and select professional development that addresses those needs—and improving teacher quality. The TQP authority is overly restrictive and does not provide States, school districts, and institutions of higher education the flexibilities that they need to meaningfully design systems of teacher preparation, recruitment, and induction that meet their staffing needs. In addition, funding to support partnerships that enhance professional development activities and training for current

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and prospective teachers and staff may be provided through ESEA formula grant funds (e.g., Title I, Title III). Finally, there is no reliable evidence demonstrating that this program is any more effective than other State- and locally driven initiatives designed to train and retain highly effective teachers in critical shortage areas.

### PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
Partnership Grants:			
New	\$14,981	\$22,538	0
Continuations	<u>27,560</u>	<u>20,000</u>	<u>0</u>
Subtotal	42,541	42,538	0
State teacher quality accountability reports	479	479	0
Peer review of new award applications	72	75	0
Program totals:			
New	14,981	22,538	0
Continuations	28,039	20,479	0
Peer review of new award applications	<u>72</u>	<u>75</u>	<u>0</u>
Total	43,092	43,092	0

### PROGRAM PERFORMANCE INFORMATION

#### Performance Measures

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

**Goal:** To increase the quality of teachers in high-need schools and early childhood education programs.

**Objective:** To increase the number of new teachers graduating from high-quality teacher preparation programs.

**Measure:** The percentage of program completers who: (1) attain initial certification/licensure by passing all necessary licensure/certification assessments and attain a bachelor's degree (pre-baccalaureate program) within 6 years or a master's degree (residency program) within

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2 years, or (2) attain highly competent early childhood educator status with a bachelor's degree within 6 years or an associate's degree within 3 years.

**Interim Measure:** The percentage of program participants who did not graduate in the previous reporting period and who persisted in the postsecondary program in the current reporting period.

Year	Pre-Baccalaureate Target	Pre-Baccalaureate Actual	Residency Target	Residency Actual
2015	Baseline	82%	Baseline	97%
2016	85%	N/A	95%	N/A
2017	85	81%	95	72%
2018	85		95	
2019	85		95	

**Additional information:** In general, data from grantees under the TQP program has demonstrated a high level of persistence among program participants. Data for this measure was derived from annual performance reports for cohorts in at least their second year of operation. As there were no grantees under this program in their second or later year of operation during 2016, no data were reported for that year.

**Objective:** *To increase the retention rate of new teachers in high-need school districts.*

**Measure:** The percentage of beginning teachers who are retained in teaching in the partner high-need local educational agency or early childhood education program 3 years after initial employment.

Year	Pre-Baccalaureate Target	Pre-Baccalaureate Actual	Residency Target	Residency Actual
2015	Baseline	78%	Baseline	88%
2016	80%	N/A	90%	N/A
2017	80	63%	90	55%
2018	80		90	
2019	80		90	

**Additional information:** Performance on this measure decreased significantly in 2017, and the Department is in the process of determining potential causes, particularly given that there has not been an equivalent decrease in short-term (1-year) retention rates. The Department anticipates a more extensive analysis of trends over time to be completed by summer 2019.

### Other Performance Information

In 2010, the Institute of Education Sciences (IES) awarded a contract for an evaluation of the teacher residency projects supported through the TQP program to Mathematica Policy Research, Inc. This implementation study addressed the following research questions:

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- How do teachers who complete teacher residency projects compare to other novice teachers and to all teachers in their district?
- What is the retention rate of the residency project teachers compared to their novice colleagues who weren't prepared through a teacher residency project?
- What are the characteristics of the teacher residency projects (e.g., length of overall program, nature of required coursework and apprenticeship activities, characteristics of their assigned mentor teacher, criteria for selecting program participants)?
- What are the characteristics of the teacher applicants and participants in the teacher residency projects?

The study (<http://ies.ed.gov/pubsearch/pubsinfo.asp?pubid=NCEE20154002>), which was published in 2014, determined that TQP projects provided residents with an average of 450 hours of coursework (the equivalent of 10 college courses) focusing on content, pedagogy, classroom management, and student assessment. Sixty-eight percent of residents reported spending 4 or 5 full days per week in their mentor's classroom during the first half of their residency, during which time residents averaged 21 days fully in charge of instruction. During the second semester, 78 percent of residents reported spending 4 or 5 days in their mentor's classroom. During that same semester, residents averaged 37 days fully in charge of instruction. Eighty-three percent of residents reported that their fieldwork reinforced what they learned in their coursework and 68 percent reported that their coursework was well integrated with their classroom experiences. Additionally, novice residency program teachers reported feeling more prepared than other novice teachers in the same district.

Individuals completing residency programs were more likely than other teachers to have made a distinct career change when they joined their programs, but were otherwise largely demographically similar to non-residency teachers. Residency teachers also had similar retention rates as non-residency teachers in the same district from spring 2012 to fall 2012 (92 percent versus 90 percent).

The study also found that mentors had significant prior teaching experience (10 years, on average) and significant prior mentoring experience (3.5 semesters, on average). Mentors also received extensive training—averaging 37 hours—from residency programs prior to beginning their role as mentors.

A follow-up report published in 2015 (<https://ies.ed.gov/ncee/pubs/20154015/>) found that residency teachers were no more likely than non-residency teachers to remain in their school from spring 2012 to fall 2013 (62 percent versus 60 percent). However, residency teachers in their first year of teaching in spring 2012 were more likely than non-residency teachers in their first year in spring 2012 to remain in the same district through fall 2013 (81 percent versus 66 percent). These residency teachers, while remaining in the same district, tended to move to schools that were higher achieving and had fewer numbers of black students.