

Department of Education
HIGHER EDUCATION
Fiscal Year 2021 Request
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For carrying out, to the extent not otherwise provided, titles [II,]¹ III, IV, V, [VI,]² and VIII, and VIII]³ of the HEA, [the Mutual Educational and Cultural Exchange Act of 1961,]⁴ and section 117 of the Carl D. Perkins Career and Technical Education Act of 2006, [\$2,475,792,000, of which \$24,500,000 shall remain available through December 31, 2020:⁵ *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:⁶ *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:⁷ *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]⁸\$1,788,634,000. (*Department of Education Appropriations Act, 2020*.)

TITLE III GENERAL PROVISIONS

SEC. 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 [2020]2021 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.⁹

(b) Subsection (a) shall be in effect until titles III and V of the HEA are reauthorized.¹⁰

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).¹¹

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
¹ ...[II,]	This citation is deleted because no funds are requested for Teacher Quality Partnership in fiscal year 2021.
² ...[VI,]	This citation is deleted because no funds are requested for the Title VI International Education and Foreign Language Studies (IEFLS): Domestic Programs in fiscal year 2021.
³ ...[, and VIII]	This citation is deleted because no funds are requested for Centers of Excellence for Veterans Student Success in fiscal year 2021.
⁴ [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 (IEFLS): Overseas Programs in fiscal year 2021.
⁵ [... of which \$24,500,000 shall remain available through December 31, 2020...]:	This language gives the Department an additional 3 months beyond the end of fiscal year 2020 to obligate these funds for the Fund for the Improvement of Postsecondary Education (FIPSE). It is deleted because no funds are requested for FIPSE in fiscal year 2021.

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>⁶ [...<i>Provided further</i>, That notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:...]</p>	<p>This language permits International Education and Foreign Language Studies (IEFLS) program grantees 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 IEFLS programs in fiscal year 2021.</p>
<p>⁷ [...<i>Provided further</i>, That of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities:...]</p>	<p>This language authorizes the use of up to 1 percent of the amounts appropriated for the IEFLS programs for evaluation, national outreach, and information dissemination activities. This citation is deleted because no funds are requested for these programs in fiscal year 2021.</p>
<p>⁸ [...<i>Provided further</i>, 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:...]</p>	<p>This language permits the Department to use up to 1.5 percent of the funds appropriated for Gaining Early Awareness and Readiness for Undergraduate Programs for evaluation. This citation is deleted because no funds are requested for GEAR UP in fiscal year 2021.</p>

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Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>TITLE III GENERAL PROVISIONS</p> <p>⁹ SEC. 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 [2020]2021 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.</p>	<p>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 funds to award scholarships to students.</p>
<p>¹⁰ (b) Subsection (a) shall be in effect until titles III and V of the HEA are reauthorized.</p>	<p>This language recognizes that the preceding proviso shall remain in effect until the HEA is reauthorized.</p>
<p>¹¹ <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></p>	<p>This language would restore the Department's ability to conduct impact evaluations to assess overall program effectiveness of the Federal TRIO Programs using the most rigorous methodological approaches.</p>

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Appropriation, Adjustments, and Transfers (dollars in thousands)

Appropriation/Adjustments/Transfers	2019	2020	2021
Discretionary:			
Appropriation	\$2,312,356	\$2,475,792	\$1,788,634
Mandatory:			
Appropriation	255,000	255,000	255,000
Sequester (P.L. 112-25)	<u>-15,810</u>	<u>-15,045</u>	<u>0</u>
Total, adjusted mandatory appropriation...	<u>239,190</u>	<u>239,955</u>	<u>255,000</u>
Total, adjusted discretionary and mandatory appropriation	2,551,546	2,715,747	2,043,634

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Summary of Changes (dollars in thousands)

2020 Discretionary	\$2,475,792
2020 Mandatory	239,955
2021 Discretionary	1,788,634
2021 Mandatory	<u>255,000</u>
Net change	-672,113

Discretionary:

Increases:

Program:

Increase funding for the Minority Science and Engineering Improvement Program to enhance and expand the program for HBCUs and minority serving institutions located in Opportunity Zones.

	<u>2020 base</u>	<u>Change from base</u>
	\$12,635	\$137,365

Provide funding for a proposed Consolidated Minority-Serving Institution (MSI) Grant to merge six existing HEA 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	<u>196,324</u>
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Subtotal, discretionary increases

+333,689

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	18,320	-18,320
• Strengthening Predominantly Black Institutions	13,197	-13,197
• Strengthening Asian American and Native American Pacific Islander-serving Institutions	4,444	-4,444
• Strengthening Native American-serving Nontribal Institutions	4,444	-4,444
• Developing Hispanic-serving Institutions	143,081	-143,081
• Promoting Postbaccalaureate Opportunities for Hispanic Americans	12,838	-12,838

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Summary of Changes—Continued
(dollars in thousands)

<u>Discretionary:</u>	<u>2020 base</u>	<u>Change from base</u>
Decreases:		
<u>Program:</u>		
Eliminate funding for the Strengthening Institutions Program (SIP) because the Administration believes the SIP program is duplicative of approximately nine 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.	\$107,854	-\$107,854
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.	68,103	-68,103
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.	8,061	-8,061
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.	1,090,000	-140,000
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.	365,000	-365,000

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Summary of Changes—Continued
(dollars in thousands)

<u>Discretionary:</u>	<u>2019 base</u>	<u>Change from base</u>
Decreases:		
<u>Program:</u>		
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.	53,000	-37,866
Eliminate funding under the Fund for the Improvement of Postsecondary Education to reflect the completion of one-time demonstration activities funded in fiscal year 2020.	24,500	-24,500
Eliminate separate funding for the Teacher Quality Partnership program to reflect the proposed consolidation of this program into the Elementary and Secondary Education for the Disadvantaged Block Grant.	50,092	<u>-50,092</u>
Subtotal, discretionary decreases		-1,020,847

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Summary of Changes—Continued (dollars in thousands)

<u>Mandatory:</u>	<u>2020 base</u>	Change from base
Increases:		
<u>Program:</u>		
Increase funding for the mandatory Strengthening Tribally Controlled Colleges and Universities program to return funding to the authorized level.	\$28,230	+\$1,770
Increase funding for the mandatory Strengthening Historically Black Colleges and Universities program to return funding to the authorized level.	79,985	+5,015
Increase, beginning with fiscal year 2020 carryover funds, mandatory appropriations for Strengthening Alaska Native and Native Hawaiian-serving Institutions, Strengthening Predominantly Black Institutions, Strengthening Asian American and Native American Pacific Islander-serving Institutions, Strengthening Native American-serving Nontribal Institutions, and Developing HSI STEM and Articulation Programs to the Consolidated MSI Grant.	0	<u>+140,000</u>
Subtotal, mandatory increases		+146,785
<u>Mandatory:</u>		
Decreases:		
<u>Program:</u>		
Redirect, beginning with fiscal year 2020 carryover funds, funding for individual HEA Title III program mandatory authorities because funding is requested under the new MSI Consolidated Grant proposal.		
<ul style="list-style-type: none"> • Strengthening Alaska Native and Native Hawaiian-serving Institutions 	14,115	-14,115
<ul style="list-style-type: none"> • Strengthening Predominantly Black Institutions 	14,115	-14,115
<ul style="list-style-type: none"> • Strengthening Asian American and Native American Pacific Islander-serving Institutions 	4,705	-4,705
<ul style="list-style-type: none"> • Strengthening Native American-serving Nontribal Institutions 	4,705	-4,705
<ul style="list-style-type: none"> • Developing HSI STEM and Articulation Programs 	94,100	<u>-94,100</u>
Subtotal, mandatory decreases		<u>-131,740</u>

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Net change		-672,113
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Authorizing Legislation

(dollars in thousands)

Activity	2020 Authorized	2020 Appropriation	2021 Authorized	2021 Request
Aid for institutional development:				
Strengthening institutions (HEA-III-A-311)	0	\$107,854	0	0
Strengthening tribally controlled colleges and universities (HEA-III-A-316).....	0	36,633	To be determined ¹	\$36,633
Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA-III-A-317)	0	18,320	0	0
Strengthening predominantly Black institutions (HEA-III-A-318).....	0	13,197	0	0
Strengthening Native American-serving Nontribal institutions (HEA-III-A-319).....	0	4,444	0	0
Strengthening Asian American and Native American Pacific Islander-serving institutions (HEA-III-A-320).....	0	4,444	0	0
Strengthening historically Black colleges and universities (HEA-III-B-323)	0	324,792	To be determined ¹	324,792
Strengthening historically Black graduate institutions (HEA-III-B-326).....	0	83,995	To be determined ¹	83,995
Strengthening HBCU Master's Program (HEA-VII-A-4-723)	0	9,956	To be determined ¹	9,956
Minority science and engineering improvement (HEA-III-E-1)	0	12,635	To be determined ¹	150,000
Strengthening tribally controlled colleges and Universities (HEA-III-F-371) (mandatory).....	30,000 ²	28,230 ²	30,000 ²	30,000 ²
Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA-III-F-371) (mandatory)	15,000 ²	14,115 ²	15,000 ²	0 ²
Strengthening historically Black colleges and universities (HEA-III-F-371) (mandatory).....	85,000 ²	79,985 ²	85,000 ²	85,000 ²

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Authorizing Legislation

(dollars in thousands)

Activity	2020 Authorized	2020 Appropriation	2021 Authorized	2021 Request
Strengthening predominantly Black institutions (HEA-III-F-371) (mandatory).....	\$15,000 ²	\$14,115 ²	\$15,000 ²	0 ²
Strengthening Asian American and Native American Pacific Islander-serving institutions (HEA-III-F-371)(mandatory)	5,000 ²	4,705 ²	5,000 ²	0 ²
Strengthening Native American-serving Nontribal institutions (HEA-III-F-371) (mandatory)	5,000 ²	4,705 ²	5,000 ²	0 ²
Aid for Hispanic-serving institutions:				
Developing Hispanic-serving institutions (HEA-V-A)	0	143,081	0	0
Promoting postbaccalaureate opportunities for Hispanic Americans (HEA-V-B-512) (discretionary)	0	12,838	0	0
Mandatory developing HSI STEM and articulation programs (HEA III-F-371(b)(2)(B)) (mandatory).....	100,000 ²	94,100 ²	100,000 ²	0 ²
Other aid for institutions:				
International education and foreign language studies:				
Domestic programs (HEA-VI-A and B).....	0	68,103	0	0
Overseas programs (MECEA-102(b)(6)).....	Indefinite	8,061	Indefinite	0
Model comprehensive transition and postsecondary programs for students with intellectual disabilities into higher education (HEA-VII-D-2)	0	11,800	To be determined ¹	\$11,800
Tribally controlled postsecondary career and technical institutions (Carl D. Perkins CTEA section 117)	9,899	10,000	10,038	10,000
Assistance for students:				
Federal TRIO programs (HEA IV-A-2-1)	0	1,090,000	To be determined ¹	950,000
Gaining early awareness and readiness for undergraduate programs (HEA-IV-A-2-2).....	0	365,000 ³	0	0
Graduate assistance in areas of national need (HEA-VII-A-2)	0	23,047	0	0

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Authorizing Legislation

(dollars in thousands)

Activity	2020 Authorized	2020 Appropriation	2021 Authorized	2021 Request
Child care access means parents in school <i>(HEA-IV-A-7)</i>	0	\$53,000	To be determined ¹	\$15,134
Teacher quality partnership <i>(HEA II-A)</i>	0	50,092	0	0
Fund for the improvement of postsecondary education <i>(HEA-VII-B)</i>	0	24,500	0	0
Consolidated MSI Grant (proposed legislation).....	0	0	To be determined ¹	336,324
<u>Unfunded authorizations</u>				
Interest subsidy grants <i>(HEA-I-121)</i>	0	0	0	0
Hawkins Centers of Excellence <i>(HEA-II-B-2) (discretionary)</i>	0	0	0	0
Aid for institutional development:				
Endowment challenge grants <i>(HEA-III-C-331)</i>	0	0	0	0
Programs in STEM Fields <i>(HEA-III-E-2)</i>	0	0	0	0
Assistance for students:				
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:				
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
Thurgood Marshall legal educational opportunity program <i>(HEA-VII-A-3)</i>	0	0	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) (discretionary)</i>	0	0	0	0

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Authorizing Legislation

(dollars in thousands)

Activity	2020 Authorized	2020 Appropriation	2021 Authorized	2021 Request
<u>Unfunded authorizations</u>				
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

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Authorizing Legislation

(dollars in thousands)

Activity	2020 Authorized	2020 Appropriation	2021 Authorized	2021 Request
<u>Unfunded authorizations</u>				
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.....	\$264,899		\$265,038	
Total appropriation.....		\$2,475,792		\$1,788,634
Total discretionary appropriation.....		2,475,792		1,788,634
Portion of discretionary request subject to reauthorization....		2,475,792		1,788,634
Portion of the discretionary request not authorized.....		0		1,788,634

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Authorizing Legislation
(dollars in thousands)

Activity	2020 Authorized	2020 Appropriation	2021 Authorized	2021 Request
Total mandatory appropriation		\$239,190		\$255,000
Portion of the mandatory request not authorized		0		0

¹ The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2021.

² Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through 2019. In December 2019, the President signed Public Law 116-91, Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) providing permanent mandatory appropriations for HBCUs and other minority-serving institutions under Part F of Title III of the Higher Education Act of 1965 (133 Stat. 1189).

³ 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.

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Appropriations History (dollars in thousands)

Year	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2012 Discretionary	2,277,069	1,628,052 ¹	1,903,946 ¹	1,869,656
2012 Mandatory	428,000	428,000	428,000	428,000
2013 Discretionary	1,950,590	1,869,656 ²	1,911,348 ²	1,881,098
2013 Mandatory	428,000	428,000	428,000	406,173
2014 Discretionary	2,182,799	N/A ³	1,906,394 ¹	1,925,408
2014 Mandatory	428,000		428,000	397,184
2015 Discretionary	2,025,457	N/A ³	1,968,799 ⁴	1,924,839
2015 Mandatory	4,902,000		255,000	236,385
2016 Discretionary	2,072,045	1,909,042 ⁵	2,038,510 ⁵	1,982,185
2016 Mandatory	2,266,842	255,000	255,000	237,660
2017 Discretionary	2,189,200 ⁶	1,976,666 ⁶	1,986,792 ⁶	2,055,439 ⁶
2017 Mandatory	2,060,121	2,060,121	2,060,121	237,405
2018 Discretionary	1,545,305	2,038,126 ⁷	2,048,439 ⁷	2,246,551 ⁷
2018 Mandatory	255,000	255,000	255,000	238,170
2019 Discretionary	1,485,848	2,300,551 ⁸	2,260,551 ⁸	2,312,356 ⁸
2019 Mandatory	255,000	255,000	255,000	239,190
2020 Discretionary	1,534,487	2,748,533	2,313,356 ⁹	2,475,792 ⁹
2020 Mandatory	255,000	255,000	255,000	239,955
2021 Discretionary	1,788,634			
2021 Mandatory	255,000			

¹ The level for the House allowance reflects an introduced bill; the level for the Senate allowance reflects Senate Committee Action only.

² The levels for the House and Senate allowance reflect action on the regular annual 2013 appropriations bill, which proceeded in the 112th Congress only through the House Subcommittee and the Senate Committee.

³ The House allowance is shown as N/A because there was no Subcommittee action.

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

⁵ The levels for House and Senate allowances reflect action on the regular annual 2016 appropriations bills, which proceeded in the 14th Congress only through the House Committee and Senate Committee.

⁶ 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.

⁷ 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).

⁸ 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).

⁹ The Senate allowance reflects the Chairman's mark; the Appropriation reflects the Further Consolidated Appropriation Act, 2020 (P.L. 116-94).

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Significant Items in FY 2020 Appropriations Reports

Strengthening Historically Black Colleges and Universities

House: The Committee encourages the Secretary to explore strategies for expanding Physician Assistant (PA) programs at HBCUs, Predominantly Black Institutions (PBIs) and HSIs. Developing PA programs at these higher education institutions will ensure a more diverse PA workforce to promote health equity and more effectively provide care in recognition of the changing demographics of the nation's patient populations. The Committee directs the Secretary to provide a report to Committees on Appropriations, no later than 180 days after enactment of this Act, detailing recommendations for promoting PA programs at HBCUs, PBIs, and HSIs through the Department's grant initiatives.

Response: The Department will comply with this directive.

Fund for the Improvement of Postsecondary Education

House: Of these funds, the Committee directs the Secretary to issue grants to institutions of higher education or consortia of institutions of higher education seeking to establish, maintain, or improve Veteran Student Centers--a dedicated physical meeting space on the campus of an institution of higher education that provides student veterans, members of the Armed Forces serving on active duty, or members of a reserve component of the Armed Forces with a centralized office for veteran student support services, including comprehensive academic and tutoring services, peer-to-peer tutoring and academic mentorship, and is staffed by at-least one trained veteran employee.

Such centers must also provide student-veterans with assistance relating to transitioning from the military to student life or civilian workforce, networking opportunities with other veterans in the community, understanding and obtaining benefits provided by the institution of higher education, federal government, and State for which such students may be eligible, understanding how to succeed in the institution of higher education, including by understanding academic policies, the course selection process, and institutional policies and practices related to the transfer of academic credits, and provide an understanding of disability-related rights and protections under the Americans with Disabilities Act of 1990 and section 504 of the Rehabilitation Act of 1973. The Committee directs the Department to brief the Committees on Appropriations no later than 60 days after enactment of this Act on its plan to carry out this competition and to notify the Committees no later than 15 days in advance of making awards to grantees.

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Significant Items in FY 2020 Appropriations Reports

Fund for the Improvement of Postsecondary Education (cont'd)

House: In addition, the Committee includes \$5,000,000 to continue the Open Textbooks Pilot program. The Secretary is directed to award funds through a new competition, with individual grants amounting to not less than \$100,000 and not more than \$1,000,000.

Response: The Department will brief the Committee on its plans to re-compete the Centers of Excellence for Veteran Student Success in fiscal year 2020 in accordance with the deadline in report language. The Department also plans to hold a new Open Textbooks competition in fiscal year 2020 consistent with Committee's recommendation.

Senate: Any eligible entity receiving a grant through the Open Textbooks Pilot, upon completion of the supported project, shall 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. The Secretary shall make such reports publicly available.

Response: The Department will collect and report data on the outcomes of the Open Textbooks Pilot.

Federal TRIO Programs

Explanatory Statement: The Department is directed to allocate any grant funding not needed for non-competitive continuation awards or for programs up for re-competition in fiscal year 2020 to provide inflationary increases for current grantees and to increase the number and size of new awards in the Student Support Services grant competition. The Department is further directed to include proposed funding levels for each of the TRIO programs in the operating plan required under section 516 of this Act. There is great concern and disappointment that the Department has yet to issue a notice inviting applications for new awards for TRIO Student Support Services grants. The Department is directed to publish such notice inviting applications for new awards for TRIO Student Support Services grants no later than December 30, 2019 and take steps necessary to award funding as early as possible before the beginning of the academic year.

Response: The notice inviting applications for the Student Support Services program was published in the Federal Register on December 17, 2019.

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Significant Items in FY 2020 Appropriations Reports

Federal TRIO Programs (cont'd)

Senate: The Committee directs the Department to allocate any grant funding not needed for non-competitive continuation awards or for programs up for re-competition in fiscal year 2020 to provide inflationary increases for current grantees and to increase the number and size of new awards in the Student Support Services grant competition. The Committee directs the Department to include proposed funding levels for each of the TRIO programs in the operating plan required under section 516 of this act, and to brief the Committees on Appropriations of the House of Representatives and the Senate prior to issuing a Notice Inviting Applications.

Response: As directed, the Department plans to increase the number and size of new awards in the fiscal year 2020 Student Support Services competition. Any remaining funds will be used to provide all TRIO grantees an across-the-board increase. The Department estimates that every TRIO grantee will receive an increase of approximately 2.81 percent. The size of the increase will depend in part on the number of fundable applications in the Student Support Services competition and will be determined after the Department has funded new awards. The Department published the Student Support Services NIA in in the Federal Register on December 17, 2019. Finally, the Department provides the proposed funding levels for each TRIO program in the output measures table in the TRIO program justification.

Gaining Early Awareness and Readiness for Undergraduate Programs

Explanatory Statement: The agreement directs the Department to uphold the long-standing guidance that States may only administer one active State 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 grant, or States that have an active State grant that is scheduled to end prior to October 1, 2020, will be eligible to receive a new State award funded in whole or in part by this appropriation.

The agreement directs the Department to provide a briefing to the Committees within 90 days of enactment of this Act on this program and any planned competitions for fiscal year 2020.

Response: In fiscal year 2020, the Department plans to award new State and Partnership GEAR UP awards to high-scoring applications from previous competitions and will brief the Committee on the plan for doing so. The Department will not make any new awards to States with an active GEAR UP State grant consistent with language included in the Federal Register for the fiscal year 2019 GEAR UP competition.

HIGHER EDUCATION

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DEPARTMENT OF EDUCATION FISCAL YEAR 2021 PRESIDENT'S BUDGET

(in thousands of dollars)

	Cat Code	2019 Appropriation	2020 Appropriation	2021 President's Budget	2021 President's Budget Compared to 2020 Appropriation	
					Amount	Percent
Higher Education						
1. Aid for institutional development:						
(a) Strengthening institutions (HEA III-A, section 311)	D	99,875	107,854	0	(107,854)	-100.00%
(b) Strengthening tribally controlled colleges and universities (HEA III-A, section 316)	D	31,854	36,633	36,633	0	0.00%
(c) Mandatory strengthening tribally controlled colleges and universities (HEA III-F, section 371)	M	28,140	28,230	30,000	1,770	6.27%
Subtotal		59,994	64,863	66,633	1,770	2.73%
(d) Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-A, section 317)	D	15,930	18,320	0	(18,320)	-100.00%
(e) Mandatory strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-F, section 371)	M	14,070	14,115	0	(14,115)	-100.00%
Subtotal		30,000	32,435	0	(32,435)	-100.00%
(f) Strengthening HBCUs (HEA III-B, section 323)	D	282,420	324,792	324,792	0	0.00%
(g) Mandatory strengthening HBCUs (HEA III-F, section 371)	M	79,730	79,985	85,000	5,015	6.27%
Subtotal		362,150	404,777	409,792	5,015	1.24%
(h) Strengthening historically Black graduate institutions (HEA III-B, section 326)	D	73,037	83,995	83,995	0	0.00%
(i) Strengthening HBCU masters program (HEA, Title VII, section 723)	D	8,657	9,956	9,956	0	0.00%
(j) Strengthening predominantly Black institutions (HEA III-A, section 318)	D	11,475	13,197	0	(13,197)	-100.00%
(k) Mandatory strengthening predominantly Black institutions (HEA III-F, section 371)	M	14,070	14,115	0	(14,115)	-100.00%
Subtotal		25,545	27,312	0	(27,312)	-100.00%
(l) Strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-A, section 320)	D	3,864	4,444	0	(4,444)	-100.00%
(m) Mandatory strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-F, section 371)	M	4,690	4,705	0	(4,705)	-100.00%
Subtotal		8,554	9,149	0	(9,149)	-100.00%
(n) Strengthening Native American-serving nontribal institutions (HEA III-A, section 319)	D	3,864	4,444	0	(4,444)	-100.00%
(o) Mandatory strengthening Native American-serving nontribal institutions (HEA III-F, section 371)	M	4,690	4,705	0	(4,705)	-100.00%
Subtotal		8,554	9,149	0	(9,149)	-100.00%
(p) Minority science and engineering improvement (HEA III-E-1)	D	11,135	12,635	150,000	137,365	1087.18%
Subtotal, Aid for institutional development		687,501	762,125	720,376	(41,749)	-5.48%
Discretionary	D	542,111	616,270	605,376	(10,894)	-1.77%
Mandatory	M	145,390	145,855	115,000	(30,855)	-21.15%

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

Note: Pursuant to the Budget Control Act of 2011 (P.L. 112-25), 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; and the levels shown in the 2020 Appropriation column reflect the 5.9 percent reduction that went into effect on October 1, 2019.

HIGHER EDUCATION

DEPARTMENT OF EDUCATION FISCAL YEAR 2021 PRESIDENT'S BUDGET

(in thousands of dollars)

	Cat Code	2019 Appropriation	2020 Appropriation	2021 President's Budget	2021 President's Budget Compared to 2020 Appropriation		
					Amount	Percent	
Higher Education (continued)							
2. Aid for Hispanic-serving institutions:							
(a)	Developing Hispanic-serving institutions (HEA V-A)	D	124,415	143,081	0	(143,081)	-100.00%
(b)	Mandatory developing HSI STEM and articulation programs (HEA III-F, section 371(b)(2)(B))	M	93,800	94,100	0	(94,100)	-100.00%
(c)	Promoting postbaccalaureate opportunities for Hispanic Americans (HEA V, section 512)	D	11,163	12,838	0	(12,838)	-100.00%
	Subtotal		229,378	250,019	0	(250,019)	-100.00%
	Discretionary		135,578	155,919	0	(155,919)	-100.00%
	Mandatory		93,800	94,100	0	(94,100)	-100.00%
3. Consolidated MSI Grant (proposed legislation)							
(a)	Consolidated MSI Grant	D	0	0	196,324	196,324	---
(b)	Mandatory Consolidated MSI Grant	M	0	0	140,000	140,000	---
	Subtotal		0	0	336,324	336,324	---
4. Other aid for institutions:							
(a) International education and foreign language studies:							
(1)	Domestic programs (HEA VI-A and B)	D	65,103	68,103	0	(68,103)	-100.00%
(2)	Overseas programs (MECEA section 102(b)(6))	D	7,061	8,061	0	(8,061)	-100.00%
	Subtotal		72,164	76,164	0	(76,164)	-100.00%
(b)	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%
(c)	Tribally controlled postsecondary career and technical institutions (CTEA section 117)	D	9,564	10,000	10,000	0	0.00%
5. Assistance for students:							
	Subtotal					0	
(a)	Federal TRIO programs (HEA IV-A-2, Chapter 1)	D	1,060,000	1,090,000	950,000	(140,000)	-12.84%
(b)	Gaining early awareness and readiness for undergraduate programs (GEAR UP) (HEA IV-A-2, Chapter 2)	D	360,000	365,000	0	(365,000)	-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	53,000	15,134	(37,866)	-71.45%
6. Fund for the improvement of post secondary education (FIPSE) (HEA VII-B)							
	Subtotal		5,000	24,500	0	(24,500)	-100.00%
7. Teacher quality partnership (HEA II-A)							
	Subtotal		43,092	50,092	0	(50,092)	-100.00%
	Total		2,551,546	2,715,747	2,043,634	(672,113)	-24.75%
	Discretionary		2,312,356	2,475,792	1,788,634	(687,158)	-27.76%
	Mandatory		239,190	239,955	255,000	15,045	6.27%

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

Note: Pursuant to the Budget Control Act of 2011 (P.L. 112-25), 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; and the levels shown in the 2020 Appropriation column reflect the 5.9 percent reduction that went into effect on October 1, 2019.

HIGHER EDUCATION

Summary of Request

The Administration's fiscal year 2021 Request includes \$1.8 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 includes \$1.1 billion in discretionary and mandatory funding authorized under Titles III and V of the Higher Education Act of 1965, as amended.

- The Request includes \$455.4 million to provide funding for the HEA Title III Aid for Institutional Development programs. These programs would continue as separate line items in the fiscal year 2021 budget: **Strengthening Historically Black Colleges and Universities (HBCUs), Strengthening Historically Black Graduate Institutions, Strengthening Master's Degree Programs at HBCUs, and Strengthening Tribally Controlled Colleges and Universities**. In addition, \$115 million is available for mandatory Strengthening HBCUs and mandatory Strengthening TCCUs in fiscal year 2021.
- A highlight of the 2021 Request for HBCUs and MSIs is a dramatically expanded **Minority Science and Engineering Improvement Program (MSEIP)**. The \$150 million request for the MSEIP, an increase of \$137.4 million over the 2020 appropriation, would support a HBCU/MSI STEM Opportunity Zones initiative that would fund STEM-based projects led by HBCUs and Minority-Serving Institutions (MSIs) located in Opportunity Zones. Funds would be used to create or expand STEM academic pipelines aligned with the local business community; improve public-private STEM partnerships; launch STEM-focused entrepreneurship incubators; and incentivize or complete investment from Opportunity Funds for STEM-focused capital projects (e.g., facilities for incubators) that will help prepare the future generation of STEM professionals. The expanded MSEIP would target \$50 million to HBCUs, \$50 million Hispanic-Serving Institutions, and \$50 million to all other MSIs.

The Request also includes a total of \$336.3 million for the proposed **Consolidated MSI Grant program**, including \$196.3 million in discretionary funds and \$131.7 million in mandatory funds. The new program would consolidate 11 existing HEA Title **III Aid for Institutional Development** and HEA Title **V Aid for Hispanic-Serving Institutions** program funding authorities into a single institutional formula grant program. The discretionary portion of the Request is the same as the 2020 appropriation for the six antecedent discretionary programs, while the \$131.7 million proposed for mandatory funding would be carried over from funds appropriated in fiscal year 2020. The Request does not fund the Strengthening Institutions program, which is duplicative of other program funding for institutional support activities.

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The Request would provide \$950 million in fiscal year 2021 for the **Federal TRIO Programs**, \$140 million less than the fiscal year 2020 appropriation, to support a transition of these programs from a set of competitive grant programs to a formula-driven Student Supports Block Grant to States. 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**, \$10 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 0.5 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 2021 eliminates several 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 have not shown evidence of effectiveness. These programs include the **Strengthening Institutions Program, the International Education and Foreign Language Studies programs, Gaining Early Awareness and Readiness for Undergraduate Programs, the Fund for the Improvement of Postsecondary Education, 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 2021 Authorization: To be determined (discretionary)¹; \$115,000 (mandatory)²

Budget Authority:

	<u>2020 Appropriation</u>	<u>2021 Request</u>	<u>Change from 2020 to 2021</u>
Discretionary:			
Strengthening Institutions (Part A)	\$107,854	0	-\$107,854
Strengthening Tribally Controlled Colleges and Universities (TCCUs) (Part A)	36,633	\$36,633	0
Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNHs) (Part A)	18,320	0 ³	-18,320
Strengthening Historically Black Colleges and Universities (HBCUs) (Part B)	324,792	324,792	0
Strengthening Historically Black Graduate Institutions (HBGIs) (Part B)	83,995	83,995	0
Strengthening HBCU Master's Degree Program (Section 723)	9,956	9,956	0
Strengthening Predominantly Black Institutions (PBIs) (Part A)	13,197	0 ³	-13,197
Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISIs) (Part A)	4,444	0 ³	-4,444
Strengthening Native American-serving Nontribal Institutions (NASNTIs) (Part A)	4,444	0 ³	-4,444
Minority Science and Engineering Improvement Program (MSEIP) (Part E)	12,635	150,000	+137,365

¹ The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2021.

² Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through 2019. In December 2019, the President signed Public Law 116-91, Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) Act providing permanent mandatory appropriations for HBCUs and other minority-serving institutions under Part F of Title III of the Higher Education Act of 1965 (133 Stat. 1189).

³ This program is part of the Administration's Consolidated MSI Grant proposal for fiscal year 2021.

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Aid for institutional development

	2020 <u>Appropriation</u>	2021 <u>Request</u>	Change from <u>2020 to 2021</u>
Budget Authority (cont'd):			
Mandatory (Part F, Section 371):			
Strengthening TCCUs	\$28,230	\$30,000	+\$1,770
Strengthening ANNHs	14,115	0 ¹	-14,115
Strengthening HBCUs	79,985	85,000	+5,015
Strengthening PBIs	14,115	0 ¹	-14,115
Strengthening AANAPISIs	4,705	0 ¹	-4,705
Strengthening NASNTIs	<u>4,705</u>	<u>0¹</u>	<u>-4,705</u>
Discretionary	\$616,270	\$605,376	-\$10,894
Mandatory	145,855 ²	115,000 ²	-30,855

¹ The Administration is proposing to redirect these mandatory funds, available in fiscal year 2021 from the fiscal year 2020 appropriation, to the proposed Consolidated MSI Grant.

² Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through 2019. In December 2019, the President signed Public Law 116-91, Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) Act providing permanent mandatory appropriations for HBCUs and other minority-serving institutions under Part F of Title III of the Higher Education Act of 1965 (133 Stat. 1189).

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 the Census poverty level. 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 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

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Aid for institutional development

program (AANAPISI), the Native American-serving Nontribal Institutions program (NASNTI), and the Predominantly Black Institutions program (PBIs).

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's 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 60 percent

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Aid for institutional development

allocated on the basis of Indian student counts at eligible institutions and the other 40 percent distributed equally among eligible TCCUs. The minimum grant size is \$500,000.

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 the acquisition of real property; student services; teacher education programs with an emphasis on qualifying students to teach Indian children; community outreach programs that encourage Indian elementary and secondary school students to pursue postsecondary education; improving the financial literacy and economic literacy of students or the students' families; and 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. Uses of funds are similar to those authorized under SIP.

Alaska Native-serving institutions and Native Hawaiian-serving institutions are institutions that meet the definition of an eligible institution under Section 312(b) of the HEA and have, respectively, undergraduate enrollments that are at least 20 percent Alaska Native students or 10 percent Native Hawaiian students.

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 implement activities that support: faculty and academic program development; fund and administrative management; construction, maintenance, renovation, and improvement of instructional facilities, including the acquisition of real property; student services; teacher education programs designed to qualify students to teach in public schools; community outreach programs that will encourage elementary and secondary school students to pursue postsecondary education; and improving financial literacy and economic literacy of students or the students' families, especially with regard to loan and grant programs under Title IV.

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.

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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.

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

An HBGI that received a grant under this Section in fiscal year 2008 (and that is eligible to receive a grant after fiscal year 2008) may not receive a grant in subsequent fiscal years that is less than the grant amount received in fiscal year 2008. No institution or university system may receive more than one grant 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.

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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 students pursuing a master's degree in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines in which African Americans are underrepresented; establishment or maintenance of an institutional endowment; funds and administrative management; improving the financial literacy and economic literacy of students or the students' families; tutoring, counseling, and student service programs; and faculty professional development.

Grants from the Strengthening HBCU Master's Degree Program go 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.

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; teacher education programs designed to qualify students to teach in public elementary or secondary schools; and community outreach programs that will encourage elementary and secondary school students to pursue postsecondary education. No more than 50 percent of grant funds awarded may be used for construction or maintenance of classroom,

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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, 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

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Pacific Ocean that is a territory or possession of the U.S. ANNAPISIs do not have to wait 2 years between grants and thus may be funded continuously.

Grants help 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 of instructional facilities; 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; endowment funds; and academic instruction in disciplines in which Asian American and Native American Pacific Islanders are underrepresented.

Strengthening Native American-serving Nontribal Institutions (NASNTI)

The 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 of instructional facilities; faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; funds and administrative management, and acquisition of equipment for use in strengthening funds management; academic tutoring and counseling programs and support services; and improving 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.

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Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2016	\$606,656 ¹
2017	614,001 ²
2018	681,514 ³
2019	687,501 ⁴
2020	762,125 ⁵

¹ Includes \$144,460 thousand in mandatory funds provided under the HEA.

² Includes \$144,305 thousand in mandatory funds provided under the HEA.

³ Includes \$144,770 thousand in mandatory funds provided under the HEA.

⁴ Includes \$145,390 thousand in mandatory funds provided under the HEA.

⁵ Includes \$145,855 thousand in mandatory funds provided under the HEA.

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests a total of \$605.4 million for the Aid for Institutional Development programs authorized under Title III of the Higher Education Act of 1965, as amended (HEA), \$10.9 million less than the fiscal year 2020 appropriation. In addition to these discretionary requested levels, \$115 million is available in mandatory funding in fiscal year 2021 for these programs under the recently passed Fostering Undergraduate Talent by Unlocking Resources (FUTURE) Act (Section 371 of the HEA). Including discretionary and mandatory funding, \$720.4 million would be available if the request is enacted.

Title III, Part B (HBCU Funding)

The Administration's Request would maintain strong support for Historically Black Colleges and Universities (HBCUs), consist consistent with the President's Executive Order on HBCUs, which calls for efforts to strengthen the capacity of HBCUs to provide the highest-quality education and to provide new opportunities for HBCU participation in Federal programs. 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 HBGIs 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.

HBCU programs, including Howard University, would receive an overall total of \$749.2 million in discretionary funding for fiscal year 2021, an increase of \$44 million over the comparable fiscal year 2020 enacted level (including the \$50 million HBCU share of the Minority Science and Engineering Program (MSEIP) funds proposed for fiscal year 2021 and described below). Specific requests for HBCUs authorized under Title III, Part B of the HEA include the following:

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- \$324.8 million for the Strengthening HBCUs program, the same as the fiscal year 2020 appropriation;
- \$84 million for the Strengthening HBGIs program, the same as the fiscal year 2020 appropriation;
- \$10 million for the Strengthening HBCU Master's Degree Program, the same as the 2020 appropriation.

The Budget also includes \$85 million in mandatory funding for the Strengthening HBCUs program authorized by the recently passed FUTURE Act. For the requests for the other HBCU programs, please see the requests for **Howard University** and **HBCU Capital Financing**.

Title III, Part A (Other MSI Programs)

The Request also would provide \$36.6 million for the Strengthening TCCUs program, the same as the 2020 appropriation. 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.

The Administration's fiscal year 2021 budget renews and expands the proposal to create the Consolidated Minority-Serving Institution (MSI) Grant program, which for 2021 would consolidate 11 Title III and V funding authorities into a single institutional formula grant program. The new Consolidated Minority-Serving Institution Grant program would allocate combined discretionary and mandatory funding by formula to ensure that Alaska Native and Native Hawaiian-serving Institutions, Asian American and Native American Pacific Islander-serving Institutions, Native American-serving Nontribal Institutions, Predominantly Black Institutions, and 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.

Under this proposal, the Administration would seek appropriations language to redirect, mandatory funds authorized by the FUTURE ACT, available in fiscal year 2021 from the fiscal year 2020 appropriation for the ANNH, PBI, AANAPISI, NASNTI, and HSI STEM and Articulation programs to the Consolidated MSI Grant. Fiscal year 2021 discretionary funds would first be used to fully pay all continuation awards to existing grantees under the consolidated grant programs; remaining discretionary and mandatory funds would be allocated through the proposed institutional formula. Additional information on the proposed consolidation may be found under the **Consolidated MSI Grant justification on page S-66**.

The request continues to propose the elimination of the Strengthening Institutions Program, which largely duplicates the other Title III and V programs funded under the request that more appropriately target limited Federal funds on institutions that enroll large numbers and percentages of underserved, first-generation, minority college students.

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Title III, Part E (MSEIP)

Finally, the 2021 request includes \$150 million for the MSEIP, \$137.4 million more than the fiscal year 2020 appropriation, to fund STEM-based projects led by HBCUs and MSIs located in Opportunity Zones. The HBCU/MSI STEM Opportunity Zones Initiative would help these institutions bolster STEM academic pipelines aligned with the local business community, improve public-private STEM partnerships, launch STEM entrepreneurship incubators, and incentivize or complement investment from Opportunity Funds for STEM-focused capital projects (e.g. facilities for incubators) that will help prepare the future generation of STEM professionals. The transformed MSEIP would target \$50 million to HBCUs, and \$100 million to all other MSIs located in Opportunity Zones.

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Strengthening Institutions			
Number of new development awards	64	55 ¹	0
Average new development awards	\$441	\$465	0
Total new development award funding	\$28,228	\$25,571	0
Number of NCC development awards	51	115	0
Average NCC development award	\$439	\$436	0
Total NCC development award funding	\$22,403	\$50,181	0
Number of NCC evidence awards	110	70	0
Average NCC evidence award	\$444	\$459	0
Total NCC evidence award funding	\$48,828	\$32,102	0
Peer review of new award applications	\$416	0	0
Total award funding (Section 311)	\$99,875	\$107,854	0
Total number of awards	225	240	0
Strengthening TCCUs			
Discretionary funding:			
Number of new development awards	0	31	2
Average new development award	0	\$1,104	\$700
Total new development award funding	0	\$34,233	\$1,400
Number of NCC development awards	35	4	33
Average NCC development award	\$910	\$600	\$1,068
Total NCC development award funding	\$31,854	\$2,400	\$35,233

¹ The Department plans to fund down the fiscal year 2019 grant slate to make new awards in fiscal year 2020.

PROGRAM OUTPUT MEASURES

(dollars in thousands)

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<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Strengthening TCCUs (cont'd)			
Mandatory funding:			
Number of NCC development awards	35	35	35
Average NCC development award	\$804	\$807	\$857
Total NCC development award funding	\$28,140	\$28,230	\$30,000
Total award funding	\$59,994	\$64,863	\$66,633
Discretionary (Section 316)	\$31,854	\$36,633	\$36,633
Mandatory (Section 371)	\$28,140	\$28,230	\$30,000
Total number of awards (discretionary and mandatory)	70	70	70
Strengthening ANNHs			
Discretionary funding:			
Number of new development awards	13	30	0
Average new development award	\$395	\$430	0
Total new development award funding	\$5,132	\$12,885	0
Number of NCC development awards	12	13	0
Average NCC development award	\$772	\$406	0
Total NCC development award funding	\$9,260	\$5,276	0
Total unobligated funding	\$1,523	0	0
Peer review of new award applications	\$15	\$159	0
Mandatory funding:			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$14,070	\$23,461	0
Number of new development awards	7	8	0
Average new development award	\$388	\$592	0
Total new development award funding	\$2,713	\$4,737	0

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PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Strengthening ANNHs (cont'd)			
Mandatory funding:			
Number of NCC development awards	3	10	0
Average NCC development award	\$665	\$461	0
Total NCC development award funding	\$1,996	\$4,609	0
Peer review of new award applications	\$15	0	0
Total award funding	\$20,654	\$27,666	0
Discretionary (Section 317)	\$15,930	\$18,320	0
Mandatory (Section 371)	\$4,724	\$9,346	0
Mandatory(Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$9,346 ¹	\$14,115 ¹	0
Total number of awards (discretionary and mandatory)	35	61	0
Strengthening HBCUs			
Discretionary funding:			
Number of NCC awards	97	97	97
Average NCC award	\$2,912	\$3,348	\$3,348
Total NCC award funding	\$282,420	\$324,792	\$324,792
Mandatory funding:			
Number of new awards	0	97	0
Average new award	0	\$825	0
Total new award funding	0	\$79,985	0
Number of NCC awards	97	0	97
Average NCC award	\$822	0	\$876
Total NCC award funding	\$79,730	0	\$85,000
Total award funding	\$362,150	\$404,777	\$409,792
Discretionary (Section 318)	\$282,420	\$324,792	\$324,792
Mandatory (Section 371)	\$79,730	\$79,985	\$85,000
Total number of awards (discretionary and mandatory)	194	194	194

¹ Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year, the 2021 request would redirect fiscal year 2020 carryover funds to the Consolidated MSI Grant proposal.

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PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Strengthening HBGs			
Number of new awards	24	0	0
Average new award	\$3,043	0	0
Total new award funding	\$73,037	0	0
Number of NCC awards	0	24	24
Average NCC award	0	\$3,500	\$3,500
Total NCC award funding	0	\$83,995	\$83,995
Total award funding	\$73,037	\$83,995	\$83,995
Total number of awards (Section 326)	24	24	24
Strengthening HBCU Master's Program			
Number of NCC awards	18	18	18
Average NCC award	\$481	\$553	\$553
Total NCC awards	\$8,657	\$9,956	\$9,956
Strengthening PBIs			
Discretionary funding:			
Number of NCC development awards	10	10	0
Average NCC development award	\$1,148	\$1,320	0
Total NCC development award funding	\$11,475	\$13,197	0
Mandatory funding (competitive):			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$28,080	\$28,185	0
Number of new awards	0	0	0
Average of new award	0	0	0
Total new award funding	0	0	0
Number of NCC development awards	24	24	0
Average NCC development award	\$578	\$586	0
Total NCC development award funding	\$13,883	\$14,070	0
Total unobligated funding	\$127	0	0
Total award funding	\$25,485	\$27,267	0
Discretionary (Section 318)	\$11,475	\$13,197	0
Mandatory (Section 371)	\$14,010	\$14,070	0

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PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Strengthening PBIs (cont'd)			
Mandatory funding (competitive):			
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$14,070 ¹	\$14,115 ¹	0
Total number of awards (discretionary and mandatory)	34	34	0
Strengthening AANAPISIs			
Discretionary funding:			
Number of new development awards	0	12	0
Average new development award	0	\$367	0
Total new development award funding	0	\$4,400	0
Number of NCC development awards	11	0	0
Average NCC development award	\$298	0	0
Total NCC development award funding	\$3,281	0	0
Total unobligated funding	\$583	0	0
Peer review of new award applications	0	\$44	0
Mandatory funding:			
Total mandatory (Section 371) funds available for obligation at the start of the year	\$9,360	\$9,309	0
Number of new development awards	0	0	0
Average new development award	0	0	0
Total new development award funding	0	0	0
Number of NCC development awards	16	16	0
Average NCC development award	\$297	\$288	0
Total NCC development award funding	\$4,756	\$4,604	0
Peer review of new award applications	0	0	0
Total award funding	\$8,620	\$9,048	0
Discretionary (Section 320)	\$3,864	\$4,444	0
Mandatory (Section 371)	\$4,756	\$4,604	0
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$4,604 ¹	\$4,705 ¹	0

¹ Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year; the 2021 request would redirect fiscal year 2020 carryover funds to the Consolidated MSI Grant proposal.

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PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Strengthening AANAPISIs (cont'd)			
Mandatory funding:			
Total number of awards (discretionary and mandatory)	27	28	0
Strengthening NASNTIs			
Discretionary funding:			
Number of new development awards	0	12	0
Average new development award	0	\$367	0
Total new development award funding	0	\$4,400	0
Number of NCC development awards	7	0	0
Average NCC development award	\$384	0	0
Total NCC development award funding	\$2,687	0	0
Total unobligated funding	\$1,177	0	0
Peer review of new award applications	0	\$44	0
Mandatory funding:			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$9,360	\$9,395	0
Number of new development awards	0	0	0
Average new development award	0	0	0
Total new development award funding	0	0	0
Number of NCC development awards	12	12	0
Average NCC development award	\$347	\$391	0
Total NCC development award funding	\$4,161	\$4,690	0
Total unobligated funding	\$509	0	0
Peer review of new award applications	0	0	0
Total award funding (discretionary and mandatory)	\$8,534	\$9,134	0
Discretionary (Section 319)	\$3,864	\$4,444	0
Mandatory (Section 371)	\$4,670	\$4,690	0
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$4,690 ¹	\$4,705 ¹	0
Total number of awards (discretionary and mandatory)	19	24	0

¹ Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year; the 2021 request would redirect fiscal year 2020 carryover funds to the Consolidated MSI Grant proposal.

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PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Minority Science and Engineering Improvement			
Number of new awards	25	20 ¹	0
Average new award	\$240	\$223	0
Total new award funding	\$5,990	\$4,467	0
Number of new MSEIP-HBCU awards	0	0	97
Average new MSEIP-HBCU award	0	0	\$515
Total new MSEIP-HBCU award funding	0	0	\$50,000
Number of new MSEIP-HSI awards	0	0	150
Average new MSEIP-HSI award	0	0	\$333
Total new MSEIP-HSI award funding	0	0	\$50,000
Number of new MSEIP-MSI awards	0	0	115
Average new MSEIP-MSI award	0	0	\$333
Total new MSEIP-MSI award funding	0	0	\$38,316
Number of NCC awards	20	35	45
Average NCC award	\$253	\$233	\$226
Total NCC award funding	\$5,059	\$8,168	\$10,184
Peer review of new awards applications	\$86	0	\$1,500
Total award funding	\$11,135	\$12,635	\$150,000
Total number of awards	45	55	407

¹ The Department plans to fund down the fiscal year 2019 grant slate to make new awards in fiscal year 2020.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

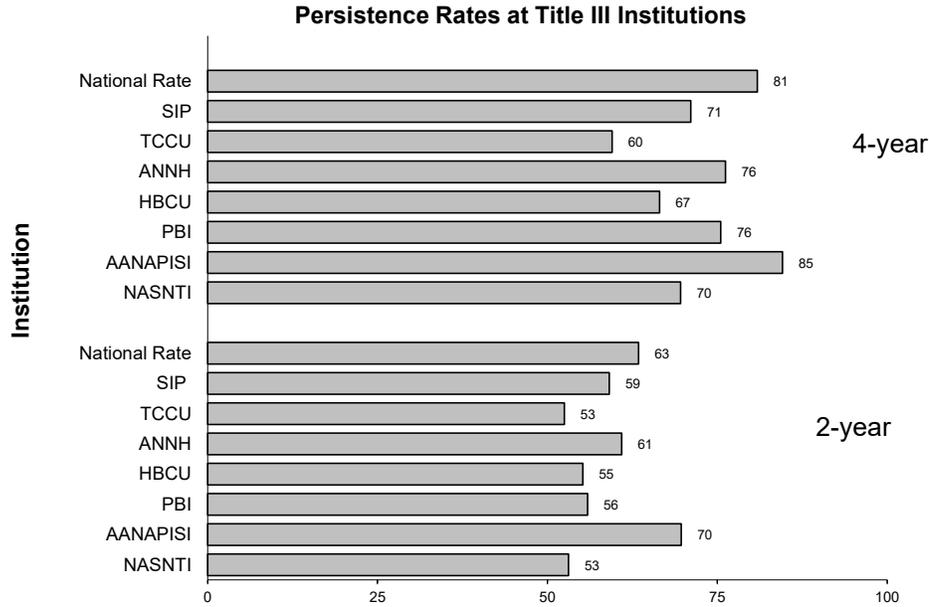
This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the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

The Department 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 graduation outcomes. All national persistence and graduation rates reflected below are estimates based on data from NCES/Integrated are Postsecondary Education Data

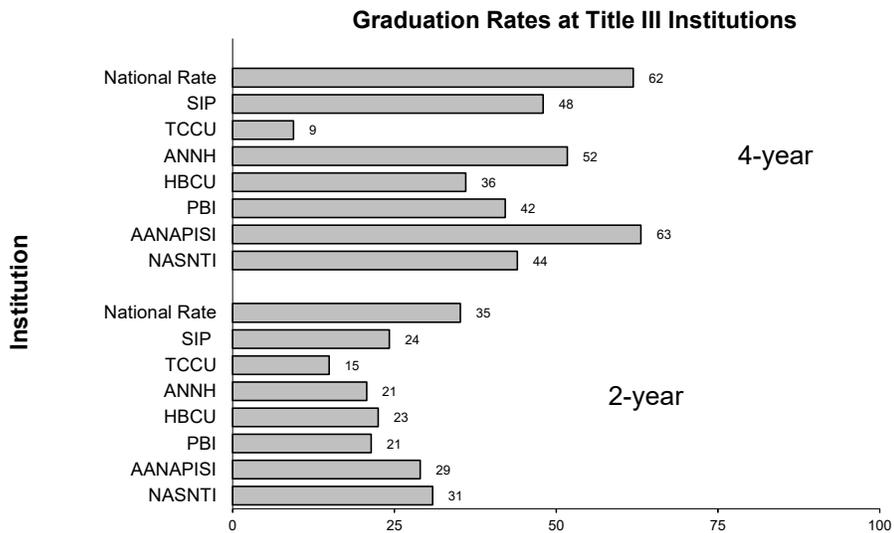
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Systems (IPEDS) and subject to minor changes. IPEDS data reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.



2019 Persistence %



2018 Graduation %

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Additional information: AANAPISI grantee institutions had the highest persistence rates in 2019 for 4-year and 2-year Title III institutions (85 percent and 70 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—63 percent versus the national rate of 62 percent in 2018.

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 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 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 Measures: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
2016	74.5%	75.5%	62.5%	57.0%
2017	75.0	75.0	63.0	59.0
2018	75.0	72.0	63.0	60.0
2019	75.5	71.0	63.5	59.0
2020	75.5		63.5	
2021	75.5		63.5	

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Graduation Measures: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year SIP institutions graduating within 6 years and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	52.5%	49.5%	25.0%	21.0%
2017	53.0	46.0	25.0	23.0
2018	53.5	48.0	25.0	24.0
2019	53.5		25.0	
2020	53.5		25.0	
2021	53.5		25.0	

Additional information: Persistence at 4-year SIP institutions is 10 percentage points lower than persistence rates at all 4-year public and private institutions (81 percent), while the 2-year SIP persistence rate is 4.5 percentage points lower than the rate for all 2-year public and private schools nationally (63 percent).

The 4-year graduation rate targets are intended to gradually narrow the gap with the national rate of 62 percent. The 2-year SIP-grantee graduation rate is well short of the national rate of 35 percent. Persistence data for 2020 and graduation data for 2018-2019 will be available in December 2020.

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 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 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).

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

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Persistence Measures: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
2016	50.5%	56.0%	52.0%	43.0%
2017	51.0	55.5	53.0	47.0
2018	51.0	65.0	53.0	53.0
2019	51.5	59.5	53.5	52.5
2020	51.5		54.5	
2021	51.5		54.5	

Graduation Measures: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year TCCUs graduating within 6 years and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	17.0%	11.0%	28.0%	18.0%
2017	18.0	8.0	28.5	14.5
2018	18.0	9.5	28.5	15.0
2019	18.5		28.5	
2020	18.5		28.5	
2021	18.5		28.5	

Additional information: Graduation data for 2018-2019 will be available in December 2020.

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 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 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.

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Persistence Measures: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
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	76.0	71.5	61.0
2020	78.0		71.5	
2021	78.0		71.5	

Graduation Measures: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year ANNH institutions who graduate within 6 years and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	47.5%	50.0%	16.5%	17.0%
2017	48.0	52.0	16.5	19.0
2018	48.0	52.0	16.5	21.0
2019	48.5		17.0	
2020	48.5		17.0	
2021	49.0		17.5	

Additional information: Graduation rates at 4-year and 2-year ANNH-grantee institutions exceeded the targets set for 2018; yet both rates fall short of the national graduation rate. Graduation data for 2018-2019 will be available in December 2020.

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 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 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 Measures: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
2016	69.5%	66.0%	57.5%	50.0%
2017	70.0	66.0	58.0	57.0
2018	70.0	66.0	58.0	55.0
2019	70.5	66.5	58.5	55.0
2020	70.5		58.5	
2021	70.5		58.5	

Graduation Measures: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year HBCUs graduating within 6 years and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	40.0%	33.0%	17.5%	18.0%
2017	41.0	35.0	18.0	22.0
2018	41.0	36.0	18.5	22.5
2019	41.5		19.0	
2020	41.5		19.0	
2021	41.4		19.0	

Additional information: The 2019 HBCU persistence rates lag behind the national rates for both 4-year (81 percent) and 2-year institutions (63 percent). Persistence data for 2020 and graduation data for 2018-2019 will be available December 2020.

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	

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

Year	Target	Actual
2016	6,800	7,258
2017	6,900	7,215
2018	7,000	7,601
2019	7,100	
2020	7,000	
2021	6,900	

Additional information: 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. 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. 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 2019 will be available in December 2020.

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.

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Persistence Measures: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
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	75.5	56.0	56.0
2020	74.0		56.0	
2021	75.0		56.0	

Graduation Measures: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year PBIs who graduate within 6 years and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	30.0%	40.0%	14.0%	18.5%
2017	30.5	39.0	14.5	22.0
2018	30.5	42.0	14.5	21.5
2019	31.0		15.0	
2020	31.0		15.0	
2021	31.5		16.0	

Additional information: Data are for both the discretion and mandatory PBI programs. The persistence rates at 4-year PBIs exceeded the target set for 2019 by 1.5 percentage points but lags behind the national 2019 persistence rate by 6 percentage points. Persistence data for 2019 and graduation data for 2018-2019 will be available in December 2020.

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.

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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 Measures: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
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	85.0	71.5	70.0
2020	82.0		72.0	
2021	82.0		72.0	

Graduation Measures: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year AANAPISIs who graduate within 6 years and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	49.5%	62.0%	23.0%	25.0%
2017	49.5	62.0	23.5	27.0
2018	50.0	63.0	23.5	29.0
2019	50.0		24.0	
2020	50.5		24.0	
2021	50.5		24.5	

Additional information: The performance rate of AANAPISI-grantee institutions not only exceeded the 2019 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 (62 percent) by 1 percentage point.

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

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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 Measures: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
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	69.5	54.0	53.0
2020	73.5		54.0	
2021	73.5		54.0	

Graduation Measures: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year NASNTIs who graduate within 6 years and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	34.5%	40.0%	21.0%	28.0%
2017	35.0	42.0	21.5	29.0
2018	35.0	44.0	21.5	31.0
2019	35.5		22.0	
2020	35.5		22.0	
2021	40.0		22.5	

Additional information: The 2-year persistence rate at NASNTI-grantee institutions exceeded the target set for 2019 and is comparable to the 2-year persistence rate at HBCUs (55 percent) and PBIs (56 percent). Persistence data for 2020 and graduation data for 2018-2019 will be available in December 2020.

MSEIP Performance Measures

The Department believes that the current measures of enrollment and graduation for the MSEIP program may be unreliable or inconsistent due to the challenges of collecting data by field of study. As an alternative, the Department used IPEDS data to determine whether the

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percentage of bachelor's degrees conferred that were in STEM fields increased between 2005 and 2014. Specifically, data examined were:

- 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. Both discretionary and mandatory funding are included in the calculation of the measures and targets for 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
2016	\$415	\$470
2017	410	434
2018	405	447
2019	400	
2020	395	

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

Year	Target	Actual
2016	\$32,550	\$20,697
2017	32,500	21,769
2018	28,500	22,907
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
2016	\$2,700	\$2,329
2017	2,675	2,296
2018	2,400	1,609
2019	2,225	
2020	2,200	

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

Year	Target	Actual
2016	\$7,190	\$6,702
2017	7,115	5,834
2018	7,000	7,601
2019	6,900	
2020	6,800	

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

Year	Target	Actual
2016	\$9,068	\$8,719
2017	8,975	10,023
2018	8,900	10,179
2019	8,825	
2020	8,750	

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

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

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

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

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

Year	Target	Actual
2016	\$995	\$490
2017	985	536
2018	550	476
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 2018 on all but 4 Title III programs (SIP, HBCUs, HBGIs, and PBIs).

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

(dollars in thousands)

FY 2021 Authorization: To be determined (discretionary)¹; 0 (mandatory)²

Budget Authority:

	<u>2020</u> <u>Appropriation</u>	<u>2021</u> <u>Request</u>	<u>Change from</u> <u>2020 to 2021</u>
Developing Hispanic-serving Institutions (discretionary) (HEA V-A)	\$143,081	0 ³	-\$143,081
Promoting Postbaccalaureate Opportunities for Hispanic Americans (discretionary) (HEA V-B)	12,838	0 ³	-12,838
Developing Hispanic-serving Institutions Science, Technology, Engineering, and Mathematics and Articulation (mandatory) (HEA III-F)	<u>94,100</u>	<u>0⁴</u>	<u>-94,100</u>
Total	250,019	0	-250,019
Discretionary	155,919	0	-155,919
Mandatory	94,100	0	-94,100

¹ The GEPA extension expired September 30, 2015; no appropriations language or reauthorizing legislation is sought for fiscal year 2021.

² Mandatory appropriations provided under Title III, Part F, Section 371 of the HEA; these funds are, therefore, not part of the appropriations or budget request. The 2020 levels for mandatory programs have been reduced by 5.9 percent which became effective on October 1, 2019, pursuant to the Budget Control Act of 2011 (P.L. 112-25). The \$100 million fiscal year 2021 authorization of mandatory funds is reflected under the Consolidated MSI Grant request found elsewhere in this account.

³ This program is part of the Administration's Consolidated MSI Grant proposal for fiscal year 2021.

⁴ The Administration is proposing to redirect these mandatory funds, available in fiscal year 2021 from the fiscal year 2020 appropriation, to the proposed Consolidated MSI Grant.

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PROGRAM DESCRIPTION

The Developing Hispanic-serving Institutions program, authorized under Title V of the Higher Education Act (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) enroll a significant percentage of financially needy students, as measured by Pell Grant status or receipt of other Title IV need-based aid; and (3) have an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic.

The program makes (1) individual development grants to help institutions address unique challenges to building capacity and improving performance and (2) 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.

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-based 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 Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA) program, authorized under Title V of the 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.

Authorized activities include: purchasing, renting, or leasing scientific or laboratory equipment used for educational purposes; construction, maintenance, renovation and facilities improvement, including telecommunications; purchasing library books, periodicals, journals, and other educational materials, including telecommunications program materials; supporting

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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-based or other distance education technologies; and collaboration with other IHEs to expand postbaccalaureate offerings.

The HSI STEM and Articulation Program, authorized under Title III, Part F of the HEA and funded through mandatory appropriations, 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.

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

Fiscal Year	(dollars in thousands)
2016.....	\$210,666 ¹
2017.....	210,566 ²
2018.....	227,635 ³
2019.....	229,378 ⁴
2020.....	250,019 ⁵

¹ Includes \$93,200 thousand in mandatory funds provided under the HEA.

² Includes \$93,100 thousand in mandatory funds provided under the HEA.

³ Includes \$93,400 thousand in mandatory funds provided under the HEA.

⁴ Includes \$93,800 thousand in mandatory funds provided under the HEA.

⁵ Includes \$94,100 thousand in mandatory funds provided under the HEA.

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration does not include separate funding under Aid for Hispanic-serving Institutions because its two discretionary and one mandatory funding authorities are included in the Administration's proposal to consolidate 11 existing Title III and V funding authorities into a single, new \$336.3 million institutional formula grant program. 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, promoting fiscal restraint, and enabling the Department to re-allocate limited staff resources from competition-related activities to grant monitoring and performance improvement. Under this proposal, the Administration would seek appropriations language to redirect, mandatory funds authorized by the FUTURE ACT, available in fiscal year 2021 from the fiscal year 2020 appropriation for the HSI STEM and Articulation programs, ANNH, PBI, AANAPISI, and NASNTI programs to the Consolidated MSI Grant. Also, during the transition to the Consolidated MSI Grant, the Department would reserve sufficient funds to pay continuation awards to current Developing HSIs and PPOHA grantees through the end of their project periods. More information is available in the request for the Consolidated MSI Grant program.

HIGHER EDUCATION

Aid for Hispanic-serving institutions

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Developing HSIs			
Number of new awards	45	125	0
Average new award	\$566	\$550	0
Total new award funding	\$25,492	\$69,158	0
Number of NCC awards	181	129	0
Average NCC award	\$545	\$568	0
Total NCC award funding	\$98,569	\$73,248	0
Peer review of new award applications	\$303	\$675	0
Total award funding	\$124,061	\$142,406	0
Total award funding	266	254	0
Promoting Postbaccalaureate Opportunities for Hispanic Americans			
Number of new awards	20	3	0
Average new award	\$547	\$541	0
Total new award funding	\$10,948	\$1,624	0
Number of NCC awards	0	20	0
Average NCC award	0	\$561	0
Total NCC award funding	0	\$11,214	0
Peer review of new award applications	\$92	0	0
Total program funding	\$11,040	\$12,838	0

NOTE: Continuation costs of approximately \$139,172 thousand would be provided under the fiscal year 2021 request for the Consolidated MSI Grant.

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Aid for Hispanic-serving institutions

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
HSI STEM and Articulation Programs			
Mandatory funding:			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$187,200	\$187,900	0
Number of new awards	0	0	0
Average new award	0	0	0
Total new award funding	0	0	0
Number of NCC awards	91	91	0
Average NCC award	\$993	\$1,008	0
Total NCC award funding	\$90,341	\$91,773	0
Supplements	\$2,690	\$2,027	0
Peer review of new award applications	0	0	0
Total unobligated funding	\$369	0	0
Total program funding	\$93,400	\$93,800	0
Mandatory (Section 371) estimated carryover (mandatory funds remaining at the end of the fiscal year)	\$93,800	\$94,100	0

NOTE: Total mandatory funding shown for each year includes carryover funds from prior year. Actual appropriations for a given year are shown in the "Total program funding" line. Information for fiscal year 2021 may be found elsewhere in this account under the justification for the proposed Consolidated MSI Grant program.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, 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 Federal resources provided for this program as well as the resources and efforts invested by those served by the program.

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

Objective: 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
2018	+1.3%	-4.9%
2023	+1.1	

Additional Information: This measure uses fall enrollment data from the National Center for Education Statistics (NCES) Integrated Postsecondary Education Data Systems (IPEDS) and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. In this case, 2018 enrollment was compared to 2013 enrollment. The 2023 target is based on NCES projections for the change in total undergraduate enrollment at degree-granting institutions between 2018 and 2023.

HSI Persistence Measure: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
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	79.5	66.5	65.6
2020	79.0		66.5	
2021	80.0		70.0	

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HSI Graduation Measure: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year HSI grantees graduating within 6 years of enrollment and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	46.5%	47.1%	22.5%	22.5%
2017	47.0	53.3	23.0	23.8
2018	47.0	54.4	23.0	26.4
2019	47.5		23.5	
2020	47.5		23.5	
2021	50.0		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.

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
2018	+0.9%	-3.8%
2023	+2.8	

Additional Information: This measure uses NCES/IPEDS fall enrollment data and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. In this case, 2018 enrollment was compared to 2013 enrollment. The 2023 target is based on NCES projections for the change in total post baccalaureate enrollment at degree-granting institutions between 2018 and 2023.

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
2018	+3.2%	+3.3%
2023	+3.0	

Additional Information: This measure uses NCES/IPEDS data to track graduate degree and certificate completion. In this case, 2018 completion rates were compared to rates at the same institutions in 2013. The 2023 target is based on NCES projections for the growth in graduate degrees and certificates conferred between 2018 and 2023.

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Aid for Hispanic-serving institutions

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: This measure uses NCES/IPEDS fall enrollment data and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. In this case, 2016 enrollment was compared to 2011 enrollment. The 2021 target is based on NCES projections for the change in total undergraduate enrollment at degree-granting institutions between 2016 and 2021.

HSI STEM Persistence Measure: The percentage of first-time, full-time degree-seeking undergraduate students at 4-year and 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
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	80.3	66.5	65.3
2020	79.5		67.0	
2021	80.0		67.0	

HSI STEM Graduation Measure: The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year and 2-year HSI grantee institutions graduating within 6 years of enrollment and 3 years of enrollment, respectively.

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2016	46.5%	52.7%	22.5%	23.7%
2017	47.0	52.8	23.0	25.6
2018	47.0	55.2	23.0	27.4
2019	47.5		23.5	
2020	48.0		24.0	
2021	48.5		24.5	

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.

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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
2016	\$1,235	\$353
2017	1,220	317
2018	500	344
2019	500	
2020	475	
2021	425	

Additional Information: The Developing Hispanic-serving Institutions efficiency measure is calculated by dividing the amount awarded under 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 2012-2017 was significantly lower than the established targets, the Department revised its targets, beginning in 2018, to more accurately reflect actual performance.

PPOHA: Cost per successful outcome: Federal cost per master's, doctoral and first-professional degree and postbaccalaureate certificate at HSI grantee institutions.

Year	Target	Actual
2016	\$650	\$553
2017	625	550
2018	600	689
2019	575	
2020	550	
2021	525	

Additional Information: The PPOHA efficiency measure is calculated by dividing the amount awarded under the PPOHA program by the number of graduate degrees and certificates awarded at grantee institutions. In fiscal year 2018, when PPOHA obligations totaled \$10.9 million, grantee institutions awarded 15,886 graduate degrees and certificates.

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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
2016	\$610	\$472
2017	600	474
2018	590	427
2019	580	
2020	570	
2021	560	

Additional Information: The HSI STEM efficiency measure is calculated by dividing the amount awarded under the HSI STEM program by the number of undergraduate and graduate degrees awarded at grantee institutions. In fiscal year 2018, when HSI STEM obligations totaled \$93 million, grantee institutions awarded 217,731 undergraduate and graduate degrees.

HIGHER EDUCATION

Consolidated Minority-Serving Institutions Grant

(Proposed Legislation)

(dollars in thousands)

FY 2021 Authorization: To be determined (discretionary)¹; \$140,000 (mandatory)²

Budget Authority:

	<u>2020</u> <u>Appropriation</u>	<u>2021</u> <u>Request</u>	<u>Change from</u> <u>2020 to 2021</u>
Discretionary	0	\$196,324	+\$196,324
Mandatory (Part F, Section 371):	0 ²	<u>\$140,000</u>	<u>+140,000</u>
Total, Consolidated MSI Grant program	0	336,324	336,324

¹ Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through 2019. In December 2019, the President signed Public Law 116-91, Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) Act providing permanent mandatory appropriations for HBCUs and other minority-serving institutions under Part F of Title III of the Higher Education Act of 1965 (133 Stat. 1189).

² Mandatory funding for fiscal year 2020 is authorized under the Aid for Institutional Development programs and the Aid for Hispanic-Serving Institutions programs. The Administration is proposing to redirect these mandatory funds to the Consolidated MSI Grant program.

PROGRAM DESCRIPTION

The Consolidated Minority-Serving Institutions (MSI) Grant program would provide formula-based funding to MSIs to develop and implement projects to improve and expand the institutions' capacity to serve minority and low-income students. Under the proposal, Consolidated MSI Grant funding would be allocated using a formula that would take into consideration factors such as the number of Pell Grant recipients enrolled and 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 11 different Title III and Title V funding authorities.

For fiscal year 2020, the Administration proposed to consolidate the following six discretionary authorities into the Consolidated MSI Grant proposal:

- 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)

HIGHER EDUCATION

Consolidated minority-serving institutions grant

For fiscal year 2021, the Administration proposes to add the following five mandatory authorities to the Consolidated MSI Grant proposal.

- 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)
- Hispanic-Serving Institutions STEM and Articulation Programs (HSI-STEM)

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.

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests \$196.3 million in discretionary funding for the proposed Consolidated MSI Grant program, the same as the 2020 Request level for the six antecedent discretionary programs. In addition, the Administration would seek appropriations language to redirect, mandatory funds authorized by the FUTURE ACT, available in fiscal year 2021 from the fiscal year 2020 appropriation for the ANNH, PBI, AANAPISI, NASNTI, and HSI-STEM and Articulation programs to the proposed Consolidated MSI Grant program. The combined budget authority for discretionary and mandatory funding in fiscal year 2021 would be \$336.3 million. The new program would consolidate discretionary and mandatory programs currently authorized in Titles III and V of the HEA into a single institutional formula grant program. Fiscal year 2021 funds would first be used to fully pay all continuation awards to existing grantees under the consolidated grant 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 Title III and V grant 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)
- Hispanic-Serving Institutions STEM and Articulation Programs (HSI-STEM)

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Consolidated minority-serving institutions grant

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 take into account the number of Pell Grant recipients enrolled and 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 eligibility for funding. The consolidated program would retain the wide range of allowable activities currently authorized by the HEA for the antecedent 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.

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 0.5 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>2021</u>
<u>Consolidated MSI Grant Allocation</u>	
Total new award discretionary funding	\$31,309
Total new award mandatory funding (fiscal year 2020 mandatory funds carried over into fiscal year 2021)	<u>131,740</u> ¹
Total available for formula allocations in fiscal year 2021	\$163,049
Strengthening ANNHs (discretionary)	
Number of NCC awards	41
Average NCC award	\$414
Total NCC award funding	\$16,955
Strengthening AANAPISIs (discretionary)	
Number of NCC awards	12
Average NCC award	\$370
Total NCC award funding	\$4,444
Strengthening NASNTIs (discretionary)	
Number of NCC awards	12
Average NCC award	\$370
Total NCC award funding	\$4,444

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Consolidated minority-serving institutions grant

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2021</u>
Developing Hispanic-Serving Institutions (discretionary)	
Number of NCC awards	224
Average NCC award	\$563
Total NCC award funding	\$126,001
Promoting Postbaccalaureate Opportunities for Hispanic Americans (discretionary)	
Number of NCC awards	23
Average NCC award	\$573
Total NCC award funding	\$13,171
Total, NCC award funding	\$165,015

¹ An additional \$140 million in mandatory funds appropriated in fiscal year 2021 would be carried over for obligation in fiscal year 2022. Information for fiscal years 2019 and 2020 can be found in the Program Output Measures tables for the Aid for Institutional Development programs and the Developing Hispanic-Serving Institutions congressional justifications.

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 on the measures used for the antecedent programs.

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

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

(dollars in thousands)

FY 2021 Authorization: 0¹

Budget Authority:

<u>2020</u> <u>Appropriation</u>	<u>2021</u> <u>Request</u>	<u>Change from</u> <u>2020 to 2021</u>
\$68,103	0	-\$68,103

¹ The GEPA extension expired September 30, 2015; no appropriations or reauthorizing legislation is sought for fiscal year 2021.

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 10 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 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

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International education and foreign language studies: Domestic programs

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.

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.

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International education and foreign language studies: Domestic programs

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 languages 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; and how the applicant will encourage service in “areas of national need,” as identified by the Department.

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; (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

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

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.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2016	\$65,103
2017	65,103
2018	65,103
2019	65,103
2020	68,103

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International education and foreign language studies: Domestic programs

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests no funding for the Title VI Domestic Programs, \$68.1 million less than the fiscal year 2020 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 which 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 which 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 which 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 which 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) which 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.
- 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.

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
National Resource Centers (NRC) Program:			
Number of new awards	0	2	0
Average new award	0	\$210	0
Total new award funding	0	\$420	0
Number of NCC awards	96	96	0
Average NCC award	\$237	\$237	0
Total NCC award funding	\$22,743	\$22,743	0
Total award funding	\$22,743	\$23,163	0
Total number of awards	96	98	0
Foreign Language and Area Studies (FLAS) Fellowships:			
Academic year graduate fellowships	673	677	0
Average academic year fellowship	\$33	\$33	0
Academic year undergraduate fellowships	291	298	0
Average academic year fellowship	\$15	\$15	0
Summer fellowships	534	534	0
Average summer year fellowship	\$8	\$8	0
Number of new awards	0	4	0
Average new award	0	\$187	0
Total new award funding	0	\$747	0
Number of NCC awards	106	106	0
Average NCC award	\$286	\$286	0
Total NCC award funding	\$30,343	\$30,343	0
Total award funding	\$30,343	\$31,090	0
Total number of awards	106	110	0
Undergraduate International Studies and Foreign Language (USIFL) Program:			
Number of new awards	0	24	0
Average new award	0	\$105	0
Total new award funding	0	\$2,529	0
Number of NCC awards	26	10	0
Average NCC award	\$110	\$103	0
Total NCC award funding	\$2,863	\$1,034	0
Total award funding	\$2,863	\$3,563	0
Total number of awards	26	34	0

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
International Research and Studies (IRS) Program:			
Number of new awards	0	9	0
Average new award	0	\$111	0
Total new award funding	0	\$1,000	0
Number of NCC awards	8	0	0
Average NCC award	\$89	0	0
Total NCC award funding	\$712	0	0
Total award funding	\$712	\$1,000	0
Total number of awards	8	9	0
Centers for International Business Education (CIBE):			
Number of new awards	0	1	0
Average new award	0	\$300	0
Total new award funding	0	\$300	0
Number of NCC awards	15	15	0
Average NCC award	\$305	\$305	0
Total NCC award funding	\$4,571	\$4,571	0
Total award funding	\$4,571	\$4,871	0
Total number of awards	15	16	0
Language Resource Centers (LRC) Program:			
Number of NCC awards	0	1	0
Average NCC award	0	\$165	0
Total NCC award funding	0	\$165	0
Number of NCC awards	16	16	0
Average NCC award	\$172	\$172	0
Total NCC award funding	\$2,747	\$2,747	0
Total award funding	\$2,747	\$2,912	0
Total number of awards	16	17	0

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
American Overseas Research Centers (AORC) Program:			
Number of new awards	0	15	0
Average new award	0	\$67	0
Total new award funding	0	\$1,000	0
Number of NCC awards	10	0	0
Average NCC award	\$65	0	0
Total NCC award funding	\$650	0	0
Total award funding	\$650	\$1,000	0
Total number of awards	10	15	0
Total award funding:			
Total new award funding	0	\$6,161	0
Total NCC award funding	\$64,629	\$61,438	0
Program evaluation, national outreach, and information dissemination			
	\$474	\$388	0
Peer review of new award applications			
	0	\$116	0
Total Domestic funding			
	\$65,103	\$68,103	0
Total Domestic awards			
	277	299	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. The Department has not established targets for 2021 because the request does not include funding for this program.

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

Objective: Provide grants to 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.

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

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		
2020		

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 that number by 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 2020.

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		
2020		

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 that figure by the total number of priority languages defined by the Department. In 2017, NRC grantees taught intermediate or advanced courses in 40 of the 78 priority languages. The Department plans to establish targets after 2018 data become available in summer 2020.

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

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		
2020		

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 that figure by the total of least commonly taught languages defined by the Department. 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 2020.

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		
2020		

Additional information: The measure is created by taking the total master's and doctorate fellows who are studying a priority language and dividing that 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 2020.

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

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		

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. The 80 percent reported for 2014 includes 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.

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 IEFLS 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 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/ope/iegps/2017ifleanualreport.pdf>.

- 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.

HIGHER EDUCATION

International education and foreign language studies: Domestic programs

- 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 2020. The survey 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.

HIGHER EDUCATION

International education and foreign language studies: Overseas programs

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

(dollars in thousands)

FY 2021 Authorization: Indefinite

Budget Authority:

	2020 <u>Appropriation</u>	2021 <u>Request</u>	Change from <u>2020 to 2021</u>
	\$8,061	0	-\$8,061

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 except for 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 apart from 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 except for 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 except for Western Europe.

IEFLS Overseas 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 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)
2016	\$7,061
2017	7,061
2018	7,061
2019	7,061
2020	8,061

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests no funding for the Overseas Programs, \$8 million less than the fiscal year 2020 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 support activities similar to those funded under 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.

There also 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.

HIGHER EDUCATION

International education and foreign language studies: Overseas programs

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Group Projects Abroad:			
Short-Term Projects:			
Number of new projects	16	16	0
Average new project	\$95	\$67	0
Total new project funding	\$1,516	\$1,064	0
Advanced Overseas Projects:			
Number of new projects	5	4	0
Average new project	\$231	\$266	0
Total new project funding	\$1,155	\$1,064	0
Number of NCC projects	0	5	0
Average NCC project	0	\$231	0
Total NCC project funding	0	\$1,154	0
Total project funding	\$2,671	\$3,282	0
Total number of GPA projects	21	25	0
Total number of GPA participants	260	300	0
Doctoral Dissertation Research Abroad:			
Number of new fellows	95	108	0
Average new fellowship	\$37	\$37	0
Number of new awards	41	47	0
Average new award	\$86	\$85	0
Total new award funding	\$3,529	\$4,000	0
Seminars Abroad—Special Bilateral Projects:			
Number of new awards	3	3	0
Average new award	\$177	\$147	0
Total new award funding	\$532	\$440	0
Total number of participants	48	48	0
Department of State administrative costs	\$200	\$200	0
Program evaluation, national outreach, and information dissemination	\$58	\$58	0
Peer review of new award applications	\$71	\$81	0
Total Overseas funding	\$7,061	\$8,061	0
Total Overseas participants	403	456	0

HIGHER EDUCATION

International education and foreign language studies: Overseas programs

PROGRAM PERFORMANCE INFORMATION

Performance Measures

The Department established program performance measures for the Overseas Programs to improve the quality of program-level outcome data and increase transparency and accountability for the programs. Planned measures include the following:

- 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).

Data will be based on pre- and post-grant scores on standardized instructor-led examinations. 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. Initial (baseline) data are expected to be available in 2021.

Efficiency Measures

- The Department also developed the following efficiency measures for the Overseas Programs. Data will be collected from grantee institutions via their performance reports; initial (baseline) data are expected to be available in 2021.
- 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 IEFLS 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 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/ope/iegps/2017ifleanualreport.pdf>.

HIGHER EDUCATION

International education and foreign language studies: Overseas programs

- 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

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 2021 Authorization: To be determined¹

Budget Authority:

	<u>2020 Appropriation</u>	<u>2021 Request</u>	<u>Change from 2020 to 2021</u>
	\$11,800	\$11,800	0

¹ The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2021.

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. 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)
2016.....	\$11,800
2017.....	11,800
2018.....	11,800
2019.....	11,800
2020.....	11,800

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests \$11.8 million for TPSID, the same as the fiscal year 2020 appropriation. Funds appropriated in fiscal year 2021 would support continuations for 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 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, 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 grantee 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 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>2019</u>	<u>2020</u>	<u>2021</u>
Number of new awards	0	25	0
Average new award	0	\$388	0
Total new award funding	0	\$9,700	0
Number of non-competing continuation (NCC) awards	25	0	25
Average NCC award	\$392	0	\$392
Total NCC award funding	\$9,800	0	\$9,800
Coordinating Center	\$2,000	\$2,000	\$2,000
Peer review of new award applications	0	\$100	0
Total	\$11,800	\$11,800	\$11,800

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 Federal resources provided for this program as well as the resources and efforts invested by those served by the 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.*

HIGHER EDUCATION

Model transition programs for students with intellectual disabilities into higher education

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.

Year	Target	Actual
2016	85%	72%
2017	85	75
2018	85	77
2019	85	
2020	85	
2021	85	

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, 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	
2021	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

Tribally controlled postsecondary career and technical institutions

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

(dollars in thousands)

FY 2021 Authorization: \$10,038

Budget Authority:

<u>2020 Appropriation</u>	<u>2021 Request</u>	<u>Change from 2020 to 2021</u>
\$10,000	\$10,000	0

PROGRAM DESCRIPTION

This program makes grants to tribally controlled postsecondary career and technical institutions to provide career and technical education to Indian students. In order to be eligible for a grant, a tribally controlled postsecondary career and technical institution must:

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

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

HIGHER EDUCATION

Tribally controlled postsecondary career and technical institutions

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2016	\$8,286
2017	8,286
2018	9,469
2019	9,564
2020	10,000

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests \$10 million for the Tribally Controlled Postsecondary Career and Technical Institutions (TCPCTI) program, the same as the fiscal year 2020 appropriation. 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 amended, and for institutional support and capital expenditures.

This program currently makes awards to two institutions: Navajo Technical University (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.

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Range of awards	\$2,375-\$7,183	\$2,485-\$7,515	\$2,485-\$7,515
Number of awards	2	2	2

HIGHER EDUCATION

Tribally controlled postsecondary career and technical institutions

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 Federal resources provided for the program as well as the resources and efforts invested by those served by the program.

In 2019, the Department adopted new performance measures focused on persistence and graduation. The new measures are:

- (1) Percent of full-time, first-time degree or certificate-seeking American Indian or Alaska Native undergraduates who graduated within 150 percent of the normal time to program completion;
- (2) Percent of full-time, first-time degree or certificate-seeking undergraduates who, within 8 years of first enrolling, received a postsecondary award from the institution, remain enrolled at the institution, or who subsequently enrolled at another institution;
- (3) Percent of part-time, first-time degree or certificate-seeking undergraduates who, within 8 years of first enrolling, received a degree or certificate from the institution, remain enrolled at the institution, or who subsequently enrolled at another institution;
- (4) Percent of full-time, non-first-time degree or certificate-seeking undergraduates who, within 8 years of first enrolling, received a degree or certificate from the institution, remain enrolled at the institution, or who subsequently enrolled at another institution; and
- (5) Percent of part-time, non-first-time degree or certificate-seeking undergraduates who, within 8 years of first enrolling, received a degree or certificate from the institution, remain enrolled at the institution, or who subsequently enrolled at another institution.

The source of the data will be the Integrated Postsecondary Education Data System (IPEDS), which is maintained by the National Center for Education Statistics. Using the IPEDS as the data source reduces burden on the grantees, as they will not have to collect, aggregate, and report data separately for the TCPCTI program. The Department expects to start reporting on the new measures in fiscal year 2021.

The data shown below are for the previous measures and are no longer being used. The final data collected for these measures are reflected in 2018 in the tables below.

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Tribally controlled postsecondary career and technical institutions

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

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

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

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2015	90%	83%	58%	42%
2016	95	76	60	42
2017	88	99	62	26
2018	88	99	62	28

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.

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	66	58	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.

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Tribally controlled postsecondary career and technical institutions

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	70	76	95

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.

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	74	79	89

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.

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Tribally controlled postsecondary career and technical institutions

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.

Measure: Annual cost per participant (whole dollars).

Year	Cost per participant, Navajo Tech	Cost per participant, UTTC
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
2018	4,897	4,365

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 2019 will be available by the fall of 2020. Note that the validity of the student count data provided by the recipients is uncertain.

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

(dollars in thousands)

FY 2021 Authorization: To be determined¹

Budget Authority:

<u>2020</u> <u>Appropriation</u>	<u>2021</u> <u>Request</u>	<u>Change from</u> <u>2020 to 2021</u>
\$1,090,000	\$950,000	-\$140,000

¹ The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2021.

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 Upward Bound Math and Science and Veterans Upward Bound) and Student Support Services, which together accounted for over 70 percent of all TRIO funding in 2019, 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 \$9,544 for the McNair program to a low of \$280 for the Educational Opportunity Centers. Most projects are located at 2- and 4-year postsecondary

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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 2019)

Award Type	Number of Participants	Average number of participants per project	Federal cost per participant
Talent Search	309,905	655	\$580
Upward Bound	70,744	73	4,854
Upward Bound Math and Science	13,184	62	4,818
Veterans Upward Bound	8,157	132	2,337
Educational Opportunity Centers	193,530	1,382	280
Student Support Services	202,225	190	1,667
McNair	5,242	28	9,544

Percentage of Funds by Institution Type (FY 2019)

Institution Type	Talent Search	Upward Bound ¹	Educational Opportunity Centers	Student Support Services	McNair
Postsecondary Institutions					
Public, 4-year	45.5%	49.4%	45.1%	43.1%	73.8%
Public, 2-year	26.9	24.8	25.8	44.4	0.0
Private, 4-year	9.6	15.3	5.1	11.6	25.8
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	82.0	89.6	76.0	99.4	99.6
Other organizations²	<u>18.0</u>	<u>10.4</u>	<u>24.0</u>	<u>0.6</u>	<u>0.4</u>
Total	100.0	100.0	100.0	100.0	100.0

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

² 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.

TRIO funding also supports Staff Training grants which provide 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 out-of-school youth.

Funding is also provided for Evaluation activities designed to help 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)
2016.....	\$900,000
2017	950,000
2018.....	1,010,000
2019	1,060,000
2020	1,090,000

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests \$950 million for the Federal TRIO programs, \$140 million less than the fiscal year 2020 appropriation. The Request continues to call for the transformation of the TRIO programs from a complex and difficult to administer set of Federal competitive grant programs to a formula-driven Student Supports Block Grant to States that would support activities—including those currently authorized through TRIO, Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) and the College Assistance Migrant Program (CAMP)—that help low-income and other disadvantaged students progress through the academic pipeline from middle school through postsecondary education.

The proposed Student Supports Block Grant to States supports a number of the Administration's most important objectives in rightsizing the Federal role in education, including reducing duplication in Federal education programs, streamlining program administration, reducing burden for grantees, re-allocating limited Federal staff resources and expertise from competition-related activities to grant monitoring and performance improvement, and promoting

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the fiscal restraint needed to provide strong support for national defense and public safety while reducing the Federal budget deficit. Just as important, this proposal would give States, which are in the best position to understand the postsecondary transition and support needs of their students and institutions, flexibility to allocate TRIO resources to those activities most likely to improve postsecondary access and outcomes for their students.

States would be responsible for determining how to allocate TRIO dollars among currently authorized TRIO, GEAR UP, and CAMP activities, as well as other activities that best meet the needs of their eligible students. 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 take into account prior experience in making subgrants 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).

The Department would work with Congress to develop the details of proposed State formula grant allocations but anticipates using such criteria 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 TRIO 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 the 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 TRIO 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. In fiscal year 2021, most TRIO funds would be used to fully fund fiscal year 2021 continuation awards.

Finally, improving our understanding of the TRIO programs through comprehensive, rigorous evaluation methods is essential for maximizing the success of the program and building the evidence base for effective practices and interventions that States can use in administering their formula grants. For this reason, the Department 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>	2019 <u>Funding</u>	2020 <u>Funding</u>	2021 <u>Request</u>	2019 <u>Awards</u>	2020 <u>Awards</u>	2021 <u>Awards</u>
Talent Search						
Continuation awards	\$165,400	\$170,034	\$16,005	473	473	38
STEM Supplements	<u>14,452</u>	<u>0</u>	<u>0</u>	<u>371</u>	<u>0</u>	<u>0</u>
Total	179,852	170,034	16,005	473	473	38
Upward Bound						
Continuation awards	343,357	353,317	353,317	967	967	967
STEM Supplements	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
Total	343,357	353,317	353,317	967	967	967
Upward Bound Math and Science						
Continuation awards	63,521	65,487	65,487	212	212	212
STEM Supplements	<u>754</u>	<u>0</u>	<u>0</u>	<u>19</u>	<u>0</u>	<u>0</u>
Total	64,275	65,487	65,487	212	212	212
Veterans Upward Bound						
Continuation awards	<u>19,064</u>	<u>19,751</u>	<u>19,751</u>	<u>62</u>	<u>62</u>	<u>62</u>
Total	19,064	19,751	19,751	62	62	62
Educational Opportunity Centers						
Continuation awards	<u>54,101</u>	<u>55,619</u>	<u>11,249</u>	<u>140</u>	<u>140</u>	<u>24</u>
Total	54,101	55,619	11,249	140	140	24
Student Support Services						
New awards	0	349,446	0	0	1,089	0
Continuation awards	<u>335,360</u>	<u>24,799</u>	<u>351,952</u>	<u>1,069</u>	<u>63</u>	<u>1,096</u>
Total	335,360	374,245	351,952	1,069	1,152	1,096
McNair Postbaccalaureate						
Continuation awards	<u>59,069</u>	<u>42,390</u>	<u>51,432</u>	<u>187</u>	<u>187</u>	<u>187</u>
Total	59,069	42,390	51,432	187	187	187
Staff Training						
New awards	0	\$3,307	0	0	12	0
Continuation awards	<u>\$3,217</u>	<u>0</u>	<u>\$3,307</u>	<u>12</u>	<u>0</u>	<u>12</u>
Total	3,217	3,307	3,307	12	12	12

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<u>Output Measures</u>	<u>2019 Funding</u>	<u>2020 Funding</u>	<u>2021 Request</u>	<u>2019 Awards</u>	<u>2020 Awards</u>	<u>2021 Awards</u>
Total awards						
Total new awards	0	352,753	0	0	1,101	0
Total continuation awards	1,043,089	731,397	872,500	3,122	2,104	2,598
STEM Supplements	15,206	0	0	390	0	0
State Formula Distribution	0	0	73,673	0	0	59
Evaluation	0	400	2,000	0	0	0
Administrative expenses:						
Peer review of new award applications	0	2,271	0			
Other expenses	<u>1,705</u>	<u>3,179</u>	<u>1,827</u>			
Total	1,705	5,450	1,827			
Total	1,060,000	1,090,000	950,000	3,122	3,205	2,657

In fiscal year 2019, the Department used most TRIO funds to support continuation awards to current grantees. With the funds remaining, the Department made a 4.5percent across-the-board award increase to all TRIO grantees and used \$15.2 million to provide 1-year supplements of approximately \$40,000 to 390 existing Talent Search and Upward Bound Math Science 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.

Similarly, in fiscal year 2020, the Department will use most of the funding to support continuation awards across all programs, allocating approximately \$30 million to provide a 2.81 percent across-the-board increase to all existing TRIO grantees. With the funds remaining, the Department is currently planning to make new awards for Student Support Services, increasing both the number and size of the awards, and Staff Training projects, consistent with Congressional directives.

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 Federal resources provided for the program as well as the resources and efforts invested by those served by the program.

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

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

Measure: The percentage of participants enrolling in college.

Year	Talent Search Target	Talent Search Actual	Upward Bound Target	Upward Bound Actual	Educational Opportunity Centers Target	Educational Opportunity Centers Actual
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	75.9	82.0	83.9	62.0	57.0
2019	81.0		82.5		62.0	
2020	81.0		84.0		62.0	
2021	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.

- 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.

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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
2016	37.5%	43.1%
2017	38.0	43.6
2018	38.5	45.1
2019	39.0	
2020	41.0	
2021	41.5	

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

Year	Target	Actual
2016	47.0%	55.9%
2017	49.0	56.9
2018	50.0	58.3
2019	51.0	
2020	53.0	
2021	54.0	

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 4-year grantee institutions who received a bachelor's degree (or an equivalent degree) from the same grantee institution within 6 years. In 2017–18, 58.3 percent of full-time, first-time freshmen from the 2012–13 cohort obtained a bachelor's degree or an equivalent degree from the same grantee institution within 6 years of entering college. For 2-year institutions in 2017-18, 45.1 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
2016	70.0%	68.7%	84.5%	84.4%
2017	71.0	68.1	85.0	80.6
2018	71.0	67.3	85.0	83.9
2019	71.0		85.0	
2020	71.0		85.0	
2021	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, 67.3 percent of McNair participants who graduated with their baccalaureate degree in 2015 had enrolled in graduate school by 2018. The persistence measure tracks the percentage

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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
2016	\$470	\$468	\$4,570	\$4,292	\$1,670	\$1,693
2017	465	524	4,555	4,422	1,660	1,694
2018	465	522	4,540	4,543	1,650	1,734
2019	460		4,525		1,640	
2020	460		4,510		1,640	
2021	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
2016	\$31,000	\$29,816
2017	30,000	26,301
2018	30,000	26,332
2019	30,000	
2020	30,000	
2021	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 Department'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/opepd/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.

HIGHER EDUCATION

Federal TRIO programs

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 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 the Spring of 2020. More information is available at the following link:

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

HIGHER EDUCATION

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 2021 Authorization: 0¹

Budget Authority:

<u>2020</u> <u>Appropriation</u>	<u>2021</u> <u>Request</u>	<u>Change from</u> <u>2020 to 2021</u>
\$365,000	0	-\$365,000

¹ The GEPA extension expired September 30, 2015; no reauthorizing legislation is sought for fiscal year 2021.

PROGRAM DESCRIPTION

Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) provides 6 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 such as exposure to college campuses and financial aid information and assistance. Funds also may support 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 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.

HIGHER EDUCATION

Gaining early awareness and readiness for undergraduate programs

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 7th 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 generally must 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 requirements, such as GEAR UP project participation and postsecondary enrollment. These scholarships are portable and may be used outside the State in which the GEAR UP program is located. States must provide all students served by the program with a personalized 21st Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college. Other authorized activities include 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 7th grade, in a school that has a 7th 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 7th grade, who reside in public housing. Partnerships must ensure that services will continue to be provided through the 12th grade. Partnerships may also provide scholarships. Partnerships must provide all students served by the program with a personalized 21st Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college.

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 the Department to use up to 0.75 percent of the funds appropriated to evaluate and improve the impact of GEAR UP activities.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2016.....	\$322,754
2017.....	339,754
2018.....	350,000
2019.....	360,000
2020.....	365,000

HIGHER EDUCATION

Gaining early awareness and readiness for undergraduate programs

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests no funding for GEAR UP, \$365 million less than the fiscal year 2020 appropriation. Many of the activities supported under GEAR UP duplicate those provided by the Federal TRIO programs, including Talent Search and Upward Bound, and could be continued under the Administration's proposal to transition the Federal TRIO Programs into a single Student Supports Block Grant Program to States. This grant program would support activities—including those authorized under GEAR UP and the College Assistance Migrant Program (CAMP)—to help low-income and other disadvantaged students progress through the academic pipeline from middle school through postsecondary education, which is discussed elsewhere in this account. In addition, States and school districts would have discretion to use Elementary and Secondary Education for the Disadvantaged Block Grant funds (see the Improving Elementary and Secondary Education account) to support postsecondary education exploration activities in middle and high schools, implement strategies to facilitate effective transitions for students from middle grades to high school and from high school to postsecondary education, and provide assistance in securing student loans or grants for postsecondary education. The proposed elimination of GEAR UP is consistent with the Administration's overall effort to eliminate duplicative programs and provide strong support for national defense and public safety while reducing the Federal budget deficit.

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
State Grants:			
Number of new awards	7	4	0
Average new award	\$4,334	\$3,260	0
Total new award funding	\$30,342	\$13,038	0
Number of continuation awards	32	38	0
Average continuation award	\$3,537	\$3,453	0
Total continuation award funding	\$113,171	\$131,210	0
Total award funding	\$143,513	\$144,248	0
Total number of awards	39	42	0
Partnership Grants:			
Number of new awards	0	3	0
Average new award	0	\$2,863	0
Total new award funding	0	\$8,589	0
Number of continuation awards	118	115	0
Average continuation award	\$1,833	\$1,827	0
Total continuation award funding	\$216,333	\$210,080	0

HIGHER EDUCATION

Gaining early awareness and readiness for undergraduate programs

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Total award funding	\$216,333	\$218,669	0
Total number of awards	118	118	0
Total award funding:			
Total new award funding	\$30,342	\$21,627	0
Total continuation award funding	\$329,504	\$341,290	0
Evaluation	0	\$700	0
Peer review of new award applications	\$40	0	0
Web data collection	\$114	\$183	0
Data Collection Supplements	0	\$1,200	0
Total program funding	\$360,000	\$365,000	0
Total number of awards	157	160	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 Federal resources provided for the program as well as the resources and efforts invested by those served by the program. The Department has not established targets for 2021 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.

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

HIGHER EDUCATION

Gaining early awareness and readiness for undergraduate programs

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

Year	Target	Actual
2016	88.0%	77.1%
2017	89.0	92.7
2018	89.0	86.5
2019	89.0	
2020	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 12th grade while the numerator includes participants who both persisted until the 12th 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
2016	62.0%	55.5%
2017	62.0	61.7
2018	63.0	64.9
2019	63.0	
2020	64.0	

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 8th grade who passed the course and the percentage of GEAR UP students enrolled in Algebra I by the end of the 9th grade who passed the course.

Year	Pre-algebra Target	Pre-algebra Actual	Algebra I Target	Algebra I Actual
2016	55%	53.6%	54%	58.1%
2017	55	67.7	54	72.8
2018	56	71.2	55	71.2
2019	60	60.6	60	74.1
2020	65		65	

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Gaining early awareness and readiness for undergraduate programs

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 and 2020 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 12th 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 2018 was \$2,523. The Department provided approximately \$2.6 million per year to the grantees in this cohort, which produced 67,020 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. 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.

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Gaining early awareness and readiness for undergraduate programs

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 in 2020. If the findings on college enrollment and persistence warrant further follow up, the Department could analyze and report on longer term persistence outcomes in late 2020.

HIGHER EDUCATION

Graduate assistance in areas of national need

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

(dollars in thousands)

FY 2021 Authorization: 0¹

Budget Authority:

	2020	2021	Change from
	<u>Appropriation</u>	<u>Request</u>	<u>2020 to 2021</u>
	\$23,047	0	-\$23,047

¹ The GEPA extension expired September 30, 2015. No appropriations language or reauthorizing legislation is sought for fiscal year 2021.

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, whether post-baccalaureate studies in such areas are supported by other Federal programs, and the potential impact of the Federal investment.

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 of support provided by the National Science Foundation's Graduate Research Fellowships. Institutions must match 25 percent of the Federal grant amount. The institutional match may be

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Graduate assistance in areas of national need

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)
2016	\$29,293
2017	28,047
2018	23,047
2019	23,047
2020	23,047

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests no funding for the Graduate Assistance in Areas of National Need program (GAANN), \$23.0 million less than the fiscal year 2020 appropriation, consistent with the Administration's goals of reducing the Federal role in education and promoting the fiscal restraint required to provide strong support for national defense and public safety while reducing the Federal budget deficit. In addition, the GAANN program's high cost per student limits the number of graduate students that may be supported and thus minimizes the program's impact. The Administration 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>2019</u>	<u>2020</u>	<u>2021</u>
Number of new awards	14	0	0
Number of new fellowships	61	0	0
Average new award	\$204	0	0
Total new award funding	\$2,855	0	0
Number of NCC awards	74	88	0
Number of NCC fellowships	370	370	0
Average NCC award	\$249	\$224	0
Total NCC funding	\$20,192 ¹	\$19,717	0

¹ Includes \$1,786 thousand for paying fiscal year 2020 out year costs; these funds are excluded from average NCC award calculation.

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Graduate assistance in areas of national need

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Supplemental awards	0	\$3,330 ¹	0
Average institution payment	\$16	\$16	0
Average stipend	\$34	\$34	0
Total average fellowship	\$50	\$50	0
Total number of awards	88	88	0
Total number of fellowships	431	370	0
Total program funding	\$23,047	\$23,047	0

¹ Supplemental awards to support additional fellows in identified fields.

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 2021 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.

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Graduate assistance in areas of national need

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

Year	Target	Actual
2016	60	75%
2017	60	65
2018	60	63
2019	65	
2020	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 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 outcomes on this measure, as not all doctoral candidates who advance to candidacy actually complete their doctoral degrees.

Measure: Median time to degree completion (years).

Year	Target	Actual
2016	5.0	5.1
2017	5.0	4.9
2018	5.0	5.1
2019	5.0	
2020	5.0	

Additional Information: Data collected through annual performance reports show that program participants 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 fewer years than doctoral students.

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Graduate assistance in areas of national need

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
2016	\$68,500	N/A
2017	68,500	\$56,951
2018	68,500	69,702
2019	68,000	
2020	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, 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.

HIGHER EDUCATION

Child care access means parents in school

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

(dollars in thousands)

FY 2021 Authorization: To be determined¹

Budget Authority:

<u>2020</u> <u>Appropriation</u>	<u>2021</u> <u>Request</u>	<u>Change from</u> <u>2020 to 2021</u>
\$53,000	\$15,134	-\$37,866

¹ The GEPA extension expired September 30, 2015; reauthorizing legislation is sought for fiscal year 2021.

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. The program makes competitive grants of up to 4 years in duration to institutions of higher education, with a priority for child care programs that (1) leverage significant local or institutional resources and (2) utilize a sliding fee scale.

Institutions may use the funding to establish or support 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. Grants may not be used to supplant funds for existing child care 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 because the student is enrolled in a graduate or first professional course of study or is in the United States for a temporary purpose.

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.

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Child care access means parents in school

Grantees must submit annual reports to the Department regarding their activities. The reports must contain data on the population served by the grant; information on campus and community resources and funding used to help low-income students access child care services; information on progress made toward accreditation of any child care facility; and information on the impact of the grant on the quality, availability, and affordability of campus-based child care services.

An institution receives a continuation award only if the Department determines, on the basis of the annual reports, that the institution is making a good faith effort to ensure that low-income students have access to affordable, quality child care services.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2016	\$15,134
2017	15,134
2018	50,000
2019	50,000
2020	53,000

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests \$15.1 million for the Child Care Access Means Parents in School program, \$37.9 million less than the fiscal year 2020 appropriation. This level would fund non-competitive continuation grants for previous awardees at reduced levels. The 2021 Budget returns the program to its funding level before the increases enabled by the Bipartisan Budget Act of 2018. The Administration remains committed to supporting child care services for low-income college students. The 2021 Budget includes a new one-time investment of \$1 billion, in the Department of Health and Human Services Request, to build the supply of child care services 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 2021 funding would continue to support current 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.

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Child care access means parents in school

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Number of new awards	72	138	0
Average new award	\$130	\$185	0
Total new award funding	\$9,371 ¹	\$25,500	0
Number of NCC awards	196	268	348
Average NCC award	\$92	\$75	\$43
Total NCC award funding	\$18,039	\$20,199	\$15,134
Peer review of new award applications	\$96	\$301	0
Total award funding	\$50,000 ²	\$53,000 ²	\$15,134
Total number of awards	268	406	348

¹ In addition to conducting a competition for new awards in 2019, the Department funded down the fiscal year 2018 grant slate to make new awards (28 awards totaling \$2,877 thousand).

² Includes \$22.494 thousand and \$7.001 thousand in fiscal years 2019 and 2020, respectively to fund outyear costs for grantees from the 2017 and 2018 competitions.

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 Federal resources provided for the program as well as the resources and efforts invested by those served by the program.

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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
2016		79%		82%		75%
2017		81		85		76
2018	74%		81%		61%	
2019	75		81		61	
2020	75		81		61	
2021	75		81		62	

Additional information: Previously reported CCAMPIS performance data have been updated to improve its accuracy and reliability. Grantees submitting incomplete data were excluded from the analysis. Performance data for 2018 will be available in December 2020.

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
2016		19.0%
2017		21.0
2018	22.0%	
2019	22.0	
2020	22.0	
2021	22.5	

Additional information: Previously reported CCAMPIS performance data have been updated to improve its accuracy and reliability. For the purposes of this performance measure, the term “within 3 years of enrollment” means within 3 years of enrolling in the CCAMPIS program. Grantees submitting incomplete data were excluded from the analysis. Program performance data for 2018 will be available in December 2020.

The Department 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. 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

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
2016		\$6,983
2017		7,448
2018	\$4,500	
2019	4,500	
2020	4,500	
2021	4,500	

Additional information: For 2017, the cost per successful outcome is calculated by dividing the program allocation by 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 2020.

Other Performance Information

Additional information: For 2017, the cost per successful outcome is calculated by dividing the program allocation by 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 2020.

Other Performance Information

In September 2019, the Government Accountability Office (GAO) released a report entitled, "Higher Education: More Information Could Help Student Parents Access Additional Federal Student Aid." The GAO report included a review of the Department's performance data for the CCAMPIS program, identification of errors in the accuracy of calculations for two measures and recommended that the Department correct these errors. In response, the Department acknowledged an error in its persistence rate calculation that affected the accuracy of both the persistence rate and cost per persistent student measures that were reported in the fiscal year 2020 Budget Justifications to Congress. These rates have been corrected and are reflected in the tables above.

The Department also clarified that, for graduation rate data published for fiscal year 2020 and prior years, the term "within 3 years of enrollment" means within 3 years of enrolling in the CCAMPIS program.

HIGHER EDUCATION

Fund for the Improvement of Postsecondary Education

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

(dollars in thousands)

FY 2021 Authorization: 0¹

Budget Authority:

<u>2020</u> <u>Appropriation</u>	<u>2021</u> <u>Request</u>	<u>Change from</u> <u>2020 to 2021</u>
\$24,500	0	-\$24,500

¹ The GEPA extension expired September 30, 2015; no reauthorizing legislation is sought for fiscal year 2021.

PROGRAM DESCRIPTION

The Fund for the Improvement of Postsecondary Education (FIPSE) supports a wide range of activities to support institutional reforms and innovative programs with the potential to transform postsecondary education. In recent years, Congress has provided funding for: the Career Pathways program; the Centers of Excellence for Veterans Student Success (CEVSS) Program; the National Center for Information and Technical Support for Postsecondary Students with Disabilities; the Open Textbook Pilot; and First in the World (FITW). Under FIPSE, all discretionary grants and contracts are awarded to institutions of higher education and other public and private nonprofit institutions and agencies. Grants typically are frontloaded to pay full multi-year project costs from a single appropriation.

Activities currently planned for fiscal year 2020 include the following:

The Career Pathways program (\$10 million) supports the creation of sustainable, evidence-based career exploration and guidance systems that promote multiple pathways to postsecondary and career success.

The CEVSS Program (\$7 million) funds model programs to support veteran student success in postsecondary education by coordinating services to address the academic, financial, physical, and social needs of veteran students. CEVSS grantees establish on their campuses a single point of contact to coordinate, through a veteran student support team, comprehensive support services for veteran students. Services include counseling, tutoring, assistance with special admissions, and transfer of credits from previous postsecondary education or experience,

HIGHER EDUCATION

Fund for the improvement of postsecondary education

assistance with applying for financial aid and veterans' benefits, and admission into college. This program is authorized under section 873(b) of the HEA.

The National Center for Information and Technical Support for Postsecondary Students with Disabilities (\$0.5 million) provides technical assistance and information on best and promising practices for students with disabilities as they transition to, or attend, postsecondary education. This program is authorized under section 777(a) of the HEA.

The Open Textbook Pilot (\$7 million) 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.

Funding levels for the past 5 fiscal years were:

Fiscal Year	(dollars in thousands)
2016.....	0
2017.....	0
2018.....	\$6,000
2019.....	5,000
2020.....	24,500

FY 2021 BUDGET REQUEST

For fiscal year 2021, the Administration requests no funding for FIPSE, \$24.5 million less than the fiscal year 2020 appropriation. The objectives supported by the current FIPSE programs are each addressed by other Department funding streams (e.g., funding requested for the Department's career, technical, and adult education, higher education, and special education areas) and by programs administered by both the Department of Veterans Affairs and the Department of Labor. The Request would implement the fiscal discipline necessary to meet the President's goal of providing strong support for national defense and public safety while reducing the Federal budget deficit.

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Career Pathways			
Number of new awards	0	4	0
Average new award	0	\$2,475	0
Total new award funding	0	\$9,900	0

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Fund for the Improvement of Postsecondary Education

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Centers of Excellence for Veterans Student Success Program			
Number of new awards	0	18	0
Average new award	0	\$385	0
Total new award funding	0	\$6,930	0
National Center for Information and Technical Support for Postsecondary Students with Disabilities			
Number of new awards	0	1	0
Average new award	0	\$495	0
Total new award funding	0	\$495	0
Open Textbook Pilot			
Number of new awards	2	TBD	0
Average new award	\$2,500	TBD	0
Total new award funding	\$5,000 ¹	\$6,930 ²	0
Contracts			
Peer review of new award applications	0	\$245	0
Total FIPSE funding	\$5,000	\$24,500	0
Total number of new awards	2	23 ³	0

¹ The Department used the \$5 million provided in fiscal year 2019 to provide most of the funding requested by the next two applicants on the fiscal year 2018 slate.

² The Department plans to use \$901 thousand in fiscal year 2020 to “make whole” the two grantees funded in fiscal year 2019; the remaining \$6,029 thousand will be used for a new Open Textbook competition.

³ The total reflected does not include the number of awards that will be made under the Open Textbook competition in fiscal year 2020.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, 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 Federal resources provided for this program 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 FITW in fiscal years 2014 and 2015. The Department did not establish FITW targets for 2020 and subsequent years because 2019 is the final year of the project periods for these grantees, and no new FITW awards are planned.

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Fund for the Improvement of Postsecondary Education

While the Department established a new set of performance measures for the Open Textbook Pilot in the 2018 notice inviting applications, most of the measures are final measures (i.e., data will not be reported until after the completion of the project, which is anticipated by late 2022). Performance information for the remaining annual measures will be available in February 2020. Targets will be established once baseline performance data are available.

The Department will set performance measures for the Career Pathways program, the CEVSS Program, and the National Center for Information and Technical Support for Postsecondary Students with Disabilities and will begin collecting data for these measures in fiscal year 2021.

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 Validation grantees conducting evaluations that will provide evidence of project effectiveness in improving student outcomes that meets What Works Clearinghouse (WWC) standards with or without reservations.

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

Measure: The percentage of Development grantees conducting evaluations that will provide evidence of project effectiveness in improving student outcomes that meets WWC standards with or without reservations.

Year	Target	Actual
2016	100%	N/A
2017	100	93%
2018	100	
2019	100	

Additional Information: The Department made a total of 42 FITW grants across fiscal years 2014 and 2015, including 40 Development grants and 2 Validation grants. The data presented is based on the most updated grantee evaluation plans in the Department's possession. These evaluation plans were assessed by the Department's evaluation technical assistance provider as to the quality of the study designs of all FITW-funded projects. Information for the final year (2018) of the 2014 cohort and the final 2 years (2018 and 2019) of the 2015 cohort should be available in March 2020.

HIGHER EDUCATION

Teacher quality partnership

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

(dollars in thousands)

FY 2021 Authorization: 0¹

Budget Authority:

<u>2020 Appropriation</u>	<u>2021 Request</u>	<u>Change from 2020 to 2021</u>
\$50,092	0	-\$50,092

¹ The GEPA extension expired September 30, 2015; no reauthorization is sought for fiscal year 2021.

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., Supporting Effective Instruction 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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Teacher quality partnership

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 effective models that 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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Teacher quality partnership

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 goal of an effective 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)
2016	\$43,092
2017	43,092
2018	43,092
2019	43,092
2020	50,092

FY 2021 BUDGET REQUEST

For fiscal year 2021, the request would consolidate the Teacher Quality Partnership program into the proposed Elementary and Secondary Education for the Disadvantaged Block Grant (ESED Block Grant), which would combine nearly all currently funded formula and competitive grant programs authorized by the Elementary and Secondary Education Act (ESEA), as well as related programs such as TQP, into a single State formula grant program.

ESED Block Grant funds would be allocated by formula to State and local educational agencies, which would have discretion to use those funds for any authorized purpose of the consolidated programs, including activities currently supported by TQP. In particular, the ESED Block Grant would include a 10 percent reservation for State-level activities that could be used, for example,

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Teacher quality partnership

to support teacher residency programs under section 2101(c)(4)(B)(xi) of the ESEA. For more information, see the Improving Elementary and Secondary Education account.

During initial implementation of the proposed ESED Block Grant, the Department would reserve sufficient funds to pay continuation awards for TQP grantees through the end of their approved project periods.

PROGRAM OUTPUT MEASURES

(dollars in thousands)

<u>Output Measures</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>
Partnership Grants:			
New	\$20,109	\$9,000	0
Continuations	<u>22,421</u>	<u>40,397</u>	<u>0</u>
Subtotal	42,530	49,397	0
State teacher quality accountability reports	479	625	0
Peer review of new award applications	83	70	0
Program totals:			
New	20,109	9,000	0
Continuations	22,900	49,122	0
Peer review of new award applications	<u>83</u>	<u>70</u>	<u>0</u>
Total	<u>43,092</u>	<u>50,092</u>	<u>0</u>

NOTE: In fiscal year 2021, grant continuation costs of \$41,062 thousand would be paid for from a reservation of funds under the ESED Block Grant for this program.

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 Federal resources provided for the program as well as the resources and efforts invested by those served by the program.

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Teacher quality partnership

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 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
2016	85%	N/A	95%	N/A
2017	85	81%	95	72%
2018	85	72	95	75
2019	85		95	
2020	85		95	
2021	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.

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Teacher quality partnership

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
2016	80%	N/A	90%	N/A
2017	80	63%	90	55%
2018	80	70	90	77
2019	80		90	
2020	80		90	
2021	80		90	

Additional information: Performance on this measure increased significantly in 2018 and the Department is continuing its efforts to ensure that grantees provide the necessary supports to beginning teachers in partner LEAs.

Other Performance Information

In 2014, the Institute of Education Sciences (IES) published an implementation study of TQP teacher residency projects that addressed the following research questions:

- 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>) 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

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Teacher quality partnership

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 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.