

**Department of Education**

**HIGHER EDUCATION**

**Fiscal Year 2016 Budget Request**

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## HIGHER EDUCATION

For carrying out, to the extent not otherwise provided, titles [II, ]<sup>1</sup> III, IV, V, VI, VII, and VIII of the HEA, the Mutual Educational and Cultural Exchange Act of 1961, and section 117 of the Carl D. Perkins Career and Technical Education Act of 2006, [\$1,924,839,000] \$2,072,045,000: Provided, That \$30,000,000 shall be used for data collection, evaluation, research, and demonstration activities relating to programs under the HEA, including such activities that are designed to test approaches for providing grant, loan, or work assistance under title IV of the HEA in ways that promote access to, and completion of, affordable and high quality postsecondary education programs:<sup>2</sup> *Provided further,* That notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:<sup>3</sup> *Provided further,* That of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities:<sup>4</sup> *Provided further,* That up to 1.5 percent of the funds made available under chapter 2 of subpart 2 of part A of title IV of the HEA may be used for evaluation:<sup>5</sup> *Provided further,* That up to 2.5 percent of the funds made available under this Act for part B of title VII of the HEA may be used for technical assistance and the evaluation of activities carried out under such section:<sup>6</sup> *Provided further, That notwithstanding chapter 1 of subpart 2 of part A of title IV of the HEA, the Secretary may reserve up to \$20,000,000 of the funds made available for section 402A(g) of the HEA to*

support the demonstration and rigorous evaluation of college access and completion strategies through cooperative agreements with entities that received fiscal year 2015 awards under section 402A.<sup>7</sup> (*Department of Education Appropriations Act, 2015.*)

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.

## HIGHER EDUCATION

### Analysis of Language Provisions and Changes

Language Provision	Explanation
<p><sup>1</sup> ...[II,]</p>	<p>This citation is deleted because no funds are requested for Teacher Quality Partnerships in fiscal year 2016.</p>
<p><sup>2</sup> <u>Provided, That \$30,000,000 shall be used for data collection, evaluation, research, and demonstration activities relating to programs under the HEA, including such activities that are designed to test approaches for providing grant, loan, or work assistance under title IV of the HEA in ways that promote access to, and completion of, affordable and high quality postsecondary education programs:</u></p>	<p>This language authorizes and provides funds for data collection, evaluation, research, and demonstration activities for programs authorized under the higher education act that do not have authority for such activities, or where funding is insufficient to cover costs. Funds also will provide support for activities that are designed to test approaches for providing grant, loan, or work assistance under title IV of the Higher Education Act (HEA) in ways that promote access to, and completion of, affordable and high-quality postsecondary education programs.</p>
<p><sup>3</sup> <i>Provided further, That notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:</i></p>	<p>This language permits International Education programs authorized under title VI of the Higher Education Act (HEA) and the Mutual Educational and Cultural Exchange Act of 1961 (MECEA) to use funds for visits and study in foreign countries by individuals (in addition to teachers and prospective teachers) who plan to apply their language skills and knowledge in world areas that are vital to United States national security in the fields of government, the professions, or international development.</p>
<p><sup>4</sup> <i>Provided further, That of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities:</i></p>	<p>This language authorizes the use of funds for program evaluation, national outreach, and information dissemination activities at a level that is up to 1 percent of the amount appropriated for International Education programs authorized by title VI of the HEA and section 102(b)(6) of the MECEA.</p>

## HIGHER EDUCATION

### Analysis of Language Provisions and Changes

Language Provision	Explanation
<p><sup>5</sup> <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.</p>
<p><sup>6</sup> <i>Provided further</i>, That up to 2.5 percent of the funds made available under this Act for part B of title VII of the HEA may be used for technical assistance and the evaluation of activities carried out under such section:</p>	<p>This language permits the Department to use 2.5 percent of the funds appropriated for the Fund for the Improvement of Postsecondary Education for technical assistance and evaluation.</p>
<p><sup>7</sup> <i>Provided further</i>, <u>That notwithstanding chapter 1 of subpart 2 of part A of title IV of the HEA, the Secretary may reserve up to \$20,000,000 of the funds made available for section 402A(g) of the HEA to support the demonstration and rigorous evaluation of college access and completion strategies through cooperative agreements with entities that received fiscal year 2015 awards under section 402A.</u></p>	<p>This language authorizes the Department to use up to \$20,000,000 of the funds appropriated for the Federal TRIO Programs to engage in cooperative agreements with TRIO grantees to support the demonstration and evaluation of college access and completion strategies without regard to TRIO statutory requirements.</p>

**HIGHER EDUCATION**

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

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Appropriation/Adjustments/Transfers	2014	2015	2016
<b>Discretionary:</b>			
Appropriation.....	\$1,925,408	\$1,924,839	\$2,072,045
<b>Mandatory:</b>			
Appropriation .....	428,000	255,000	2,266,842
Sequester (P.L. 112-25) .....	<u>-30,816</u>	<u>-18,615</u>	<u>0</u>
Total, adjusted mandatory appropriation .....	<u>397,184</u>	<u>236,385</u>	<u>2,266,842</u>
Total, comparable discretionary and mandatory appropriation .....	2,322,592	2,161,224	4,338,887

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## HIGHER EDUCATION

### Summary of Changes (dollars in thousands)

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2015 Discretionary .....	\$1,924,839
2015 Mandatory .....	236,385
2016 Discretionary .....	2,072,045
2016 Mandatory .....	<u>2,266,842</u>
Net change .....	+2,177,663

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**Discretionary:**

<b>Increases:</b>	<u>2015 base</u>	<u>Change from base</u>
<u>Program:</u>		
Increase funding for the Promoting Postbaccalaureate Opportunities for Hispanic Americans to support additional programs that support eligible HSIs that offer a postbaccalaureate certificate or postbaccalaureate degree-granting programs.	\$8,992	+\$1,573
Increase funding for International Education and Foreign Language Studies Domestic Programs to support additional programs that strengthen the American education system in the area of foreign languages and international studies.	65,103	+2,000
Increase funding for International Education and Foreign Language Studies Overseas Programs to support additional programs that strengthen the American education system in the area of foreign languages and international studies.	7,061	+2,000
Increase funding for the Fund for the Improvement of Postsecondary Education to support the third year of the First in the World Program, which provides funding to support the development and evaluation of innovative strategies designed to improve college completion, particularly for high need students.	67,775	+132,225
Increase funding for the Federal TRIO Programs to support a new TRIO Demonstration initiative designed to enable the Department to enter into cooperative agreements with TRIO grantees, and consortia thereof, to support the implementation and rigorous evaluation of college success strategies.	839,752	+20,000

## HIGHER EDUCATION

### Summary of Changes (dollars in thousands)

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#### Discretionary:

#### Increases:

##### Program:

Increase funding for GPRA Data/HEA Program Evaluation to support data collection, evaluation, research, and demonstration activities for programs authorized under the Higher Education Act (HEA) that do not have authority to set aside funds for such activities, or where funding is insufficient to cover costs. Funds will also support activities that are designed to test approaches for providing grant, loan, or work assistance under title IV of the HEA in ways that promote access to, and completion of, affordable and high-quality postsecondary education programs.

2015 base

Change  
from base

0

+\$30,000

Subtotal, discretionary increases

+187,798

#### Decreases:

##### Program:

Eliminate funding for Teacher Quality Partnerships because the Administration proposes to consolidate the program into Teacher and Principal Pathways in the Innovation and Improvement account.

\$40,592

-40,592

Subtotal, discretionary decreases

-40,592

#### Increases:

##### Program:

Increase funding for the mandatory Strengthening Tribally Controlled Colleges and Universities program to return funding to the fiscal year 2016 authorized level.

27,810

+2,190

Increase funding for the mandatory Strengthening Alaska Native and Native Hawaiian-serving Institutions program to return funding to the fiscal year 2016 authorized level.

13,905

+1,095

Increase funding for the mandatory Strengthening HBCUs program to return funding to the fiscal year 2016 authorized level.

78,795

+6,205

Increase funding for the mandatory Strengthening Predominantly Black Institutions program to return funding to the fiscal year 2016 authorized level.

13,905

+1,095

## HIGHER EDUCATION

### Summary of Changes (dollars in thousands)

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#### Mandatory:

#### **Increases:**

<u>Program:</u>	<u>2015 base</u>	<u>Change from base</u>
Increase funding for the mandatory Strengthening Asian American- and Native American Pacific Islander-serving Institutions program to return funding to the fiscal year 2016 authorized level.	\$4,635	+\$365
Increase funding for the mandatory Strengthening Native American-serving Nontribal Institutions program to return funding to the fiscal year 2016 authorized level.	4,635	+365
Increase funding for the mandatory developing Hispanic-serving Institutions STEM and Articulation programs to return funding to the fiscal year 2016 authorized level.	92,700	+7,300
Increase to initiate a new mandatory America's College Promise program to provide funds to create partnerships with states to make 2 years of community college free for responsible students by helping them waive tuition in high-quality programs, while promoting key reforms to help more students complete at least 2 years of college.	0	+1,364,842
Increase to initiate a new mandatory College Opportunity and Graduation Bonus program to reward colleges that successfully enroll and graduate a significant number of low-and moderate-income students on time and encourage all institutions to improve their performance.	0	<u>+647,000</u>
Subtotal, mandatory increases		<u>+2,030,457</u>
Subtotal, discretionary and mandatory increases		+2,218,255
Subtotal, discretionary and mandatory decreases		<u>-40,592</u>
Net change		+2,177,663

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## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

Activity	2015 Authorized	2015 Estimate	2016 Authorized	2016 Request
Aid for institutional development:				
Strengthening institutions ( <i>HEA-III-A-311</i> )	Indefinite	\$80,462	To be determined <sup>1</sup>	\$80,462
Strengthening tribally controlled colleges and universities ( <i>HEA-III-A-316</i> )	Indefinite	25,622	To be determined <sup>1</sup>	25,622
Strengthening tribally controlled colleges and Universities ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	\$30,000 <sup>2</sup>	27,810 <sup>2</sup>	\$30,000 <sup>2</sup>	30,000 <sup>2</sup>
Strengthening Alaska Native and Native Hawaiian-serving institutions ( <i>HEA-III-A-317</i> )	Indefinite	12,833	To be determined <sup>1</sup>	12,833
Strengthening Alaska Native and Native Hawaiian-serving institutions ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	15,000 <sup>2</sup>	13,905 <sup>2</sup>	15,000 <sup>2</sup>	15,000 <sup>2</sup>
Strengthening historically Black colleges and universities ( <i>HEA-III-B-323</i> )	Indefinite	227,524	To be determined <sup>1</sup>	227,524
Strengthening historically Black colleges and universities ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	85,000 <sup>2</sup>	78,795 <sup>2</sup>	85,000 <sup>2</sup>	85,000 <sup>2</sup>
Strengthening historically Black graduate institutions ( <i>HEA-III-B-326</i> )	Indefinite	58,840	To be determined <sup>1</sup>	58,840
Strengthening predominantly Black institutions ( <i>HEA-III-A-318</i> )	75,000	9,244	To be determined <sup>1</sup>	9,244
Strengthening predominantly Black institutions ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	15,000 <sup>2</sup>	13,905 <sup>2</sup>	15,000 <sup>2</sup>	15,000 <sup>2</sup>
Strengthening Asian American and Native American Pacific Islander-serving institutions ( <i>HEA-III-A-320</i> )	Indefinite	3,113	To be determined <sup>1</sup>	3,113
Strengthening Asian American and Native American Pacific Islander-serving institutions ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	5,000 <sup>2</sup>	4,635 <sup>2</sup>	5,000 <sup>2</sup>	5,000 <sup>2</sup>
Strengthening Native American-serving Nontribal institutions ( <i>HEA-III-A-319</i> )	Indefinite	3,113	To be determined <sup>1</sup>	3,113

## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

Activity	2015 Authorized	2015 Estimate	2016 Authorized	2016 Request
Aid for institutional development:				
Strengthening Native American-serving Nontribal institutions ( <i>HEA-III-F-371</i> ) ( <i>mandatory</i> )	\$5,000 <sup>2</sup>	\$4,635 <sup>2</sup>	\$5,000 <sup>2</sup>	\$5,000 <sup>2</sup>
Minority science and engineering <i>improvement</i> ( <i>HEA-III-E-1</i> )	Indefinite	8,971	To be determined <sup>1</sup>	8,971
Aid for Hispanic-serving institutions:				
Developing Hispanic-serving institutions ( <i>HEA-V-A</i> )	Indefinite	100,231	To be determined <sup>1</sup>	100,231
Mandatory developing HSI STEM and articulation programs ( <i>HEA III-F-371(b)(2)(B)</i> ) ( <i>mandatory</i> )	100,000 <sup>2</sup>	92,700 <sup>2</sup>	100,000 <sup>2</sup>	100,000 <sup>2</sup>
Promoting postbaccalaureate opportunities for Hispanic Americans ( <i>HEA-V-B-512</i> ) ( <i>discretionary</i> )	Indefinite	8,992	To be determined <sup>1</sup>	10,565
Other aid for institutions:				
International education and foreign language studies:				
Domestic programs ( <i>HEA-VI-A and B</i> )	Indefinite	65,103	To be determined <sup>1</sup>	67,103
Overseas programs ( <i>MECEA-102(b)(6)</i> )	Indefinite	7,061	Indefinite	9,061
Fund for the improvement of postsecondary education ( <i>HEA-VII-B</i> )	Indefinite	67,775	To be determined <sup>1</sup>	200,000
Model comprehensive transition and postsecondary programs for students with intellectual disabilities into higher education ( <i>HEA-VII-D-2</i> )	Indefinite	11,800	To be determined <sup>1</sup>	11,800
Tribally controlled postsecondary career and technical institutions ( <i>Carl D. Perkins CTEA section 117</i> )	Indefinite	7,705	Indefinite	7,705
Assistance for students:				
Federal TRIO programs ( <i>HEA-IV-A-2-1</i> )	Indefinite	839,752	To be determined <sup>1</sup>	859,752
Gaining early awareness and readiness for undergraduate programs ( <i>HEA-IV-A-2-2</i> )	Indefinite	301,639 <sup>3</sup>	To be determined <sup>1</sup>	301,639 <sup>3</sup>
Graduate assistance in areas of national need ( <i>HEA-VII-A-2</i> )	Indefinite	29,293	To be determined <sup>1</sup>	29,293

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## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

Activity	2015 Authorized	2015 Estimate	2016 Authorized	2016 Request
Child care access means parents in school (HEA-IV-A-7)	Indefinite	\$15,134	To be determined <sup>1</sup>	\$15,134
Teacher quality partnerships (HEA II-A)	Indefinite	40,592	To be determined <sup>1</sup>	0
GPRA data/HEA program evaluation (Department of Education Appropriations Act)	0	0	\$30,000 <sup>4</sup>	30,000 <sup>4</sup>
America's College Promise (proposed legislation)(mandatory)	0	0	To be determined <sup>1</sup>	1,364,842
College opportunity and graduation bonus (proposed legislation)(mandatory)	0	0	To be determined <sup>1</sup>	647,000
<u>Unfunded authorizations:</u>				
Interest subsidy grants (HEA-I-121)	0	0	0	0
Hawkins Centers of Excellence (HEA-II-B-2) (discretionary)	0	0	0	0
Endowment challenge grants (HEA-III-C-331)	0	0	0	0
Programs in STEM Fields (HEA-III-E-2)	0	0	0	0
Science and technology advanced foreign language Education (HEA-VI-D-637)	0	0	0	0
Byrd honors scholarships (HEA-IV-A-6)	0	0	0	0
Loan repayment for civil legal assistance attorneys (HEA-IV-B, section 428L)	0	0	0	0
International education and foreign language studies: Institute for international public policy (HEA-VI-C)	0	0	0	0
Javits fellowships (HEA-VII-A-1)	0	0	0	0
Thurgood Marshall legal educational opportunity program (HEA-VII-A-3)	0	0	0	0
Master's degree programs at historically Black Colleges and universities (HEA-VII-A-4-723)	0	0	0	0

## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

Activity	2015 Authorized	2015 Estimate	2016 Authorized	2016 Request
<u>Unfunded authorizations (cont'd):</u>				
Master's degree programs at predominantly Black institutions <i>(HEA-VII-A-4-724)</i>	0	0	0	0
Demonstration projects to support postsecondary faculty, staff, and administrators in educating students with disabilities <i>(HEA-VII-D-1)</i>	0	0	0	0
Model demonstration program to support improved Access to postsecondary instructional materials for students with print disabilities <i>(HEA-VII-D-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
College access challenge grants program <i>(HEA-VII-E) (mandatory)</i>	0	0	0	0
Project GRAD <i>(HEA-VIII-A)</i>	0	0	0	0
Mathematics and science scholars program <i>(HEA-VIII-B)</i>	0	0	0	0
Business workforce partnerships for job skill training in high growth occupations or industries <i>(HEA-VIII-C)</i>	0	0	0	0
Capacity for nursing students and faculty <i>(HEA-VIII-D)</i>	0	0	0	0
American history for freedom <i>(HEA-VIII-E)</i>	0	0	0	0
Patsy T. Mink fellowship program <i>(HEA-VIII-G)</i>	0	0	0	0
Improving college enrollment by secondary schools <i>(HEA-VIII-H)</i>	0	0	0	0

## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

Activity	2015 Authorized	2015 Estimate	2016 Authorized	2016 Request
<u>Unfunded authorizations (cont'd):</u>				
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
College partnership grants (HEA-VIII-O)	0	0	0	0
Jobs to careers (HEA-VIII-P)	0	0	0	0
Rural development grants for rural-serving colleges and universities (HEA-VIII-Q)	0	0	0	0
Campus-based digital theft prevention (HEA-VIII-R)	0	0	0	0
University sustainability programs (HEA-VIII-U-881)	0	0	0	0
Cooperative education (HEA-VIII-N)	0	0	0	0
Modeling and simulation programs (HEA-VIII-V)	0	0	0	0
Path to success program (HEA-VIII-W)	0	0	0	0
School of veterinary medicine competitive grant program (HEA-VIII-X)	0	0	0	0
Early Federal Pell Grant commitment demonstration program (HEA-VIII-Y)	0	0	0	0

## HIGHER EDUCATION

### Authorizing Legislation

(dollars in thousands)

	2015 Authorized	2015 Estimate	2016 Authorized	2016 Request
<u>Unfunded authorizations (cont'd):</u>				
Master's degree programs at HBCUs and PBIs <i>(HEA VIII-AA-897) (mandatory)</i>	0	0	0	0
Promoting postbaccalaureate opportunities for Hispanic Americans <i>(HEA-VIII-AA-898) (mandatory)</i>	0	0	0	0
Grants to states for workplace and community transition training for incarcerated individuals <i>(Higher Education Amendments of 1998-VIII-D)</i>	0	0	0	0
B.J. Stupak Olympic scholarships <i>(Higher Education Amendments of 1992, Section 1543)</i>	0	0	0	0
Underground railroad program <i>(Higher Education Amendments of 1998-VIII-H)</i>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
Total definite authorization	\$255,000		\$285,000	
Total appropriation		\$2,120,632		\$4,338,887
Total discretionary appropriation		1,884,247		2,072,045
Portion of discretionary request subject to reauthorization				2,042,045
Portion of the discretionary request not authorized		0		30,000
Total mandatory appropriation		236,385		2,266,842
Portion of the mandatory request not authorized		0		2,011,842

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

<sup>2</sup> Mandatory funds made available in fiscal year 2009 and each succeeding fiscal year through fiscal year 2019.

<sup>3</sup> Of the amount appropriated, not less than 33 percent shall be used for State Grants and not less than 33 percent shall be used for Partnership Grants.

<sup>4</sup> The Administration proposes to carry out this activity through appropriations language in fiscal year 2016.

## HIGHER EDUCATION

### Appropriations History (dollars in thousands)

Year	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2007	\$1,108,711	N/A <sup>1</sup>	N/A <sup>1</sup>	\$1,951,053 <sup>1,2</sup>
2008 Discretionary	1,837,737	\$2,184,533	\$2,040,302	2,036,851
2008 Mandatory		378,000	378,000	378,000
2009 Discretionary	1,733,684	2,080,881 <sup>3</sup>	1,856,214 <sup>3</sup>	2,100,150
2009 Mandatory	401,000	401,000	401,000	401,000
Recovery Act Supplemental (P.L. 111-5)	0	100,000	50,000	100,000
2010 Discretionary	2,050,191	2,294,882	2,106,749 <sup>4</sup>	2,255,665
2010 Mandatory	80,000	80,000	80,000	485,000
2011 Discretionary	2,131,493	2,177,915 <sup>5</sup>	2,243,895 <sup>4</sup>	1,903,944 <sup>6</sup>
2011 Mandatory	80,000	485,000	485,000	485,000
2012 Discretionary	2,277,069	1,628,052 <sup>7</sup>	1,903,946 <sup>7</sup>	1,869,656
2012 Mandatory	428,000	428,000	428,000	428,000
2013 Discretionary	1,950,590	1,869,656 <sup>8</sup>	1,911,348 <sup>8</sup>	1,881,098
2013 Mandatory	428,000	428,000	428,000	406,173
2014 Discretionary	2,182,799	N/A <sup>9</sup>	1,906,394 <sup>9</sup>	1,925,408
2014 Mandatory	428,000		428,000	397,184
2015 Discretionary	2,025,457	N/A <sup>9</sup>	1,968,799 <sup>10</sup>	1,924,839
2015 Mandatory	4,902,000		255,000	236,385
2016 Discretionary	2,072,045			
2016 Mandatory	2,266,842			

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

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

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

<sup>4</sup> The level for the Senate allowance reflects Committee action only.

<sup>5</sup> The level for the House allowance reflects the House-passed full-year continuing resolution.

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

<sup>7</sup> The level for the House allowance reflects an introduced bill; the level for the Senate allowance reflects Senate Committee Action only.

<sup>8</sup> The levels for the House and Senate allowance reflect action on the regular annual 2013 appropriations bill, which proceeded in the 112<sup>th</sup> Congress only through the House Subcommittee and the Senate Committee.

<sup>9</sup> The House allowance is shown as N/A because there was no Subcommittee action.

<sup>10</sup> The level for the Senate allowance reflects Senate Subcommittee action only.

## HIGHER EDUCATION

### Significant Items in FY 2015 Appropriations Reports

#### Fund for the Improvement of Postsecondary Education

Senate: The Committee notes the high level of interest in the FITW competition held in fiscal year 2014 and requests a report no later than December 1, 2014, providing the following information about that competition: number of applicants; number of applicants and awardees that applied under the competitive priority, including how many applicants and awardees each submitted as supporting evidence correlational studies, randomized control trials, or quasi-experimental design studies; analysis of geographic distribution of applicants and awardees; and the number of applicants and awardees that partnered with public and private organizations and agencies as well as a description of the types of partner organizations and agencies.

Of the amount recommended for the initiative, the Committee includes \$20,000,000 to continue the set-aside for minority-serving institutions, as defined in titles III and V of the HEA.

Managers' Statement: The agreement requests that a report be submitted to the House and Senate Committees on Appropriations no later than March 2, 2015, providing the following information about the fiscal year 2014 First in the World competition: number of applicants; number of applicants and awardees that applied under the competitive priority, including how many applicants and awardees each submitted as supporting evidence correlational studies, randomized control trials, or quasiexperimental design studies; analysis of geographic distribution of applicants and awardees; and the number of applicants and awardees that partnered with public and private organizations and agencies as well as a description of the types of partner organizations and agencies.

The agreement includes up to \$16,000,000 to continue the set aside for minority-serving institutions, as defined in titles III and V of the HEA.

Response: The Department will comply with the Manager's Statement directive.

#### Model Comprehensive Transition and Postsecondary Programs for Students with Intellectual Disabilities (TPSID)

Senate: Of the funds provided, the Committee includes no less than \$2,000,000 to support a national coordinating center to conduct and disseminate research on strategies to promote positive academic, social, employment, and independent living outcomes for students with intellectual disabilities. The Committee expects that the coordinating center will establish a comprehensive research and evaluation protocol for TPSID programs; administer a mentoring program matching current and new TPSID grantees based on areas of expertise; and coordinate longitudinal follow-up data collection and technical assistance to TPSID grantees on programmatic components and evidence-based practices. The coordinating center should also provide technical assistance to build the capacity of K–12 transition services as well as postsecondary education inclusive practices, among other activities.

## HIGHER EDUCATION

### Significant Items in FY 2015 Appropriations Reports (continued)

#### **Model Comprehensive Transition and Postsecondary Programs for Students with Intellectual Disabilities (TPSID) (continued)**

Managers'

Statement: The agreement includes \$11,800,000 for the Model Comprehensive Transition and Postsecondary Programs for Students with Intellectual Disabilities (TPSID): Of that amount, the agreement includes no less than \$2,000,000 to support a national coordinating center to conduct and disseminate research on strategies to promote positive academic, social, employment, and independent living outcomes for students with intellectual disabilities. The coordinating center will establish a comprehensive research and evaluation protocol for TPSID programs; administer a mentoring program matching current and new TPSID grantees based on areas of expertise; and coordinate longitudinal follow-up data collection and technical assistance to TPSID grantees on programmatic components and evidence-based practices. The coordinating center will also provide technical assistance to build the capacity of K-12 transition services as well as postsecondary education inclusive practices, among other activities.

Response: The Department will comply with this directive.

#### **GPRA Data/Higher Education Act Program Evaluation**

Senate: The Committee directs that \$1,000,000 provided for data collection and evaluation activities will support a new Postsecondary and Adult Data Quality Initiative [DQI]. The Committee urges the Department to collaborate with DOL when creating the Postsecondary and Adult DQI, as DOL has expertise in developing longitudinal data systems that integrate workforce and education data through implementation of the Workforce DQI.

Response: The 2015 appropriations act did not provide funding for this program.

DEPARTMENT OF EDUCATION FISCAL YEAR 2016 PRESIDENT'S BUDGET

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(in thousands of dollars)						
Account, Program and Activity	Category Code	2014 Appropriation	2015 Appropriation	2016 President's Budget	2016 President's Budget Compared to 2015 Appropriation Amount	2016 President's Budget Compared to 2015 Appropriation Percent
<b>Higher Education</b>						
1. Aid for institutional development:						
(a) Strengthening institutions (HEA III-A, section 311)	D	79,139	80,462	80,462	0	0.000%
(b) Strengthening tribally controlled colleges and universities (HEA III-A, section 316)	D	25,239	25,662	25,662	0	0.000%
(c) Mandatory strengthening tribally controlled colleges and universities (HEA III-F, section 371)	M	27,840	27,810	30,000	2,190	7.875%
Subtotal		53,079	53,472	55,662	2,190	4.096%
(d) Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-A, section 317)	D	12,622	12,833	12,833	0	0.000%
(e) Mandatory strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-F, section 371)	M	13,920	13,905	15,000	1,095	7.875%
Subtotal		26,542	26,738	27,833	1,095	4.095%
(f) Strengthening HBCUs (HEA III-B, section 323)	D	223,783	227,524	227,524	0	0.000%
(g) Mandatory strengthening HBCUs (HEA III-F, section 371)	M	78,880	78,795	85,000	6,205	7.875%
Subtotal		302,663	306,319	312,524	6,205	2.026%
(h) Strengthening historically Black graduate institutions (HEA III-B, section 326)	D	57,872	58,840	58,840	0	0.000%
(i) Masters degree programs at HBCUs and predominantly Black institutions (HEA VIII, section 897)	M	10,672	0	0	0	---
(j) Strengthening predominantly Black institutions (HEA III-A, section 318)	D	9,092	9,244	9,244	0	0.000%
(k) Mandatory strengthening predominantly Black institutions (HEA III-F, section 371)	M	13,920	13,905	15,000	1,095	7.875%
Subtotal		23,012	23,149	24,244	1,095	4.730%
(l) Strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-A, section 320)	D	3,062	3,113	3,113	0	0.000%
(m) Mandatory strengthening Asian American- and Native American Pacific Islander-serving institutions (HEA III-F, section 371)	M	4,640	4,635	5,000	365	7.875%
Subtotal		7,702	7,748	8,113	365	4.711%
(n) Strengthening Native American-serving nontribal institutions (HEA III-A, section 319)	D	3,062	3,113	3,113	0	0.000%
(o) Mandatory strengthening Native American-serving nontribal institutions (HEA III-F, section 371)	M	4,640	4,635	5,000	365	7.875%
Subtotal		7,702	7,748	8,113	365	4.711%
(p) Minority science and engineering improvement (HEA III-E-1)	D	8,971	8,971	8,971	0	0.000%
Subtotal, Aid for institutional development		577,354	573,447	584,762	11,315	1.973%
Discretionary	D	422,842	429,762	429,762	0	0.000%
Mandatory	M	154,512	143,685	155,000	11,315	7.875%

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

Accounts are shown under the administering office that has primary responsibility for most programs in that account; however, there may be some programs that are administered by another office.

For mandatory programs, the levels shown in the 2014 Appropriation column reflect the 7.2 percent sequester that went into effect October 1, 2013, and the levels shown in the 2015 Appropriation column reflect the 7.3 percent sequester that went into effect October 1, 2014, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

Detail may not add to totals due to rounding.

DEPARTMENT OF EDUCATION FISCAL YEAR 2016 PRESIDENT'S BUDGET

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**Higher Education (continued)**

2. Aid for Hispanic-serving institutions:						
(a) Developing Hispanic-serving institutions (HEA V-A)	D	98,583	100,231	100,231	0	0.000%
(b) Mandatory developing HSI STEM and articulation programs (HEA III-F, section 371(b)(2)(B))	M	92,800	92,700	100,000	7,300	7.875%
(c) Promoting postbaccalaureate opportunities for Hispanic Americans (HEA V, section 512)	D	8,845	8,992	10,565	1,573	17.493%
(d) Mandatory promoting postbaccalaureate opportunities for Hispanic Americans (HEA VIII, section 898)	M	10,672	0	0	0	---
Subtotal		210,900	201,923	210,796	8,873	4.394%
Discretionary		107,428	109,223	110,796	1,573	1.440%
Mandatory		103,472	92,700	100,000	7,300	7.875%
3 Other aid for institutions:						
(a) International education and foreign language studies:						
(1) Domestic programs (HEA VI-A and B)	D	65,103	65,103	67,103	2,000	3.072%
(2) Overseas programs (MECEA section 102(b)(6))	D	7,061	7,061	9,061	2,000	28.325%
Subtotal		72,164	72,164	76,164	4,000	5.543%
(b) Fund for the Improvement of Postsecondary Education:						
(1) Fund for the Improvement of Postsecondary Education (HEA VII-B)	D	3,274	7,775	0	(7,775)	-100.000%
(2) First in the World/College Completion Initiative (HEA VII)	D	75,000	60,000	200,000	140,000	233.333%
(3) Training for realtime writers (HEA VIII)	D	1,126	0	0	0	---
Subtotal		79,400	67,775	200,000	132,225	195.094%
(c) Model transition programs for students with intellectual disabilities into higher education (HEA VII-D-2)						
(d) Tribally controlled postsecondary career and technical institutions (CTEA section 117)	D	10,384	11,800	11,800	0	0.000%
	D	7,705	7,705	7,705	0	0.000%
4. Assistance for students:						
(a) Federal TRIO programs (HEA IV-A-2, Chapter 1)						
	D	838,252	839,752	859,752	20,000	2.382%
(b) Gaining early awareness and readiness for undergraduate programs (GEAR UP) (HEA IV-A-2, Chapter 2)						
	D	301,639	301,639	301,639	0	0.000%
(c) Graduate assistance in areas of national need (HEA VII-A-2)						
	D	29,293	29,293	29,293	0	0.000%
(d) Child care access means parents in school (HEA IV-A-7)						
	D	15,134	15,134	15,134	0	0.000%
5. Teacher quality partnership (HEA II-A) <sup>1</sup>						
	D	40,592	40,592	0	(40,592)	-100.000%
6. GPRA data/HEA program evaluation (Department of Education Appropriations Act)						
	D	575	0	30,000	30,000	---
7. College access challenge grant program (HEA VII-E)						
	M	139,200	0	0	0	---
8. America's College Promise (proposed legislation)						
	M	0	0	1,364,842	1,364,842	---
9. College opportunity and graduation bonus (proposed legislation)						
	M	0	0	647,000	647,000	---
Total		2,322,592	2,161,224	4,338,887	2,177,663	100.761%
Discretionary		1,925,408	1,924,839	2,072,045	147,206	7.648%
Mandatory		397,184	236,385	2,266,842	2,030,457	858.962%

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

Accounts are shown under the administering office that has primary responsibility for most programs in that account; however, there may be some programs that are administered by another office.

For mandatory programs, the levels shown in the 2014 Appropriation column reflect the 7.2 percent sequester that went into effect October 1, 2013, and the levels shown in the 2015 Appropriation column reflect the 7.3 percent sequester that went into effect October 1, 2014, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

Detail may not add to totals due to rounding.

<sup>1</sup> The 2016 President's Budget Request proposes to consolidate Teacher Quality Partnership into Teacher and Principal Pathways in the Innovation and Improvement account.

## HIGHER EDUCATION

### Summary of Request

The Administration's request for fiscal year 2016 includes a combination of discretionary and mandatory funding that would make available a total of \$4.3 billion for programs in the Higher Education account—\$2.1 billion in discretionary funding to support a comprehensive set of programs that will help achieve the President's goal of significantly increasing the percentage of Americans with postsecondary degrees or industry-recognized certificates; and 2 billion in mandatory funding for two new initiatives designed to improve affordability, quality, and success in higher education. Lastly, although not part of the budget request for 2016, mandatory funding totaling \$255 million, is available for existing programs authorized by Titles III and Title V of the Higher Education Act of 1965, as amended (HEA).

To help close the gap in college enrollment and degree attainment between minority and low-income students and others, the request would provide a total of \$429.8 million in discretionary funding for Title III for the **Aid for Institutional Development** programs, the same as the 2015 appropriation. The request for Title III demonstrates the Administration's commitment to assisting institutions that enroll a large proportion of minority and disadvantaged students by providing funds to improve institutions' academic programs and administrative and fundraising capabilities. Within this amount, the Administration requests \$80.5 million for the **Strengthening Institutions Program**. The Administration is also requesting \$227.5 million for **Strengthening Historically Black Colleges and Universities** (HBCUs); \$58.8 million for **Strengthening Historically Black Graduate Institutions** (HBGIs); and \$9.2 million for **Strengthening Predominantly Black Institutions** (PBIs). African Americans have historically lacked access to quality education compared to their White cohorts. The Strengthening HBCUs, Strengthening HBGIs, and Strengthening PBIs grants programs increase the capacity of the HBCUs, HBGIs, and PBIs to provide greater access to academic programs at both undergraduate and graduate levels to African Americans.

Also included in the request for Title III programs is \$25.7 million for the **Tribally Controlled Colleges and Universities** program; \$12.8 million for the **Alaska Native and Native Hawaiian-serving Institutions** program; \$3.1 million for the **Native American-serving Nontribal Institutions** program; and \$3.1 million for the **Asian American and Native American Pacific Islander-serving Institutions** program to support institutions that serve Native American, Alaska Native and Native Hawaiian, and Asian American and Native American Pacific Islander students. Lastly, the Administration is requesting \$9 million for the **Minority Science and Engineering Improvement Program** to help improve science and engineering programs at postsecondary institutions with predominantly minority enrollments.

The Administration requests a total of \$110.8 million in discretionary funding for Aid for Hispanic-serving Institutions to ensure that Hispanic students have access to high quality postsecondary education and to closing the gap between Hispanic and non-Hispanic students in areas of academic achievement, high school graduation, postsecondary enrollment, and life-long learning. The request includes \$100.2 million in discretionary funding for **Developing Hispanic-serving Institutions** (HSIs), the same as the 2015 appropriation and \$10.6 million, an increase of \$1.6 million, for the **Promoting Postbaccalaureate Opportunities for Hispanic Americans**.

## HIGHER EDUCATION

### Summary of Request (continued)

For the **International Education and Foreign Language Studies (IEFLS)** programs, the Administration requests a total of \$76.2 million, \$4 million or 5.5 percent, more than the 2015 appropriation. The IEFLS programs are designed to help meet the Nation's security and economic needs through the development of expertise in foreign languages and area and international studies. More specifically, the request for IEFLS includes \$67.1 million for the **Domestic Programs**, an increase of \$2 million, and \$9.1 million, an increase of \$2 million, for the **Overseas Programs**.

The Administration requests \$859.8 million for the **Federal TRIO Programs**, \$20 million more than the 2015 appropriation. The request includes appropriations language to allow the Department to use the additional \$20 million to support a new TRIO Demonstration initiative designed to enable the Department to enter into cooperative agreements with TRIO grantees, and consortia thereof, to support the implementation and rigorous evaluation of college success strategies. The TRIO request also includes funding for the Student Support Services, Upward Bound, Upward Bound Math and Science, Veterans Upward Bound, Talent Search, Educational Opportunity Centers, and McNair Postbaccalaureate Achievement programs. The TRIO programs are the Administration's oldest college preparation and student support programs and they have a long history of providing support to low-income students and students whose parents never completed college. In addition, the Administration's request for **Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)** would maintain funding at the fiscal year 2015 appropriation level of \$301.6 million. The TRIO and GEAR UP programs are designed to increase postsecondary access by providing low-income students with the necessary tools to enroll in and successfully complete college.

The Administration also requests \$200 million for the **Fund for the Improvement of Postsecondary Education (FIPSE)** for fiscal year 2016, a \$132.2 million increase over the fiscal year 2015 level. These funds would support the third year of First in the World (FITW), an evidence-based program that provides funding to support the development and evaluation of innovative strategies designed to improve college completion, particularly for high need students. The increase would enable the Department to expand the FITW program to support projects under three evidence tiers: development, validation, and scale up. As in 2014 and 2015, the Administration would set aside a portion of the 2016 funding, up to 30 percent, or \$60 million at the requested level, for awards to MSIs.

To provide students with additional financial resources, the Department requests \$29.3 million for **Graduate Assistance in Areas of National Need (GAANN)** to provide merit-based scholarships and fellowships for graduate students.

The Administration requests funding of \$30 million for **GPRA Data/HEA Program Evaluation (GPRA/HEA)** activities in fiscal year 2016. The funding would allow the Department to conduct evaluations, data collection, research, and demonstration activities. Multiple offices across the Department will collaborate to design and implement the studies, with one of the evaluation offices taking the lead for the evaluations to ensure high-quality research. These activities have played an important role in reporting performance data, making program improvements, informing budgetary decisions, and conducting program assessments of alternative strategies for providing services.

## HIGHER EDUCATION

### Summary of Request (continued)

The President's fiscal year 2016 request proposes the following new mandatory initiatives and comprehensive reforms to improve affordability, quality and success in higher education:

- \$1.4 billion for **America's College Promise**, a total of \$60.3 billion over the next decade, a proposed grant program for States to make community college free for responsible students, enabling them to earn a certificate, an associate's degree or up to 2 years' worth of credits towards a bachelor's degree without paying any tuition and fees.
- \$647 million, or a total of \$7 billion over the next decade, for the **College Opportunity and Graduation Bonus** program that will reward colleges that successfully enroll and graduate a significant number of low- and moderate-income students on time and encourage all institutions to improve their performance. Eligible institutions may receive a grant that will support innovation, interventions, and reforms to further increase college access and success based upon the number of Pell Grant recipients they graduate on time.

The Higher Education Act of 1965, as amended, authorizes and provides the following mandatory funds that are not included in the Department's fiscal year 2016 budget request:

- \$230 million for existing programs under Titles III and V of the Higher Education Act—\$85 million for Historically Black Colleges and Universities, \$30 million for Tribally Controlled Colleges and Universities, \$15 million for Alaska Native and Native Hawaiian-serving Institutions, and \$100 million for Developing Hispanic-serving Institutions.
- \$25 million for other programs that support minority-serving institutions—\$15 million for Predominantly Black Institutions, \$5 million for Asian American and Native American Pacific Islander-serving Institutions, and \$5 million for Native American-serving Nontribal Institutions.

## HIGHER EDUCATION

### Aid for institutional development

(Higher Education Act of 1965, Title III)

(dollars in thousands)

FY 2016 Authorization: To be determined (discretionary)<sup>1</sup>, \$155,000 (mandatory)

Budget Authority:

	<u>2015</u>	<u>2016</u>	<u>Change</u>
Strengthening Institutions (Part A discretionary)	\$80,462	\$80,462	0
Strengthening Tribally Controlled Colleges and Universities			
(Part A discretionary)	25,662	25,662	0
(Part F mandatory)	27,810	30,000	+\$2,190
Strengthening Alaska Native and Native Hawaiian-serving Institutions			
(Part A discretionary)	12,833	12,833	0
(Part F mandatory)	13,905	15,000	+1,095
Strengthening Historically Black Colleges and Universities			
(Part B discretionary)	227,524	227,524	0
(Part F mandatory)	78,795	85,000	+6,205
Strengthening Historically Black Graduate Institutions (Part B discretionary)	58,840	58,840	0
Strengthening Predominantly Black Institutions			
(Part A discretionary)	9,244	9,244	0
(Part B mandatory)	13,905	15,000	+1,095
Strengthening Asian American and Native American Pacific Islander-serving Institutions			
(Part A discretionary)	3,113	3,113	0
(Part B mandatory)	4,635	5,000	+365
Strengthening Native American-serving Nontribal Institutions			
(Part A discretionary)	3,113	3,113	0
(Part B mandatory)	4,635	5,000	+365
Minority Science and Engineering Improvement Program (Part E discretionary)	<u>8,971</u>	<u>8,971</u>	<u>0</u>
Total	573,447	584,762	+11,315
Discretionary	429,762	429,762	0
Mandatory	143,685 <sup>2</sup>	155,000 <sup>2</sup>	11,315 <sup>2</sup>

<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

<sup>2</sup> Mandatory appropriations are provided under Title III, Part F, Section 371 of the HEA; these funds are, therefore, not part of the appropriations or budget request. The levels shown for 2015 reflect the 7.3 percent sequester of mandatory programs that went into effect on October 1, 2014, pursuant to the Budget Control Act of 2011.

## HIGHER EDUCATION

### Aid for institutional development

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#### PROGRAM DESCRIPTION

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

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

Strengthening Institutions (Part A, Section 311) authorizes competitions for 1-year planning grants and 5-year discretionary development grants. Special consideration is given to institutions that: have endowment funds with a market value per full-time equivalent student less than the market value of endowment funds per full-time equivalent student at similar institutions, and have below-average educational and general expenditures per full-time equivalent undergraduate student. Institutions receiving a 5-year grant under this part are not eligible to receive an additional grant under this part until 2 years after the 5-year grant has expired. Institutions may use their Part A funds to: plan, develop, and implement activities that encourage faculty and academic program development; 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

## HIGHER EDUCATION

### **Aid for institutional development**

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technological capabilities. Institutions may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. These endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar.

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

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

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

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

## HIGHER EDUCATION

### Aid for institutional development

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students' families; and developing or improving facilities for Internet use or other distance education technologies.

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

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

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

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

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

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of real property in connection with the construction, renovation, or addition to or improvement of campus facilities; education or financial information designed to improve the financial literacy and economic literacy of students or the students' families, especially with regard to student indebtedness and student assistance programs under Title IV; and services necessary for the implementation of projects or activities that are described in the grant application and that are approved, in advance, by the Department, except that not more than 2 percent of the grant amount may be used for this purpose.

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

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

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

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

Strengthening Historically Black Graduate Institutions (HBGIs) (Part B, Section 326) authorizes 5-year formula-based discretionary grants to the following 24 postgraduate institutions: Morehouse School of Medicine, Meharry Medical School, Charles R. Drew Postgraduate Medical School, Clark-Atlanta University, Tuskegee University School of Veterinary Medicine,

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Xavier University School of Pharmacy, Southern University School of Law, Texas Southern University School of Law and School of Pharmacy, Florida A&M University School of Pharmaceutical Sciences, North Carolina Central University School of Law, Morgan State University, Hampton University, Alabama A&M, North Carolina A&T State University, University of Maryland Eastern Shore, Jackson State University, Norfolk State University, Tennessee State University, Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie State University, and University of the District of Columbia David A. Clarke School of Law.

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

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

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

Of the amount appropriated: the first \$56.9 million (or any lesser amount appropriated) must be used to make grants to the first 18 HBGIs listed above; any amount appropriated in excess of \$56.9 million but less than \$62.9 million must be used to make grants to Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie State University, and University of the District of Columbia David A. Clarke School of Law. Any appropriated amount in excess of \$62.9 million must be made available to each of the 24 HBGIs pursuant to a formula using: (1) an institution's ability to match funds; (2) the number of students

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enrolled in the postgraduate program; (3) the average cost of education per student enrolled in the postgraduate program; (4) the number of students who received a degree from the postgraduate program in the previous year; and (5) the contribution of the institution as calculated by the ratio of programs for which the institution is eligible to receive funds to the number of African Americans receiving graduate or professional degrees in those programs.

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

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

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

- Has a high enrollment of needy students;
- Has an average educational and general expenditure per full-time equivalent undergraduate student that is low in comparison with the average educational and general expenditure per full-time equivalent undergraduate student of institutions of higher education that offer similar instruction;
- Has an enrollment of undergraduate students
  - That is at least 40 percent Black American students;
  - That is at least 1,000 undergraduate students;
  - Of which not less than 50 percent are low-income individuals or first-generation college students (as defined in Section 402A(h) of the HEA); and
  - Of which not less than 50 percent are enrolled in an educational program leading to a bachelor's or associate's degree that the institution is licensed to award by the State in which the institution is located;

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- 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.

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

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

The program authorizes grants that enable these institutions to improve and expand their capacity to serve Asian American and Native American Pacific Islander students and low-income individuals. Institutions may use their funds for the purchase, rental, or lease of scientific or laboratory equipment for educational purposes; renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; purchase of library books, periodicals, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; joint use of facilities, such as laboratories and libraries; academic tutoring and counseling programs and student support services; establishing or improving an endowment fund; academic instruction in disciplines in which Asian American and Native American Pacific Islanders are underrepresented; conducting research and data collection for Asian American and Native

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American Pacific Islander populations and subpopulations; establishing partnerships with community-based organizations serving Asian American and Native American Pacific Islanders; and education or counseling services designed to improve the financial and economic literacy of students or the students' families. If an Asian American or Native American Pacific Islander-serving institution receives funding under this program, it cannot receive funding under other sections of Part A or Part B of Title III or Title V of the HEA.

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

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

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

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

Under Section 371 of the HEA, \$5 million is available in mandatory funding in each of the fiscal years 2008 through 2019 to be used for the same activities authorized under Section 319 of the HEA. The mandatory funding authorized under Section 371 is available to the same institutions eligible for grants under the NASNTI program under Section 319. The authorized activities are the same for both programs, except that Section 371 does not include as an authorized activity

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education or counseling services designed to improve the financial and economic literacy of students or the students' families.

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

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$614,341 <sup>1</sup>
2012 .....	597,599 <sup>1</sup>
2013 .....	566,560 <sup>2</sup>
2014 .....	577,354 <sup>3</sup>
2015 .....	573,447 <sup>4</sup>

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

<sup>2</sup> Includes \$158,009 thousand in mandatory funds provided under the HEA.

<sup>3</sup> Includes \$154,512 thousand in mandatory funds provided under the HEA.

<sup>4</sup> Includes \$143,685 thousand in mandatory funds provided under the HEA.

### FY 2016 BUDGET REQUEST

For fiscal year 2016, the Administration requests \$429.8 million in discretionary funding for the Aid for Institutional Development programs, the same as the 2015 appropriation. In addition, \$155 million is available in mandatory funding in fiscal year 2016 for programs authorized under Section 371 of the Higher Education Act of 1965, as amended; these funds are not part of the fiscal year 2016 budget request. An important strategy in closing the gap in educational attainment between low-income and minority students and their high-income, non-minority peers is to strengthen the quality of educational opportunities in institutions dedicated to serving low-income and minority students. A significant number of postsecondary education institutions serving high percentages of minority students and students from low-income backgrounds face challenges that threaten their continued operation and ability to provide a high-quality education. The Administration is committed to assisting institutions enrolling a large proportion of disadvantaged students by providing funds to support, among other activities, improvements in academic quality, institutional management, administrative capacity and fiscal stability, infrastructure, and student support services. Grant funds may be used to plan, develop, and implement activities that encourage faculty and academic program development; 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.

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Given the key role that the institutions supported by the Title III programs serve in providing postsecondary educational opportunities to low-income and minority students, it is best for students if Title III funds are used in ways that are proven to improve student outcomes. For this reason, as with other higher education programs, the Department has begun to encourage the use of evidence-based practices in the Title III programs. Since fiscal year 2012, competitions for the Strengthening Institutions Program (SIP) have included priorities for projects that propose evidence-based practices. In fiscal year 2016, the Department plans to explore with institutions similar evidence related priorities in other Title III programs with competitions in that year.

- The Administration requests \$80.5 million for the Part A, Section 311 *Strengthening Institutions Program (SIP)*, the same as the fiscal year 2015 appropriation. This funding level would continue to support the Administration's commitment to assisting institutions that provide educational opportunities to low-income and minority students. SIP became the first HEA Title III program to include a priority for supporting programs, practices, or strategies for which there is strong or moderate evidence of effectiveness. SIP used the evidence priority in the awarding of new grants in each of the fiscal years 2012-2014. For the fiscal year 2015 SIP competition, the Department plans to continue this effort by including a competitive preference priority for projects supported by moderate evidence of effectiveness as defined by the What Works Clearinghouse. A competitive preference priority for practices supported by evidence would also likely be included in the fiscal year 2016 SIP competition. The Department is currently collecting information about the 2012-2014 grantees who received awards based on the evidence priority.

Data collected through annual performance reports will enable the Department to determine the amount of funding that sustained activities supported by the evidence that met the priority, the number of students being served by activities supported by the evidence that met the priority, the number of students served by other activities in the grant, any relationships to that of the institution's population, and whether the research evidence that earned grantees the extra points is consistent with what the grantees are actually implementing (in terms of target population, scope/intensity of the intervention).

The Department will incorporate findings around the effectiveness of the evidence priority when making decisions about priorities for fiscal year 2016. The Department recently published revisions to Education Department General Administrative Regulations (EDGAR) (FR Vol. 78, No. 156 dated August 13, 2013) to improve the Department's ability to evaluate the performance of discretionary grant programs and grantee projects; support, where appropriate, projects that have evidence of effectiveness; review grant applications using selection factors that promote policy objectives related to project evaluation, sustainability, productivity, and strategy to scale; and reduce burden on grantees in selecting implementation sites, implementation partners, or evaluation service providers for their proposed projects.

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- The request includes \$25.7 million for the Part A, Section 316 *Strengthening Tribally Controlled Colleges and Universities (TCCUs)* program, the same as the fiscal year 2015 level. There are 34 fully accredited Tribal Colleges and Universities in the United States. Three additional universities are in Associate Status, meaning a tribal college seeking formal accreditation candidacy status. TCCUs are located mainly in the Midwest and Southwest. The majority of TCCUs are 2-year schools. TCCUs are located primarily in remote areas not served by other postsecondary education institutions. They offer a broad range of degree and vocational certificate programs to students for whom these educational opportunities would otherwise be geographically and culturally inaccessible.

A serious problem at all TCCUs is physical infrastructure. Many of the schools were established in old and dilapidated buildings that were formerly post offices, warehouses or elementary schools. Many of these facilities are insufficient, technologically deficient, and unsuited for continued use as academic buildings. Grantees may conduct construction-related activities to improve facilities under their approved individual development grants. Over the previous decade, the total enrollment in TCCUs increased by 55 percent, from 13,680 in fall 2000 to 21,225 in fall 2010. However, enrollment decreased to 18,881 in 2012 (2,344 fewer students when compared to enrollment in 2010). In 2012, nearly 14,765 students in TCCUs were American Indian/Alaska Native, representing 78.2 percent of total enrollment.

Approximately 11 percent of all American Indian/Alaska Native college students were enrolled in TCCUs in 2012. American Indian/Alaska Native enrollment at TCCUs increased at a faster rate between 2000 and 2011 than did American Indian/Alaska Native college and university enrollment generally (29.1 percent versus 18.5 percent). The traditional college-age population rose 11 percent between 2000 and 2012, and the percentage of 18- to 24-year-olds enrolled in college rose from 35.5 percent in 2000 to 41 percent in 2012. Between 1999–2000 and 2011–2012, the number of degrees conferred at postsecondary institutions rose at all levels. The number of bachelor's degrees was 44 percent higher, the number of master's degrees was 59 percent higher, and the number of doctoral degrees was 42 percent higher. Despite the overall increases in college enrollment and degree attainment, American Indian/Alaska Native students continue to lag behind their White cohorts in overall educational attainment. In 2011–2012, American Indian/Alaska Natives earned only 0.7 percent of the bachelor's degrees, 0.6 percent of the master's degrees, and 0.6 percent of doctoral degrees awarded in the United States, though American Indian/Alaska Natives comprise 1.7 percent of the population.

In addition, under Section 371 of the HEA, \$30 million is available in mandatory funding for TCCUs in fiscal year 2016. The Department will award funding to all eligible TCCUs using the formula outlined in the program statute.

- The request includes \$12.8 million for discretionary grants under Part A, Section 317 for the *Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH)* program, the same as the fiscal year 2015 appropriation. Like TCCUs, ANNH institutions are typically located in remote areas not served by other postsecondary educational institutions. Between 1990 and 2012, American Indian/Alaska Native enrollment at institutions of higher education

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increased from 102,800 students to 172,900 students; and Asian/Pacific Islander enrollment increased from 572,400 to nearly 1.3 million. The Department will also award grants using \$15 million in mandatory funding provided under Section 371 of the HEA.

- The Administration requests \$227.5 million for the *Strengthening Historically Black Colleges and Universities (HBCUs)* program under Part B, Section 323, the same as the fiscal year 2015 appropriation. In addition, the Administration requests \$58.8 million for the *Strengthening Historically Black Graduate Institutions (HBGIs)* program under Part B, Section 326, the same as the fiscal year 2015 appropriation. The fiscal year 2016 request demonstrates the Administration's continued support of HBCUs and HBGIs, which play a unique and vital role in providing higher education opportunities to minority and disadvantaged students. The Nation's 105 designated HBCUs make up nearly 3 percent of all Title IV eligible colleges and universities that grant associate's or higher and, in 2012, enrolled 312,438 African American students, or nearly 10.5 percent of all African American students in higher education. The National Center for Education Statistics (NCES) reports that approximately 16 percent of the African Americans who currently hold undergraduate degrees earned their credential from an HBCU.

African American enrollment at institutions of higher education almost tripled between 1976 and 2012 from about 1 million students to nearly 3 million students. Despite the increases in college enrollment and degree attainment, African American students continue to lag behind the national average in overall educational attainment. In 2011-2012, African Americans earned only 10.7 percent of the bachelor's degrees, 12.8 percent of the master's degrees, and 7.8 percent of doctoral degrees awarded in the United States, though 13 percent of the United States population identified as African American. Further, African American student participation in and completion of advanced programs in the physical and natural sciences, engineering, and mathematics continues to be low. Part B funding increases the capacity of HBCUs and HBGIs to provide such programs.

Grants provided under the Title III, Part B programs enable HBCUs and HBGIs to continue serving a growing population of students, encourage and prepare more African American students to pursue advanced study, and improve their academic quality, institutional management, and fiscal stability.

Mandatory funding of \$85 million is also made available under Section 371 of the HEA for HBCUs in fiscal year 2016.

- The request includes \$9.2 million for Part A, Section 318 *Strengthening Predominantly Black Institutions (PBIs)* program, the same as the fiscal year 2015 appropriation. PBIs are primarily urban and rural 2-year colleges where at least 40 percent of students are African American and at least 50 percent are low-income or first-generation college students.

In addition, Section 371 of the HEA makes available \$15 million in fiscal year 2016 for PBIs.

- The request includes \$3.1 million in discretionary funds for Part A, Section 320 *Strengthening Asian American and Native American Pacific Islander-serving Institutions (AANAPISIs)* program, the same as the fiscal year 2015 appropriation. Most AANAPISI

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institutions are junior and community colleges where nearly half (47 percent) of students are AAPI. AANAPISI-eligible institutions enroll 75 percent of low-income AAPI undergraduate students in higher education. They also serve communities with disproportionately high numbers of English language learners and individuals with low academic achievement.

Mandatory funding of \$5 million is also provided under Section 371 of the HEA for AANAPISIs in fiscal year 2016.

- The request includes \$3.1 million in discretionary funds for Part A, Section 319 *Strengthening Native American-serving Nontribal Institutions (NASNTIs)* program, the same as the fiscal year 2015 appropriation. While NASNTIs are not designated as TCCUs, at least 10 percent of the students enrolled at these institutions are Native American and additionally, at least 50 percent low-income. With increasing enrollment at institutions of higher education, nontribal institutions of higher education that serve large populations of Native American students require resources to improve and expand their capacity to serve the unique and diverse needs of their Native American student population.

In fiscal year 2016, mandatory funding of \$5 million is also appropriated under Section 371 of the HEA for NASNTIs.

- The Administration requests \$9 million for the *Minority Science and Engineering Improvement Program*, the same as the fiscal year 2015 appropriation. This request would maintain support for the improvement of science, technology, engineering, and mathematics programs at institutions of higher education enrolling large numbers of minority students and would further the Administration's efforts to increase access to a quality higher education for individuals from underrepresented minority groups. According to the "Science and Engineering Indicators 2014" (NSB 14-01), published by the National Science Board, between 2000 and 2011:
  - The proportion of science and engineering (S&E) bachelor's degrees awarded to African American students held steady at 9 percent and the proportion of S&E master's degrees awarded rose from 8 percent to 10 percent. In comparison, African Americans comprise 13 percent of the U.S. population and 15 percent of postsecondary enrollment.
  - The proportion of S&E bachelor's degrees awarded to Hispanic students rose from 7 percent to 10 percent and the proportion of S&E master's degrees awarded rose from 5 percent to 8 percent. In comparison, Hispanics comprise 16 percent of the U.S. population and 15 percent of postsecondary enrollment.
  - The proportion of S&E master's degrees awarded to American Indians/Alaska Natives from 0.5 percent to 0.6 percent. In comparison, American Indians/Alaska Natives comprise 1 percent of the U.S. population and 1 percent of postsecondary enrollment.

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Strengthening Institutions:</b>			
Number of new development awards	35	39	30
Average new development award	\$422	\$503	\$452
Total new development award funding	\$14,781	\$19,598 <sup>1</sup>	\$13,568
Number of new evidence awards	5	---	---
Average new evidence award	\$1,644	---	---
Total new evidence award funding	\$8,218	---	---
Number of NCC development awards	130	123	126
Average NCC development award	\$384	\$395	\$414
Total NCC development award funding	\$49,890	\$46,186	\$52,216
Number of NCC evidence awards	6	11	11
Average NCC evidence award	\$1,042	\$1,261	\$1,261
Total NCC evidence award funding	\$6,250	\$13,874	\$13,874
Peer review of new award applications	0	\$804	\$804
Total award funding (Section 311)	\$79,139 <sup>2</sup>	\$80,462	\$80,462
Total award funding	176	167	163
<b>Strengthening TCCUs:</b>			
Discretionary funding:			
Number of new development awards	0	34	0
Average new development award	0	\$754	0
Total new development award funding	0	\$25,622	0
Number of NCC development awards	34	0	34
Average NCC development award	\$742	0	\$754
Total NCC development award funding	\$25,239	0	\$25,622
Mandatory funding:			
Number of new development awards	0	0	34
Average new development award	0	0	\$882
Total new development award funding	0	0	\$30,000

<sup>1</sup> Includes funds to support projects in which applicants propose activities using strategies that are supported by moderate evidence of effectiveness.

<sup>2</sup> Instead of conducting a new competition in fiscal year 2014, the Department funded down the fiscal year 2013 grant slate to make new awards in fiscal year 2014 because a significant number of high-quality applicants remained on the fiscal year 2013 slate.

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### Aid for institutional development

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Strengthening TCCUs (cont'd):</b>			
Number of NCC development awards	34	34	0
Average NCC development award	\$819	\$818	0
Total NCC development award funding	\$27,840	\$27,810	0
Total award funding	\$53,079	\$53,432	\$55,622
Discretionary (Section 316)	\$25,239	\$25,622	\$25,622
Mandatory (Section 371)	\$27,840	\$27,810	\$30,000
Total number of awards (discretionary & mandatory)	68	68	68
<b>Strengthening Alaska Native and Native Hawaiian-serving Institutions: Discretionary funding</b>			
<b>Individual development awards</b>			
Number of new Alaska Native-serving awards	3	6	0
Average new Alaska Native-serving award	\$700	\$700	0
Total new Alaska Native-serving award funding	\$2,099	\$4,200	0
Number of new Native Hawaiian-serving awards	0	6	0
Average new Native Hawaiian-serving award	0	\$700	0
Total new Native Hawaiian-serving award funding	0	\$4,200	0
Number of NCC Alaska Native-serving awards	6	3	9
Average NCC Alaska Native-serving award	\$626	\$766	\$700
Total NCC Alaska Native-serving award funding	\$3,758	\$2,297	\$6,299
Number of NCC Native Hawaiian-serving awards	5	0	6
Average NCC Native Hawaiian-serving award	\$769	0	\$754
Total NCC Native Hawaiian-serving award funding	\$3,843	0	\$4,523
<b>Cooperative arrangement development awards</b>			
Number of new Alaska Native-serving awards	0	1	0
Average new Alaska Native-serving award	0	\$1,005	0
Total new Alaska Native-serving award funding	0	\$1,005	0
Number of new Native Hawaiian-serving awards	0	1	0
Average new Native Hawaiian-serving award	0	\$1,006	0
Total new Native Hawaiian-serving award funding	0	\$1,006	0
Number of NCC Alaska Native-serving awards	1	0	1
Average NCC Alaska Native-serving award	\$896	0	\$1,005
Total NCC Alaska Native-serving award funding	\$896	0	\$1,005

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Strengthening Alaska Native and Native Hawaiian-serving Institutions (cont'd):</b>			
Number of NCC Native Hawaiian-serving awards	2	0	1
Average NCC Native Hawaiian-serving award	\$793	0	\$1,006
Total NCC Native Hawaiian-serving award funding	\$1,585	0	\$1,006
Peer review of new award applications	\$26	\$125	0
Other (including supplemental awards)	\$415	0	0
Mandatory funding:			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$24,718	\$24,300	\$22,057
<b>Individual development awards</b>			
Number of new Alaska Native-serving awards	1	0	0
Average new Alaska Native-serving award	\$473	0	0
Total new Alaska Native-serving award funding	\$473	0	0
Number of NCC Alaska Native-serving awards	0	1	1
Average NCC Alaska Native-serving award	0	\$548	\$571
Total NCC Alaska Native-serving award funding	0	\$548	\$571
<b>Renovation development awards</b>			
Number of new Alaska Native-serving awards	2	0	0
Average new Alaska Native-serving award	\$1,083	0	0
Total new Alaska Native-serving award funding	\$2,165	0	0
Number of new Native Hawaiian-serving awards	8	2	2
Average new Native Hawaiian-serving award	\$1,453	\$1,408	\$1,742
Total new Native Hawaiian-serving award funding	\$11,623	\$2,815	\$3,483
Number of NCC Native Hawaiian-serving awards	0	8	8
Average NCC Native Hawaiian-serving award	0	\$1,735	\$1,392
Total NCC Native Hawaiian-serving award funding	0	\$13,880	\$11,134
Peer review of new award applications	\$62	0	0
Total award funding:			
Discretionary (Section 317)	\$26,542	\$26,738	\$27,833
Mandatory (Section 371)	\$12,622	\$12,833	\$12,833
	\$13,920	\$13,905	\$15,000
Mandatory (Section 371) estimated carryover (funds remaining at the end of the fiscal year)	\$10,395 <sup>1</sup>	\$7,057 <sup>1</sup>	\$8,869 <sup>1</sup>
Total number of awards (discretionary and mandatory)	28	30	30

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

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Strengthening HBCUs:</b>			
Discretionary funding:			
Number of NCC awards	96	96	96
Average NCC award	\$2,331	\$2,371	\$2,371
Total NCC award funding	\$223,783	\$227,524	\$227,524
Mandatory funding:			
Number of new awards	0	0	96
Average new award	0	0	\$885
Total new award funding	0	0	\$85,000
Number of NCC awards	96	96	0
Average NCC award	\$822	\$821	0
Total NCC award funding	\$78,880	\$78,795	0
Total award funding	\$302,663	\$306,319	\$312,524
Discretionary (Section 323)	\$223,783	\$227,524	\$227,524
Mandatory (Section 371)	\$78,880	\$78,795	\$85,000
Total number of awards (discretionary and mandatory)	192	192	192
<b>Strengthening HBGIs:</b>			
Number of new awards	19	0	0
Average new award	\$1,850	0	0
Total new award funding	\$35,142	0	0
Number of NCC awards	5	24	24
Average NCC award	\$4,740	\$2,452	\$2,452
Total NCC award funding	\$23,698	\$58,840	\$58,840
Total award funding (Section 326)	\$57,872	\$58,840	\$58,840
Total number of awards	24	24	24
<b>Strengthening Predominantly Black Institutions</b>			
Discretionary funding (formula-based):			
Number of new development awards	0	0	35
Average new development awards	0	0	\$264
Total new development awards	0	0	\$9,244
Number of NCC development awards	35	35	0
Average NCC development award	\$260	\$264	0
Total NCC development award funding	\$9,092	\$9,244	0

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Strengthening Predominantly Black Institutions (cont'd):</b>			
Mandatory funding (competitive):			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$28,155	\$27,825	\$28,905
Number of new development awards	0	27	0
Average new development awards	0	\$515	0
Total new development awards	0	\$13,905	0
Number of NCC development awards	27	0	27
Average NCC development award	\$516	0	\$556
Total NCC development award funding	\$13,920	0	\$15,000
Total award funding	\$23,327	\$23,012	\$22,997
Discretionary (Section 318)	\$9,092	\$9,244	\$9,244
Mandatory (Section 371)	\$14,235	\$13,920	\$13,905
Mandatory (Section 371) estimated carryover (mandatory funds remaining at the end of the fiscal year)	\$13,920 <sup>1</sup>	\$13,905 <sup>1</sup>	\$15,000 <sup>1</sup>
Total number of awards (discretionary and mandatory)	62	62	62
<b>Strengthening Asian American and Native American Pacific Islander-serving Institutions:</b>			
Discretionary funding:			
Number of new development awards	0	8	0
Average new development award	0	\$385	0
Total new development award funding	0	\$3,082	0
Number of NCC development awards	8	0	8
Average NCC development award	\$336	0	\$389
Total NCC development award funding	\$2,684	0	\$3,113
Other (including supplemental awards)	\$318	0	0
Peer review of new awards applications	0	\$31	0

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

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Strengthening Asian American and Native American Pacific Islander-serving Institutions (cont'd):</b>			
Mandatory funding:			
Total mandatory (Section 371) funds available for obligation at the start of the year	\$9,385	\$9,275	\$9,635
Number of new development awards	0	0	11
Average new development awards	0	0	\$417
Total new development awards	0	0	\$4,589
Number of NCC development awards	11	11	0
Average NCC development award	\$383	\$356	0
Total NCC development award funding	\$4,217	\$3,919	0
Other (including supplemental awards)	\$515	\$721	0
Peer review of new awards applications	0	0	\$46
Total award funding	\$7,807	\$7,753	\$7,748
Discretionary (Section 320)	\$3,062 <sup>1</sup>	\$3,113	\$3,113
Mandatory (Section 371)	\$4,745 <sup>2</sup>	\$4,640	\$4,635
Mandatory (Section 371) estimated carryover (mandatory funds remaining at the end of the fiscal year)	\$4,640 <sup>3</sup>	\$4,635 <sup>3</sup>	\$5,000 <sup>3</sup>
Total number of awards (discretionary and mandatory)	19	19	19
<b>Strengthening Native American-serving Nontribal Institutions:</b>			
Discretionary funding:			
Number of new development awards	0	8	0
Average new development award	0	\$385	0
Total new development award funding	0	\$3,082	0
Number of NCC development awards	6	0	8
Average NCC development award	\$374	0	\$346
Total NCC development award funding	\$2,241	0	\$3,113
Other (including supplemental awards)	\$821	0	0

<sup>1</sup> Of this amount, \$13,838 will remain unobligated at the end of the fiscal year. This amount remains after satisfying all requests for supplemental funding from continuation grantees.

<sup>2</sup> Of this amount, \$60,512 will remain unobligated at the end of the fiscal year. This amount remains after satisfying all requests for supplemental funding from continuation grantees.

<sup>3</sup> Unobligated mandatory funding will be carried over for obligation in the succeeding fiscal year.

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Strengthening Native American-serving Nontribal Institutions (cont'd):</b>			
Peer review of new awards applications	0	\$31	0
Mandatory funding:			
Total mandatory (Section 371) funds available for obligation at the start of the fiscal year	\$9,385	\$9,275	\$9,635
Number of new development awards	0	0	11
Average new development awards	0	0	\$417
Total new development awards	0	0	\$4,589
Number of NCC development awards	13	13	0
Average NCC development award	\$365	\$357	0
Total NCC development award funding	\$4,745	\$4,640	0
Other (including supplemental awards)	0	0	0
Peer review of new awards applications	0	0	\$46
Total award funding (discretionary and mandatory)	\$7,807	\$7,753	\$7,748
Discretionary (Section 319)	\$3,062	\$3,113	\$3,113
Mandatory (Section 371)	\$4,745	\$4,640	\$4,635
Mandatory (Section 371) estimated carryover (mandatory funds remaining at the end of the fiscal year)	\$4,640 <sup>1</sup>	\$4,635 <sup>1</sup>	\$5,000 <sup>1</sup>
Total number of awards (discretionary and mandatory)	19	21	21
<b>Minority Science and Engineering Improvement Program:</b>			
Number of new awards	13	12	12
Average new award	\$232	\$255	\$233
Total new award funding	\$3,019 <sup>2</sup>	\$3,061	\$2,801
Number of NCC awards	25	26	25
Average NCC award	\$238	\$224	\$243
Total NCC award funding	\$5,952	\$5,820	\$6,080
Peer review of new awards applications	0	\$89	\$89
Total award funding	\$8,971	\$8,971	\$8,971
Total number of awards	38	38	37

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

<sup>2</sup> Instead of conducting a new competition in fiscal year 2014, the Department intends to fund down the fiscal year 2013 grant slate to make new awards in fiscal year 2014 because a significant number of high-quality applicants remain on the fiscal year 2013 slate.

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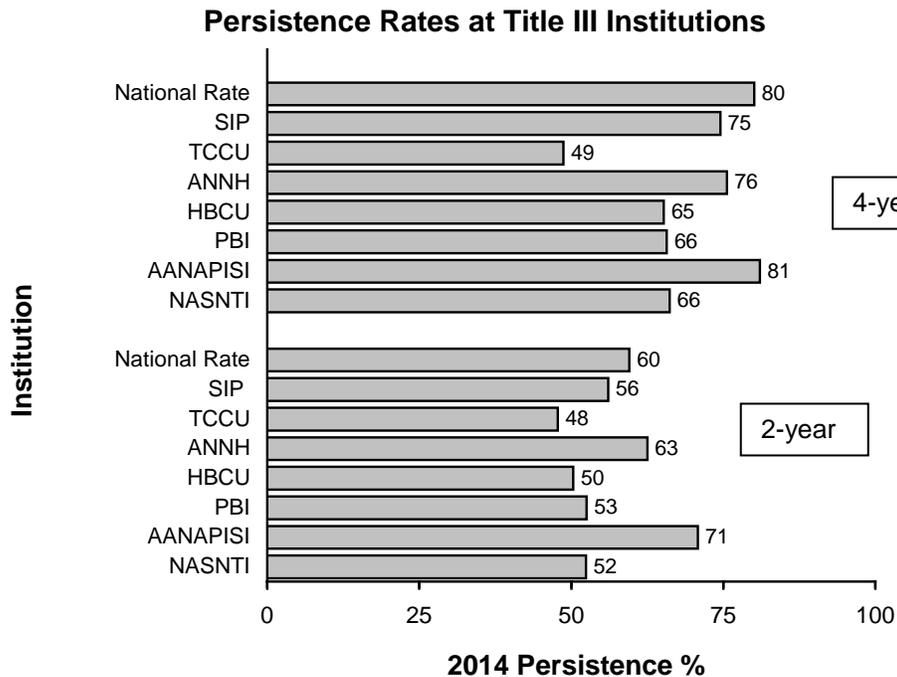
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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

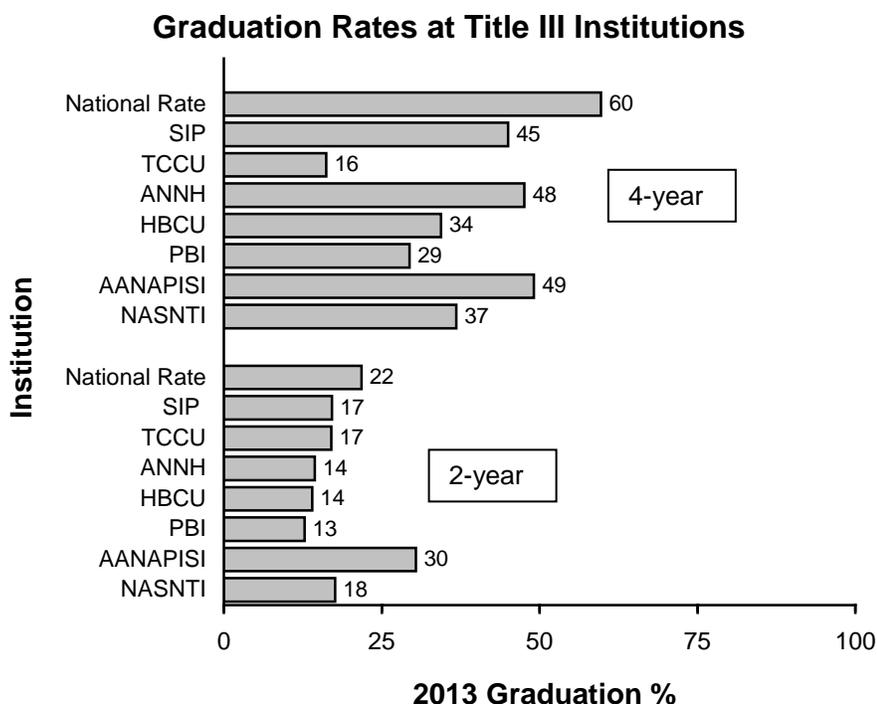
This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2016 and future years, as well as the resources and efforts invested by those served by the programs.

AANAPISI grantee institutions had the highest persistence rates in 2013 for 4-year and 2-year Title III institutions (81 percent and 71 percent, respectively), exceeding the national rate of 80.1 percent and 59.6 percent, respectively. In addition, AANAPISI grantee institutions had the highest graduation rates for 4-year and 2-year grantee institutions—49 percent and 31 percent versus national rates of 59.7 percent and 21.8 percent in 2012, respectively. The performance results at AANAPISI grantee institutions do not provide a clear picture because many diverse subgroups make up the AANAPI population. The educational results of low-achievement subgroups are overshadowed by others in the same category that have high-achievement levels. All national persistence and graduation rates reflected below are estimates based on preliminary data from NCES/Integrated Postsecondary Education Data Systems (IPEDS) and subject to minor changes.



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

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

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

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

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated

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against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). The initial target of 6.4 percent for 2013 reflects the anticipated percentage increase in enrollment over the period fiscal year 2008-2013 based on actual enrollment data from grantees receiving continuation funding in fiscal year 2008 which, at the time, was 5.1 percent. The actual enrollment data generating the percentage changes displayed under actual values in the table above are as follows:

Awards from 2004-2007 (147 grantees)		Awards from 2008-2012 (150 grantees)		Awards from 2013-2017 (155 grantees)	
2004	382,890	2008	435,686	2013	581,340
2005	391,272	2009	454,477	2014	559,964
2006	363,609	2010	493,315		
2007	395,897	2011	511,882		
2008	402,507	2012	499,414		
		2013	484,943		
<b>Change</b>	<b>5.1%</b>	<b>Change</b>	<b>11.3%</b>		

Student enrollment at SIP-grantee institutions in 2008 was used to calculate the percentage change against student enrollment at SIP-grantee institutions in the base year 2004. Likewise, student enrollment at SIP-grantee institutions in 2013 was used to calculate the percentage change against student enrollment in the base year 2008. Enrollment data for 2018 will reflect the anticipated percentage increase in enrollment for the full set of SIP institutions receiving continuation grants in fiscal year 2018, i.e., grantees who receive new awards in fiscal years 2013-2017. Even though the SIP program awarded approximately the same number of grants in 2004-2007 and 2008-2012, the average enrollment rates vary greatly. This is more than likely due to the length of time used to measure each cohort—the average enrollment rate for the 2008 data year is measured over 4 years, while the average enrollment rate for the 2013 data year is measured over 5 years. Only 6 institutions received funding from both the 2004-2007 period and the 2008-2012 period.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	72.0%	74.0%	62.0%	57.0%
2012	73.0	73.0	62.0	57.0
2013	74.0	72.0	62.0	55.0
2014	74.0	74.5	62.0	56.0
2015	74.5		62.5	
2016	74.5		62.5	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	50.0%	46.0%	23.0%	20.0%
2012	50.5	46.0	23.0	19.0
2013	51.0	45.0	24.0	17.0
2014	51.5		24.0	
2015	52.0		24.5	
2016	52.5		25.0	

**Additional information:** Persistence at 4-year SIP institutions falls short of the target set for 2014 and is 5.6 percentage points lower than persistence rates at all 4-year public and private schools (80.1 percent). In addition, the current performance level for 2-year SIP institutions is 3.6 percentage points lower than the rate for all 2-year public and private schools nationally (59.6 percent). Persistence data for 2015 will be available in December 2015.

The targets on the 4-year graduation measure for fiscal year 2011 and beyond will serve to gradually narrow the gap between program and national (59.7 percent) performance. Graduation rates at 2-year SIP grantee institutions is comparable to the graduation rate at TCCUs, but falls short of the national graduation rate at 2-year public and private institutions (21.8 percent). Graduation data for 2013-2014 will be available in December 2015.

**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	TBD	

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

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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). The actual enrollment data generating the percentage changes displayed under actual values in the table above are as follows:

Awards from 2003-2007 (30 grantees)		Awards from 2008-2012 (32 grantees)		Awards from 2013-2017 (34 grantees)	
2003	7,776	2008	9,741	2013	11,419
2004	9,249	2009	9,433	2014	12,845
2005	9,608	2010	11,674		
2006	9,038	2011	12,759		
2007	9,294	2012	11,581		
2008	9,666	2013	11,228		
Change	24.3%	Change	15.3%		

Student enrollment at TCCUs in 2008 was used to calculate the percentage change against student enrollment at TCCUs in the base year 2003. Likewise, student enrollment at TCCUs institutions in 2013 was used to calculate the percentage change against student enrollment in the base year 2008. Enrollment for data year 2018 will reflect the anticipated percentage increase in enrollment for the TCCUs receiving funding in fiscal year 2018, i.e., grantees who receive funding in fiscal years in 2013-2017. The 2013 data year includes 2 additional TCCUs—Tohono O’odham Community College and Ilisagvik College—than student enrollment from data year 2008. Enrollment data for 2018 will reflect the anticipated percentage increase in enrollment for TCCUs receiving funding in fiscal year 2018 with the addition of 2 additional TCCUs—Keweenaw Bay Ojibwa Community College and College of the Muscogee Nation.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	49.0%	50.0%	51.0%	41.0%
2012	49.0	48.0	51.0	43.0
2013	50.0	50.0	52.0	43.0
2014	50.0	49.0	52.0	48.0
2015	50.0		52.0	
2016	50.5		52.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	37.0%	11.0%	27.0%	16.0%
2012	16.5	13.0	28.0	22.0
2013	17.0	16.0	28.0	17.0
2014	17.0		28.0	
2015	17.0		28.0	
2016	17.0		28.0	

**Additional information:** The 2014 persistence rate at 4-year TCCUs is 3 percentage points higher than the 2013 rate and fall short of the target set for 2014. However, the persistence rate at 2-year TCCUs falls short of the target set for 2014 of 52 percent, but 5 percentage points above the 2013 persistence rate.

Although, the 2013 graduation rates at 4-year TCCUs exceed the 2012 rates by 3 percentage points, they fall short of the target by 1 percentage point. The 4-year and 2-year graduation rates fail to meet the national rate (21.3 percent) by 5 and 4 percentage points, respectively. Graduation data for 2013-2014 will be available in December 2015. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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

Year	Target	Actual
2008		-1.7% (5-year change)
2013	0	13.4% (5-year change)
2018	TBD	

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

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enrollment over the performance period. The actual enrollment data generating the percentage changes displayed under actual values in the table above are as follows:

Awards from 2003-2007 (11 grantees)		Awards from 2008-2012 (11 grantees)		Awards from 2013-2017 (9 grantees)	
2003	13,638	2008	23,438	2013	24,632
2004	13,739	2009	23,933	2014	21,414
2005	13,717	2010	25,606		
2006	13,695	2011	26,343		
2007	13,529	2012	26,325		
2008	13,407	2013	26,580		
<b>Change</b>	<b>-1.7%</b>	<b>Change</b>	<b>13.4%</b>		

Student enrollment at ANNH-grantee institutions in 2008 was used to calculate the percentage change against student enrollment at ANNH-grantee institutions in the base year 2003. Likewise, student enrollment at ANNH-grantee institutions in 2013 was used to calculate the percentage change against student enrollment in the base year 2008. Enrollment for data year 2018 will reflect the anticipated percentage increase in enrollment for ANNH-grantee institutions receiving continuation funding in fiscal year 2018, i.e., grantees who receive new awards in fiscal year in 2013-2017. Even though the both cohorts represented above awarded the same number of grants, one institution (the University of Hawaii at Manoa) in the 2008-2012 cohort enrolled over 11,000 students each year between 2008-2012.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011		76.0%		57.0%
2012	76.5%	75.0	59.0%	63.0
2013	77.0	75.0	59.5	64.0
2014	77.0	76.0	59.5	62.0
2015	77.5		71.0	
2016	77.5		71.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	30.0%	46.0%	16.0%	16.0%
2012	46.5	47.0	16.0	15.0
2013	47.0	47.0	16.0	14.0
2014	47.0		16.0	
2015	47.5		16.5	
2016	47.5		16.5	

**Additional information:** The 2014 persistence rate at 4-year ANNH grantee institutions (76 percent) which is comparable to the 2013 persistence rate, but falls short of the national persistence rate at 4-year public and private schools (80.1 percent). The 2014 persistence rate at 2-year ANNH grantee institutions (62 percent) exceeds the target set for 2013 (59.5 percent) and the national rate (59.7 percent). ANNH-grantees had the second highest persistence rate for 2-year Title III institutions.

Data for only four 2-year grantees were used to calculate the graduation rate for 2013. The graduation rate for 4-year ANNHs (47 percent) met the target set for 2013 (47 percent) and is comparable to the 4-year graduation rate at SIP grantee institutions (45 percent). Both lag behind national graduation rates at 4-year and 2-year public and private schools (59.7 percent and 21.8 percent, respectively). Graduation data for 2013-2014 will be available in December 2015. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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

Year	Target	Actual
2008		8.0% (5-year change)
2013	8.0%	-0.3% (5-year change)
2018	TBD	

**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess

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progress against targets periodically (about every 5 years). The initial target of 8 percent for 2013 reflects the anticipated percentage increase in enrollment over the period fiscal year 2008-2013 based on actual enrollment data from HBCUs receiving funding in fiscal year 2008 (96 institutions). The actual enrollment data generating the percentage changes displayed under actual values in the table above are as follows:

Awards from 2003-2007 (97 grantees)		Awards from 2008-2012 (96 grantees)		Awards from 2013-2017 (94 grantees)	
2003	200,369	2008	217,628	2013	222,919
2004	217,738	2009	218,676	2014	216,282
2005	220,705	2010	228,399		
2006	219,454	2011	230,847		
2007	216,782	2012	226,493		
2008	216,207	2013	217,080		
<b>Change</b>	<b>8.0%</b>	<b>Change</b>	<b>-0.3%</b>		

Student enrollment at HBCUs in 2008 was used to calculate the percentage change against student enrollment at HBCUs in the base year 2003. Likewise, student enrollment at HBCUs in 2013 was used to calculate the percentage change against student enrollment in the base year 2008. Enrollment for data year 2018 will reflect the anticipated percentage increase in enrollment for HBCUs receiving funding in fiscal year 2018.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	68.0%	66.0%	56.5%	50.0%
2012	68.5	65.0	57.0	57.0
2013	69.0	65.0	57.0	53.0
2014	69.0	65.0	57.0	50.0
2015	69.5		57.5	
2016	69.5		57.5	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	40.0%	33.0%	15.0%	17.0%
2012	40.0	33.0	16.0	15.0
2013	40.0	34.0	16.5	14.0
2014	40.0		17.0	
2015	40.0		17.5	
2016	40.0		17.5	

**Additional information:** The 2014 persistence rates at 4-year HBCUs (65 percent) and 2-year HBCUs (50 percent) currently lag behind national persistence rates for 4-year public and private schools is (80.1 percent) and 2-year public and private schools (59.6 percent). Both 4-year and 2-year HBCUs missed the targets set for 2014 by 4 and 7 percentage points, respectively. Persistence data for 2015 will be available December 2015.

The graduation rate for 2-year HBCUs falls short of the target set for 2013 by 2.5 percentage points and the national rate by nearly 8 percentage points. Graduation data for 2013-2014 will be available in December 2015. The graduation rate at 4-year HBCUs is comparable to the rates at PBIs (13 percent) and ANNH-grantee institutions (15 percent). Performance data for these measures are derived from electronic annual performance reports from grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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

Year	Target	Actual
2008		13.0%
2013	13.0%	22.0
2018	TBD	

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

Year	Target	Actual
2011	4,870	6,509
2012	4,967	6,720
2013	6,500	7,250
2014	6,600	
2015	6,700	
2016	6,800	

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**Additional information:** The data used to calculate this performance measure come from NCES/IPEDS. Enrollment is a long-term measure that focuses on changes in enrollment rather than the absolute numbers of students enrolled. The Department uses fall enrollment data for all full-time degree-seeking undergraduate students and tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. The Department will only assess progress against targets periodically (about every 5 years). Student enrollment at the original 18 HBGIs in 2008 (11,144) was used to calculate the percentage change against student enrollment at those HBGIs in the base year 2003 (9,860). Student enrollment for 2013 is for the 5-year grant period 2008-2012 and includes 6 additional HBGIs added in 2008 when the HEA was reauthorized. These include: Alabama State University, Prairie View A&M University, Delaware State University, Langston University, Bowie State University, and the University of the District of Columbia David A. Clarke School of Law. Student enrollment at the 24 HBGIs grew by 22 percent, from 12,744 in 2008 to 15,535 in 2013, exceeding the target set for 2013 for student enrollment by 9 percentage points. The next enrollment period, fiscal years 2013-2018, will be based upon the fiscal year 2014-2017 actual experience.

The program's performance exceeded the target set for 2013 for degree completion. Data for 2014 will be available in December 2015. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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

Year	Target	Actual
2011		15.6% (1-year change)
2016	TBD	

**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. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at PBI grantee institutions in 2011 (59,908) was used to calculate the percentage change against student enrollment at PBIs in the base year 2008 (56,629). The target for 2016 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2011-2015. Thus far, the change in enrollment for fiscal years 2011-2014 has decreased by 6.4 percent.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011		69.0%		52.0%
2012	72.0%	72.0	54.0%	53.0
2013	72.5	71.0	54.5	50.0
2014	73.0	66.0	54.5	52.0
2015	73.0		55.0	
2016	73.0		55.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011		33.0%		14.0%
2012	29.0%	35.0	13.0%	14.0
2013	29.5	29.0	13.5	13.0
2014	29.5		13.5	
2015	30.0		14.0	
2016	30.0		14.0	

**Additional information:** The 2014 persistence rates at 4-year and 2-year PBIs lag behind the national 2014 persistence rates; and did not meet the targets set for 2014. The 2013 graduation rate at 4-year PBIs meets the target set for 2013, but is nearly 6 percentage points lower than the 2012 rates. The graduation rate at 2-year PBIs is comparable to the rates at ANNH-grantee institutions (14 percent). Graduation data for 2013-2014 will be available in December 2015. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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

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**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	TBD	

**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 target for 2016 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2011-2015. Thus far, the change in enrollment for fiscal years 2011-2014 is 10.8 percent.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011		79.0%		69.0%
2012	80.0%	77.0	70.0%	73.0
2013	80.0	81.0	70.0	71.0
2014	80.0	81.0	70.0	71.0
2015	80.5		70.5	
2016	81.0		71.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011		48.0%		27.0%
2012	48.0%	49.0	23.0%	31.0
2013	48.5	49.0	23.0	30.0
2014	48.5		23.0	
2015	49.0		23.0	
2016	49.5		23.0	

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**Additional information:** The performance rate of AANAPISI-grantee institutions exceeded the 2014 targets set for persistence and the 2013 targets set for graduation. In addition, AANAPISI-grantee institutions exceeded the national persistence rate for 4-year (80.1 percent) and 2-year (59.6 percent) public and private schools by 1.5 percent and 11.5 percentage points, respectively. AANAPISIs' also exceeded the national graduation rate for 2-year public and private schools (21.8 percent) by nearly 9 percentage points. Although AANAPISI-grantee institutions failed to meet the national graduation rate for 4-year institutions, the program had the highest graduation rate at 4-year Title III institutions (49 percent), as well as the highest graduation rate at 2-year Title III institutions (31 percent). Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES consistency and validity checks.

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

Year	Target	Actual
<b>2011</b>		16.7% (1-year change)
<b>2016</b>	TBD	

**Additional information:** This program received its first year of funding in 2008. Recent data in the NASNTI program are from 13 grantees who received funding in the discretionary NASNTI program in 2010—ten 2-year institutions and three 4-year institutions. For enrollment, the percentage change is calculated against the base year. There are no intermediate annual targets. Future progress will be assessed against targets periodically (about every 5 years). Student enrollment at NASNTI grantee institutions in 2013 (20,637) was used to calculate the percentage change against student enrollment at NASNTIs in the base year 2011 (20,844). The target for 2016 will be developed as soon as data are available and will be used to determine success for the 5-year grant period 2011-2015. Thus far, the change in enrollment for fiscal years 2011-2014 is -8.7 percent.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
<b>2011</b>		71.0%		51.0%
<b>2012</b>	71.5%	63.0	52.0%	54.0
<b>2013</b>	72.0	64.0	52.5	51.0
<b>2014</b>	72.0	66.0	52.5	52.5
<b>2015</b>	72.0		53.0	
<b>2016</b>	72.0		53.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011		30.0%		19.0%
2012	33.5%	32.0	20.0%	18.0
2013	34.0	37.0	20.5	18.0
2014	34.0		20.5	
2015	34.5		21.0	
2016	34.5		21.0	

**Additional information:** The 4-year persistence rate at NASNTI-grantee institutions is two percentage points higher than the 2013 persistence rate; however, falls short of the target set for 2014 by 6 percentage points. The 2-year persistence rate at NASNTI-grantee institutions is comparable with the persistence rate at PBIs (52.5 percent).

The 4-year graduation rate exceeds the target set for 2013, but the graduation rate at 2-year institutions misses that target by 2 percentage points. The 2-year graduation rate is comparable to the graduation rate at SIP-grantee institutions (17 percent) and TCCUs (17 percent). Graduation data for 2013-2014 will be available in December 2015. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions and are subject to NCES consistency and validity checks.

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

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

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

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

In addition, 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. While it would not be possible to attribute changes to the MSEIP program, given the importance of STEM fields to the Nation's future, increases would be expected over time.

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

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

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

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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 percentage. The percentages were lower than for all Title IV institutions, where approximately 20 percent of all degrees conferred were in STEM fields.

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

### Efficiency Measures

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

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

Year	Target	Actual
2011	\$350	\$430
2012	350	393
2013	430	391
2014	425	
2015	420	
2016	415	

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

Year	Target	Actual
2011	\$12,500	\$29,780
2012	12,500	27,486
2013	32,950 <sup>1</sup>	28,631
2014	32,650	
2015	32,600	
2016	32,550	

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

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

Year	Target	Actual
2011	\$2,775	\$3,068
2012	2,775	1,448
2013	2,775	2,389
2014	2,750	
2015	2,725	
2016	2,700	

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

Year	Target	Actual
2011	\$5,400	\$7,205
2012	5,400	6,507
2013	7,415 <sup>1</sup>	6,401
2014	7,340	
2015	7,265	
2016	7,190	

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

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

Year	Target	Actual
2011	\$12,700	\$9,655
2012	12,700	8,774
2013	9,355 <sup>1</sup>	7,982
2014	9,262	
2015	9,165	
2016	9,068	

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

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

Year	Target	Actual
2011	N/A	\$911
2012	\$1,800	1,008
2013	1,040 <sup>1</sup>	950
2014	1,030	
2015	1,020	
2016	1,010	

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

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

Year	Target	Actual
2011	N/A	\$238
2012	\$385	202
2013	300	221
2014	295	
2015	290	
2016	285	

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

Year	Target	Actual
2011	N/A	\$672
2012	\$2,150	810
2013	1,025 <sup>1</sup>	502
2014	1,015	
2015	1,005	
2016	995	

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

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

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### Aid for Hispanic-serving institutions

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

FY 2016 Authorization: To be determined (discretionary)<sup>1</sup>; \$100,000 (mandatory)

Budget Authority:

	<u>2015</u>	<u>2016</u>	<u>Change</u>
Developing Hispanic-serving Institutions (discretionary) (HEA V-A)	\$100,231	\$100,231	0
Developing Hispanic-Serving Institutions Science, Technology, Engineering, and Mathematics and Articulation (mandatory) (HEA III-F)	92,700	100,000	+\$7,300
Promoting Postbaccalaureate Opportunities for Hispanic Americans (discretionary) (HEA V-B)	<u>8,992</u>	<u>10,565</u>	<u>+1,573</u>
Total	201,923	210,796	+8,873
Discretionary	109,223	110,796	+1,573
Mandatory	92,700 <sup>2</sup>	100,000 <sup>2</sup>	+7,300 <sup>2</sup>

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

<sup>2</sup> Mandatory appropriations are provided under Title III, Part F, Section 371 of the HEA; these funds are, therefore, not part of the appropriations or budget request.

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## PROGRAM DESCRIPTION

The Developing Hispanic-serving Institutions program, authorized under Title V of HEA, provides grants to Hispanic-Serving Institutions (HSIs) to expand educational opportunities for, and improve the academic attainment of, Hispanic students, expand and enhance the 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 institutions that have an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic.

Grants are made for a duration of up to 5 years. HSIs may use their funds to plan, develop, and implement activities that encourage: faculty and academic program development; better management of funds and administration; construction and maintenance of instructional facilities; student services; the establishment of a program of teacher education designed to qualify students to teach in public schools; establishment of community outreach programs that encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education; and creating or improving facilities for Internet or other distance learning academic instruction, including purchase or rental of

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telecommunications technology equipment and services. Also, HSIs may use no more than 20 percent of the grant funds to establish or increase an institution's endowment fund. The endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. If an institution receives funding under this program, it cannot receive funding under Part A or Part B of Title III.

Individual development grants support efforts to resolve institutional problems. Cooperative arrangement development grants between two or more IHEs support efforts to resolve institutional problems common to the IHEs and enable IHEs to combine their resources to better achieve institutional goals and avoid costly duplication of effort. In addition, 1-year planning grants may be awarded for the preparation of plans and grant applications under this program.

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

Promoting Postbaccalaureate Opportunities for Hispanic Americans program, authorized under Title V of HEA, seeks to expand post-baccalaureate educational opportunities for, and improve the educational attainment of, Hispanic students and expand post-baccalaureate academic offerings and enhance program quality in the institutions of higher education that are educating the majority of Hispanic college students and helping large numbers of Hispanic and low-income students complete postsecondary degrees. 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 made for a duration of up to 5 years. Institutions receiving grants under this program may also receive funds under Title V, Part A.

Authorized activities include: purchasing, renting, or leasing scientific or laboratory equipment used for educational purposes; construction, maintenance, renovation and facilities improvement, including telecommunications; purchasing library books, periodicals, journals, and other educational materials, including telecommunications program materials; supporting low-income postbaccalaureate students through outreach programs, academic support services, mentoring, and student financial assistance; supporting faculty exchanges, development, and research, as well as curricular development and academic instruction; the creation or improvement of facilities for Internet or other distance education technologies; and collaboration with other IHEs to expand postbaccalaureate offerings. Other activities germane to the promotion of postbaccalaureate study at HSIs are permissible, provided that they contribute to the overall purpose of the program and are approved by the Department.

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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

(dollars in thousands)

2011 .....	\$225,231	<sup>1</sup>
2012 .....	220,943	<sup>1</sup>
2013 .....	209,532	<sup>2</sup>
2014 .....	210,900	<sup>3</sup>
2015 .....	201,923	<sup>4</sup>

<sup>1</sup> Includes \$111,500 thousand in mandatory funds provided under the HEA.

<sup>2</sup> Includes \$105,814 thousand in mandatory funds provided under the HEA.

<sup>3</sup> Includes \$103,472 thousand in mandatory funds provided under the HEA.

<sup>4</sup> Includes \$100,000 thousand in mandatory funds provided under the HEA.

### FY 2016 BUDGET REQUEST

The Administration requests \$100.2 million for the Developing Hispanic-serving Institutions (HSIs) program, the same as the 2015 level. The Administration also requests \$10.6 million for the Promoting Postbaccalaureate Opportunities for Hispanic Americans (PPOHA) program, \$1.6 million more than the 2015 level. In addition, mandatory funding totaling \$100 million is provided for the HSI STEM and Articulation (HSI-STEM) program under Title III, Part F of the HEA. The mandatory funds are not part of the Department's fiscal year 2016 request.

Approximately \$6.4 million in discretionary funds for the Developing HSIs program will support new awards, with the remaining funds supporting peer review costs and non-competing continuations. In fiscal year 2015, the Administration plans to give competitive preference to projects that will: focus on increasing postsecondary completion; support high-quality online or hybrid learning opportunities; promote STEM education; and improve student support services. The Administration plans to use similar priorities in the fiscal year 2016 Developing HSI competition, as well as the 2016 HSI-STEM competition, for which approximately \$91.8 million in mandatory funds are available.

Given the key role that the institutions supported by the Title V programs serve in providing postsecondary educational opportunities to low-income and minority students, it is important that Title V funds are used in ways that are proven to improve student outcomes. For this reason, as with other higher education programs, the Department is placing an increasing emphasis on promoting evidence-based practices in the Title V programs. For the fiscal year 2015 Developing HSI competition, applicants will be assessed on the extent to which they will implement strategies that are based on a strong evidentiary theory of success. In fiscal year 2016, the Administration plans to explore adding evidence related priorities with even higher evidence standards to the Developing HSI competition as well as the HSI-STEM competition.

All of the funds for the PPOHA program will support non-competing continuations. Mandatory funding for the PPOHA program expired in fiscal year 2014. A new cohort of grants were awarded in fiscal year 2014 using the \$10.6 million in available mandatory funds. Fiscal year 2015 discretionary funds will be used to support the second year of this grant cohort; however, these funds are insufficient to cover the full cost of the continuation grants. The fiscal year 2016

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### Aid for Hispanic-serving institutions

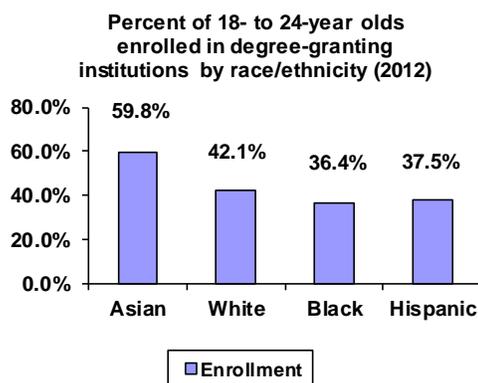
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request for PPOHA includes a \$1.6 million increase to support continuation awards of these grants at their initial funding level.

In 2012, the latest year for which data are available, there were 54 million Hispanics in the US, constituting 17 percent of the total U.S. population. More than half the growth in the total US population between 2000 and 2010 was due to the increase in the Hispanic population. The Census Bureau projects that the Hispanic American population will triple between 2008 and 2050, reaching 132.8 million, 30 percent of the overall population.

Hispanic Americans have made significant gains in education over the last several decades but still trail their peers. The increase in Hispanic enrollment is being driven by population growth and by increasing proportions of the population enrolling in colleges and universities. In 1976, approximately 383,800 Hispanic Americans attended degree-granting institutions of higher education. Since then, Hispanic enrollment has grown steadily, reaching 3.0 million in 2012. In 1976, Hispanics represented 3.7 percent of the undergraduate enrollment; in 2012, they represented 14.4 percent of postsecondary enrollment and 20 percent of all students age 18 to 24 enrolled in 2-year institutions. The enrollment of Hispanics age 18 to 24 in undergraduate and graduate programs grew by 5.4 percent from 2010 to 2011 and 3.1 percent from 2011 to 2012, compared to decreases of 0.1 percent and 1.7 percent, respectively, for the general population aged 18 to 24. As a percentage of total US college-age students, Hispanics grew by 0.7 percent during the same period. Hispanics are now the minority group with the largest number of students enrolled in postsecondary education.

Although Hispanics have made significant gains in education, their enrollment rates and degree attainment remain lower than many of their non-Hispanic peers. In 2012, only 37.5 percent of all Hispanics in the age group 18-24 years were enrolled in degree-granting institutions, compared to 59.8 percent of Asian peers, 42.1 percent of all non-Hispanic White peers, and 36.4 percent of Black peers (see graph). In 2010-2011, Hispanics earned 9.8 percent of bachelor's degrees, 7.4 percent of master's degrees, and 6.1 percent of PhDs awarded in the United States despite constituting nearly 17 percent of the total national population.



The Aid for Hispanic-serving Institutions programs provide critically needed support to carry out activities designed to improve the educational outcomes at institutions with a significant share of low-income, minority, and Hispanic students. HSIs enroll only 16 percent of all postsecondary students, but they enroll 54 percent of all Hispanic undergraduates. Because of the unique role these institutions play in providing postsecondary opportunities for Hispanic students, they are vital to the improvement of Hispanic Americans' educational attainment. The 2016 request, combined with the mandatory funding available through Title III, Part F of the HEA, is intended to help close the achievement gap between HSI and non-HSI institutions.

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Developing HSIs</b>			
Number of new awards	38	87	11
Average new award	\$530	\$576	\$584
Total new award funding	\$20,141	\$50,150	\$6,431
Number of NCC awards	121	74	147
Average NCC award	\$647	\$663	\$631
Total NCC award funding	\$78,270	\$49,079	\$92,797
Peer review of new award applications	\$172	\$1,002	\$1,002
Total award funding	\$98,583	\$100,231	\$100,231
Total number of awards	159	161	158
<b>Promoting Postbaccalaureate Opportunities for Hispanic Americans</b>			
Discretionary funding:			
Number of NCC awards	21	19	19
Average NCC award	\$421	\$473	\$556
Total NCC award funding	\$8,845	\$8,992 <sup>1</sup>	\$10,565 <sup>1</sup>
Mandatory funding:			
Number of new awards	19	0	0
Average new award	\$559	0	0
Total new award funding	\$10,618	0	0
Peer review of new award applications	\$54	0	0
Total PPOHA award funding	\$19,517	\$8,992	\$10,565
Total number of PPOHA awards	40	19	19
<b>HSI STEM and Articulation Programs</b>			
Mandatory funding:			
Number of new awards	0	0	109
Average new award	0	0	\$842
Total new award funding	0	0	\$91,773 <sup>2</sup>
Number of NCC awards	109	109	0
Average NCC award	\$871	\$851	0
Total NCC award funding	\$94,900 <sup>2</sup>	\$92,800 <sup>2</sup>	0
Peer review of new award applications	0	0	\$927 <sup>2</sup>
Total HSIs award funding	\$213,000	\$202,023	\$203,496
Discretionary	\$107,428	\$109,223	\$110,796
Mandatory	\$105,572 <sup>2</sup>	\$92,800 <sup>2</sup>	\$92,700 <sup>2</sup>
Total number of HSI awards	308	289	286

<sup>1</sup> Discretionary funds will be used to support awards made in 2014 using the final year of mandatory funds.

<sup>2</sup> These are actual obligations made using funds that were appropriated in the previous fiscal year, as allowed by section 371(b)(1)(B) of the HEA.

## HIGHER EDUCATION

### Aid for Hispanic-serving institutions

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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

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

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

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

Year	Target	Actual
2008		11.2%
2013	11.0%	27.1

**Additional Information:** The Department recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure, established in fiscal year 2009, uses the same National Center for Education Statistics (NCES) Integrated Postsecondary Education Data Systems (IPEDS) fall enrollment data for all full-time degree-seeking undergraduate students used by the former measure except that the new measure tracks program enrollment at the beginning of, and 1 year after the end of, each 5-year grant period. The percentage change is calculated against the base year. There are no intermediate annual targets. Student enrollment at HSIs in 2008 (860,424) was used to calculate the percentage change against student enrollment at HSIs in the base year 2003 (773,859). The target of 11 percent for 2013 was used to assess success for the 5-year grant period 2008-2012 and was developed in late 2008. Over the 5-year grant period of the 2008 grantee institutions, enrollment grew by 27.1 percent, exceeding the 11.0 percent target. The Department will set targets for 2018 in 2015.

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	78.0%	72.0%	64.0%	65.0%
2012	78.0	75.0	64.0	66.0
2013	78.0	75.5	65.0	65.0
2014	78.0	78.0	65.0	65.0
2015	78.0		66.0	
2016	78.0		66.0	

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

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

Year	4-year Target	4-year Actual	2-year Target	2-year Actual
2011	45.0%	40.0%	22.0%	20.0%
2012	46.0	39.0	22.0	21.0
2013	46.0	42.0	22.0	21.0
2014	46.0		22.0	
2015	46.0		22.0	
2016	46.0		22.0	

**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. The Department plans to reconsider targets in 2015.

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

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

Year	Target	Actual
2013	2.5%	-3.3%

**Additional Information:** The long-term measure for change in enrollment assesses the percentage change in enrollment at the grantee institutions over a 5-year period. For 2013, the measure was calculated as the percentage change in the number of graduate students enrolling

## HIGHER EDUCATION

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at the grantee institutions, using the 2008 baseline of 121,486 students. During the previous 5 years, 2003-2008, enrollment at these same institutions declined. However, in 2009, the enrollment at the 22 grantee institutions increased by 1.3 percent over the prior year. This rate of growth was used to establish the 2013 enrollment target. In 2013, the total graduate enrollment at grantee institutions was 117,445, a 3.3 percent decrease from 2008. The Department plans to reconsider targets in 2015.

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

Year	Target	Actual
2013	20%	63%

**Additional Information:** The long-term measure for change in graduate degrees assesses the percentage change in degrees and certificates awarded over a 5-year period. For 2013, the measure was calculated as the percentage change in the number of degrees and certificates awarded at the grantee institutions. The change from 2008 to 2013 was 63 percent, based on a 2008 baseline of 18,108 degrees and certificates and the 29,580 degrees and certificates in 2013. The Department plans to establish new targets in 2015.

### Efficiency Measures

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

Year	Target	Actual
2011	\$950	\$974
2012	950	669
2013	1,280	571
2014	1,265	
2015	1,250	
2016	1,250	

**Additional Information:** The Developing Hispanic-serving Institutions efficiency measure is calculated by dividing the appropriation for the Developing HSIs program by the number of undergraduate and graduate degrees awarded. The Department established targets of \$950 per successful outcome for fiscal years 2009 through 2012. Fiscal year 2013 data show a marked increase in efficiency since 2011, but efficiency has varied considerably since 2008. This variability is due, in large part, to the fact that success is defined as a bachelor's degree or higher, while many of the 2-year institutions of higher education receiving grants primarily award associate's degrees. Grantee-level data analyses will be used to identify institutions that may benefit from technical training in areas such as data collection and reporting, as well as to identify promising practices for improving program performance outcomes. The Department will reconsider targets in 2015.

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

Year	Target	Actual
2011	\$2,215	\$714
2012	2,215	693
2013	2,215	701
2014	2,215	
2015		
2016		

**Additional Information:** The PPOHA efficiency measure is calculated by dividing the appropriation for the PPOHA program by the number of graduate degrees and certificates awarded at grantee institutions. In fiscal year 2013, when the PPOHA program appropriation was \$20.3 million, grantee institutions awarded 28,960 graduate degrees. Grantees have outperformed the initial targets, which were set based on eligible institutions. The Department plans to establish more ambitious targets for 2015 and beyond.

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

The HSI STEM and Articulation program was initially funded by the College Cost Reduction and Access Act (CCRAA). Because CCRAA funding was available for only 2 years, the Department did not establish any performance measures for the program at that point. The passage of Public Law 111-152 (in March 2010) extended the mandatory funding for the HSI STEM program through fiscal year 2019. The following performance and efficiency measures have been put into place and some data have been collected. The Department plans to establish targets for these measures in fiscal year 2015.

- The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HSIs.
- The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution. The persistence rate at grantee institution rate was 71 percent in 2013 and 2014.
- The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year HSIs graduating within 6 years of enrollment. The 6-year graduation rate at grantee institutions was 44 percent in 2013 and 42 percent in 2012.
- The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year HSIs graduating within 3 years of enrollment. The 3-year graduation rate at grantee institutions was 21 percent in 2013 and 22 percent in 2012.

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### Aid for Hispanic-serving institutions

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- Federal cost for undergraduate and graduate degrees at institutions in the Hispanic-Serving Institutions STEM and Articulation Programs. In 2013, the Federal cost per degree was \$689.

### Other Performance Information

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

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

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

## HIGHER EDUCATION

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

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

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$65,103	\$67,103	+\$2,000

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

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### PROGRAM DESCRIPTION

The International Education and Foreign Language Studies (IEFLS) Domestic Programs are designed to strengthen the capability and performance of American education in foreign languages and in area and international studies. The IEFLS programs have their origin in the National Defense Education Act of 1958 as a response to the need to strengthen instruction in foreign languages insufficiently taught in the United States as well as in area and international studies. Often using interdisciplinary approaches, these programs have adapted to a changing world by being responsive to not only national security needs, but also in training a globally competent workforce with expertise in world languages and area studies.

Funds are used to support a broad range of activities under nine Domestic Programs, at all levels, including primary and secondary education through a variety of K-12 outreach and teaching training collaborations. Grants are awarded to support centers, programs, and fellowships in institutions of higher education to increase the number of experts in foreign languages and area or international studies to meet national needs and to strengthen the teaching of foreign languages and international education at all levels. Prior to the beginning of each grant cycle, the Department must consult with and receive recommendations from the head officials of a wide range of Federal Agencies to determine the areas of national need for expertise in foreign languages and world regions and make this list available to grant applicants. In addition, the Department must work with a variety of Federal Agency heads to submit a biennial report to Congress and the public identifying areas of national need in foreign language, area, and international studies as such studies relate to government, education, business, and nonprofit needs, and a plan to address those needs. In awarding grants, the Department is required to take into account the degree to which applicants' activities address national needs and inform the public; the applicants' records of placing students into postgraduate employment, education, or training in areas of national need; and the applicants' plans to increase this number. Emphasis is placed on languages and regions defined as high-priority by the Administration.

## HIGHER EDUCATION

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

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The Department assists grantees in developing a survey for students who have completed programs under Title VI Foreign Language and Areas Studies program to determine postgraduate employment, education, or training. Grantees must administer the survey once every 2 years for a period of 8 years and report the results to the Department. Up to 1 percent of Title VI funds may be used to carry out program evaluation, national outreach, and information dissemination activities relating to the Title VI programs.

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

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

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

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

Before awarding a fellowship for use outside the United States, an institution must obtain approval from the Department of Education. A fellowship may be approved for use outside the United States if (1) the student is enrolled in an overseas modern foreign language program

## HIGHER EDUCATION

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

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approved by the institution where the student is enrolled in the United States; or (2) the student is engaged in research that cannot be effectively done in the United States and is affiliated with an IHE or other appropriate organization in the host country. Institutions are funded for up to 4 years and, in turn, award fellowships annually to individual students on a competitive basis.

Applications for awards must include an explanation of how the activities funded by the grant will reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs; and a description of how the applicant will encourage government service in areas of national need, as well as in areas of need in the education, business, and nonprofit sectors.

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

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

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

Centers for International Business Education support IHEs or consortia of IHEs by paying the Federal share of the cost of planning, establishing, and operating centers that provide a comprehensive university approach to improving international business education by bringing together faculty from numerous disciplines. The Centers serve as national resources for the teaching of improved business techniques, strategies, and methodologies that emphasize the international context in which business is transacted; provide instruction in critical foreign languages and international fields needed to provide an understanding of the cultures and customs of U.S. trading partners; provide research and training in the international aspects of trade, commerce, and other fields of study; provide training to students enrolled in the institution

## HIGHER EDUCATION

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

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or institutions in which a center is located; serve as resources to local businesses and chambers of commerce by offering programs and providing research designed to meet the international training needs of such businesses; and serve other faculty, students, and institutions of higher education and K-12 schools with additional teacher and student outreach programs within their respective region. located within their respective regions. Grants are made for 4 years. The Federal share of the cost of planning, establishing, and operating the Centers cannot exceed 90 percent, 70 percent, or 50 percent in the first, second, third and following years, respectively.

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

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

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$66,712
2012 .....	66,586
2013 .....	63,103
2014 .....	65,103
2015 .....	65,103

### FY 2016 BUDGET REQUEST

The Administration requests a total of \$67.1 million for the Title VI Domestic Programs, an increase of \$2 million, or 3 percent, more than the fiscal year 2015 appropriation. In addition, the Administration's budget request includes an increase of \$2 million for the International Education and Foreign Language Studies: Overseas Programs to support a new initiative that

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will improve the capacity of school districts to teach global competencies. The fiscal year 2016 budget request for the Domestic Programs is responsive to the White House Fiscal Year 2016 U.S. Government Global Engagement Resource Guidance and the Department's International

Strategy. The Global Engagement Guidance urges agencies to continue the process of realigning resources toward Sub-Saharan Africa and the Asia Pacific region, while maintaining a strong presence in the Middle East and North Africa, and fulfilling the potential of the 100,000 Strong in the Americas initiative. In order to promote U.S. higher education abroad and prepare U.S. students for global engagement, agencies are urged to expand international university partnerships and to deepen efforts that help students acquire understanding of global issues, knowledge of other countries, cultures, and perspectives, and linguistic proficiency, as well as to prepare educators at all levels to teach about the rest of the world. In promoting study abroad and other international experiences, agencies are encouraged to pay special attention to underserved and underrepresented communities. The Department will strengthen and enhance the Domestic Programs in line with these priorities. The fiscal year 2016 request for the Title VI Domestic Programs will, among other things, provide continued support for activities that help to make world language and area studies education accessible to a much broader population of Americans, and ensure that these programs deliver high levels of proficiency in the languages key to the Nation's economic and national security. These programs increase access by giving competitive preference to applicants who are or collaborate with community colleges, minority serving institutions, and teacher education programs. Additionally, applicants applying for FLAS program funding who take into account student financial need are given additional priority points.

Historically, the Domestic Programs have helped to develop and maintain American expertise in world cultures and economies, and foreign languages. It is critical for our Nation to have a readily available pool of international area and language experts for economic, foreign affairs, and defense purposes. The Title VI programs are key to the teaching and learning of languages vital to national interests and serve as a national resource.

The Administration also believes our Nation needs citizens with global perspective. The ability to compete and collaborate on the world stage requires an awareness and understanding of the world, the ability to communicate and collaborate with others from different cultures, and exposure to foreign languages. The Administration believes that a world-class education must integrate global competencies and is committed to increasing the global competency of all United States students. Effective global engagement will involve American students and equip them with the knowledge, skills and awareness of other countries, cultures, languages and perspectives. Global competencies are essential skills for all U.S. students to support U.S. economic competitiveness and jobs, to enable young people to work with their counterparts all over the world in meeting global challenges, and to foster our national security and diplomacy. American students and teachers of all ages should be partnered with students and faculty abroad, especially in priority countries, through connected classrooms, opportunities for research and to engage in joint projects, and exchanges.

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The requested \$2 million increase in funding for the Domestic Programs would support new awards in the Undergraduate International Studies and Foreign Language (UISFL) program to support international studies and world language programs at undergraduate institutions, particularly those that receive funding under Titles III and V of the Higher Education Act of 1965, as amended, (such as minority-serving institutions and community colleges). These programs will lead the way in expanding access to international studies and world language programs in the United States, help deliver the opportunities of the global economy to a broader population, and better equip the Nation to meet its economic and security demand for professionals.

The Administration proposes to make new grants under the UISFL program to approximately 31 institutions for the purpose of establishing or significantly enhancing international studies and world language programs. The goal is to increase opportunities for many more American students to learn and develop proficiency in critical foreign languages, particularly those spoken in the Asia-Pacific and Sub-Saharan Africa regions, by increasing the capacity of institutions of higher education to teach such languages.

In addition, the Administration requests \$650,000 to support new awards for American Overseas Research Centers (AORCs). This program provides grants to American overseas research centers that are consortia of U.S. institutions of higher education. The overseas centers must be permanent facilities in the host countries or regions, established to provide logistical and scholarly assistance to American postgraduate researchers and faculty. Typically, the area studies or international studies research focuses on the humanities or social sciences. Through a variety of grant activities, conferences, and publications, each overseas center facilitates research that is necessary for increased understanding of a foreign culture.

The remaining \$63.6 million, or 94.8 percent of the request, will be used to support continuation costs for grants awarded in prior fiscal years for Domestic Programs—National Resource Centers (NRCs), Foreign Language and Area Studies (FLAS) fellowships, Centers for International Business Education (CIBE), Language Resource Centers (LRCs), and UISFL. In fiscal year 2014, the Department announced in the Federal Register a number of absolute, competitive, and invitational priorities in these programs to catalyze a focus on key regions identified as high-priority for the Administration—South Asia, Southeast Asia, and Sub-Saharan Africa—and additionally to increase focus on the 78 priority languages selected from the Department's list of Less Commonly Taught Languages (LCTLs). The list of 78 priority languages was developed through annual consultations with other Federal Agencies, such as the Departments of Agriculture, Commerce, Defense, Justice, Labor, State, and Transportation. In addition, the fiscal year 2014 competitive priorities for several programs rewarded applications from institutions proposing significant and sustained collaboration with minority-serving institutions and community colleges, and, specifically for the NRCs, gave additional points to institutions proposing to collaborate with teacher education programs in order to strengthen the preparation of K-12 teachers to teach world languages and about other regions of the world. For the first time, in fiscal year 2014, institutions were awarded extra points for committing to consider financial need in awarding FLAS grants to meritorious students.

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Fiscal year 2016 funding will be used to reinforce Administration objectives by supporting the continuation of grants responding to these priorities.

- \$22.7 million for NRCs: NRCs are the primary mechanism for developing U.S. language and area studies expertise. These grants help institutions of higher education to establish, strengthen, and operate advanced centers for the teaching and learning of foreign languages and area and international studies. Fiscal year 2016 funds will be needed to continue support for activities that help to promote a globally competent workforce, in addition to producing our next generation of experts.
- \$30.4 million for FLAS fellowships: FLAS fellowships support undergraduate and graduate training programs at many NRCs. They provide opportunities for intensive study of less commonly taught languages and world areas both domestically and abroad during the summer or the academic year. For fiscal year 2016, funding for FLAS would be maintained at the same level allocated in fiscal year 2015. When awarding fellows, competitive preference will be given to students who demonstrate financial need. In addition, the Administration will encourage institutions to award academic year FLAS fellowships to students undergoing advanced training in any of the priority languages used in sub-Saharan Africa, South Asia, and Southeast Asia.
- \$2.9 million for UISFL program continuation grants (in addition to \$2 million for new awards): For the UISFL program, the Administration proposes to continue support for activities that strengthen and improve undergraduate instruction in international studies and foreign languages with preference for under-resourced institutions and minority serving institutions. In fiscal year 2016, the Administration expects to continue the practice, begun in fiscal year 2014, of giving priority to applications from institutions determined eligible under the Titles III and V of the HEA and to other under-resourced institutions such as community colleges. These grants will receive their third year of continuation funding in fiscal year 2016.
- \$4.8 million for CIBEs: The Administration proposes to maintain funding at the 2015 appropriation level for the CIBE program. CIBEs are designed to serve as regional and national resources for businesses, students, and faculty at all levels. They meet the need for research and training in the international aspects of trade, commerce, and other fields of study. CIBEs prepare students for careers in the global economy by developing and promoting international business and economics academic programs and curricula. They also assist businesses in the region export and import their products and services. CIBEs play an integral role in maintaining and increasing U.S. business global competitiveness. The Administration has encouraged applicants in this program to develop, maintain, or enhance linkages with overseas institutions of higher education or other educational organizations, especially those that focus on sub-Saharan Africa, South Asia, and Southeast Asia, in order to improve understanding of these societies and provide for greater engagement with institutions in these regions. In fiscal year 2016, the Administration expects to continue the practice, begun in fiscal year 2014, of giving competitive preference to applicants who proposed to partner with businesses, industry and professional organizations to expand employment opportunities for international business students, such as internships and work-study opportunities.

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- \$2.7 million for LRCs: To strengthen our capacity across institutions and at all levels, the Administration proposes to continue support of LRCs to improve outreach efforts to K-12 schools, in addition to sponsoring research, training, performance testing, educational technology, and materials development. In fiscal year 2016, the Administration expects to continue the practice, begun in fiscal year 2014, of giving competitive preference to applications from institutions that collaborate with institutions determined eligible for funding under Titles III and V of the HEA and to other under-resourced institutions such as community colleges. Competitive preference also has been given to applications that propose activities that focus on any of the 78 priority languages selected from the Department's list of LCTLs.

This 2016 budget request for the Domestic Programs responds to the Global Engagement Guidance by expanding opportunities for traditionally underserved populations to participate in language learning and international education and by supporting the preparation of educators to teach about the rest of the world. In addition, this request helps to fill two key gaps in the Department's international and foreign language pipeline: language and career development programs at the undergraduate level, particularly for a broader population of students, and cross-border architecture to support student and researcher mobility in the Administration's priority regions of Southeast Asia and Sub-Saharan Africa.

The Administration is requesting a \$2 million increase for a new proposal in the Overseas component of the International Education and Foreign Language Studies Programs (IEFLS) to further support the Global Engagement Guidance. This proposal would build capacity to teach global competencies in school districts by providing opportunities for groups of K-12 teachers, principals, and possibly the superintendent from a single district to study a different culture and/or a global issue together and investigate that issue and experience that culture first hand through summer study abroad. This proposal is discussed in detail in the IEFLS: Overseas Programs justification.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>National Resource Centers:</b>			
Number of new awards	105	0	0
Average new award	\$217	0	0
Total new award funding	\$22,743	0	0
Number of NCC awards	0	105	105
Average NCC award	0	\$217	\$217
Total NCC award funding	0	\$22,743	\$22,743
Total award funding	\$22,743	\$22,743	\$22,743
Total number of awards	105	105	105

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PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Foreign Language and Area Studies Fellowships:</b>			
Academic year graduate fellowships	681	681	681
Average academic year fellowship	\$33	\$33	\$33
Academic year undergraduate fellowships	233	233	233
Average academic year fellowship	\$15	\$15	\$15
Summer fellowships	596	596	596
Average summer year fellowship	\$8	\$8	\$8
Number of new awards	108	0	0
Average new award	\$281	0	0
Total new award funding	\$30,399	0	0
Number of NCC awards	0	108	108
Average NCC award	0	\$281	\$281
Total NCC award funding	0	\$30,399	\$30,399
Total award funding	\$30,399	\$30,399	\$30,399
Total number of awards	108	108	108
<b>Undergraduate International Studies and Foreign Language Program:</b>			
Number of new awards	31	0	10
Average new award	\$94	0	\$200
Total new award funding	\$2,929	0	\$2,000
Number of NCC awards	3	31	31
Average NCC award	\$127	\$94	\$94
Total NCC award funding	\$380	\$2,928	\$2,928
Total award funding	\$3,309	\$2,928	\$4,928
Total number of awards	34	31	41
<b>Centers for International Business Education:</b>			
Number of new awards	16	0	0
Average new award	\$297	0	0
Total new award funding	\$4,751	0	0
Number of NCC awards	0	16	16
Average NCC award	0	\$297	\$297
Total NCC award funding	0	\$4,751	\$4,751
Total award funding	\$4,751	\$4,751	\$4,751
Total number of awards	16	16	16

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Language Resource Centers:</b>			
Number of new awards	15	0	0
Average new award	\$183	0	0
Total new award	\$2,746	0	0
Number of NCC awards	0	15	15
Average NCC award	0	\$183	\$183
Total NCC award funding	0	\$2,746	\$2,746
Total award funding	\$2,746	\$2,746	\$2,746
Total number of awards	15	15	15
<b>American Overseas Research Centers:</b>			
Number of new awards	0	0	10
Average new award	0	0	\$65
Total new award funding	0	0	\$650
Number of NCC awards	10	10	0
Average NCC award	\$65	\$65	0
Total NCC award funding	\$650	\$650	0
Total award funding	\$650	\$650	\$650
Total number of awards	10	10	10
<b>Total award funding:</b>			
Total new award funding	\$63,322	0	\$2,650
Total NCC award funding	\$1,030	\$64,217	\$63,567
<b>Program evaluation, national outreach, and information dissemination</b>	\$320	\$633	\$600
<b>Peer review of new award applications</b>	\$364	\$253	\$286
<b>Total Domestic funding</b>	\$65,103	\$65,103	\$67,103
<b>Total Domestic awards</b>	288	285	295

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

Over the past year, the Department has been in the process of revising the program performance measures for the International Education and Foreign Language Studies programs authorized under Title VI of the Higher Education Act of 1965, as amended, and the Mutual Educational and Cultural Exchange Act of 1961 (commonly known as the Fulbright-Hays Act).

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The new performance measures are designed to improve the quality of program-level outcome data, as well as to increase transparency and accountability for the IEFLS programs. The new performance measures are aligned to the institutional-level goals of the programs they serve.

Previous performance measures that calculated the percentage of “projects judged successful by the program officer, based on a review of information provided in annual performance reports,” “outreach activities adopted or disseminated within a year,” and “cost per high-quality successfully-completed project” have been retired, as they did not provide enough useful data on which to judge a program’s performance.

Fiscal year 2014 data will be used to establish a baseline for the new measures and will be available in December 2015. Targets are expected to be set beginning late in 2015. 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.

The Department intends to use the following program performance measures:

- NRCs:
  - Percentage of priority languages defined by the Department of Education taught at NRCs.
  - Percentage of NRC grants teaching intermediate or advanced courses in priority languages as defined by the Department of Education.
  - Percentage of NRCs that increased the number of intermediate or advanced level language courses in the priority and/or LCTLs during the course of the grant period (long-term measure).
  - Percentage of NRCs that increased the number of certificate, minor, or major degree programs in the priority and/or LCTLs, area studies, or international studies during the course of the 4-year grant period.
  - Percentage of less and least commonly taught languages as defined by the Department of Education taught at Title VI NRCs.
- FLAS:
  - 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.
  - Percentage of FLAS master’s and doctoral graduates who studied priority languages as defined by the Department of Education.
  - Percentage of FLAS fellows who increased their foreign language reading, writing, and/or listening/speaking scores by at least 1 proficiency level.

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- UISFL:
  - Percentage of UISFL projects that added or enhanced courses in international studies in critical world areas and priority foreign languages.
  - Percentage of UISFL consortium projects that established certificates and/or undergraduate degree programs in international or foreign language studies.
- CIBE:
  - Percentage of CIBE program participants who advanced in their professional field 2 years after their participation.
  - Percentage of CIBE projects that established or internationalized a concentration, degree, or professional program with a focus on or connection to international business over the course of the CIBE grant period. (long-term measure).
  - The percentage of CIBE projects whose business industry participants increased export business activities.
- LRC:
  - Percentage of LRC products or activities judged to be successful by LRC customers with respect to quality, usefulness, and relevance.
  - Percentage of LRC products judged to be successful by an independent expert review panel with respect to quality, relevance, and usefulness.
- AORC:
  - Number of individuals conducting postgraduate research utilizing the services of Title VI AORCs.
  - Percentage of AORCs program participants who advanced in their professional field 2 years after their participation.

### **Efficiency Measures**

The Department intends to use the following efficiency measures:

- Cost per NRC that increased the number of intermediate or advanced level language courses in the priority and/or LCTL s during the course of the grant period.
- Cost per FLAS fellowship program fellow who increased his/her reading, writing, and/or listening/speaking language score by at least one proficiency level.
- Cost per CIBE doctoral or Master's graduate employed in international business-related fields, including teaching in a business school or program within 8 years after graduation as measured by the IFLE Tracking Survey.

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- Cost per LRC project that increased the number of training programs for K-16 instructors of LCTLs.

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

#### **Other Performance Information**

- The Department awarded a contract in September 2014 to support the development of a comprehensive program evaluation strategy (5-year plan) for the HEA Title VI programs and the Fulbright-Hays programs. The contractor will facilitate, provide expert input to, and document deliberations at a number of discussion and decisions sessions to answer questions in order to develop a meaningful and feasible 5-year strategic plan for program evaluation. The Department believes evaluation, outreach and dissemination activities that are skillfully designed and implemented will contribute to improving the outcomes of Title VI and Fulbright-Hays programs and increase the impact of these programs in meeting their legislative purposes, thereby maximizing their service to the public.
- A number of studies have been conducted over the years to evaluate aspects of the Domestic Programs. A few are outlined below.

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

- Found that within the Title VI/Fulbright-Hays programs, there was a need for better and more reliable data and for greater coordination within the Department and across other Federal agencies.
- Commented on the lack of rigorous, reliable information available on Title VI program performance and made recommendations for better program transparency and evaluation. Specifically, it found that the performance measures used by the Department and annual aggregate data reported by grantees provided insufficient information to appropriately judge program performance;
- Found that the language proficiency of Foreign Language and Area Studies fellowship recipients is not being adequately assessed, as the Department uses a self-evaluation approach to collect information about improvement in language proficiency;

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- Concluded that the Department of Education does not have strategic coordination of foreign language and international programs within the Department or with other Federal agencies. They recommended creating a Senate-confirmed position within the Department to better coordinate programs within the Department and with other agencies;
  - Commented that a key hindrance to establishing a pipeline of students who can eventually reach a high level of proficiency is the significant lack of K-12 teachers with foreign language and international expertise; and
  - Stated that international education programs appear to have had little effect so far on the number of underrepresented minorities in international service. The Institute for International Public Policy Fellowship Program does not reach many students and has significant costs.
- A study of the Department's graduate fellowship programs was published in September 2008. The study was designed to provide information on academic and employment outcomes (as of 2006) of graduate students who received financial support through the Department's graduate fellowship programs between 1997 and 1999, including the Foreign Language and Area Studies (FLAS) fellowship program. The results of the study confirmed the validity of performance report data on employment outcomes and improvement in language competency. Data from the study indicate:
    - FLAS fellows studied a wide variety of languages. South Asian and East Asian languages were among the most common, studied by about one-third of FLAS fellows, and 35 percent of fellowships supported the study of a language spoken in central Asia, the Middle East, or Africa. About 70 percent of fellowships supported the study of a critical foreign language as defined by the Department of Education.
    - Students who received FLAS fellowships were highly likely to complete their degrees. Master's and first-professional degree students were far more likely (95-96 percent) than doctoral students (72 percent) to have completed their degrees at the time of the survey.
    - Regardless of their degree completion status, FLAS fellows reported that their oral and written language skills improved over the course of their FLAS-supported study. At the time of the survey, FLAS fellows rated their abilities to speak, write, and read the languages they studied with FLAS support both at the time they began FLAS-supported study and at the time they completed that study at a variety of levels. They rated their speaking and listening ability on a 5-level scale, and their reading and writing abilities on 6-level scales. On average, FLAS fellows reported a level 2 ability with respect to each of these skills at the time they began each FLAS-supported language study, and reported level 3 or 4 ability at the close of that study. FLAS fellowship recipients averaged a one-level gain in proficiency. These data compare favorably to data collected through IRIS on Title VI FLAS fellowship recipients.

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- Nearly all fellows (92 percent) worked after completing their fellowships, and a majority of fellows (71 percent) worked in jobs that involved expertise they had gained through their FLAS-supported study. Nearly all fellows who reported working in a related job considered that job to be part of a career they were pursuing.
- Among fellows who had held at least one job related to the field they had studied with FLAS support, three-quarters of fellows worked in education, one-fifth in a U.S. private sector job, and one-fifth in foreign or international jobs. About one in nine worked for the military or other Government positions.
- Of fellows who had worked for pay since completing the fellowship, 68 percent worked in a job in which teaching was a major responsibility. These fellows had taught for an average of 3 years at the time of the survey, and 86 percent of them had taught in a field related to the FLAS-supported study.
- FLAS fellows believed that FLAS was very helpful in their degree completion and at least somewhat helpful in obtaining employment in a desired field. Over one-half reported that receiving a FLAS fellowship influenced their occupation and career choices. While these findings are encouraging, it should be noted that the overall response rate—the proportion of fellowships for which a survey was completed—was less than 50 percent. In addition, the study does not offer data on outcomes for an appropriate comparison group due to limitations in the Department's data sources. Despite these reservations and limitations, the data indicate positive outcomes.
- FLAS fellows believed that FLAS was very helpful in their degree completion and at least somewhat helpful in obtaining employment in a desired field. Over one-half reported that receiving a FLAS fellowship influenced their occupation and career choices.

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

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

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

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$7,061	\$9,061	+\$2,000

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

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### PROGRAM DESCRIPTION

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

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

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

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

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

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

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

The Overseas Programs specifically increase the supply of specialists in area, international, and language studies, and improve public access to knowledge of other countries and languages by providing to individuals and institutions of higher education measurable opportunities in the field of international education for: research; area, language, and international studies training; professional growth including faculty development and teacher-training; networking with counterparts in the U.S. and abroad; curriculum and instructional materials development; and overseas experience.

The Overseas Programs focus on 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. Current participants and graduates of the Overseas Programs are important sources of information and expertise on many issues that dominate the international environment.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$7,465
2012.....	7,451
2013.....	7,061
2014.....	7,061
2015.....	7,061

### FY 2016 BUDGET REQUEST

The Administration requests \$9.1 million for the Overseas programs, \$2 million more than the fiscal year 2015 level. The requested increase would support a new initiative, Group Projects Abroad (GPA) – Capacity Building, which would improve the capacity of school districts to teach global competencies by providing opportunities for groups of K-12 teachers, principals, and administrators from a single district to study a different culture and/or a global issue together through summer study abroad. Under this program, the Department would make awards to 20 local educational agencies in order to develop globally competent teachers well-versed in 21<sup>st</sup> century issues. Such teachers are not typically served by the Department’s current international efforts, which tend to focus on postsecondary education.

The Capacity Building program would support the goals of the President’s 2016 U.S. Government Global Engagement Resource Guidance and the Department’s International Strategy by preparing educators to teach about the rest of the world and, therefore, developing students’ global competencies. The Global Engagement Guidance urges agencies to continue

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the process of realigning resources toward Sub-Saharan Africa and the Asia Pacific region, while maintaining a strong presence in the Middle East and North Africa. In order to prepare U.S. students for global engagement, agencies are urged to deepen efforts that help students acquire linguistic proficiency, expand their understanding of global issues, and broaden their knowledge of other countries, cultures, and perspectives. The Global Engagement Guidance also stresses the importance of preparing educators at all levels to teach about the rest of the world. By introducing students to international concepts at an earlier age, the Capacity Building program would increase the number of young global citizens prepared to undertake advanced studies in global education in the future. The Department also plans to give priority to applications that propose projects in the regions emphasized in the Global Engagement Guidance.

In 2016, about 92 percent of the funds requested (\$8.4 million) would be used for new awards. In addition to the Capacity Building initiative, funds would support new awards in GPA – Short-term projects, which give teachers and faculty the opportunity to benefit from overseas study of modern foreign languages and area studies; GPA – Advanced Overseas projects, which provide advanced language training in foreign countries for up to 36 months; and for the Doctoral Dissertation Research Abroad (DDRA) program, which deepens research knowledge on and helps the Nation develop capability in areas of the world not generally included in U.S. curricula.

In line with the President's Guidance and the Department's International Strategy, in fiscal year 2016, the Department plans to require applicants to all Overseas programs, including the new Capacity Building program, to focus on one or more of the following regions defined as high-priority for the Administration: Africa, East Asia, Southeast Asia and Pacific Islands, South Asia, the Near East, East Central Europe and Eurasia, and the Western Hemisphere (Central and South America, Mexico, and the Caribbean). In the 2014 competitions, new awards were distributed among the required regions as follows: 34 percent Africa; 16 percent East Asia; 10 percent Southeast Asia and Pacific Islands; 11 percent South Asia; 3 percent Near East; 7 percent East Central Europe and Eurasia; and 18 percent Western Hemisphere.

For the GPA – Short-term projects, the Department plans to give priority to projects that include K-12 teachers or administrators as at least 50 percent of the project participants. For the DDRA programs, the Department plans to give priority to applicants that use advanced language proficiency in one of the 78 least commonly taught languages in their research and who are in the fields of economics, engineering, international development, global education, mathematics, political science, public health, science, or technology.

For all competitions, the Department plans to give priority to projects that focus on sub-Saharan Africa, South Asia, and Southeast Asia, as well as projects that focus on any of the 78 less commonly taught languages. In addition, all programs will have an invitational priority for applications from minority-serving institutions, which often have fewer international opportunities than other higher education institutions. The GPA – Short-term projects will also have invitational priorities for applications from community colleges and applications from institutions that have not received awards under Title VI of the HEA or the Fulbright-Hays Act in the previous 5 years.

## HIGHER EDUCATION

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

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Group Projects Abroad:</b>			
Capacity Building Projects:			
Number of new projects	0	0	20
Average new project	0	0	\$100
Total new project funding	0	0	\$2,000
Short-Term Projects:			
Number of new projects	16	17	17
Average new project	\$86	\$80	\$80
Total new project funding	\$1,374	\$1,361	\$1,361
Advanced Overseas Projects:			
Number of new projects	0	0	11
Average new project	0	0	\$173
Total new project funding	0	0	\$1,900
Number of NCC projects	11	11	0
Average NCC project	\$173	\$173	0
Total NCC project funding	\$1,900	\$1,900	0
Total project funding	\$3,274	\$3,261	\$5,261
Total number of projects	27	28	48
Total number of participants	400	412	712
<b>Doctoral Dissertation Research Abroad:</b>			
Number of new fellows	84	90	90
Average new fellowship	\$36	\$33	\$33
Number of new awards	37	35	35
Average new award	\$82	\$86	\$86
Total new award funding	\$3,029	\$3,012	\$3,012
<b>Seminars Abroad—Special Bilateral Projects:</b>			
China Contract	\$396	\$411	\$411
China Contract participants	16	16	16
<b>Department of State administrative costs</b>	<b>\$250</b>	<b>\$250</b>	<b>\$250</b>
<b>Program evaluation, national outreach, and information dissemination</b>	<b>\$41</b>	<b>\$56</b>	<b>\$56</b>
<b>Peer review of new award applications</b>	<b>\$71</b>	<b>\$71</b>	<b>\$71</b>
Total Overseas funding	\$7,061	\$7,061	\$9,061
Total Overseas participants	500	518	818

## HIGHER EDUCATION

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

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#### PROGRAM PERFORMANCE INFORMATION

##### **Performance Measures**

Over the past several years, the Department has been in the process of revising the program performance measures for the International Education and Foreign Language Studies (IEFLS) programs authorized under Title VI of the Higher Education Act of 1965, as amended, and the Mutual Educational and Cultural Exchange Act of 1961. The new performance measures, developed in fiscal year 2013, are designed to improve the quality of program-level outcome data, as well as to increase transparency and accountability for the IEFLS programs. Measures that did not provide useful data were eliminated. The new performance measures are aligned to the institutional-level goals of the programs they serve.

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

- Percentage of DDRA fellows who increased their foreign language scores in speaking, reading, and/or writing by at least one proficiency level.
- 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).

Fiscal year 2014 data will be used to establish a baseline for the new measures when it becomes available in the summer of 2015. The Department will begin to consider targets later in 2015. Grantees are required to submit annual performance reports via the International Resource Information System (IRIS), the web-based performance reporting system for the IEFLS programs.

##### **Efficiency Measures**

The Department intends to use the following efficiency measures developed in 2013. Data will be collected from grantee institutions via their performance reports. Baseline data is expected to be available in fiscal year 2015.

- 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.

## HIGHER EDUCATION

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

(dollars in thousands)

FY 2016 Authorization: To be determined <sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$67,775	\$200,000	+\$132,225

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

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### PROGRAM DESCRIPTION

The Fund for the Improvement of Postsecondary Education (FIPSE) supports exemplary projects that are models for innovative reform and improvement in postsecondary education. Under FIPSE, the Department has flexibility to establish specialized programs to support projects in areas of national need. Discretionary grants and contracts are awarded to institutions of higher education and other public and private nonprofit institutions and agencies.

Most recently, the Department has supported the First in the World program (FITW) under FIPSE authority. FITW is a competitive grant program, modeled after the Investing in Innovation fund (i3), designed to identify innovative solutions to persistent and widespread challenges to completion in postsecondary education, particularly those that affect adult learners, working students, part-time students, students from low-income backgrounds, students of color, and first-generation students. FITW builds evidence for what works in postsecondary education with rigorous evaluations.

Like i3, which supports innovation and evidence building in elementary and secondary education, FITW uses a multi-tier structure that links the amount of funding that an applicant may receive to the strength of evidence supporting the efficacy of the proposed project. Applicants proposing practices supported by limited evidence can receive relatively small grants (development grants) that support the development and initial evaluation of innovative but untested strategies. Applicants proposing practices supported by evidence from rigorous evaluations can receive larger grants (validation and scale up grants), in amounts commensurate to the level of supporting evidence, for implementation at greater scale to test whether initially successful strategies remain effective when adopted in varied locations and with a diverse range of students. This tiered-evidence approach systematically identifies strategies that produce evidence of effectiveness when implemented at the largest levels of scale, such as across postsecondary systems, States, regions, or the country.

## HIGHER EDUCATION

### Fund for the Improvement of Postsecondary Education

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Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$19,607
2012 .....	3,494
2013 .....	3,311
2014 .....	79,400 <sup>1</sup>
2015 .....	67,775 <sup>2</sup>

<sup>1</sup> Includes \$75,000 thousand for First in the World.

<sup>2</sup> Includes \$60,000 thousand for First in the World.

### FY 2016 BUDGET REQUEST

The Administration requests \$200 million for FIPSE for fiscal year 2016, \$132.2 million more than the fiscal year 2015 level. Of the \$200 million, \$195 million would be used to make new FITW awards, including some large grants to implement initially proven strategies at the broadest level of scale and to rigorously evaluate such strategies. Most of the remaining \$5 million would support a technical assistance contract to assist FITW grantees in conducting their project evaluations in order to contribute to the body of research on effective postsecondary strategies.

In fiscal year 2014, the first year of the FITW program, the Department made awards only for the lowest tier “development grants,” relatively smaller awards for innovative but untested strategies. The 2014 competition drew great interest from the field, yielding 459 eligible applications. A total of \$74.6 million was awarded to 24 Institutions of Higher Education (IHEs), including \$20 million to 6 minority serving institutions (MSIs). All of these grantees are conducting evaluations of their interventions to assess their effectiveness.

In 2015, the Department plans to expand the FITW program to add the middle tier of “validation grants,” where applicants that can demonstrate that their proposed projects are supported by “moderate evidence of effectiveness” will receive larger awards, up to \$10 million, to replicate and rigorously evaluate effective strategies at multiple sites with larger numbers of students. In addition to validation grants, the Department also intends to make additional development grants and to set aside up to \$16 million of the \$60 million available for awards to MSIs.

The requested \$132.2 million increase in fiscal year 2016 would enable the Department to add the “scale-up grant” tier for projects supported by “strong evidence of effectiveness.” Scale-up grants would support implementation and rigorous evaluation of previously validated strategies at large scale, such as across postsecondary systems, States, regions, or the country. The increase would also support additional validation and development grants, including priorities and larger awards for systems and consortia that collaborate with leading experts to implement the most promising strategies to address critical barriers. Strategically funding priority interventions by systems and consortia, including efforts in multiple sites, would allow for development, testing, and scaling of important strategies more rapidly.

## HIGHER EDUCATION

### Fund for the Improvement of Postsecondary Education

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The What Works Clearinghouse (WWC) has identified more than 20 studies of postsecondary interventions producing evidence of effectiveness that would meet the requirements to serve as the basis for grant proposals under the higher grant tiers. These studies evaluated a range of strategies such as: exercises to increase a sense of “social belonging,” text messages to remind students about application deadlines, “pro-active coaches” who engage much more regularly with their advisees than traditional counselors, early college programs, redesigns of developmental education, and comprehensive student and academic support interventions. In some cases, the impacts of these interventions are large; almost doubling 2-year graduation rates, closing the minority GPA gap by 50 percent, or increasing college enrollment by 10 percent.<sup>1</sup>

As in 2014 and 2015, the Administration plans to set aside a portion of the requested funding in 2016, up to 30 percent, or \$60 million at the \$200 million requested level, for awards to MSIs. MSIs enroll a significant and disproportionate share of individuals from underserved populations who are from low-income backgrounds, first-generation college students, and under-represented students. To make substantial gains in college completion rates across the Nation, it is essential to target strategies designed to address the unique challenges faced by students enrolled at MSIs. The 2014 FITW competition demonstrated that there is significant MSI interest in this program. Half of the 459 eligible applications were submitted by MSIs, and 6 of the 24 awards, totaling \$20 million, were awarded to MSIs without funding out of rank order.

The request also includes appropriations language authorizing the use of FIPSE funding to support technical assistance and evaluation of strategies implemented under FITW.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>First in the World</b>			
Number of new awards	24	11	29
Average new award	\$3,110	\$5,273	\$6,724
Total new award funding	\$74,636	\$58,000	\$195,000
<b>Center for the Study of Distance Education and Technological Advancement</b>			
Number of new awards	1	0	0
Average new award	\$1,484	0	0
Total new award funding	\$1,484	0	0

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<sup>1</sup> Walton, G.M. & Cohen, G.L. (2011). A brief social-belonging intervention improves academic and health outcomes of minority students. *Science*, 331, 1447-1451; Stephens, N. M., Hamedani, M. G., & Destin, M. (2014). Closing the social-class achievement gap: A difference-education intervention improves first-generation students' academic performance and all students' college transition. *Psychological Science*.; Castleman, B. L., & Page, L. C. (2014). Freshman year financial aid nudges: An experiment to increase FAFSA renewal and college persistence.; Bettinger, E.P., & Baker, R. (2011). The effects of student coaching in college: An evaluation of a randomized experiment in student mentoring.; An, B. P. (2012). The impact of dual enrollment on college degree attainment: Do low-SES students benefit?; American Institutes for Research & SRI (2013). Early college, early success.; Jenkins, D., M. Zeidenberg, and G. Kienzl. 2009. Building Bridges to Postsecondary Training for Low-Skill Adults: Outcomes of Washington State's I-BEST Program.; Scrivener, S. & Weiss, M.J. (2013). More Graduates: Two-year results from an evaluation of Accelerated Study in Associate Programs (ASAP) for developmental education students.

## HIGHER EDUCATION

### Federal TRIO programs

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Training for Realtime Writers</b>			
Number of new awards	2	0	0
Average new award	\$550	0	0
Total award funding	\$1,100	0	0
<b>Center for Best Practices to Support Single Parent Students</b>			
Number of new awards	1	0	0
Average new award	\$495	0	0
Total new award funding	\$495	0	0
<b>Centers of Excellence for Veteran Student Success</b>			
Number of new awards	0	12	0
Average new award	0	\$413	0
Total new award funding	0	\$4,950	0
<b>National Center for Information and Technical Support for Postsecondary Students with Disabilities</b>			
Number of new awards	0	1	0
Average new award	0	\$2,475	0
Total new award funding	0	\$2,475	0
<b>Contracts</b>			
Peer review of new award applications	\$414	\$650	\$800
FITW Technical Assistance Contract	0	\$1,500	\$4,000
FIPSE Database	\$271	\$200	\$200
Analysis of Federal Regulations and Reporting Requirements on IHEs	\$1,000	0	0
Total FIPSE funding	\$79,400	\$67,775	\$200,000
Total number of awards	28	24	29

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

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

## HIGHER EDUCATION

### Fund for the Improvement of Postsecondary Education

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relate to the performance of FIPSE grantees that the Department funded before the program transitioned to FITW in 2014.

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

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

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

Year	Target	Actual
2011	92%	100%
2012	93	96
2013	93	92
2014	94	

**Additional information:** Practical limitations prevent FIPSE from measuring project replication on an annual basis. Therefore, data on project dissemination efforts are used as a proxy to track progress toward achieving the larger program goal. The data represent the percentage of grantees that report in their Annual Performance Reports that they disseminate their projects to other institutions. The Department has not established a target beyond 2014, the last reporting year for the FIPSE international mobility grants.

**Measure:** The percentage of grantees reporting that they have institutionalized their projects on their home campuses.

Year	Target	Actual
2011	94%	83%
2012	94	90
2013	95	90
2014	95	

**Additional information:** The data represent the percentage of grantees that report in their Annual Performance Reports that they have adopted and continued their projects on their home campuses. The Department has not established a target beyond 2014, the last reporting year for the FIPSE international mobility grants.

The Department is replacing the old FIPSE performance measures with a new set of metrics to better align them with the objectives of the FITW program. The Department included the following set of measures in the 2014 Notice Inviting Applications for the FITW program:

- The extent to which funded projects are replicated.
- The extent to which projects are institutionalized and continued after funding.
- The extent to which metrics used to assess and evaluate project results measure performance under the absolute priority the project is designed to address.

## HIGHER EDUCATION

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

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- The percentage of projects supported by FITW grants that provide evidence of their effectiveness at improving student outcomes, especially for low-income students.
- The percentage of projects supported by FITW grants that provide high-quality implementation data and performance feedback that allow for periodic assessment of progress toward achieving intended outcomes.
- The cost per student served by FITW grants.
- The cost per successful student outcome.

### **Other Performance Information**

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

## 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 2016 Authorization: To be determined <sup>1</sup>

Budget Authority:

	<u>2015</u>	<u>2016</u>	<u>Change</u>
	\$11,800	\$11,800	0

<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

### PROGRAM DESCRIPTION

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

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

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

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$10,978
2012 .....	10,957
2013 .....	10,384
2014 .....	10,384
2015 .....	11,800

## HIGHER EDUCATION

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

#### FY 2016 BUDGET REQUEST

The Administration requests \$11.8 million for the Model Transition Programs for Students with Intellectual Disabilities in fiscal year 2016, the same as the 2015 level. The Department plans to make an estimated 27 new awards in fiscal year 2015. Funds appropriated in 2016 would support continuations for fiscal year 2015 grantees, as well as the Coordinating Center, for which Congress expanded the scope of work in 2015 appropriations language. In addition to activities required by authorizing statute, the Coordinating Center also must administer a mentoring program matching current and new TPSID grantees and coordinate longitudinal data collection, among other activities.

Among youth with disabilities who have left high school, those with intellectual disabilities are among the least likely to have completed a degree (72 percent), and within the group of completers are among the least likely to have graduated with a regular diploma (84 percent). They are also less likely than other students with disabilities to be engaged in school, work, or work preparation shortly after high school (52 percent) (NCES, “National Longitudinal Transition Study-2” (NLTS-2), 2005). Students with intellectual disabilities are at a disadvantage as they leave secondary education. Without further academic, professional, or life guidance, members of this population are less likely to lead independent lives (NCES, NLTS-2, 2005, 2009). A recent literature review suggests that youth involvement, family involvement, work experience, life skills instruction, and interagency involvement improve outcomes (Papay and Bambara, “Career Development and Transition for Exceptional Individuals”, 2013). TPSID programs demonstrate innovative methods of serving students with intellectual disabilities. For instance, grantees use program funds to: establish peer education centers through which other college students provide academic and social mentoring; support Universal Design for Learning and/or Universal Course Design training to faculty, staff, and administrators; and establish satellite posts of successful vocational and social skill programs on other campuses in their community college network.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Number of new awards	0	27	0
Average new award	0	\$359	0
Total new award funding	0	\$9,703 <sup>1</sup>	0
Number of NCC awards	27	0	27
Average NCC award	\$373	0	\$363
Total NCC award funding	\$10,073 <sup>1</sup>	0	\$9,800 <sup>1</sup>
Coordinating Center	\$311	\$2,000	\$2,000
Peer review of new award applications	0	\$97	0

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

## HIGHER EDUCATION

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

#### PROGRAM PERFORMANCE INFORMATION

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

The Coordinating Center piloted an evaluation tool in 2011 and made modifications based on grantee feedback. The Center made the evaluation data collection system available for use in September 2012 and TPSID grantees completed entry of Year I (2010-2011) and Year II (2011-2012) data on December 31, 2012. In September 2013, the Coordinating Center released a report on grantees' progress over the first 2 years of the program. The Department expects a report on Year III (2012-2013) to be published in early 2015.

Performance measures have been established for the Coordinating Center. The Department expects to have targets for these measures by summer 2015. The following preliminary data have been collected.

**Completion and Credential Measure:** The percentage of students with intellectual disabilities who are enrolled in programs funded under TPSID who complete the programs and obtain a meaningful credential, as defined by the Center and approved by the Department. Of the 750 students who exited a TPSID program during years 1-3, 426 students (56 percent) received a meaningful credential.

**Standards Measure:** The percentage of recipients that have grants under the TPSID program that meet Department-approved, Center-developed standards for necessary program components, such as academic, vocational social, and independent living skills, evaluation of student progress, program administration and evaluation, student eligibility, and program credit equivalency. Of the 27 grantees, 25 met these standards. The following table provides a breakout of the individual standards and the percentage of grantees that met each.

## HIGHER EDUCATION

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

Standard	Percentage of TPSID grantees meeting standard in 2013
1. <b>Academic Access:</b> To facilitate quality academic access for students with intellectual disabilities, the comprehensive postsecondary education program should provide access to a wide array of college course types that are attended by students without disabilities and address issues that may impact college course participation	100%
2. <b>Career Development:</b> To facilitate career development leading to competitive employment for students with intellectual disabilities, the comprehensive postsecondary education program should provide students with the supports and experiences necessary to seek and sustain competitive employment.	93%
3. <b>Campus Membership:</b> To facilitate campus membership for students with intellectual disabilities, the comprehensive postsecondary education program should provide access to and support for participation in existing social organizations, facilities, and technology.	100%
4. <b>Self-Determination:</b> To facilitate the development of self-determination in students with intellectual disabilities, the comprehensive postsecondary education program should ensure student involvement in and control of the establishment of personal goals through use of person centered planning and have a stated process for family involvement.	100%
5. <b>Alignment with College Systems and Practices:</b> To facilitate alignment with college systems and practices for students with intellectual disabilities, the comprehensive postsecondary education should offer an educational credential (e.g., degree or certificate) established by the institution for students enrolled in the program, provide access to academic advising college campus resources, collaborate with faculty and staff, and adhere to the college's schedules, policies and procedures, public relations, and communications.	100%
6. <b>Coordination and Collaboration:</b> To facilitate collaboration and coordination, the comprehensive postsecondary education program should establish connections and relationships with key college/university departments and have a designated person to coordinate program-specific services of the comprehensive postsecondary education program.	100%
7. <b>Sustainability:</b> To facilitate sustainability the comprehensive postsecondary education program should use diverse sources of funding and have a planning and advisory team.	100%
8. <b>Ongoing Evaluation:</b> To facilitate quality postsecondary education services for students with intellectual disabilities, the comprehensive postsecondary program should conduct evaluation of services and outcomes on a regular basis.	96%

## HIGHER EDUCATION

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

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

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$7,705	\$7,705	0

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<sup>1</sup> The GEPA extension expired September 30, 2013; reauthorizing legislation is sought for fiscal year 2016.

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### PROGRAM DESCRIPTION

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

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

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

Funds may be used by a grantee to train teachers; purchase equipment; 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

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Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$8,146
2012 .....	8,131
2013 .....	7,705
2014 .....	7,705
2015 .....	7,705

### FY 2016 BUDGET REQUEST

The fiscal year 2016 request includes \$7.7 million for the Tribally Controlled Postsecondary Career and Technical Institutions (TCPCTI) program, the same amount as the 2015 appropriation. Funds would be used to improve eligible institutions' academic and career and technical offerings as well as for institutional support and capital expenditures. The budget request assumes that the program will be implemented in fiscal year 2016 under reauthorized legislation.

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

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

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

## HIGHER EDUCATION

### Tribally controlled postsecondary career and technical institutions

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Range of awards	\$2,344-\$5,362	\$2,344-\$5,362	\$2,344-\$5,362
Number of awards	2	2	2

#### PROGRAM PERFORMANCE INFORMATION

This section presents selected program information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

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

**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
2011	80.0%	95.0%	50.0%	47.0%
2012	85.0	88.0	55.0	41.0
2013	86.0	96.0	60.0	53.0
2014	88.0		56.0	
2015	90.0		58.0	
2016	95.0		60.0	

**Additional information:** The percentage of CTE students who receive a degree, certificate, or credential is based on the number of CTE concentrators (students who have completed at least 12 academic or CTE credits in a single program area or a full short-term CTE program comprised of less than 12 credits that results in an industry-recognized credential, certificate, or degree) who received an industry-recognized credential, a certificate, or a degree during the reporting year divided by the total number of CTE concentrators who left postsecondary education during the reporting year. The Department reset targets in 2014 based on actual performance over the preceding 5 years. Data for 2014 will be available in early 2015.

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### Tribally controlled postsecondary career and technical institutions

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

Year	Target Percentage, Navajo Tech	Actual Percentage, Navajo Tech	Target Percentage, UTTC	Actual Percentage, UTTC
2011	75.0%	82.0%	60.0%	57.0%
2012	80.0	81.0	65.0	55.0
2013	82.0	63.0	70.0	51.0
2014	83.0		60.0	
2015	85.0		65.0	
2016	87.0		65.0	

**Additional information:** The measure is based on students who complete CTE programs and students who have not yet completed, but have been retained, in CTE programs. Students who are retained in postsecondary CTE programs are the number of CTE concentrators who remained enrolled in their original postsecondary institution or transferred to another 2- or 4-year postsecondary institution during the reporting year and who were enrolled in postsecondary education in the fall of the previous reporting year, divided by the number of CTE concentrators who were enrolled in postsecondary education in the fall of the previous reporting year and who did not earn an industry-recognized credential, a certificate, or a degree in the previous reporting year. The Department reset targets in 2014 based on actual performance over the preceding 5 years. Data for 2014 will be available in early 2015.

**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
2011	88.0%	61.0%	80.0%	67.0%
2012	90.0	71.0	82.0	68.0
2013	90.0	77.0	83.0	73.0
2014	80.0		73.0	
2015	85.0		80.0	
2016	85.0		82.0	

**Additional information:** The percentage of students who meet State- or program-established industry-validated CTE skills standards is based on the number of CTE concentrators who passed technical skill assessments that are aligned with industry-recognized standards during the reporting year divided by the number of CTE concentrators who took technical skill assessments during the reporting year. The Department reset targets in 2014 based on actual performance over the preceding 5 years. Data for 2014 will be available in early 2015.

**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.*

## HIGHER EDUCATION

### Tribally controlled postsecondary career and technical institutions

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**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
2011	50.0%	69.0%	50.0%	83.0%
2012	60.0	61.0	60.0	77.0
2013	70.0	73.0	70.0	87.0
2014	65.0		80.0	
2015	70.0		85.0	
2016	73.0		87.0	

**Additional information:** The Department requires Navajo Tech and UTTC to collect placement data during the second quarter after students graduate from or complete their programs. Since most students do so in late spring or early summer, both institutions generally collect these data at the end of the calendar year. The Department reset targets in 2014 based on actual performance over the preceding 5 years. Data for 2014 will be available in early 2015.

#### 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 would make these data unreliable.

**Measure:** Annual cost per participant.

Year	Cost per participant, Navajo Tech	Cost per participant, UTTC
2008	\$4,445	\$8,703
2009	4,865	5,269
2010	4,705	4,878
2011	3,160	4,747
2012	3,104	4,128
2013	2,950	2,950

**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 2014 will be available by the fall of 2015. Note that the validity of the student count data provided by the recipients is uncertain. The institutions sometimes submit multiple sets of data counts within the same year.

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### Federal TRIO programs

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

(dollars in thousands)

FY 2016 Authorization: To be determined <sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$839,752	\$859,752	+\$20,000

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

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### PROGRAM DESCRIPTION

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

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

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Upward Bound provides services to high school students that are designed to generate the skills and motivation needed to 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 provide exposure to careers requiring a postsecondary degree. In addition to regular projects, Upward Bound includes Math/Science and Veterans projects. The *Upward Bound Math/Science* program establishes mathematics and science centers that encourage students to pursue postsecondary degrees in those fields specifically. The *Veterans Upward Bound* projects are designed to assist veterans in preparing for a program of postsecondary education.

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

The Student Support Services program offers a broad range of support services to postsecondary students to increase their retention and graduation rates and to increase their transfer rates from 2-year to 4-year institutions. All projects must provide academic tutoring, advice on postsecondary course selection, financial aid counseling, services to improve financial and economic literacy, assistance in applying for graduate and professional programs, and activities to help students in 2-year institutions enroll in 4-year programs. Projects may also provide personal and career counseling; exposure to cultural events; mentoring; services to secure temporary housing during academic breaks for students who are homeless; activities for students with disabilities, limited English proficiency 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 Post Baccalaureate Achievement program prepares disadvantaged undergraduate students for doctoral study to help them succeed in obtaining doctoral degrees. Projects must provide opportunities for research and other scholarly activities at the recipient institution or graduate center, summer internships, seminars, tutoring, academic counseling, and activities to help students enroll in graduate programs. Projects may also provide services to improve financial and economic literacy, mentoring, and exposure to cultural events and academic programs not usually available to disadvantaged students.

The two largest programs, in terms of funding, are Upward Bound (which includes Veterans Upward Bound and Upward Bound Math-Science) and Student Support Services, which together accounted for nearly three-fourths of TRIO funding in 2014. TRIO programs vary greatly in service intensity, with per participant annual costs ranging from a high for the McNair Postgraduate Achievement program of \$8,293 to a low of \$247 for the Educational Opportunity Centers. The regular Upward Bound and Upward Bound Math Science projects, on average, spend approximately \$4,309 and \$4,297 per year per participant, respectively, while the Veterans Upward Bound projects, which do not have the residential summer component, had an

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average per participant annual cost of \$2,092 in 2014. Most projects are located at colleges, although non-profit organizations operate a substantial number of Talent Search and Educational Opportunity Center projects.

#### Number of Participants, Participants per project and Cost per Participant (FY 2014)

Award Type	Number of Participants	Average number of participants per project	Federal cost per participant
Talent Search	310,747	691	\$433
Upward Bound	61,458	76	4,309
Veterans Upward Bound	6,566	134	2,092
Upward Bound Math/Science	10,034	62	4,297
Educational Opportunity Centers	189,733	1,506	247
Student Support Services	202,492	197	1,425
McNair	4,293	28	8,293

#### Percentage of Funds by Institution Type (FY 2014)

Institution Type	Talent Search	Upward Bound <sup>1</sup>	Educational Opportunity Centers	Student Support Services	McNair
Postsecondary Institutions					
Public, 4-year	41.4%	47.4%	42.0%	39.9%	74.2%
Public, 2-year	28.9	26.4	25.8	45.7	0.0
Private, 4-year	5.2	17.4	5.2	13.8	25.8
Private, 2-year	<u>0.0</u>	<u>0.1</u>	<u>0.0</u>	<u>0.6</u>	<u>0.0</u>
Total, Postsecondary	80.4	91.3	73.0	100.0	100.0
Other organizations <sup>2</sup>	<u>19.6</u>	<u>8.7</u>	<u>27.0</u>	<u>0.0</u>	<u>0.0</u>
Total	100.0	100.0	100.0	100.0	100.0

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

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

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

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

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

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

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$883,522 <sup>1</sup>
2012 .....	839,932
2013 .....	795,998
2014 .....	838,252
2015 .....	839,752

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

### FY 2016 BUDGET REQUEST

The Administration is requesting \$859.8 million for the Federal TRIO programs in 2016, \$20 million more than the fiscal year 2015 level. Approximately \$162 million of these funds will support new Talent Search and Educational Opportunity Centers competitions that would further align these programs with the Administration's higher education reform agenda. Approximately \$670 million would be used to support continuation awards to grantees that were successful in the 2012 Upward Bound, Upward Bound Math-Science, Veterans Upward Bound, and McNair competitions, and the 2015 Student Support Services competition. The request also includes \$4.3 million to maintain administrative support for the TRIO programs, including the costs of collecting and analyzing grantee performance data. The TRIO programs are among the Department's largest and most important higher education investments. These programs can best serve students who are low-income or whose parents never completed college by

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supporting strategies proven to improve student outcomes. For this reason, as is the case in other higher education grant programs, the Administration has begun to place an increasing emphasis on promoting evidence-based practices in TRIO grant competitions. In the fiscal year 2015 Student Support Services competition, the Department included competitive priorities for evidence-based strategies to provide individualized counseling and address non-cognitive contributors to student outcomes. The Department's final priorities reflected a great deal of input from the TRIO community, simplifying and clarifying the original requirements. The Department is currently providing technical assistance to Student Support Services applicants regarding the new evidence-based requirements, including a webinar with three authors of papers regarding evidence-based interventions that applicants could adopt. The Department plans to continue engaging with the TRIO community in order to support priorities for evidence-based practices in the fiscal year 2016 Talent Search and Educational Opportunity Centers competitions.

The Administration seeks to further these efforts by using the \$20 million increase to develop a TRIO Demonstration Initiative in consultation with the TRIO community that would give TRIO grantees, or consortia of grantees, the opportunity to compete for increased funding to 1) implement additional evidence-based, college access and success strategies and serve additional students, and 2) participate in evaluations of such strategies to contribute to the growing body of evidence about the effectiveness of particular student support activities. Priority would be given to TRIO grantees that leverage base funding to support their demonstration initiatives. The Department would work with the broader TRIO grantee community in determining the interventions to be implemented and enter into cooperative agreements with grantees, or consortia of grantees, that are awarded funds for the demonstrations to support implementation and evaluation. Evaluation methods could range from experimental designs to quick turnaround studies that use administrative data and would be purposed to contribute to what is known in the field about commonly applied practices. In the future, strategies that show evidence of effectiveness when implemented at scale could be adopted more broadly by all TRIO grantees.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014 Funding</u>	<u>2015 Funding</u>	<u>2016 Funding</u>	<u>2014 Awards</u>	<u>2015 Awards</u>	<u>2016 Awards</u>
<b>Talent Search</b>						
New awards	0	0	\$117,739	0	0	413
Continuation awards	<u>\$134,614</u>	<u>\$135,134</u>	<u>\$16,923</u>	<u>450</u>	<u>450</u>	<u>37</u>
<i>Total</i>	<i>134,614</i>	<i>135,134</i>	<i>134,662</i>	<i>450</i>	<i>450</i>	<i>450</i>
<b>Upward Bound</b>						
Continuation awards	<u>264,839</u>	<u>265,357</u>	<u>265,357</u>	<u>814</u>	<u>814</u>	<u>814</u>
<i>Total</i>	<i>264,839</i>	<i>265,357</i>	<i>265,357</i>	<i>814</i>	<i>814</i>	<i>814</i>

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<u>Measures</u>	2014 <u>Funding</u>	2015 <u>Funding</u>	2016 <u>Funding</u>	2014 <u>Awards</u>	2015 <u>Awards</u>	2016 <u>Awards</u>
<b>Veterans Upward Bound</b>						
Continuation awards	<u>13,738</u>	<u>13,806</u>	<u>13,806</u>	<u>49</u>	<u>49</u>	<u>49</u>
<i>Total</i>	13,738	13,806	13,806	49	49	49
<b>Upward Bound Math-Science</b>						
Continuation awards	<u>43,112</u>	<u>43,129</u>	<u>43,129</u>	<u>162</u>	<u>162</u>	<u>162</u>
<i>Total</i>	43,112	43,129	43,129	162	162	162
<b>Educational Opportunity Centers</b>						
New awards	0	0	\$44,199	0	0	119
Continuation awards	<u>\$46,880</u>	<u>\$46,925</u>	<u>2,705</u>	<u>126</u>	<u>126</u>	<u>7</u>
<i>Total</i>	46,880	46,925	46,904	126	126	126
<b>Student Support Services</b>						
New awards	0	273,528	0	0	1,000	0
Continuation awards	<u>281,666</u>	<u>23,966</u>	<u>297,494</u>	<u>1,027</u>	<u>72</u>	<u>1,072</u>
<i>Total</i>	281,666	297,494	297,494	1,027	1,072	1,072
<b>McNair Postbaccalaureate</b>						
Continuation awards	<u>46,037<sup>1</sup></u>	<u>30,264<sup>2</sup></u>	<u>30,701</u>	<u>151</u>	<u>151</u>	<u>151</u>
<i>Total</i>	46,037	30,264	30,701	151	151	151
<b>Staff Training</b>						
New awards	1,525	0	1,400	8	0	5
Continuation awards	<u>0</u>	<u>1,525</u>	<u>0</u>	<u>0</u>	<u>8</u>	<u>0</u>
<i>Total</i>	1,525	1,525	1,400	8	8	5
<b>TRIO Demonstration</b>						
New awards	<u>0</u>	<u>0</u>	<u>20,000</u>	<u>0</u>	<u>0</u>	<u>16</u>
<i>Total</i>	0	0	20,000	0	0	16
<b>Total awards</b>						
Total new awards	1,525	273,528	183,338	8	955	553
Total Continuation awards	830,885	560,107	670,115	2,779	1,832	2,247
<b>Evaluation</b>	2,000	2,000	2,000			

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<u>Measures</u>	<u>2014 Funding</u>	<u>2015 Funding</u>	<u>2016 Funding</u>	<u>2014 Awards</u>	<u>2015 Awards</u>	<u>2016 Awards</u>
<b>Administrative expenses:</b>						
Peer review of new award applications	2,711	2,917	2,799			
Other expenses	<u>1,131</u>	<u>1,200</u>	<u>1,500</u>			
<i>Total</i>	3,842	4,117	4,299			
<b>Total</b>	<b>838,252</b>	<b>839,752</b>	<b>859,752</b>	<b>2,787</b>	<b>2,787</b>	<b>2,800</b>

<sup>1</sup> Includes \$10,437 thousand used to frontload 2015 continuation awards.

<sup>2</sup> Includes \$5,000 thousand used to frontload 2016 continuation awards to ensure sufficient levels of funding for the 2016 Talent Search and Educational Opportunity Centers 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 resources provided in previous years and those requested in FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

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

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

**Measure:** The percentage of participants enrolling in college.

Year	Talent Search Target	Talent Search Actual	Upward Bound Target	Upward Bound Actual	Educational Opportunity Centers Target	Educational Opportunity Centers Actual
2011	80.0%	80.1%	76.0%	83.8%	60.5%	59.6%
2012	80.0	79.8	76.0	81.8	61.0	60.6
2013	80.5	80.6	78.0	83.2	61.5	59.0
2014	80.5		80.5		61.5	
2015	80.5		81.0		61.5	
2016	81.0		81.5		61.5	

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

- For Talent Search, the measure looks at the percentage of “college ready” participants who enrolled in programs of postsecondary education during the reporting period or the next fall term. “College ready” participants are those who are high school seniors or are enrolled in an alternative education program at an academic level equivalent to that of a high school senior, adults who had graduated from high school or received a high school equivalency diploma, postsecondary dropouts, and potential postsecondary transfers. The measure does not show the percentage of all students ever served by Talent Search who ultimately are admitted to college. For example, Talent Search participants who drop out of the program prior to 12<sup>th</sup> grade are excluded from the calculation.
- The Upward Bound program, including the Math and Science projects, uses a different method to calculate the percentage of Upward Bound participants who subsequently enroll in postsecondary education. For Upward Bound, the percentage is calculated by dividing the number of students enrolling in postsecondary education during the reporting year by the number of students with an Expected High School Graduation Year during that reporting year (Expected High School Graduation Year is defined as the year a student would be expected to graduate assuming a normal 4 year progression).
- For Educational Opportunity Centers, the Department defines the cohort of participants comprising the denominator in the postsecondary enrollment calculation in the following way: participants who are high school seniors or the equivalent in alternative education programs, high school graduates, recipients of high school equivalency credentials, postsecondary dropouts, or potential postsecondary transfers.

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

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

Year	Target	Actual
2011	28.5%	40.7%
2012	33.0	39.9
2013	34.0	39.0
2014	36.0	
2015	37.0	
2016	37.5	

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**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
2011	30.0%	49.3%
2012	40.0	49.2
2013	41.0	50.4
2014	42.0	
2015	43.0	
2016	44.0	

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

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

Year	Enrolling Target	Enrolling Actual	Persisting Target	Persisting Actual
2011	40.0%	71.7%	80.0%	86.6%
2012	50.0	70.8	81.0	86.3
2013	69.0	72.5	82.0	77.2
2014	69.0		83.0	
2015	70.0		84.0	
2016	70.0		84.5	

**Additional information:** The "Actual" figures for persistence differ slightly from those reported in previous years due to the correction of a clerical error. The Department is formally changing the enrollment measure to count as successes those McNair participants who enroll in graduate school within 3 years of postsecondary graduation, as research indicates that a substantial number of individuals who pursue graduate degrees begin their graduate programs within 3 years of receiving their baccalaureate degrees.<sup>1</sup> The Department has re-calculated data from prior years to allow for comparisons across years. The reporting year in the table above represents the 3-year point of measurement. That is, 70.8 percent of McNair participants who graduated with their baccalaureate degree in 2009 had enrolled in graduate school by 2012. 2014 data will be available in October 2015.

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

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#### 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
2011		\$420		\$4,602		\$1,735
2012		471		4,518		1,648
2013	\$475	462	\$4,615	4,441	\$1,700	1,643
2014	475		4,600		1,690	
2015	470		4,585		1,680	
2016	470		4,570		1,670	

**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 in high school, re-enter 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.

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

Year	Target	Actual
2011	\$38,000	\$32,672
2012	35,000	27,790
2013	33,000	27,032
2014	33,000	
2015	32,000	
2016	31,000	

**Additional information:** This measure is calculated by dividing the McNair funding allocation from the year in which participants graduated college by the number of college graduates from that cohort that enrolled in graduate school within 3 years. Note that the definition of success used in the McNair efficiency measure is particularly exclusive. For instance, participants who achieved their Bachelor's degree with the help of the McNair program but did not subsequently enroll in graduate school are not counted as successes according to this measure. The Department decreased the targets for future years, starting in 2012, to make them more ambitious.

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#### 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. These studies are available at the following link: <http://www2.ed.gov/about/offices/list/oepd/ppss/reports.html#postsecondary>.

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 will support and test the use of practices aimed at improving college fit by evaluating the effectiveness of a professional development program for Upward Bound project staff that includes tools and resources, including information packets as well as recent research on in-person college guidance strategies, on college enrollment outcomes for participating Upward Bound students. The effort leverages work in the field by college access organizations 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 will be 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. The Department expects to publish results from this evaluation in the fall of 2017.

## HIGHER EDUCATION

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### Gaining early awareness and readiness for undergraduate programs

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

(dollars in thousands)

FY 2016 Authorization: To be determined <sup>1</sup>

	<u>2015</u>	<u>2016</u>	<u>Change</u>
	\$301,639	\$301,639	0

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for FY 2016.

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### PROGRAM DESCRIPTION

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

GEAR UP has two major service components. First, projects provide a comprehensive set of early intervention services including mentoring, tutoring, academic and career counseling, and other college preparation activities like exposure to college campuses and financial aid information and assistance. Second, projects provide college scholarships to participating students. In making awards to State applicants, the Department must give priority to funding entities that have carried out successful GEAR UP programs prior to enactment in, 2008, of the Higher Education Opportunity Act, have a prior, demonstrated commitment to early intervention programs, and ensure that students previously served by GEAR UP programs receive services through the completion of secondary school. States and partnerships must provide matching funds of at least 50 percent of the total project costs with cash or in-kind contributions from nonfederal sources accrued over the full duration of the grant award. The Department may authorize a reduction in the required match for partnerships under certain circumstances.

GEAR UP supports two types of grants:

State Grants—States receiving funds are required to provide both an early intervention and a scholarship component, targeted to low-income students in grades K-12. At least 50 percent, but not more than 75 percent, of the grant funds must be used to provide scholarships to participating students. Conversely, at least 25 percent, but not more than 50 percent, of the funds must be used for early intervention services. State grantees must, unless they request

## HIGHER EDUCATION

### Gaining early awareness and readiness for undergraduate programs

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and receive a waiver, hold in reserve funds for scholarships equivalent to the effective minimum Pell grant amount multiplied by the number of students the project is serving that the State estimates will enroll in an eligible institution of higher education. The State must make these funds available to eligible students who meet certain benchmarks. These scholarships are portable and may be used outside the State in which the GEAR UP program is located. States must provide all students served by the program with a personalized 21<sup>st</sup> Century Scholar Certificate to indicate the amount of Federal financial aid that they may be eligible to receive for college.

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

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

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011.....	\$302,816
2012.....	302,244
2013.....	286,435
2014.....	301,639
2015.....	301,639

### FY 2016 BUDGET REQUEST

The Administration requests \$301.6 million for Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) in fiscal year 2016, the same as the fiscal year 2015 level. The Administration's request for GEAR UP is based on the demonstrated promise of the program's approach with some indications that GEAR UP is making progress in achieving its near-term objectives, such as increasing students' and parents' knowledge of postsecondary opportunities and increasing rigorous course-taking. GEAR UP supports State efforts and

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### Gaining early awareness and readiness for undergraduate programs

builds partnerships within communities, targets entire cohorts of students in high-poverty middle schools, provides students with a full range of services through the 12<sup>th</sup> grade (in some cases through the first year of college), and offers scholarships to attend college. By targeting entire grades of students no later than the 7<sup>th</sup> grade, serving them throughout middle and high school, and providing them with scholarship funding, GEAR UP offers a unique approach to ensuring that low-income students have the skills and resources to attend college. Furthermore, the considerable State and local investments GEAR UP requires through both the creation of partnerships and matching contributions help ensure that the program will have a sustainable impact on the educational outcomes of low-income middle and high school students.

Most of the requested funds will be used to support continuation awards for State and Partnership grantees that were successful in the fiscal year 2011 and 2014 competitions. The 2014 competition included a focus on building evidence about successful practices aimed at improving college fit and readiness, and helping ensure students achieve the necessary milestones that provide a pathway to college success. The competition also encouraged projects designed to serve and coordinate with Promise Zones and those that proposed strategies to help to improve students' non-cognitive skills and behaviors, including academic mindset, perseverance, motivation, and mastery of social and emotional skills that improve student success. A small amount of the funds requested for 2016 will be used to support the web data collection contract, which enables the Department to collect and analyze performance data. The remaining funds, about \$6.9 million, would potentially be used to fund down the 2014 competition slate, frontload 2017 continuation costs, and/or support evaluation activities.

Language in the fiscal year 2015 appropriations act allows up to 1.5 percent of fiscal year 2015 funds to be used for evaluation. The Administration is seeking this flexibility again in fiscal year 2016.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>State Grants:</b>			
Number of new awards	10	1	0
Average new award	\$3,126	\$3,500	0
Total new award funding	\$31,264	\$3,500	0
Number of Continuation awards	27	36	37
Average Continuation award	\$3,888	\$3,829	\$3,736
Total Continuation award funding	\$104,984	\$137,845	\$138,233
Total award funding	\$136,248	\$141,345	\$138,233
Total number of awards	37	37	37
<b>Partnership Grants:</b>			
Number of new awards	31	0	0
Average new award	\$1,659	0	0
Total new award funding	\$51,420	0	0
Number of Continuation awards	58	85	82
Average Continuation award	\$1,849	\$1,843	\$1,904

## HIGHER EDUCATION

### Gaining early awareness and readiness for undergraduate programs

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Total Continuation award funding	\$111,242 <sup>1</sup>	\$156,867 <sup>1</sup>	\$156,393
Total award funding	\$162,663	\$156,867	\$156,393
Total number of awards	89	85	82
<b>Total award funding:</b>			
Total new award funding	\$82,684	\$3,500	0
Total Continuation award funding	\$216,226	\$294,508	\$294,626
<b>Evaluation</b>	\$2,200	\$3,300	TBD <sup>2</sup>
<b>Peer review of new award applications</b>	\$404	0	0
<b>Web data collection</b>	\$125	\$127	\$145
<b>To Be Determined</b>	0	0	\$6,868 <sup>2</sup>
Total program funding	\$301,639	\$301,639	\$301,639
Total number of awards	126	122	119

<sup>1</sup> Includes \$3,974 thousand of 2014 funds used to cover 2015 continuation costs for high-performing grantees that were originally funded in fiscal year 2011. These funds are excluded from the "average Continuation award" calculation.

<sup>2</sup> The Department has not yet determined the allocation of these funds. Potential uses include frontloading Continuation costs for fiscal year 2017, funding down the 2014 slate, and allocating additional funds towards evaluation.

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

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### Gaining early awareness and readiness for undergraduate programs

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

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

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

Year	Target	Actual
2011	86.0%	84.8%
2012	86.0	86.4
2013	87.0	82.8
2014	87.0	
2015	88.0	
2016	88.0	

**Additional Information:** This measure indicates the percentage of GEAR UP high school seniors that graduated from high school. That is, the denominator used in the calculation includes only those GEAR UP participants who persisted until the 12<sup>th</sup> grade. The figure reported for 2013 relates to the 2007 cohort. The Department indicated in the 2011 Notice Inviting Applications that, beginning with the 2011 award cohort, grantees are now expected to report high school graduation using a 4-year adjusted cohort methodology. The Department will begin reporting using this revised methodology when these grantees submit their Final Performance Reports in fiscal year 2017.

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

Year	Target	Actual
2011	59.0%	59.9%
2012	60.0	62.2
2013	60.0	75.3
2014	61.0	
2015	61.0	
2016	62.0	

**Additional Information:** This measure indicates the percent of GEAR UP students who graduated from high school and enrolled in postsecondary education the following September. Data from NCES put the performance data into context. According to NCES, 66.2 percent of all high school completers enrolled in postsecondary education immediately following high school graduation in 2012. In that same year, 50.9 percent of low-income students enrolled in postsecondary education immediately following high school graduation, according to the same NCES research. The GEAR UP figure reported for 2013 relates to the 2007 cohort.

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### Gaining early awareness and readiness for undergraduate programs

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

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

Year	Pre-algebra Target	Pre-algebra Actual	Algebra I Target	Algebra I Actual
2011	32%	32.5%	50%	51.4%
2012	33	39.8	51	61.0
2013	33	29.4	51	67.5
2014	34	31.2	53	58.3
2015	34		53	
2016	35		54	

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

### Efficiency Measures

The efficiency measure for this program is the cost of a successful outcome, where success is defined as enrollment in postsecondary education by GEAR UP students immediately following high school graduation. The Department calculates this measure by dividing the annual funding supporting closeout grantees (grantees serving cohorts that would be expected to graduate and enroll 12<sup>th</sup> graders in a particular reporting year) by the total number of postsecondary enrollees they produce. For instance, the 7 grantees that began serving 7<sup>th</sup> graders in 2007 would be expected to enroll their participants in college during the 2013-14 school year. Using this methodology, the annual cost per successful outcome for this GEAR UP cohort was \$2,455. The Department provided approximately \$11.8 million per year to the grantees in this cohort, which produced 4,824 postsecondary enrollees. It is important to note that this measure uses the strictest possible definition of “successful outcome.” For instance, students from this cohort who graduate high school with the help of GEAR UP programs but do not enroll in postsecondary education are not considered “successes” under this methodology.

### Other Performance Information

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

## HIGHER EDUCATION

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

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postsecondary enrollment—because the data were not yet available. Overall, the study found that GEAR UP had significant impacts on students' and parents' knowledge and behavior and on the academic offerings at GEAR UP schools. The study is available at the following link: (<http://www2.ed.gov/rschstat/eval/highered/gearup/early-outcomes.pdf>).

#### *Upcoming evaluation:*

In fiscal year 2014, the Department began using GEAR UP evaluation funds to undertake a rigorous study of college access strategies designed to improve GEAR UP students' college enrollment and completion. The findings from this evaluation will be useful to GEAR UP grantees as they search for promising practices to incorporate into their projects, and also to policymakers seeking to enhance current college access efforts.

Specifically, the Department plans to use approximately \$5.5 million of fiscal year 2014 and 2015 funds, to test a low-cost communication strategy that uses commonly used technology to provide college-intending high school graduates in the GEAR UP program and their parents with customized reminders about college enrollment-related tasks. The study is based on research indicating that although academic preparation and financial circumstances continue to drive disparities in postsecondary enrollment and completion, a substantial number of low-income students fail to enroll in and complete college simply because they fall off track trying to navigate the complex process of applying to, enrolling in, and staying in college (Bowen, Chingos, and McPherson, 2009; Roderick, Nagaoka, Coca, and Moeller, 2008).

The study would target GEAR UP high school seniors intending to enroll in college and provide 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 will 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 will relate to 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 will assist program participants in ensuring that they obtain scholarship funds made available through their GEAR UP projects.

By testing a strategy targeted to students as they matriculate into college, the study will take advantage of a significant change Congress made to the GEAR UP program in the Higher Education Opportunity Act of 2008 (HEOA)—allowing new grantees to obtain a 7th year of funding to serve participants who are enrolled as freshmen in college. The vast majority of the GEAR UP grantees that received their awards from the first post-HEOA competition in fiscal year 2011 sought and received this 7th year of funding and, thus, will be serving college freshmen in 2017-2018. This study, therefore, will produce knowledge about strategies that GEAR UP projects have never before implemented, and potentially inform the development of future competitions and project proposals.

## HIGHER EDUCATION

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### Graduate assistance in areas of national need

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

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$29,293	\$29,293	0

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

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## PROGRAM DESCRIPTION

Graduate Assistance in Areas of National Need (GAANN) provides fellowships, through 3-year grants to institutions of higher education, to graduate students studying in areas of national need and who are of superior ability and demonstrate financial need. The Department may also award grants to non-degree-granting institutions that have formal arrangements for the support of doctoral dissertation research with degree-granting institutions. Applicants must set forth policies and procedures to ensure that they will seek talented students from traditionally underrepresented backgrounds. In making awards, the Department evaluates applicants for evidence that the institution's social and academic environment is supportive of the academic success of students from traditionally underrepresented backgrounds on the applicant's campus. Fellowship recipients must be in financial need, have excellent academic records, and pursue a doctoral degree or the highest graduate degree in the academic field at the institution of higher education that they are attending.

After consultation with appropriate agencies and organizations, such as the National Science Foundation, the Department of Defense, and the Department of Homeland Security, the Department designates certain fields of study as "areas of national need" by taking into account the extent to which those areas are of compelling national interest, other Federal programs support post-baccalaureate study in those areas, and significant impact that can be made in those areas with available resources. The designated areas of national need for the most recent competition, in fiscal year 2014, were: area studies; biological sciences/life sciences; chemistry; computer and information sciences; engineering; foreign languages and literatures; mathematics; nursing; physics; and educational evaluation, research, and statistics.

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

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### Graduate assistance in areas of national need

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

Fellows must maintain satisfactory progress in their program and devote essentially full time study or research in their academic field. Fellows may not be employed, except on a part-time basis in teaching, research, or similar activities that support the fellow's progress towards a degree.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$30,968
2012 .....	30,909
2013 .....	29,293
2014 .....	29,293
2015 .....	29,293

### FY 2016 BUDGET REQUEST

The Administration requests \$29.3 million for the GAANN program for fiscal year 2016, the same as the 2015 level. About \$25.1 million, or 86 percent, of the funds requested would be used to cover the continuation costs of awards previously made under the program, primarily in 2015. About \$3.9 million would be used to support about 26 new institutional awards in fiscal year 2016.

Through its support of graduate study in key disciplines, GAANN helps address the problem of insufficient numbers of students pursuing graduate degrees in critical scientific and technical fields and other areas of national need. GAANN provides students with superior ability and financial need with the resources that they need to pursue graduate studies. The request recognizes the role that graduate education plays in the advancement of national prosperity and demonstrates the Administration's commitment to educational achievement at the graduate level and providing greater postsecondary access to students in financial need and those from traditionally underrepresented backgrounds.

In 2015, the Department plans to make about 130 new awards to eligible institutions of higher education to provide approximately 500 fellowships to students pursuing graduate study in areas of national need. The Department will use fiscal year 2016 funds to support continuation costs for these grants.

In 2012, the last year in which a competition was conducted, the number of awards by eligible academic discipline was as follows: area studies – 1; biology – 15; chemistry – 18; computer science – 9; education – 3; engineering – 34; foreign languages – 3; interdisciplinary – 19; mathematics – 24; nursing – 4; and physics – 6.

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Number of new awards	6	130	26
Number of new fellowships	28	500	82
Average new award	\$141	\$188	\$151
Total new award funding	\$1,303	\$23,629	\$3,925
Number of NCC awards	154	27	136
Number of NCC fellowships	565	113	527
Average NCC award	\$173	\$198	\$184
Total NCC funding	\$26,532	\$5,340	\$25,075
Average institution payment	\$15	\$15	\$15
Average stipend	<u>\$32</u>	<u>\$32</u>	<u>\$33</u>
Total average fellowship	\$47	\$47	\$48
Number of NCC Javits fellowships	31	0	0
Average NCC Javits fellowship	\$47	0	0
Total NCC Javits funding	\$1,458	0	0
Peer review of new award applications	0	\$293	\$293
Funds returned to Treasury	0	\$31 <sup>1</sup>	0
Total number of awards	191 <sup>2</sup>	157	162
Total number of fellowships	624 <sup>2</sup>	613	609
Total program funding	\$29,293	\$29,293	\$29,293

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

<sup>2</sup> This figure represents both GAANN and Javits awards.

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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

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

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

Year	Target	Actual
2011	58	67
2012	59	60
2013	59	67
2014	60	
2015	60	
2016	60	

**Additional Information:** The data used to calculate this performance measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The measure is calculated by dividing the number of GAANN fellows in the last year of their fellowships who have successfully completed their doctoral studies by the total number of GAANN fellows who are in the last year of their fellowships.

Because a fellow can receive no more than 5 years of funding and most doctoral students take 6-7 years to complete their doctoral programs, advancing to candidacy is used as a proxy for degree completion where appropriate. Use of such proxy data may inflate the performance data, as most, but not all, doctoral candidates who advance to candidacy actually complete their doctoral degrees. In fiscal year 2013, GAANN fellows exceeded the target completion rate for the seventh year in a row. Data for 2013 are provisional and may need further refinement. In fiscal year 2016, the Department plans to reconsider targets.

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

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

Year	Target	Actual
2011	5.1	4.9
2012	5.0	4.9
2013	5.0	5.2
2014	5.0	
2015	5.0	
2016	5.0	

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### Graduate assistance in areas of national need

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**Additional Information:** This measure, along with the completion rate measure, shows that the program supports fellows who have a high likelihood of successfully completing their degree in a relatively short period of time. Data collected through annual performance reports show that the program had a median time to completion of 5.2 years in 2013; these data are provisional and may need further refinement.

According to the most recent publicly available national data provided by the National Opinion Resource Center's annual "Survey of Earned Doctorates," the median time to doctoral degree completion for all graduate programs in the United States was 7.7 years in 2012. During that same period, the average time to completion was 6.7 years for the physical sciences, 6.7 years for engineering, and 6.9 years for life sciences. These figures are not directly comparable to those of the GAANN program, insofar as the GAANN measures begin counting years to completion at first enrollment in any type of graduate education, not just doctoral study. For example, the GAANN completion rate includes students in Master's programs who are likely to complete their degrees in a shorter number of years than doctoral students. However, research shows that students with financial need, such as those served by the GAANN program, typically take longer to complete terminal graduate degrees than the national student body as a whole. Accordingly, achieving a level of performance that is comparable or better than the national average for graduate students suggests that the program is successfully meeting its performance goal. Notably, the median time to completion for GAANN fellows has held steady around 5.0 years since 2007.

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

### 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
2011	\$70,000	\$57,238
2012	69,500	54,894
2013	69,000	64,000
2014	68,500	
2015	68,500	
2016		

The data used to calculate the efficiency measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The efficiency measure is calculated by dividing the total amount of Federal funds provided to

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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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. However, given the improvements in cost per outcome since 2005, more ambitious targets have been established for 2011 through 2015. Data for fiscal year 2013 are provisional and may need further refinement. No target has been set for 2016. The Department plans to reconsider targets in fiscal year 2015.

### Other Performance Information

A study of the Department's graduate fellowship programs was initiated in 2004. The study was designed to provide information on educational and employment outcomes of participants in the Department's graduate fellowship programs, including the GAANN program. The study found that about 78 percent of GAANN fellows had completed their degree within 10 years and another 9 percent were still pursuing their degrees; in comparison, 62 percent of all U.S. students who enrolled in a graduate degree program completed their degrees and 15 percent were still enrolled in that program. The study also found that the average time to degree completion for GAANN fellows was 6 years, compared to 8 to 9 years for all U.S. graduate students in comparable fields, based on the "Survey of Earned Doctorates." The final report was published in September 2008 and can be found at: <http://files.eric.ed.gov/fulltext/ED526947.pdf>.

## HIGHER EDUCATION

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### Child care access means parents in school

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

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$15,134	\$15,134	0

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<sup>1</sup> The GEPA extension expires September 30, 2015; reauthorizing legislation is sought for fiscal year 2016.

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### PROGRAM DESCRIPTION

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

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

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

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

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011.. .....	\$16,002
2012.. .....	15,970
2013.. .....	15,134
2014.. .....	15,134
2015.. .....	15,134

### FY 2016 BUDGET REQUEST

The Administration requests \$15.1 million for the Child Care Access Means Parents in School (CCAMPIS) program, the same as the fiscal year 2015 appropriation. The CCAMPIS program helps to ensure that low-income student parents enroll in, persist in, and complete postsecondary education by helping to meet their needs for affordable and convenient child care. All of the funds requested for the CCAMPIS program in fiscal year 2016 would support continuation awards.

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

Fiscal year 2016 funding maintains support to enable institutions to sustain or establish campus-based child care programs; establish emergency back-up care and provide summer child care and before and after school services; subsidize the costs of child care for low-income students; and establish programs involving parents.

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Number of new awards	8	0	0
Average new award	\$241	0	0
Total new award funding	\$1,925	0	0
Number of NCC awards	78	86	86
Average NCC award	\$169	\$176	\$176
Total NCC award funding	\$13,209	\$15,134	\$15,134
Total award funding	\$15,134	\$15,134	\$15,134
Total number of awards	86	86	86

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

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

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

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

Year	4-year/2-year Target	4-year/2-year Actual	4-year Target	4-year Actual	2-year Target	2-year Actual
2011		56.1%		62.0%		47.0%
2012		61.2		69.3		49.2
2013		45.8		46.4		45.0
2014	TBD		TBD		TBD	
2015	TBD		TBD		TBD	
2016	TBD		TBD		TBD	

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**Additional information:** The overall persistence rate in 2013 for students participating in the CCAMPIS program is 45.8 percent (3,466 out of 7,566 student participants). The persistence rate for 2013 is calculated by dividing the total number of students participating in the program in academic year 2012-2013 by the number of students who were either still attending, had transferred from a 2-year institution to a 4-year institution of higher education, or had graduated during academic year 2012-2013. Data for the 2014 persistence rate of program participants, i.e., students who participated in the program in academic year 2013-2014, who, as of academic year 2013-2014 are either still attending, had transferred from a 2-year institution to a 4-year institution of higher education, or had graduated will be available in March 2015. The Department expects to establish targets for this measure in March 2015.

**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
2012		31.0%
2013		35.0
2014	TBD	
2015	TBD	
2016	TBD	

**Additional information:** The CCAMPIS program began reporting data for graduation rates at 2-year CCAMPIS grantee institutions in 2012. More specifically, the program is now reporting data collected from CCAMPIS grantee participants enrolled at 2-year CCAMPIS grantee institutions who graduate within 3 years of enrollment. The 2-year graduation measure is consistent with the Department's standard graduation rate for 2-year institutions, calculated as the percentage of recipients who graduated from their postsecondary institution within 150 percent of normal completion time. This means graduating within 3 years of beginning studies at a 2-year institution. The 2013 graduation rate for students participating in the CCAMPIS program from 2-year institutions is 35 percent, an increase of 4 percentage points as compared to the 2012 rate of 31 percent. The Department expects to establish targets for the new completion measure in March 2015.

### Annual Performance Report Data

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

- Completed the term without completing his/her studies, graduating, transferring, or withdrawing during the term or at the end of the term;

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- Earned a certificate/diploma, associate's, bachelor's, or teaching credential during or at the end of the term;
- Transferred from a 2-year institution of higher education to a 4-year institution or from one 4-year institution to another 4-year institution during or at the end of the term;
- Officially withdrawn from the grantee-institution during the term;
- Not returned/dropped out/stopped out from the grantee-institution (without official notification to the institution) during the term;
- No further need for CCAMPIS funded services (examples: student is no longer eligible for Pell Grants; family member cares for the child; child aged out of care; etc.); and
- Participated in the CCAMPIS program while enrolled at the grantee-institution or declined CCAMPIS participation at any point while enrolled.

The CCAMPIS program serves a wide variety of student-parents with various needs. Multiple factors make it difficult to track students. Some students may not need services from year-to-year because their child is of school age, because they obtained alternative childcare from family members, or because of changes to the timing and number of hours required to attend class. The Department believes these revisions to the APR will yield more accurate persistence and completion data than what has been collected in the past.

The Department dropped the performance measure that focused on completion rates at 4-year CCAMPIS grantee institutions. The methodology used for this measure was problematic because the denominator included students who had not been in school long enough to graduate even if they persisted without interruption. 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.

### 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
2011		\$8,553
2012		5,757
2013	TBD	4,608
2014	TBD	
2015	TBD	
2016	TBD	

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**Additional information:** For 2013, the cost per successful outcome of \$4,608 was calculated by dividing the program allocation of \$15,969,760 by 3,466, 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. Targets for 2014-2016 will be developed as soon as 2013 data become available in March 2014.

### Other Performance Information

Data from the 2008 National Postsecondary Student Aid Study showed that:

- The majority of Pell Grant recipients with children under 12, like Pell Grant recipients overall and Pell Grant recipients with no children, were non-White, female, and single, widowed, or divorced. Pell Grant recipients with children of child care age were more likely than those without children to be women (81 versus 57 percent, respectively); Black, non-Hispanic (29 versus 21 percent); and married (32 versus 4 percent).
- Approximately 49 percent of Pell Grant recipients with children under age 5 and 31 percent of those whose youngest child was 5 to 11 reported using child care. Among Pell Grant recipients with children, those who reported using child care were more likely to be single parents than those not using child care, 72 percent compared to 54 percent.
- Child care was a major expense for Pell Grant recipients who used it. Average monthly child care expenditures for Pell Grant recipients with children under age 5 was higher than child care expenditures for those with children 5 to 11 (\$390 versus \$288 per month), or an average of \$4,680 versus \$3,450 per year, if annualized.

Data from the 2009 and 2010 Grantee Performance Reports submitted in 2011 showed that:

- Forty-six percent of the institutions served are 2-year public institutions, 51 percent are 4-year public institutions, and the remaining 3 percent are 4-year private institutions.
- Nearly all CCAMPIS participants were Pell Grant recipients (89 percent) and the vast majority were female (85 percent). In terms of race/ethnicity, the largest proportion of participants was White (48 percent), and a sizable minority were Hispanic or Latino (22 percent).

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### Teacher quality partnership

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

(dollars in thousands)

FY 2016 Authorization: Indefinite

Budget Authority:

	<u>2015</u>	<u>2016</u>	<u>Change</u>
	\$40,592	0	-\$40,592

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### PROGRAM DESCRIPTION

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

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

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

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

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instruction; developing a high-quality and sustained preservice clinical education program that includes high-quality mentoring or coaching; creating a high-quality induction program for new teachers; implementing initiatives that increase compensation for qualified early childhood educators who attain 2-year and 4-year degrees; developing and implementing high-quality professional development for teachers in partner high-need LEAs; developing effective mechanisms, which may include alternative routes to certification, to recruit qualified individuals into the teaching profession; and strengthening literacy instruction skills of prospective and new elementary and secondary school teachers.

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

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

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

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.

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Program funds also can be used to support evaluations of program activities, and, in 2010, the Department awarded a contract for an evaluation of teacher residency programs supported through grants awarded in 2009 and 2010.

The Higher Education Act of 1965, as amended, also allows the Department to use program funds to support the State teacher quality accountability reporting system, as authorized by sections 205-207. The State teacher quality accountability reporting system gathers data from all 50 States, the District of Columbia, Puerto Rico, the outlying areas, and the Freely Associated States on such topics as the completion rates for traditional and alternative route teacher preparation programs, as well as State teacher assessments and certifications. These data are reported to Congress and the Nation through the Secretary's annual report on teacher quality, and they provide critical information on both the progress toward the Nation's goal of a highly qualified teacher in every classroom, and the areas needing further improvements (<http://www2.ed.gov/about/reports/annual/teachprep/index.html>).

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$42,914
2012 .....	42,833
2013 .....	40,592
2014 .....	40,592
2015 .....	40,592

### FY 2016 BUDGET REQUEST

The Administration's fiscal year 2016 budget request includes no funding for the Teacher Quality Partnership (TQP) program, which would be consolidated into the Teacher and Principal Pathways authority. This proposed consolidation is consistent with a longstanding principle of the Administration's budget and legislative policy, which is to consolidate small, narrowly targeted, categorical programs into broader, more flexible authorities that better meet locally determined needs. Promoting a variety of high-quality pathways is an essential mechanism for preparing new teachers and principals to serve high-need schools and addressing inequities in access to effective and highly effective educators. The new Teacher Pathways program would fund competitive grants to teacher preparation programs operated by IHEs and nonprofit organizations to support the creation or expansion of high-quality pathways into the teaching profession, including alternative routes to certification. These pathways would emphasize partnerships with LEAs and increasing the number of effective and highly effective teachers serving in high-need schools and teaching in high-need fields and subjects.

The Administration's budget request acknowledges that teachers and principals are working hard to implement rigorous new college- and career-ready standards and that States and LEAs are implementing reforms in order to elevate the overall quality of instruction to improve student achievement. The request includes a set of initiatives to help States, LEAs, IHEs, and other partners to address each phase of a teacher's preparation and career in order to improve

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student achievement and ensure access to a high-quality education for all students, and, therefore, builds on the Transition to Teaching program's record of support for teachers early in their careers. The request for Improving Teacher Quality State Grants would provide formula grants for ongoing State and local efforts to strengthen the recruitment, preparation, evaluation, support, and retention of teachers and school leaders. In addition, under an expanded Supporting Effective Educator Development (SEED) program, the Department would make new competitive grants to national nonprofit organizations to support teacher and school leader enhancement projects with evidence of effectiveness and conduct related national leadership activities. Building on lessons learned from the Teacher Incentive Fund, the Department would also make competitive Excellent Educators Grants to States and LEAs to support evidence-based initiatives to strengthen State and local systems for recruiting, developing, and retaining effective teachers and principals in high-need districts and schools. Finally, the Administration's Teaching for Tomorrow proposal would fund competitive grants to assist States in dramatically improving teacher recruitment, selection, and early career supports, and support States and districts in increasing the retention of excellent teachers and implementing innovative, evidence-based models for induction, mentoring, evaluation, and support to improve teacher performance and increase access to effective teachers for all students.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Partnership Grants:			
New	\$26,829	0	0
Continuations	<u>8,290</u> <sup>1</sup>	<u>\$40,054</u> <sup>2</sup>	<u>0</u>
Subtotal	35,119	40,054	0
Post-project data collection grants	4,801 <sup>3</sup>	0	0
State teacher quality accountability reports	538	538	
<u>Program totals</u>			
New	39,648	0	0
Continuations	538	40,592	0
Peer review of new award applications	<u>134</u>	<u>0</u>	<u>0</u>
Total	40,592	40,592	0

NOTE: Fiscal year 2016 projected costs of \$538 thousand for data collection for the State teacher quality accountability reports and continuation costs of \$26,026 thousand for partnership grants would be provided from funds set aside under the Teacher and Leader Pathways program.

<sup>1</sup> The fiscal year 2014 continuation awards total includes approximately \$8,290 thousand in fiscal year 2014 funds used to support fiscal year 2015 continuation costs.

<sup>2</sup> The fiscal year 2015 continuation awards total includes approximately \$12,501 thousand in fiscal year 2015 funds used to support fiscal year 2016 continuation costs.

<sup>3</sup> Under 34 C.F.R. §75.250(b), the Department is authorized to award funds for a data collection period of up to 72 months after the end of the project period. In fiscal year 2014, the Department made awards to seven fiscal year 2009 grantees under this program to support ongoing data collection on prior program graduates.

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### Teacher quality partnership

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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets. 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.

In 2008, the program was reauthorized and extensively revised as part of the Higher Education Opportunity Act. The Department concluded that the performance measures that had been developed for the antecedent program were no longer appropriate. As a result, the Department developed new measures for the program. Data for the new measures will be available in fall 2015 at the earliest. For the interim period, the Department has created measures that will provide data in a shorter period of time. Data for these measures will come from the revised annual performance report. The Department is currently doing data quality checks on these submissions. It is expected that initial data for these measures will be available in spring 2015.

**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.

**Objective:** *To improve the subject matter competency of new teachers.*

**Measure:** The percentage of grantees that report improved scores for initial State certification or licensure of teachers.

**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.

**Interim Measure:** The percentage of beginning teachers who are retained in teaching in the partner high-need LEA or early childhood education (ECE) program 1 year after initial employment.

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#### Efficiency Measure

The Department also developed an efficiency measure for this program. The measure is the cost of a successful outcome, where successful outcome is defined as retention in the partner high-need LEA or ECE program 3 years after initial employment. This efficiency measure ties in with the program's new performance measures. Data for this measure will come from the revised annual performance report and will be available in spring 2015 at the earliest.

#### Other Performance Information

In 2010, the Institute of Education Sciences (IES) awarded a contract for an evaluation of the teacher residency projects supported through the TQP program to Mathematica Policy Research, Inc. Although the evaluation was originally intended to be an impact study that would examine whether having a teacher residency program graduate as a teacher had an effect on student achievement, IES determined that an experimental research design was not feasible. Instead, the evaluation was restructured as an implementation study.

In spring 2011, the evaluator surveyed all 28 TQP teacher residency projects in order to collect descriptive information on the characteristics and implementation of the projects. In order to limit the administrative burden on schools and districts, for a subset of projects, the evaluator conducted interviews with project directors and surveyed teacher residents and their mentors in spring 2011. In spring 2012, the evaluator began conducting additional surveys of the teachers of record, collecting student administrative data and teacher employment verification data, and conducting a survey on teacher mobility.

The implementation study 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

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residents reported that their fieldwork reinforced what they learned in their coursework and 68 percent reported that their coursework was well integrated with their classroom experiences. Additionally, novice residency program teachers reported feeling more prepared than other novice teachers in the same district.

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

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

A follow-up to this study, covering teacher retention for this cohort using data collected in fall 2013, is expected by fall 2015.

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### **GPRA data/HEA program evaluation**

(Department of Education Appropriations Act)

(dollars in thousands)

FY 2016 Authorization: 0 <sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
0	\$30,000	+\$30,000

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<sup>1</sup> The Department proposes to fund this program in fiscal year 2016 through appropriations language.

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### PROGRAM DESCRIPTION

The GPRA Data/HEA Program Evaluation program helps build evidence to improve the effectiveness of Higher Education Act (HEA) programs by providing funds for data collection and evaluation activities. The funds provide assistance for evidence-building activities in higher education by enabling the Department to obtain data on program performance measures and support rigorous evaluations of HEA programs that do not have authority to set-aside funding for such activities, or where funding set-asides are not sufficient to cover costs. Supporting these types of activities is crucial to building knowledge about what works in postsecondary education and how to expand access to and increase success in high quality postsecondary education programs. The Department makes a determination each year about the specific kinds of information that are needed to assess the performance of individual programs and gives priority to those that are most critical. The program is authorized through appropriations language.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$608
2012 .....	607
2012 .....	607
2013 .....	575
2014 .....	575
2015 .....	0

### FY 2016 BUDGET REQUEST

The Administration requests \$30 million for GPRA Data/HEA Program Evaluation (GPRA/HEA) activities in fiscal year 2016. The program was not funded in 2015. In addition to the request for GPRA/HEA, the Administration is requesting appropriations language that would permit the Department to reserve a portion of funds from other programs to carry-out evaluations, conduct evidence-building activities, or provide technical assistance for higher education and other

## HIGHER EDUCATION

### GPRA data/HEA program evaluation

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career, technical, and adult education programs. The requested funding for GPRA/HEA would support several activities:

- Pilot and Demonstration Programs. The Department would use approximately \$29 million to conduct research, evaluations, and demonstrations to test approaches that promote postsecondary access, program completion, and high-quality, affordable education programs. In 2016, the Department plans to spend more than \$176.1 billion on student aid programs. The Department also spends considerable resources on higher education grant programs. For example, the Administration's 2016 request includes \$2.1 billion for discretionary programs in the Higher Education account to help achieve the President's goal of making college more affordable and significantly increasing the percentage of Americans with postsecondary degrees or other credentials or industry-recognized credentials. Given the size of this investment, the Department must understand how such funding is helping students to access and complete postsecondary education. Research and experimentation are critical for improving the effectiveness of Federal higher education investments, so that students achieve their goals and the Nation remains globally competitive.

Specifically, these funds would be used to support:

- A Pell Demonstration Fund to test innovations to increase persistence and completion, reduce time to degree, and lower costs and student loan indebtedness for Pell grant recipients including earlier awareness and notification of Federal financial aid, financial incentives for on-time completion, further simplification of the Free Application for Federal Student Aid (FAFSA) to increase participation, year-round Pell grants to promote degree acceleration, and alternative accreditation structures that would provide pathways for unaccredited higher education models and colleges to receive Federal student aid based on performance and results.
- Evaluations of loan counseling practices at institutions of higher education, including those that utilize loan counseling tools or resources made available by the Department. Title IV of the Higher Education Act (HEA) requires that institutions of higher education provide entry and exit loan counseling to any student receiving Title IV loans. The Department would use the requested funds to coordinate evaluations of commonly used loan counseling practices and resources to build evidence for the most effective approaches to loan counseling. A portion of funds could also be awarded to existing grantees of HEA programs, such as Federal TRIO programs Student Support Services, to implement specific loan counseling strategies that have produced initial evidence of effectiveness in order to test whether such strategies are effective in varied settings and when delivered to a diverse range of students.
- Evaluations of innovative postsecondary education practices under the Department's experimental sites authority. Using this authority, the Department will waive or modify certain Title IV statutory or regulatory requirements that would allow a limited number of institutions to implement new and innovative postsecondary strategies and to determine the effectiveness of the Title IV programs. In July 2014, the Department published a notice in the Federal Register requesting letters of interest from institutions of higher education to participate in experimental sites to examine the effectiveness of innovations such as competency-based education programs and use of prior learning assessments

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### GPRA data/HEA program evaluation

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that have the potential to increase persistence and completion, reduce time to degree, and lower costs and debt. In response to this notice, 83 institutions have been invited to participate in these experiments.

In fiscal year 2015, the Department plans to announce additional experiments. The requested fiscal year 2016 funds would be used to support evaluations of the experiments to inform potential policy changes in the future to Title IV program requirements.

- A postsecondary and adult education data quality initiative (DQI). The Department would use \$1 million to support the development of a postsecondary and adult education DQI, modeled after the existing elementary and secondary education DQI supported under the Fund for the Improvement of Education. The elementary and secondary education DQI supports activities designed to improve the quality, analysis, reporting, and use of the Department's elementary and secondary program performance data, which inform program and budget priorities. The DQI contractor provides program office staff with guidance on how to structure grant competitions in ways that encourage grantees to plan for, collect, and use high-quality program performance and evaluation data; provides technical assistance to grantees as they collect the data; and provides assistance to program offices and program analysis staff to improve the quality of analysis and use of data. The postsecondary and adult education DQI would support similar activities at the postsecondary level to increase the quality of information available about the Department's postsecondary programs.

One potential area for DQI work in 2016 would be an examination of the performance measures used by the Aid for Institutional Development (AID) programs, which are designed to strengthen IHEs that serve high percentages of minority students and students from low-income backgrounds, and identification of strategies for improving the quality of information available about the AID programs. Funds under these programs may be used for a wide variety of purposes and the Department has grappled with appropriate strategies for assessing grantee and program performance. Department staff have begun initial work, including starting to develop guidance for appropriate grantee logic models, reviewing the grant Annual Performance Report to determine how it can be revised to provide better information about key grant outputs and outcomes, planning outreach to institutional research practitioners, and considering whether to hold a working session at the spring 2015 project directors' meeting to obtain their views how to identify key common project objectives and measures. This preliminary work would be used to identify the specific tasks for the DQI contractor, such as providing guidance to grantees developing logic models and collecting and analyzing performance data. In addition, the Department might use the DQI to develop strategies for assessing the effect of using competitive and absolute priorities in the Higher Education program competitions.

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Student financial assistance experimental sites studies	\$454	0	\$29,000
Data quality initiative	0	0	1,000
Other activities	<u>121</u>	<u>0</u>	<u>0</u>
Total	575	0	30,000

#### PROGRAM PERFORMANCE INFORMATION

##### **Performance Measures**

GPRA Data/HEA Program Evaluation program funds are used for data collection, analysis, or evaluation studies for programs authorized under HEA. These activities have played an important role in reporting performance data, making program improvements, informing budgetary decisions, and conducting program assessments.

## HIGHER EDUCATION

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### America's college promise

(Legislation sought)

(dollars in thousands)

FY 2016 Authorization: To be determined

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
0	\$1,364,842	+\$1,364,842

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### PROGRAM DESCRIPTION

Nearly a century ago, a movement made high school widely available which helped lead to rapid growth in the education and skills training of Americans, driving decades of economic growth and prosperity. America thrived in the 20<sup>th</sup> century, in large part, because we had the most educated workforce in the world. But other nations have matched or exceeded our success. Today, more than ever, Americans need more knowledge and skills to meet the demands of a growing global economy without having to take on decades of debt before they even embark on a career. By 2020, an estimated 65 percent of job openings will require postsecondary education or training. At the same time, approximately 100 million adults in America today have no college experience.

Building on the President's College Value and Affordability agenda and previous Budget proposals, America's College Promise is a proposed grant program for States to make community college free for responsible students, enabling them to earn a certificate, an associate's degree or up to 2 years' worth of credits toward a bachelor's degree without paying an tuition and fees.

Reflecting America's higher education model of shared responsibility, America's College Promise will require everyone to do their part: 1) States must invest more in higher education and training; 2) community colleges must strengthen their programs and increase the number of students who graduate; and 3) students must take responsibility for their education, earn good grades, and stay on track to graduate. Specifically, America's College Promise will require the following:

- Ensuring Shared Responsibility with States: Federal funding will cover about three-quarters of the average cost of community college. Allocation of the Federal portion will be based in part on a formula that includes both student enrollment and outcomes such as program completion or transfer to four-year institutions. States that choose to participate will be expected to contribute the remaining funds necessary to eliminate community college tuition for eligible students. States that already invest more and charge students less can make smaller contributions, though all participating States will be required to put up some matching funds. States must also commit to continue existing investments in

## HIGHER EDUCATION

### America's college promise

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higher education; coordinate high schools, community colleges, and 4-year institutions to reduce the need for remediation and repeated courses; and allocate a significant portion of funding based on performance, not enrollment alone. After States achieve tuition-free community college with their grants, they can spend the remainder on expanding quality community college offerings, improve affordability at 4-year public universities, and improve college readiness, through outreach and early intervention. The implementation of this grant program by States will occur gradually, as participation phases in, with the expectation that all states will have such programs in place within 8 years.

- Building High-Quality Community Colleges: Community colleges will be expected to offer programs that either: are academic programs that fully transfer to local public 4-year colleges and universities, giving students a chance to earn half of the credit they need for a 4-year degree; or, are occupational training programs with high graduation rates and that lead to degrees and certificates that are in demand among employers. Other types of programs will not be eligible for free tuition. Colleges must also adopt promising and evidence-based institutional reforms and innovative practices to improve student outcomes.
- Enhancing Student Responsibility and Cutting the Cost of College for All Americans: Students who attend at least half-time, maintain a 2.5 Grade Point Average while in college, and make steady progress toward completing their program will have their tuition eliminated. The program eliminates tuition and fees for all eligible students for a maximum of 3 years. Students with an adjusted gross income of \$200,000 and above would not be eligible.

### FY 2016 BUDGET REQUEST

For fiscal year 2016, the Administration requests \$1.4 billion in mandatory funding to support America's College Promise. The proposal would cost \$60.3 billion over 10 years, and would be funded with mandatory funds. Funds provided under this program would be used to eliminate community college tuition and fees for eligible first-time students, regardless of age or whether they are recent high school graduates. Unlike "last-dollar" scholarship programs, America's College Promise would be a tuition waiver program funded by new Federal and State resources. Therefore, low- and moderate-income students would continue to be eligible for Federal student aid (including Pell Grants) that they can use to cover other costs of attendance, such as books, supplies, housing, and transportation costs.

Only public institutions of higher education would be eligible to receive funding from this program. In addition, States' performance funding formula must meet minimum criteria set by the Department of Education, including that funding gaps among different types of public institutions are not developed or become exacerbated, in order to ensure that all students have a chance to succeed.

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### College opportunity and graduation bonus

(Legislation sought)

(dollars in thousands)

FY 2016 Authorization: To be determined

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
0	\$647,000	+\$647,000

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### PROGRAM DESCRIPTION

The College Opportunity and Graduation Bonus program would reward colleges that successfully enroll and graduate a significant number of low- and moderate-income students on time and encourage all institutions to improve their performance. Eligible institutions may receive a grant that will support innovation, interventions, and reforms to further increase college access and success based upon the number of Pell Grant recipients they graduate on time. Eligible institutions would receive an annual grant equal to their number of on-time Pell Grant recipient-graduates multiplied by a tiered bonus amount per student, varying by institution type.

In addition, this new program would encourage institutions to continue improving their performance and graduate even more low-income students by providing a larger bonus amount for additional Pell graduates. Eligibility would be based on Pell students comprising a significant share of an institution's graduating class, as well as on graduation and student loan default rates.

### FY 2016 BUDGET REQUEST

The Administration requests \$647 million in mandatory funding in 2016, and \$7 billion over the next decade, to support the College Opportunity and Graduation Bonus program. The grants made through this program would be used for making key investments and adopting best practices that will further increase college access and success for low-income students, such as by awarding additional need-based financial aid, enhancing academic and student support services, improving student learning and other outcomes while reducing costs, using technology to scale and enhance improvements, establishing or expanding accelerated learning opportunities, as well as other innovations, interventions, and reforms. Funds awarded will supplement and not supplant existing institutional expenditures.