U.S. DEPARTMENT OF EDUCATION

Academic Competitiveness and National SMART Grant Programs: Lessons Learned, 2006–07 Through 2009–10

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Academic Competitiveness and National SMART Grant Programs: Lessons Learned, 2006–07 Through 2009–10

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Executive Summary

Background

Two new grant programs for low-income undergraduates—the Academic Competitiveness Grant (ACG) for first- and second-year students and the National Science and Mathematics Access to Retain Talent (National SMART) Grant for third- and fourth-year students were implemented in 2006–07. The ACG was intended to increase students' chances of success in college by encouraging them to take challenging courses in high school and enroll in college full-time. The National SMART Grant was designed to encourage students to major in science, technology, engineering, or mathematics (STEM) fields or in selected foreign languages deemed critical to the national interest. First-year ACG recipients could get up to $750, and second-year recipients, up to $1,300. National SMART Grants were worth up to $4,000. Both programs ended at the end of the 2010–11 award year.

To receive either grant, a student had to be a U.S. citizen, enroll full-time, and qualify for a Federal Pell Grant. An ACG recipient also had to graduate from high school after Jan. 1, 2006, if a first-year student, or Jan. 1, 2005, if a second-year student; complete a rigorous high school program; enroll in a degree program; and have a cumulative grade point average (GPA) of at least 3.0 at the end of the first year of college to receive an ACG as a second-year student. National SMART Grant recipients had to major in an eligible field and maintain a cumulative GPA of at least 3.0 in course work required for their major.

Starting in 2009–10, eligibility for both grants was expanded to include part-time students and Pell Grant–eligible noncitizens. In addition, students in certificate programs lasting a year or longer at a degree-granting institution could get an ACG, and students in the fifth year of an eligible five-year program could receive a National SMART Grant.

Study Questions and Design

This report addresses the following questions:

1) What implementation issues were encountered and how were they addressed?

2) How many students received each type of grant, how much did they receive, what types of institutions did they attend, and how did the numbers change over time?

3) How many recipients re-qualified for each grant for a second year?

4) How do college persistence rates for ACG and National SMART Grant recipients compare with that of Pell Grant–only recipients?

The review of implementation issues is based on examination of documentation from negotiated-rulemaking sessions held in early 2007, interviews with representative stakeholder organizations, and reviews of stakeholder websites. The description of participation in the grant programs used federal administrative data on Pell Grant, ACG, and National SMART Grant participation from 2006–07 through 2009–10 provided by the Office of Federal Student Aid.

In interpreting the numbers presented in the report, it is important to keep in mind that substantial changes were made to the ACG and National SMART Grant legislation that increased the pool of eligible recipients. As indicated above, eligibility was expanded beginning in the fourth award year (effective July 2009) to include students enrolled at least half-time, students in one- to two-year certificate programs at degree-granting institutions, and eligible noncitizens. The list of eligible SMART Grant majors was also expanded, as was eligibility for students enrolled in the fifth year of a five-year degree program.

This is the fourth report from this five-year study.[1] Each of the four reports summarizes the legislative and regulatory history to date, describes the status of implementation concerns, and adds the most recent ACG and National SMART Grant program participation data. After the first year, each report also includes grant renewal rates (how many students with grant awards in one year re-qualified the following year).

ACG and National SMART Grant Awards

Analysis of the federal data on participation through the fourth program year (2009–10) yielded the following major findings:

1) The number of ACGs more than doubled over the first four years of the program, driven largely by increases in the number of Pell Grant recipients and expanded eligibility, but the percentage of Pell Grant recipients with an ACG remained low.

Between 2006–07 and 2009–10, the number of first- and second-year Pell Grant recipients grew from 3.0 million to 5.5 million (or 82 percent) (Exhibit A). During the same period, the number of ACG recipients grew from 301,700 to 636,400 (or 111 percent). This observed increase is the net effect of the increase in the number of Pell Grant recipients, the expansion of the eligibility criteria, and other unknown factors not taken into account here. If the actual ACG increase had simply followed the Pell Grant increase and not been affected by any other factors, the expected number of ACGs would have been only about 547,900 (i.e., less than the observed increase).

[1] The earlier reports (U.S. Department of Education 2009, 2010, and 2011b) can be accessed at: http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#higher

Thus, the increase in Pell Grant recipients is a major reason for the ACG growth but does not fully explain it. It was estimated that the expanded eligibility criteria would have increased the number of Pell Grant recipients receiving an ACG by about 15 percent. On this basis, the expected number of new ACG recipients on top of the increase due to Pell Grant increases would be about 630,000, which is about 36,400 (or 6 percent) fewer than the actual number. This suggests that most—but not necessarily all—of the increase in ACG awards can be attributed to increases in Pell Grant awards and expanded eligibility.

The proportion of Pell Grant recipients who also received an ACG remained low overall (between 10 and 12 percent). However, it was much higher at public and private nonprofit four-year institutions (30 and 28 percent, respectively in 2009–10) than at other types of institutions (between 2 and 9 percent in 2009–10).

2) Only about one-quarter of first-year ACG recipients received another ACG the following year.

To receive an ACG as a second-year student, a first-year ACG recipient had to meet the same requirements as in the first year and also have a cumulative 3.0 GPA at the end of the first year. Only 27 percent of the first-year students who received an ACG in 2006–07 were able to do so (Exhibit B). For the next two cohorts, the renewal rates were 25 and 24 percent.

The first-year students who received another Pell Grant in the following year but not an ACG still had low incomes but could not meet the stricter ACG requirements. The remaining students in each cohort either were no longer eligible for a Pell Grant or had dropped out.

3) The number of students receiving a National SMART Grant was relatively stable during the first three years of the program and then increased substantially, exceeding Pell Grant growth.

A total of 62,400 students received a National SMART Grant in 2006–07 (Exhibit A). Over the next two years, the number of National SMART Grant awards did not keep pace with the increase in Pell Grant awards. However, in 2009–10, the number of National SMART Grants

Exhibit A. Number of undergraduates, numbers of Pell Grant, ACG, and SMART Grant recipients, and number and percent change: 2006–07 through 2009–10

Undergraduates and grant recipients	2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2007–08 Number	Change 2006–07 to 2007–08 Percent	Change 2007–08 to 2008–09 Number	Change 2007–08 to 2008–09 Percent	Change 2008–09 to 2009–10 Number	Change 2008–09 to 2009–10 Percent
Undergraduates										
Fall enrollment in degree-granting institutions	15,184,000	15,604,000	16,366,000	17,565,000	419,000	2.8	762,000	4.9	1,199,000	7.3
Pell Grant recipients										
Total Pell Grant recipients[a]	5,165,000	5,543,000	6,157,000	8,094,000	378,000	7.3	614,000	11.1	1,937,000	31.5
First- and second-year Pell Grant recipients in institutions with any ACGs[a]	3,010,000	3,382,000	3,889,000	5,466,000	372,000	12.4	507,000	15.0	1,577,000	40.5
Third- and fourth-year recipients in institutions with any SMART Grants	1,208,000	1,289,000	1,329,600	1,637,000	81,000	6.7	40,600	3.2	307,400	23.1
ACG recipients										
Number estimated prior to implementation[b]	420,000	460,000	†	†	†	†	†	†	†	†
Total ACG recipients[a]	301,700	398,700	441,900	636,400	97,000	32.2	43,200	10.8	194,500	44.0
SMART Grant recipients										
Number estimated prior to implementation[a]	80,000	80,000	†	†	†	†	†	†	†	†
Total SMART Grant recipients	62,400	65,400	64,400	115,200	3,000	4.8	-1,000	-1.4	50,800	78.9

Exhibit reads: Fall enrollment in degree-granting institutions was 15,184,000 in 2006–07 and increased by 2.8 percent to 15,604,000 in 2007–08.

† Not applicable.

[a] Totals include recipients with unknown institution type.

[b] *Federal Register,* Vol. 71, No. 127, p. 37998.

SOURCE: U.S. Department of Education, National Center for Education Statistics, *Digest of Education Statistics, 2008* (NCES 2009-020), tables 193 and 194; *Digest of Education Statistics, 2009* (NCES 2010-013), table 194; and *Digest of Education Statistics, 2010* (NCES 2011-015), table 202; U.S. Department of Education, Office of Postsecondary Education, 2006–07, 2007–08, 2008–09, and 2009–10 *Federal Pell Grant Program End-of-Year Reports*; and U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Exhibit B. Percentage distribution of 2006–07, 2007–08, and 2008–09 first-year ACG recipients by ACG and Pell Grant receipt status the following year

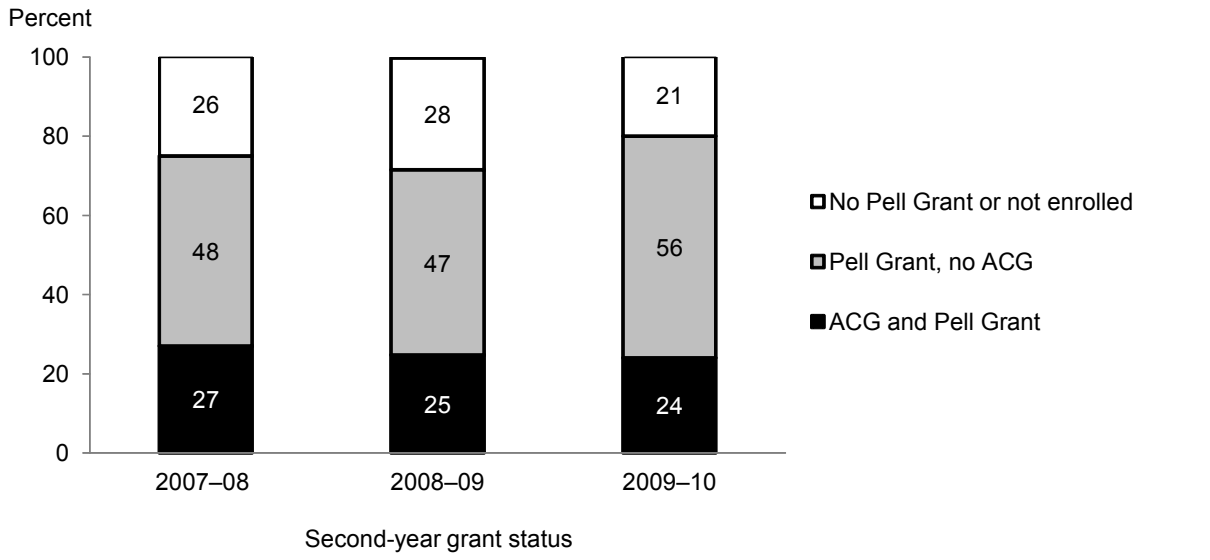

Exhibit reads: Among first-year ACG recipients in 2006–07, 27 percent received another ACG and Pell Grant in 2007–08; 48 percent received another Pell Grant but not an ACG; and 26 percent received no Pell Grant or were not enrolled.
NOTE: Detail may not sum to totals because of rounding. Each year, the category Pell Grant, no ACG includes 1 percent who achieved third-year status and received a SMART Grant.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

awarded increased by 79 percent to 115,200, much more than the 23 percent increase in Pell Grants awarded to third- and fourth-year students. As with ACGs, this observed increase is the net effect of the increase in the number of Pell Grant recipients, the expansion of the eligibility criteria, and other unknown factors not taken into account here. Some of the increase is obviously due to the increase in Pell Grants. However, if the number of National SMART Grants had increased in tandem with Pell Grants (23 percent), the number of National SMART Grants in 2009–10 would have been 79,200, which is considerably less than the 115,200 awarded. Thus, other factors must have contributed to the observed growth.

The impact of expanding the program to include part-time students, eligible noncitizens, and fifth-year students was estimated to produce a 48 percent increase in the number of Pell Grant recipients who would have been eligible for a National SMART Grant. Applying this increase to the 79,200 expected because of increases in Pell Grants produces an estimate of about 117,000. This suggests that most of the observed increase in National SMART Grant awards may have been driven by the increase in Pell Grant awards together with the expanded eligibility criteria for the National SMART Grants.

4) The percentage of Pell Grant recipients receiving a National SMART Grant increased.

In the first three years of the program, 5 percent of third- and fourth-year Pell Grant recipients received a National SMART Grant. In 2009–10, 7 percent did so. This reflects, at least in part, expanded eligibility for these grants.

5) More than one-half of third-year students who received a National SMART Grant received another one the following year.

Fifty-seven percent of third-year students who received a National SMART Grant in 2006–07 had their grants renewed the following year (Exhibit C). Among the next two cohorts of third-year students, 54 and 58 percent, respectively, had their grants renewed. The National SMART Grant renewal rates were substantially higher than the ACG renewal rates, but it is not surprising that students who have successfully reached their third year with a 3.0 GPA in course work required for their major would meet the renewal requirements more easily than first-year students.

Exhibit C. Percentage distribution of 2006–07, 2007–08, and 2008–09 third-year SMART Grant recipients by SMART and Pell Grant receipt status the following year

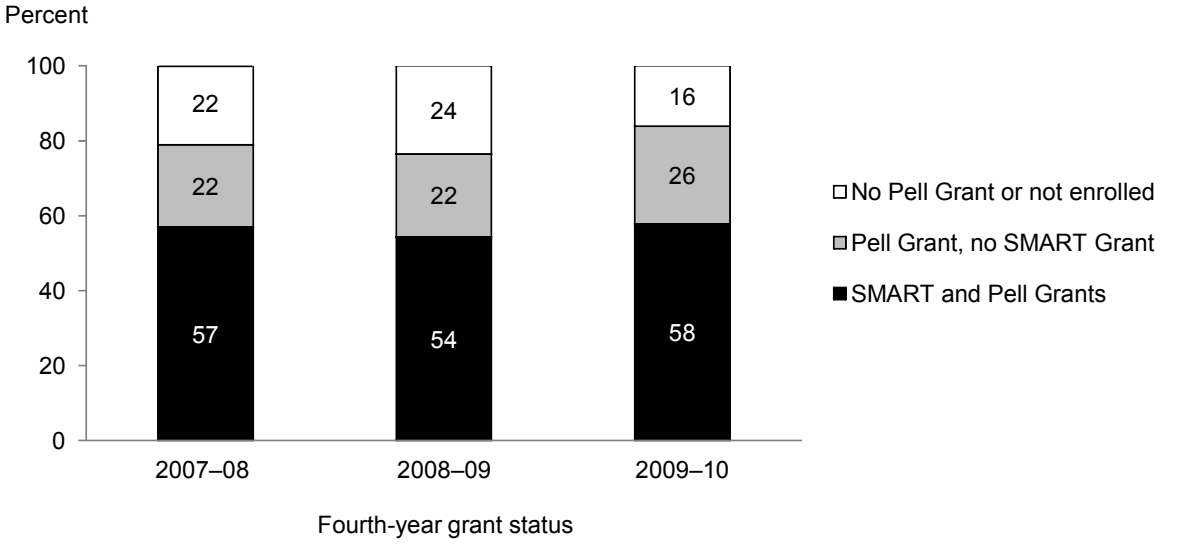

Exhibit reads: Among third-year SMART Grant recipients in 2006–07, 57 percent received another SMART and Pell Grant in 2007–08; 22 percent received another Pell Grant but not a SMART Grant; and 22 percent received no Pell Grant or were not enrolled.
NOTE: Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Some third-year National SMART Grant students did not qualify for a National SMART Grant renewal in their fourth year, but did receive a Pell Grant (22 percent for the first two cohorts and 26 percent for the third). This means that they did not meet the GPA requirement; were not enrolled full-time (except in 2009–10, when part-time students were eligible); changed their major to an ineligible one; or were not taking at least one course to meet the requirements of their major. The remaining students were either not enrolled or no longer qualified for a Pell Grant.

6) First-year ACG recipients and third-year National SMART Grant recipients persisted at higher rates than their counterparts with a Pell Grant only.

A Pell Grant renewal means that a student is known to have persisted to the following year. Pell Grant renewal rates for first-year students who received an ACG in addition to their Pell Grant were considerably higher than for their peers who had received a Pell Grant only. For example, 79 percent of those who had received an ACG as a first-year student in 2008–09 received another Pell Grant in 2009–10 (with or without an ACG). In comparison, just 62 percent of first-year students who received a Pell Grant only in 2008–09 received another one in 2009–10.

Similarly, National SMART Grant recipients had higher Pell Grant renewal rates than their Pell Grant–only peers. For example, among third-year Pell Grant recipients in 2008–09, 75 percent of those who had received Pell Grants only received another Pell Grant in the next year. In comparison, 83 percent of their counterparts who had also qualified for a National SMART Grant received another Pell Grant the next year.

While the additional financial support provided by the ACG may contribute to the observed higher persistence rates for the recipients of these grants, other factors may be equally or even more important. ACG and National SMART Grant recipients are among the most academically qualified Pell Grant recipients and therefore would be expected to persist at higher rates than students who did not meet the academic qualifications for the grants.

Lessons Learned

- Both the ACG and the National SMART Grant programs were relatively small programs that had to be quickly implemented before regulations were finalized. Moreover, they required simultaneous confirmation of academic and financial eligibility for a Pell Grant. This caused many administrative problems for participating institutions, especially in the first year, and most awarded very few grants. A longer lead time would have allowed a smoother implementation.
- Many recipients did not meet academic requirements necessary to qualify for renewal of their initial ACG and SMART grants. Students who met the GPA and other requirements for a grant were more likely to be from families with higher incomes among the Pell-eligible students.

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CHAPTER 1

Introduction

Background

The *Higher Education Reconciliation Act of 2005 (HERA)*, signed into law in February 2006, created two new grant programs for low-income undergraduates—the Academic Competitiveness Grant (ACG) for first- and second-year students and the National Science and Mathematics Access to Retain Talent (National SMART) Grant for third- and fourth-year students. The ACG was intended to increase students' chances of success in college by encouraging them to take challenging courses in high school and enroll in college full-time. The National SMART Grant was designed to encourage students to major in science, technology, engineering, or mathematics (fields considered to be in high demand in the global economy) or in selected foreign languages deemed critical to the national interest.

First-year ACG recipients could get up to $750 (depending on their financial need), and second-year recipients, up to $1,300. National SMART Grants were worth up to $4,000, again depending on financial need. Congress authorized $4.5 billion over five years for the two programs (2006–07 through 2010–11), after which both ended. Funds not expended in one year could be carried forward to the next. During the first four award years, expenditures totaled $2.3 billion ($1.3 billion for the ACG program and $969 million for the National SMART Grant program).[2]

The authorizing legislation specified that for either grant, a student had to qualify for a Federal Pell Grant (a need-based grant for low-income undergraduates),[3] enroll full-time, and be a U.S. citizen. In addition, an ACG recipient had to

- graduate from high school after Jan. 1, 2006, if a first-year student, or Jan. 1, 2005, if a second-year student;
- complete a rigorous high school program as defined by the secretary of education;[4]
- enroll in a degree program at a two- or four-year degree-granting institution; and

[2] U.S. Department of Education (2011c).
[3] The Pell Grant program is described in detail at: http://www.ed.gov/programs/fpg/index.html.
[4] Chapter 3 and Appendix A contain details on what constitutes a rigorous high school program and the process for recognizing one.

- have a cumulative grade point average (GPA) of at least 3.0 on a 4.0 scale, or its numeric equivalent, at the end of the first year of college to receive an ACG as a second-year student.

In addition to meeting the requirements common to both grants, National SMART Grant recipients had to

- major in an eligible field;[5] and
- maintain a cumulative GPA of at least 3.0 (on a 4.0 scale) in course work required for the major.

Although eligibility for an ACG or National SMART Grant required Pell Grant eligibility, not all Pell Grant recipients were eligible for one of the new grants. Low-income students who attended at least half-time, were eligible noncitizens,[6] or enrolled in certificate programs could receive a Pell Grant but not an ACG or National SMART Grant.

The *Ensuring Continued Access to Student Loans Act of 2008* (H.R. 5715), signed into law in May 2008, modified the eligibility criteria to bring them more in line with Pell Grant eligibility. This legislation expanded eligibility for ACGs and National SMART Grants to include part-time students and eligible noncitizens. In addition, it opened up the ACG program to students in certificate programs lasting a year or longer at a degree-granting institution and allowed students in the fifth year of an eligible five-year program to receive a National SMART Grant. These changes were to be effective in January 2009, but the *Higher Education Opportunity Act of 2008* (H.R. 4137) (enacted in August 2008) delayed implementation of the eligibility changes until July 2009 to make them coincide with a new award year. Thus, students enrolled in the 2009–10 academic year were the first to benefit from the expanded eligibility rules.

The *Higher Education Opportunity Act of 2008* also gave state officials—rather than the secretary of education—the authority to identify the rigorous secondary school programs of study in their states starting July 1, 2009. Secondary school programs of study that had previously been recognized by the secretary as rigorous still qualified, however.

Study Questions and Design

This report addresses the following questions:

1) What implementation issues were encountered and how were they addressed?

[5] Appendix B includes a complete list of eligible majors.

[6] Eligible noncitizens are primarily permanent U.S. residents but include several other groups, such as refugees. See http://www.fafsa.ed.gov/help/fotw15a.htm.

2) How many students received each type of grant, how much did they receive, what types of institutions did they attend, and how did the numbers change over time?

3) How many recipients re-qualified for each grant for a second year?

4) How do college persistence rates for ACG and National SMART Grant recipients compare with that of Pell Grant–only recipients?

In interpreting the numbers presented in the report, it is important to keep in mind that substantial changes were made to the ACG and National SMART Grant legislation that increased the pool of eligible recipients. As indicated above, eligibility was expanded beginning in the fourth award year (effective July 2009) to include students enrolled at least half-time, students in one- to two-year certificate programs at degree-granting institutions, and eligible noncitizens. The list of eligible SMART Grant majors was also expanded, as was eligibility for students enrolled in the fifth year of a five-year degree program.

This is the fourth and final report from this five-year study.[7] Each of the four reports summarizes the legislative and regulatory history to date, describes the status of implementation concerns, and adds the most recent ACG and National SMART Grant program participation data. After the first year, each report also includes grant renewal rates (how many students with grant awards in one year re-qualified the following year). While this final report summarizes the key findings of the full study, earlier reports contain more detailed information on the following topics:

- High school graduation requirements and approved rigorous high school programs in each state (U.S. Department of Education 2009);
- Baseline information on trends in high school course taking, trends in degrees awarded in National SMART Grant–eligible majors, and estimates of the numbers of students who would be eligible for the grants developed prior to implementation (U.S. Department of Education 2009);
- Implementation history and issues (U.S. Department of Education 2009, 2010); and
- Analysis of survey data on student awareness of the existence and requirements of these grants (U.S. Department of Education 2010).

Data

The study used federal data on Pell Grant, ACG, and National SMART Grant participation from 2006–07 through 2009–10. The Office of Federal Student Aid provided the program

[7] The earlier reports (U.S. Department of Education 2009, 2010, 2011b) can be accessed at: http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#higher.

participation data used in this report and the three earlier ones. Student-level records of all Pell Grant recipients were merged with ACG and National SMART Grant award records and information from the Free Application for Federal Student Aid (FAFSA). Appendix D contains more detail on these data. In 2009–10, the final year covered by this study, there were approximately 8 million Pell Grant recipients, 636,400 ACG recipients, and 115,200 National SMART Grant recipients.

The numbers of Pell Grants, ACGs, and National SMART Grants reported here may not exactly match numbers reported elsewhere. The Federal Student Aid (FSA) files used to generate the participation data come from an administrative database that is updated continuously with data from institutions on disbursements and cancellations. Consequently, the exact number of awards can vary slightly from day to day. However, most financial aid data for the previous academic year is finalized by September so differences between the numbers reported here and in other publications using data generated after September 30 should be minor. Unless otherwise indicated, the Pell Grant totals reported here are limited to institutions participating in the ACG or National SMART Grant programs. They are lower than Pell Grant totals reported elsewhere because they exclude Pell Grant recipients at less-than-two-year institutions and at two- and four-year institutions that did not award any ACGs or National SMART Grants.

CHAPTER 2

Implementation

As indicated in Chapter 1, the ACG and National SMART Grant legislation was signed into law in February 2006, with the first award year slated to begin in July 2006. This timing posed significant staffing, procedural, and fiscal challenges, given that the processing of financial aid applications for an upcoming award year typically begins in January. In the months following the passage of the *Higher Education Reconciliation Act of 2005 (HERA)*, the Department notified the public of this new source of potential financial aid; provided guidance and Interim Regulations to schools; set up processes to disburse funds to schools; worked with representatives from institutions with direct interest to develop Final Regulations for 2006–07; and began the process of establishing regulations for subsequent years.

To meet this challenge, the U.S. Department of Education engaged in extensive outreach efforts. Postsecondary institutions worked to identify eligible students and award these new grants, despite trepidation about the administrative demands introduced by the new requirements. This chapter provides an overview of the salient concerns expressed by institutional representatives and representatives from several education associations that needed to be aware of the grants and how they were to be awarded. The Department worked with the higher education community to resolve these concerns over the early years of the programs. One of the issues was finding ways to make students aware of the ACG and National SMART Grant programs. A detailed account of the history and concerns voiced in the negotiated regulations process, interviews with representatives from education associations, and a review of reports and press stories published during the first two implementation years can be found in the first two reports from this study (U.S. Department of Education 2009, 2010).

This review of implementation issues is based on examination of documentation from negotiated-rulemaking sessions[8] held in early 2007, interviews with representative stakeholder organizations,[9] and reviews of stakeholder websites. These stakeholder organizations are among

[8] Negotiated rulemaking" (*Administrative Procedures Act*, 5 U.S.C. §§ 561–570) is a process in which different interest groups come together to negotiate the terms of an administrative rule and propose changes. It is entirely voluntary and the agency does not have to adopt the changes suggested by the advisory committee. The Department held four regional sessions in fall of 2006 that helped create the agenda for the three ACG and National SMART Grant negotiated-rulemaking sessions that took place in the spring of 2007. Comments on the negotiated-rulemaking process and the subsequent Notice of Proposed Rulemaking can be found at http://www.regulations.gov/search/index.jsp.

[9] These included the American Association of Community Colleges, National Academic Advising Association, National Association for College Admission Counseling, National Association of Student Financial Aid

those responsible for advising students, disseminating information about financial aid, or disbursing financial aid. More detail on the history and resolution of implementation concerns can be found in the first report in this series (U.S. Department of Education 2009).

Controversy Over Merit Component

The Department's undergraduate financial aid programs primarily provide grant aid based entirely on a family's ability to pay. *The Higher Education Act of 1965* and the *Education Amendments of 1972* introduced and expanded federal need-based aid, including the establishment of the Pell Grant (originally known as the Basic Education Opportunity Grant) for those students with the least ability to pay. To some in the higher education community, the merit components of ACGs and National SMART Grants signaled a significant change in federal financial aid policy.

Namely, commentators took issue with the ACG requirement that students complete a rigorous secondary school curriculum and maintain a 3.0 GPA at the end of their first year of college, and the National SMART Grant requirement that students maintain a cumulative 3.0 GPA in course work required for their major at the end of each term. Although the intent behind these programs was grounded in research on the characteristics of degree completers (Adelman 1999, 2006), commentators argued that the academic requirements might lead students to take less challenging classes so that they would receive the grades necessary to qualify for the award. Some analysts also argued that the merit component of these grants would favor those students with the least need, namely Pell Grant recipients at the upper end of the financial threshold.[10]

First-Year Concerns

A more practical concern was how to implement the statutory requirements within a short time frame given the administrative and budgetary constraints faced by postsecondary institutions. Colleges and universities had less than six months to prepare for the first award year, and many institutions, particularly those with open-access policies, did not have the procedures or staff in place to verify the eligibility of students as required in the regulations. Unlike other federal aid programs, the ACG and National SMART Grant legislation did not include funds to help defray the implementation costs.

One complaint about the implementation of the programs as defined in the regulations was the requirement that institutions had to make awards to eligible National SMART Grant majors even before they had a chance to clarify the regulations to make sure they were in compliance.

Administrators, United States Student Association, American School Counselor Association, National Association of Secondary School Principals, and the National Parent Teacher Association.

[10] Inside Higher Ed, "The Gift Colleges Don't Want," By Doug Lederman, January 24, 2006 http://www.insidehighered.com/news/2006/01/24/smart#ixzz1f25wg7WF.

The same concerns were expressed about the process for calculating a qualifying high school GPA and curriculum, which required a four-year high school transcript as confirmation, because many community colleges did not require transcripts prior to enrollment. The problem was even greater in the several states that did not have a systematic process in place to identify whether a high school curriculum was rigorous or not; in those cases colleges had to determine eligibility on an individual student basis. Some states could not verify that all high school students had access to rigorous curricula, which made the problem of qualifying students even more difficult.

Interviews conducted in fall 2006 with representatives from associations with membership from both high school and college communities, ranging from the PTA to financial aid administrators, revealed substantial concerns over the ability of postsecondary admissions offices and financial aid administrators to effectively implement the regulatory requirements in time for the first award year. Most colleges and universities did not have a method in place to link four-year high school transcripts (needed to verify ACG eligibility) to the calculation of Pell eligibility in financial aid offices. Those responsible for implementing this process reported that many colleges and universities, particularly those with open admission, did not have the infrastructure or staff in place to determine student eligibility.

Some confusion also existed about how to verify whether recipients were meeting the GPA and programmatic requirements after they enrolled. A more detailed review of all the major first-year concerns raised by those interviewed can be found in Chapter 2 of this study's first report (U.S. Department of Education 2009).

Aside from the philosophical and implementation challenges raised during the first year, college and university administrators expressed a number of policy concerns during the first award year. The list included requests to include part-time students, expand eligibility to students enrolled in certificate programs, loosen the U.S. citizenship requirement, and relax the definition of "academic year."

Resolution of Concerns

Many of the initial confusions described above were clarified in the Final Regulations and subsequent Dear Colleague letters, as well as with the passage of the *Ensuring Continued Access to Student Loans Act of 2008* (H.R. 5715) and the *Higher Education Opportunity Act of 2008* (H.R. 4137). Although many of the requirements were not changed, such as the mandatory participation of institutions, several provisions that had been criticized in the original legislation and regulations were addressed. These changes included expanding access to a larger proportion of Pell Grant recipients, providing states more control over defining rigorous high school programs, including students enrolled in five-year degree programs, and approving several liberal arts curricula as National SMART Grant–eligible majors. Exhibit 1 provides a summary

of the salient concerns voiced by higher education representatives and how these concerns were resolved. A comprehensive account of the history of the ACG and National SMART Grant programs can be found in Appendix C.

Exhibit 1. Development and resolution of salient concerns about eligibility requirements for ACGs and National SMART Grants

Salient Issues	Source and Resolution: Effective 2006–07 and 2007–08 Academic Years	*Ensuring Continued Access to Student Loans Act of 2008* (H.R. 5715): Effective Jan. 1, 2009	*Higher Education Opportunity Act* (H.R. 4137): Effective July 1, 2009
Eligibility Requirements for ACGs and National SMART Grants			
Adding "Merit" Aid to Basic Pell Grant Requirements	Legislation; No changes to the Final Regulations dated Oct. 29, 2007.	No change.	No change.
Full-time Enrollment	Legislation; No changes to the Final Regulations dated Oct. 29, 2007.	Students enrolled at least half-time became eligible.	No change.
Degree Programs	Legislation; No changes to the Final Regulations dated Oct. 29, 2007.	Students enrolled in one- to two-year certificate programs at degree-granting institutions became eligible.	Change to "program of study."
U.S. Citizenship	Legislation; No changes to the Final Regulations dated Oct. 29, 2007.	Some students who are noncitizens (permanent residents) became eligible.	No change.
Rigorous High School Program	No changes to the Final Regulations dated Oct. 29, 2007. The secretary recognized at least one rigorous secondary school program of study for each state annually. States could submit proposals for recognition or could elect to accept rigorous secondary school programs of study pre-recognized by the secretary.	States were given increased control to define rigorous secondary school programs of study. The secretary no longer recognized rigorous secondary school programs of study.	No change.

Cont'd. next page.

Exhibit 1. Development and resolution of salient concerns about eligibility requirements for ACGs and National SMART Grants—Continued

Salient Issues	Source and Resolution: Effective 2006–07 and 2007–08 Academic Years	*Ensuring Continued Access to Student Loans Act of 2008* (H.R. 5715): Effective Jan. 1, 2009	*Higher Education Opportunity Act* (H.R. 4137): Effective July 1, 2009
Regulations			
"Academic Year" Defining Students' Initial and Ongoing Eligibility	Statutory requirements, Interim and Final Regulations. The Department issued clarifications in the Final Regulations but did not change the definition of "academic year."	"Academic year" changed to "year."	No change.
Mandatory Participation	Interim and Final Regulations.	No change.	No change.
	No changes to the Final Regulations dated Oct. 29, 2007.		
Four-year High School Transcript Requirement	Interim and Final Regulations.	Regulatory requirement, no change.	No change.
	No changes to the Final Regulations dated Oct. 29, 2007.		
Determining Eligibility of Majors/Declaration of Majors	The Department issued clarifications in the 2007 Final Regulations and provided institutions with a process to petition for the inclusion of additional majors.	Extended eligibility for a National SMART Grant to a student enrolled in a qualifying liberal arts curriculum.	No change.
		National SMART Grant eligibility expanded to include students enrolled in the fifth year of a five-year degree program.	
Postsecondary GPA	Legislation; The Department issued clarifications in the Final Regulations dated Oct. 29, 2007.	No change.	No change.

Student Awareness

Research has shown that students often do not understand the financial aid process and are not aware of their funding options (Childress 2009). Low-income students are less likely than higher-income students to apply for financial aid (complete a FAFSA) and may be less aware of their financial aid options or the programs' eligibility requirements (King 2006; Kantrowitz 2009; Lee and Albert 2010). College and high school counselors and admissions officers, who are often not aware of the finer points of student aid themselves, thought that the complexity of the ACG and National SMART Grant requirements, coupled with the already large number of financial aid programs, would leave students relatively confused about how to qualify for the ACG and SMART Grants.

Many students had already applied for financial aid by the time that the authorizing legislation for the new grants was passed in February 2006. In an attempt to reach those students, the Department sent emails or letters to those whose financial aid applications indicated that they met the nonacademic requirements for a Pell Grant. Those communications described the academic requirements and invited students to self-identify as eligible. Students applying for financial aid after July 1, 2006, could self-identify on their financial aid application by answering questions about their high school courses taken. Institutions then verified the eligibility of students who self-identified before awarding grants to them.

The student interview administered as part of the 2007–08 National Postsecondary Student Aid Study (NPSAS:08) included questions designed to find out what potentially eligible students knew about the grant programs. First- and second-year students who were U.S. citizens, who were enrolled in a degree program, and who seemed likely to be eligible for a Pell Grant based on their income were asked if they had heard of the ACG program. Just 7 percent of this group reported that they had heard of it (U.S. Department of Education 2010). The same thing occurred in SMART Grant identification. Only 5 percent of third- and fourth-year low-income students who were U.S. citizens had heard of the National SMART Grant.

If the ACGs and National SMART Grants were to fulfill their ultimate goals—increasing college preparedness, increasing postsecondary enrollment, and influencing low-income students' choice of a major—counselors, advisors, and admissions officers would need to be involved in promoting the programs. The Department asked states to support efforts to increase program awareness by incorporating information about these grants into existing state, local, and institutional outreach programs and provided some specific early examples of what some states had done.[11]

[11] See https://www.ed.gov/programs/smart/results2007/national.pdf.

Conclusion

The rapid implementation of the ACG and National SMART Grant programs and the complex eligibility requirements were challenging for all parties in the first year. The Department had a short amount of time to define the process for awarding these grants. The list of actions included notifying the public of this new source of financial aid and providing guidance and Interim Regulations to inform colleges and universities about how to stay in compliance in the 2006–07 academic year. In addition, it was necessary to determine students' ongoing eligibility, develop processes to disburse funds to institutions, and work with different interest groups to develop Final Regulations for subsequent years. This abrupt start may have contributed to the resistance from some in the higher education lobby. Even with extensive outreach efforts by the Department and work by states, institutions, and the Department to resolve the operational problems, the concerns continued to be expressed and Congress did not fund the programs in the 2011–12 academic year.

CHAPTER 3

Academic Competitiveness Grant (ACG) Program Participation

Grant Aid for Undergraduates

Although award amounts, eligibility requirements, and funding levels have undergone a number of changes since the Pell Grant program was established as the Basic Education Opportunity Grant in 1972, the intent is still to provide help to students who might not otherwise be able to afford college. Awarded entirely on the basis of financial need, the Pell Grant is the foundation of financial aid, upon which other aid from federal and nonfederal sources is added. Pell Grant amounts depend on the student's Expected Family Contribution (EFC); the price of attendance (as determined by the institution); the student's enrollment status (full- or part-time); and the number of terms enrolled. The family EFC takes into account income, assets, household size, and the number of family members, other than parents, in college. Adjustments are made for dependency status and whether or not the student has dependents of his or her own. Congress legislates a maximum Pell Grant amount, but the actual maximum in a given year depends on the amount appropriated. The actual maximum Pell Grant in 2006–07 was $4,050, and it increased to $4,310 in 2007–08; $4,731 in 2008–09; $5,350 in 2009–10; and $5,500 in 2010–11.

At the state level, the majority of financial aid programs have always been based on need, but broad-based state merit aid programs[12] have grown in popularity since the introduction of Georgia's HOPE (Helping Outstanding Pupils Educationally) Scholarship in 1993. As Exhibit 2 demonstrates, similar state merit aid programs have spread to more than 15 states over the past two decades (Heller and Marin 2004).

State merit aid programs are quite diverse and cannot be easily compared across states. Programs vary in both how they are funded and in their eligibility requirements. Merit grants may be awarded on the basis of test scores, performance (athletics, music, art), class rank, grades, or some combination of student performance. The grade requirement can be modest, with some states only requiring a high school GPA of 2.0 to qualify. There are also several states that have implemented "hybrid" merit aid programs that include a need component in addition to academic requirements.

[12] Broad-based merit aid programs serve a larger pool of students than merit aid programs that target specific populations of students, but have merit components, such as career-oriented programs or programs for dependents of fallen officers.

Exhibit 2. Broad-based state merit aid programs

Implementation date	State	Name of award
1986	Missouri	Higher Education Academic Scholarship Program
1990	Indiana	21st Century Scholars
1993	Georgia	Helping Outstanding Pupils Educationally
1995	Mississippi	Eminent Scholars Program
1997	Florida	Bright Futures Scholarship
1997	Louisiana	Tuition Opportunity Program for Students
1997	New Mexico	Lottery Success Scholarship
1998	Kentucky	Educational Excellence Scholarship
1998	South Carolina	Hope Scholarship
1999	Alaska	Scholars Award
1999	Michigan	Merit Award Scholarship
1999	West Virginia	Providing Real Opportunities for Maximizing In-State Student Excellence
2000	Nevada	Millennium Scholarship
2004	Tennessee	Education Lottery Scholarship Program
2005	Massachusetts	John and Abigail Adams Scholarship Program
Various years	Delaware	Academic Memorial Scholarships

SOURCE: National Association of State Student Grant and Aid Programs Annual Survey Reports, 1991–2009; Heller, D. 2004. *State Merit Scholarship Programs: An Overview*. In D. Heller and P. Marin (eds.), *State Merit Scholarship Programs and Racial Inequality* (pp.15–22). The Civil Rights Project, Harvard University.

Funding for non-need-based state aid programs for undergraduates increased 230 percent between 1998–99 and 2008–09 (National Association of State Student Grant and Aid Programs 2010). During that same period, funding for programs based only on need grew by 105 percent. In 2008–09, less than half (48 percent) of state aid for undergraduates was based only on financial need.

ACG Merit Requirements

Among the eligibility requirements for the ACG is a provision that required a recipient to have completed a rigorous high school program of study after Jan. 1, 2006, if a first-year student, and after Jan. 1, 2005, if a second-year student. It also specified that a second-year recipient had to have a 3.0 grade point average (on a 4.0 scale) at the end of his or her first year in college.

There were four ways to meet the rigorous high school program requirement (detailed in Appendix A). Briefly, these were by

- completing high school course work specified by the U.S. Department of Education, including four years of English; three years of mathematics (including algebra I and a higher-level course); three years of science (including at least two courses chosen

from biology, chemistry, or physics); three years of social studies; and one year of a language other than English;

- completing at least two Advanced Placement (AP) courses with a score of 3.0 or higher (out of 5.0) or at least two International Baccalaureate (IB) courses with a score of 4.0 or higher (out of 7.0);
- earning recognition through the federally funded State Scholars Initiative,[13] which required students to complete all state-mandated high school graduation requirements and also a series of courses that was even more demanding than the ED-specified curriculum described above;
- completing an existing advanced, honors, or other state-established program approved by the secretary of education. As of July 1, 2009, the secretary no longer recognizes new rigorous secondary school programs of study. Instead, designated state officials report to the secretary the rigorous secondary school programs of study that prepare students for college in their state.[14]

In each ACG program year, more than 90 percent of recipients qualified either by completing the course work specified by the Department or by meeting the requirements of a state-specific rigorous program, with a slight shift toward the latter over time. The proportion of students qualifying by meeting the ED-specified course work declined from 57 to 52 percent, and the proportion qualifying by completing an approved state-established program increased from 35 to 39 percent (Exhibit 3). Students may qualify on more than one basis, but their institutions report just one and may choose the easiest one for them to verify.

If states vary in how demanding their approved rigorous programs are, one might expect the number of ACG awards to be higher in states with less demanding programs. No attempt was made to identify such patterns because while some approved state programs appear to be more demanding than the ED course–based curriculum and some appear to be less demanding, meaningful comparisons are difficult. For example, some state programs had more rigorous requirements than the ED course–based curriculum in one subject but less rigorous ones in another. Also, some approved state programs had requirements other than course taking, such as a minimum score on a state test. See U.S. Department of Education (2009) for a detailed comparison of approved state programs.

[13] The State Scholars Initiative was offered in selected districts in 22 states in 2006–07 and in 24 states in 2007–08 and 2008–09. Since then, State Scholars programs have continued to operate independently in 14 states (see Appendix A for more details).

[14] A description of the recognized programs in each state is available at: http://www2.ed.gov/admins/finaid/about/ac-smart/state-programs.html.

Exhibit 3. Percentage distribution of ACG recipients by method of qualifying for an ACG: 2006–07 through 2009–10

Method of qualifying	2006–07	2007–08	2008–09	2009–10
Total	100	100	100	100
U.S. Department of Education-specified course work	57	55	53	52
State program	35	37	38	39
AP or IB*	5	4	4	4
State scholars	2	2	2	2
Unknown	2	2	3	2

Exhibit reads: Among ACG recipients in 2006–07, 57 percent qualified for an ACG by completing the ED course-based curriculum.
* Advanced Placement or International Baccalaureate.
NOTE: Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Transcript studies show that high school graduates are completing more challenging curricula now than they did in the past, with the proportion completing a rigorous curriculum increasing from 5 percent in 1990 to 13 percent in 2009 (U.S. Department of Education 2011a).[15] During the same period, the percentage completing a midlevel curriculum increased from 26 to 46 percent.

ACG Awards

The rest of the exhibits in this chapter describe participation across the first four program years (2006–07 through 2009–10). Appendix E contains additional detail on 2009–10 awards by institution type, class level, and student characteristics. Appendixes of previous reports in this series contain comparable detail for earlier program years in correspondingly numbered tables (U.S. Department of Education 2009, 2010, 2011b).

In fall 2009, a total of 17.6 million undergraduates were enrolled in degree-granting institutions in the United States, representing a 7 percent increase over the previous year (Exhibit 4). The increase in the number of Pell Grant recipients was greater, however. In 2009–10, a total of 8.1 million students received a Pell Grant, 31 percent more than the previous year. Among all Pell

[15] "Rigorous" is defined as four years of English; three years of social studies; four years of mathematics (including pre-calculus or higher); three years of science (including biology, chemistry, and physics); and three years of a foreign language. "Midlevel" has the same English and social studies requirements but requires only three years of mathematics (including geometry and algebra I or II) and one year of a foreign language. Like its rigorous counterpart, the midlevel curriculum requires three years of science, but it requires only two years of biology, chemistry, and physics.

Exhibit 4. Number of undergraduates, Pell Grant recipients, and ACG recipients and year-to-year change: 2006–07 through 2009–10

Undergraduates and grant recipients	2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2007–08 Number	Change 2006–07 to 2007–08 Percent	Change 2007–08 to 2008–09 Number	Change 2007–08 to 2008–09 Percent	Change 2008–09 to 2009–10 Number	Change 2008–09 to 2009–10 Percent
Undergraduates										
Fall enrollment in degree-granting institutions	15,184,000	15,604,000	16,366,000	17,565,000	419,000	2.8	762,000	4.9	1,199,000	7.3
Two-year institutions	6,518,000	6,618,000	6,971,000	7,521,000	99,000	1.5	353,000	5.3	550,000	7.9
Four-year institutions	8,666,000	8,986,000	9,395,000	10,044,000	320,000	3.7	409,000	4.5	649,000	6.9
Pell Grant recipients										
Total Pell Grant recipients[a]	5,165,000	5,543,000	6,157,000	8,094,000	378,000	7.3	614,000	11.1	1,937,000	31.5
Two-year institutions	2,357,000	2,486,000	2,832,000	3,779,000	130,000	5.5	346,000	13.9	947,000	33.5
Four-year institutions	2,808,000	3,054,000	3,322,000	4,286,000	245,000	8.8	268,000	8.8	964,000	29.0
First- and second-year Pell Grant recipients in institutions with any ACGs[a]	3,010,000	3,382,000	3,889,000	5,466,000	372,000	12.4	507,000	15.0	1,577,000	40.5
Two-year institutions	1,561,000	1,710,000	1,971,000	2,905,000	149,000	9.5	261,000	15.3	934,000	47.4
Four-year institutions	1,449,000	1,672,000	1,918,000	2,552,000	224,000	15.4	246,000	14.7	634,000	33.0
ACG recipients										
Number estimated prior to implementation[b]	420,000	460,000	†	†	†	†	†	†	†	†
Total ACG recipients[a]	301,700	398,700	441,900	636,400	97,000	32.2	43,200	10.8	194,500	44.0
Two-year institutions	38,300	65,600	81,300	143,000	27,300	71.3	15,700	23.9	61,700	75.9
Four-year institutions	263,400	333,100	360,600	492,900	69,700	26.5	27,500	8.3	132,300	36.7

Exhibit reads: Fall enrollment in degree-granting institutions was 15,184,000 in 2006–07 and increased by 2.8 percent to 15,604,000 in 2007–08.

† Not applicable.

[a] Totals include recipients with unknown institution type.

[b] *Federal Register,* Vol. 71, No. 127, p. 37998.

SOURCE: U.S. Department of Education, National Center for Education Statistics, *Digest of Education Statistics, 2008* (NCES 2009-020), tables 193 and 194; *Digest of Education Statistics, 2009* (NCES 2010-013), table 194; and *Digest of Education Statistics, 2010* (NCES 2011-015), table 202; U.S. Department of Education, Office of Postsecondary Education, 2006–07, 2007–08, 2008–09, and 2009–10 *Federal Pell Grant Program End-of-Year Reports*; and U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Grant recipients, 5.5 million were first- or second-year students at an institution participating in the ACG program and therefore potentially eligible for an ACG. This was 41 percent more than in the previous year.

Overall, just over three-quarters of institutions awarding Pell Grants also awarded ACGs, with higher participation rates at four-year than at two-year institutions.

About 3,600 degree-granting institutions were eligible to participate in the Federal Pell Grant program in 2006–07. The number increased to about 4,100 the following year and remained at that level throughout the program (Appendix Table E-1 and U.S. Department of Education, 2009, 2010, 2011b). Institutions participating in the Pell Grant program were required by law to participate in the ACG program as well, but they may not always have any students who meet the more stringent requirements for an ACG. In 2009–10, about 3,100 institutions participated in the ACG program (defined as awarding at least one grant). This represented 77 percent of all Pell Grant–eligible institutions in 2009–10, in the same range as previous years (73–78 percent) (Exhibit 5).

Caution is needed when looking at institutional participation, because some multicampus institutions report data centrally, while others report separately by campus. Consequently, what may appear to be a change in the number of eligible or participating institutions may reflect, in part, a change in how institutions report their data. Community college systems and for-profit institutions with multiple campus locations often do not provide information at the campus level, for example. In the for-profit sector, mergers and acquisitions may affect the numbers as well.

Public four-year institutions consistently had the highest participation rate in the ACG program (about 95 percent each year). Among private nonprofit four-year institutions, the participation rate increased slightly—from 83 to 87 percent—between 2006–07 and 2009–10, and among public two-year colleges, it decreased slightly—from 87 to 83 percent. Most notable was the increase in participation among for-profit institutions—from 62 to 83 percent of institutions at the four-year level and from 28 to 37 percent at the two-year level. The number of participating private for-profit institutions is relatively small, however. In 2009–10, there were just 241 participating two-year institutions and 189 participating four-year institutions (Appendix Table E-1).

Exhibit 5. Percentage of eligible institutions awarding ACGs, by type of institution: 2006–07 through 2009–10

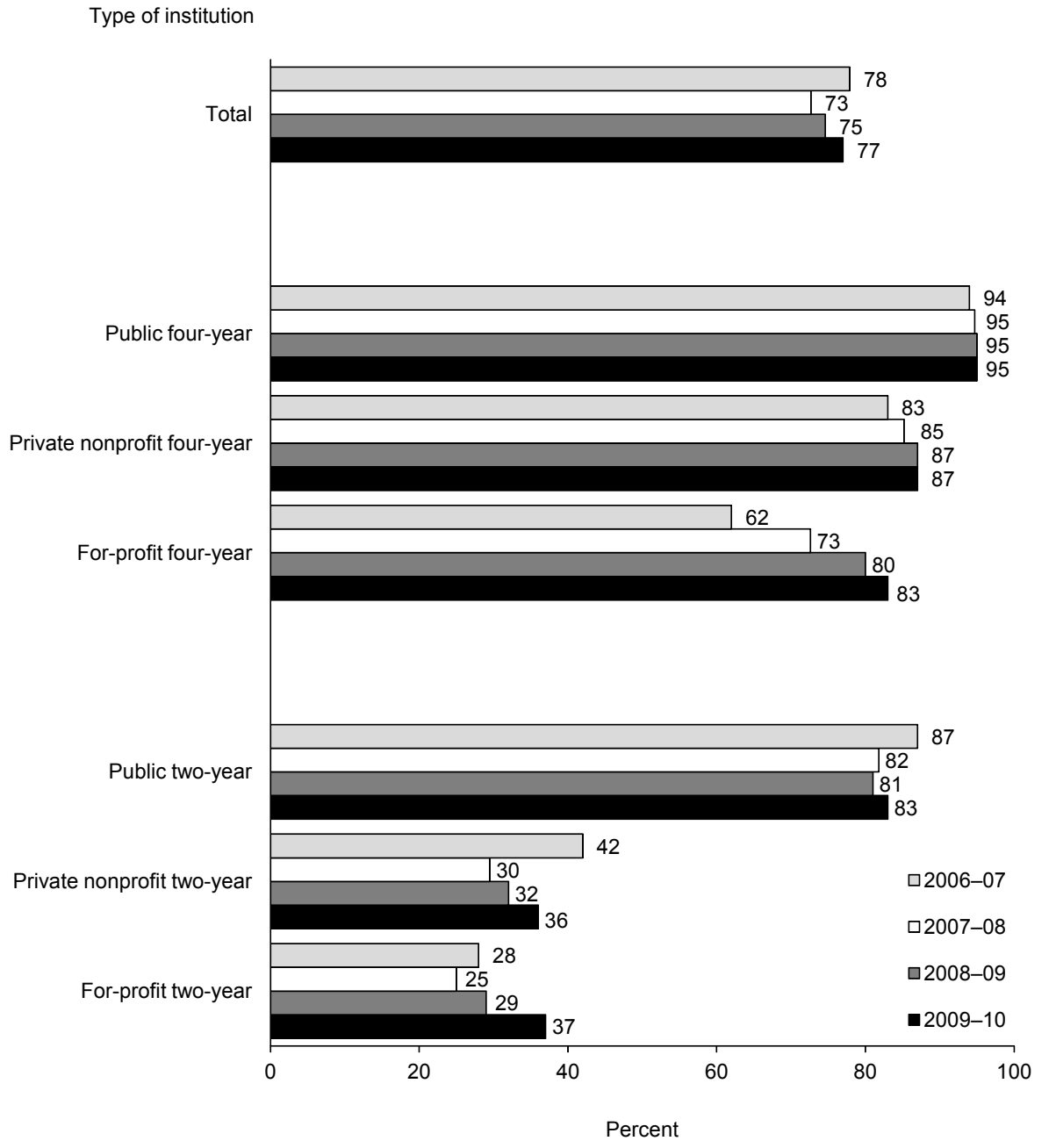

Exhibit reads: Overall, 78 percent of all eligible institutions awarded ACGs in 2006–07.
NOTE: Eligible institutions are those that participate in the Pell Grant program and award degrees.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

The number of ACGs more than doubled over the first four years of the program, largely driven by increases in the number of Pell Grant recipients and expanded eligibility.

Over the first four years of the ACG program, the number of grants increased each year, growing from 301,700 in 2006–07 to 636,400 in 2009–10 (Exhibit 4). This observed increase is the net effect of the increase in the number of Pell Grant recipients, the expansion of the eligibility criteria, and other unknown factors. Because ACG receipt is tied to Pell Grant eligibility and because legislation broadened eligibility criteria for the fourth year, it is useful to look at the year-to-year changes along with changes in Pell Grant receipt and other eligibility criteria.

Note that the eligible pool increased automatically each year because of the authorizing legislation's requirement that first-year recipients graduate from high school after Jan. 1, 2006. Therefore, in 2006–07, only immediate college entrants were eligible for a first-year ACG. In 2007–08 and later, however, students who delayed entering college became eligible for a first-year ACG. How much this increased the pool is unknown, but the effect is likely to be small and to have had a diminishing effect over time, because delayed entrants are less likely than immediate entrants to meet the ACG academic criteria.[16]

FIRST YEAR

In the first year of the program (2006–07), 301,700 students received an ACG, considerably fewer than the 420,000 estimated prior to implementation. [17] The implementation difficulties described in Chapter 2 almost certainly contributed to the lower-than-expected initial participation. However, the estimate of the number of eligible students may simply have been too high. Reasonably reliable estimates of the number of eligible first-year students could be made using data from National Center for Education Statistics (NCES) longitudinal studies, but there were no data to suggest how many second-year students would be eligible.

SECOND YEAR

The following year (2007–08), the number of ACG recipients rose by 32 percent, to 398,700. The 12 percent increase in the number of Pell Grant awards to first- and second-year students at ACG-participating institutions undoubtedly contributed significantly to the increase, but because the number of ACG awards increased proportionately more than the number of Pell Grant awards, the Pell Grant increase could not be the only reason for the increase in ACG awards. An expanded pool of high school graduates could not likely account for the rest of the increase either. This suggests that institutions may have been more successful in identifying and verifying

[16] Among students enrolled in postsecondary education in 1999–2000, just 7 percent of those who had delayed entry for a year or more were in the top 20 percent in terms of curriculum rigor, compared with 29 percent of those who had enrolled without delay (Horn et al. 2005).

[17] The Department's Budget Service derived the estimates using national data collected by NCES. Assumptions, limitations, and data sources are described in the Federal Register (Vol. 71, No. 127, 37998).

eligible students as awareness increased and implementation difficulties were resolved. It would have been too soon to reasonably expect changes in high school course taking in response to the grant incentive.

The increase in ACG awards from 2006–07 to 2007–08 was particularly notable at two-year institutions—71 percent, compared with a 9 percent increase in the number of Pell Grant awards to first- and second-year students. This disproportionate increase in ACG awards at two-year institutions suggests that they had begun to resolve some of the first-year difficulties they had verifying student eligibility, a common problem because they did not always have high school transcripts.

THIRD YEAR

In 2008–09, the number of ACG awards increased again, by 11 percent to 441,900. This was considerably less than the previous year's 32 percent increase. In addition, in contrast to the previous year, the 11 percent ACG increase was less than the 15 percent Pell Grant increase among first- and second-year students. There is no way to determine why proportionately fewer Pell recipients would have been eligible in the third year of the program than in earlier years. However, assuming that the implementation problems were largely solved by then, either proportionately fewer met the academic criteria, proportionately fewer met the attendance criteria, or both.

The increase in ACG awards was again greater at two-year institutions than at four-year ones—this time 24 vs. 8 percent. However, at both types of institutions, the increase was less than the 71 and 26 percent respective increases the previous year.

FOURTH YEAR

In the fourth year, 2009–10, the number of ACG awards grew to 636,400, a 44 percent increase over the previous year. Contributing to this observed increase was the 41 percent increase in first- and second-year Pell Grant recipients. Also contributing to the increase in the fourth year was an expanded pool of potential recipients, including eligible noncitizens, part-time students, and students in certificate programs at two-year degree-granting institutions. This broadening of eligibility brought approximately 25,000 eligible noncitizens into the program (Appendix Table E-8). Without these additional students, the increase in the number of ACGs would have been 38 percent, which is lower than the 41 percent increase in the number of Pell Grant recipients.

The number of part-time and certificate students brought into the program is unknown. Because most of these students would likely have been at two-year institutions, their inclusion in the eligible pool likely contributed to the much larger increase in ACGs at two-year institutions (76 percent) than at four-year institutions (37 percent) (Exhibit 4). The increase in Pell Grant

recipients was also greater at two-year than four-year institutions (47 vs. 33 percent), but not enough to account fully for the gap in ACG growth at the two types of institutions.

OVERALL CHANGE

Between 2006–07 and 2009–10, the number of first- and second-year Pell Grant recipients grew from 3.0 million to 5.5 million, or 82 percent. During the same period, the number of ACG recipients grew from 301,700 to 636,400, or 111 percent. If the ACG increase had paralleled the Pell Grant increase (i.e., the number of ACG recipients had grown by 82 percent), the number of ACGs would have been only about 547,900. Thus, the increase in Pell Grant recipients is not the only reason for the ACG growth.

While it is difficult to estimate exactly how many new students would have been brought into the program by the expanded eligibility criteria, rough estimates based on data from the Beginning Postsecondary Students (BPS) Longitudinal Study conducted by NCES in 2003–04 suggest an expansion of about 15 percent.[18] On this basis, the expected number of new ACG recipients on top of the increase due to Pell Grant increases would be about 630,000 (547,900 x 1.15), which is about 36,400 (or 6 percent) less than the actual number. This suggests that most of the increase in ACG awards might be attributed to increases in Pell Grant awards and expanded eligibility.

The proportion of Pell Grant recipients receiving an ACG increased but remained low.

The proportion of Pell Grant recipients meeting all the criteria for an ACG increased but remained low overall (between 10 and 12 percent), with large differences by institution type (Exhibit 6). The 2009–10 percentages were boosted by the inclusion of eligible noncitizens, part-time students, and students in certificate programs.

The expanded criteria would have the most effect at public two-year institutions because of the characteristics of their student populations. In 2007–08, almost three-quarters (71 percent) of their students attended part-time, and 18 percent were enrolled in certificate programs (Staklis 2010). At these institutions, the proportion of Pell Grant recipients with an ACG increased (from 3 to 5 percent) (Exhibit 6). Nevertheless, participation rates at public two-year institutions were much lower than at public and private nonprofit four-year institutions. At the four-year institutions, the percentage of Pell Grant recipients with an ACG rose slightly each year, reaching 30 percent and 28 percent, respectively, in 2009–10.

[18] See Appendix G for more detail on these estimates.

Exhibit 6. Percentage of first- and second-year Pell Grant recipients who received an ACG, by type of institution attended: 2006–07 through 2009–10

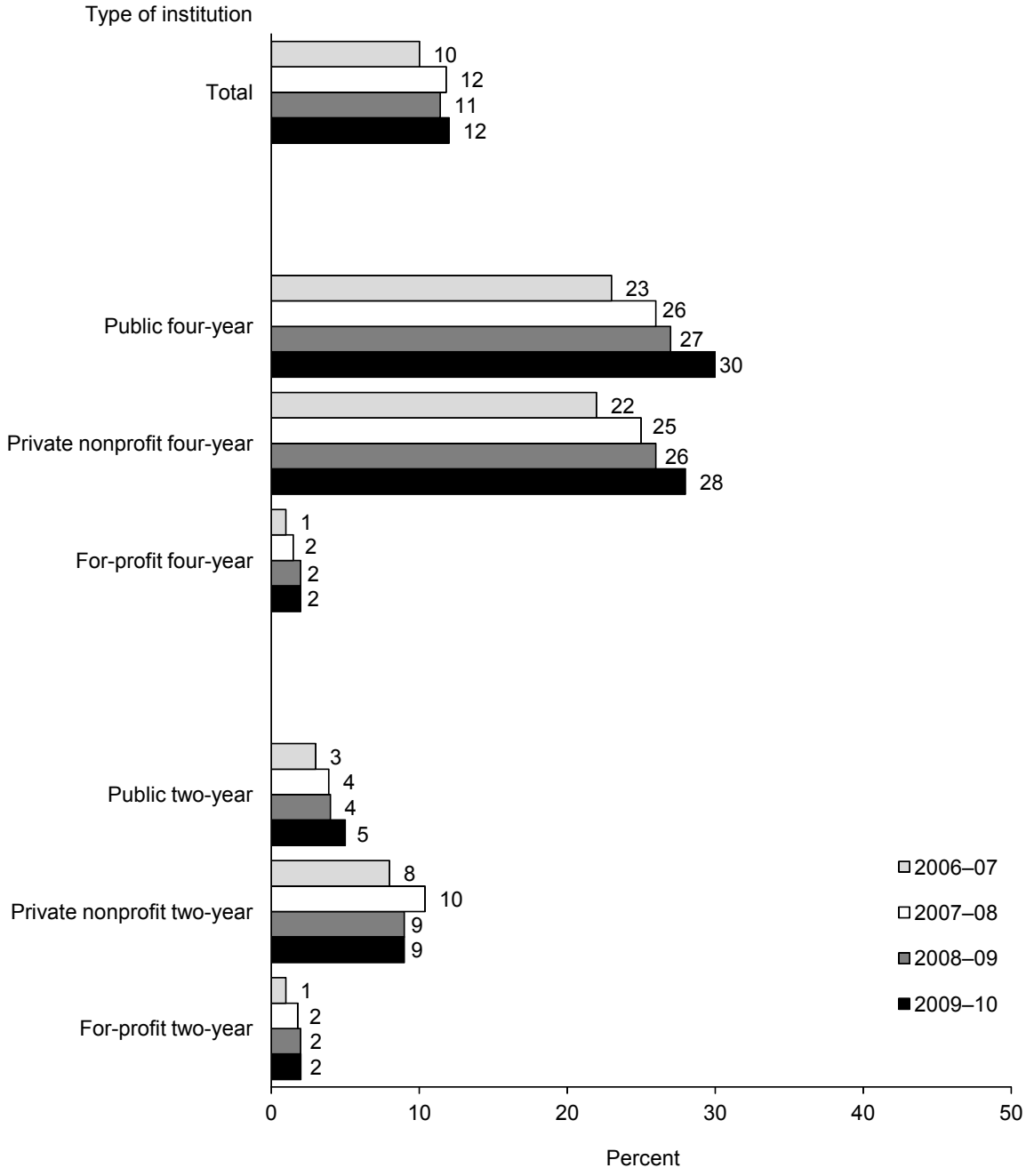

Exhibit reads: Overall, 10 percent of first- and second-year Pell Grant recipients also received an ACG in 2006–07.
NOTE: This figure includes duplicate records for students who received grants at more than one college (1 percent).
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Just over half of the grants went to students at public four-year institutions.

Of the 636,400 ACG grants awarded in 2009–10, just over half (329,200, or 52 percent) went to students at public four-year institutions (calculated from data in Appendix Table E-2). Another 143,200 went to students at private nonprofit four-year institutions, and 133,800 to students at public two-year institutions. Thus, 95 percent of all ACGs went to students at these three types of institutions. Most of the rest of the grants went to students at private for-profit institutions (27,800, or 4 percent of the total), and the remaining few went to private nonprofit two-year institutions.

Each year, a majority of ACG students received the maximum award.

A full ACG award (defined here as exactly $750 for a first-year student or $1,300 for a second-year student) means that the student enrolled for the entire academic year and had sufficient financial need to qualify for the full amount. Students would have received less if they attended for only one term or if the full amount had exceeded their financial need.

In the first year of the ACG program (2006–07), 83 percent of first-year awards were for the full amount (Exhibit 7). That percentage dropped for the next three years to 76 percent, 77 percent, and then 67 percent. The pattern was similar for second-year recipients. While there is no obvious reason for the initial drop, the larger decline in the final year almost certainly reflects, at least in part, the inclusion of reduced awards for part-time students.

Exhibit 7. Percentage of ACGs that were full awards: 2006–07 through 2009–10

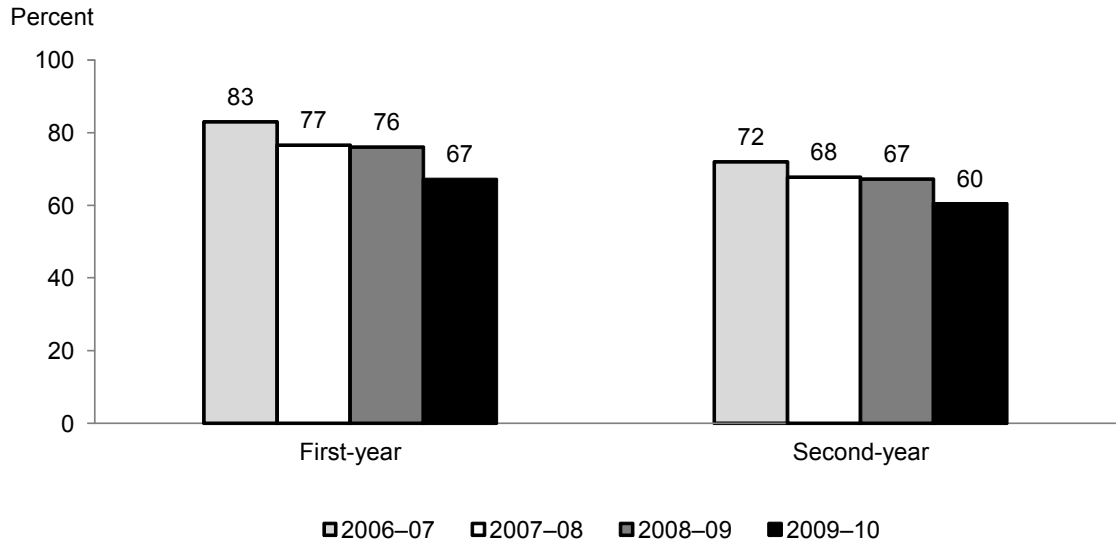

Exhibit reads: Among first-year ACGs in 2006–07, 83 percent were a full award.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

The average number of ACGs awarded per institution almost doubled.

Reflecting the overall growth in the program, the average number of ACGs awarded per institution increased each year, starting at 107 in the first year and growing to 203 in 2009–10 (Exhibit 8). Nevertheless, the ACG program remains small in many institutions, with just over half of all institutions (55 percent) awarding 100 or fewer ACGs in 2009–10.

Public four-year institutions often handled high volumes—42 percent awarded more than 500 ACGs in 2009–10—but no more than 4 percent of any other type of institution made that many awards (Appendix Table E-4). At the other end of the distribution, 32 percent of private nonprofit four-year institutions and 38 percent of public two-year institutions awarded 50 or fewer grants. Reflecting the high participation rates discussed earlier, 37 percent of public four-year institutions awarded ACGs to 40 percent or more of their Pell Grant recipients, as did 46 percent of private nonprofit institutions (Appendix Table E-5).

Exhibit 8. Percentage distribution of ACG-participating institutions by the number of ACGs awarded and average number awarded: 2006–07 through 2009–10

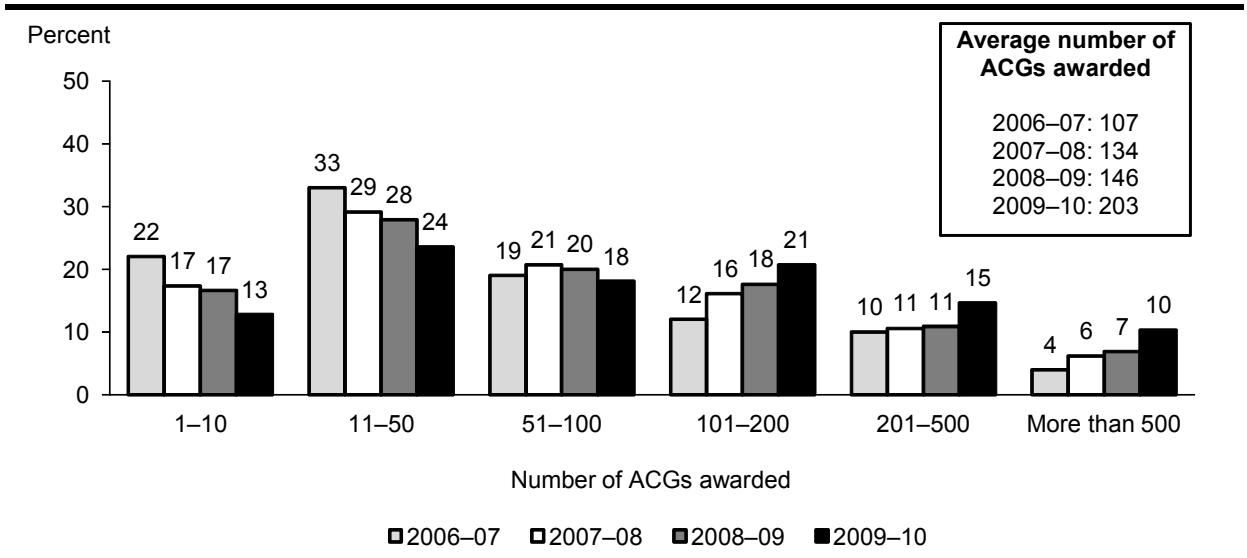

Exhibit reads: Among institutions participating in the ACG program in 2006–07, 22 percent awarded 1–10 ACG grants.
NOTE: Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

About three-quarters of all ACG recipients were first-year students.

The distribution of award recipients between first- and second-year students did not change. Each year, 77 or 78 percent of all ACG recipients were in their first year, and 22 or 23 percent were in their second year. In contrast, among students who received a Pell Grant only, between 65 and 69 percent were in their first year, and between 30 and 36 percent were in their second year, depending on the year (Appendix Table E-6 and U.S. Department of Education 2009, 2010, and 2011b). The fact that a lower percentage of ACG than Pell Grant–only awards go to second-year students suggests that it is difficult for low-income students to meet the cumulative 3.0 GPA requirement for a second-year ACG.

Because the ACG program was signed into law in spring 2006, second-year students who received an ACG in 2006–07 could not have known when they were first-year students that earning a 3.0 GPA would make them eligible for this grant. In later years, first-year ACG recipients would presumably have been told that if they had a 3.0 GPA at the end of their first year, they could get another, even larger, ACG in their second year. One might expect this prospect to motivate first-year ACG recipients to make an extra effort to earn high grades. Had this been the case (other things being equal), the proportion of grants going to second-year students should have increased after 2006–07, but it did not. Either the grants did not have the expected motivating effect or the effect was overshadowed by other factors.

ACG recipients were disproportionately located at the higher end of the family income distribution of Pell Grant recipients.

Although all ACG recipients are from low-income families, they tend to have higher incomes than their peers with Pell Grants only. For example, among dependent students[19] in 2009–10, 42 percent of ACG recipients came from families with incomes of $30,000 or more, compared with 34 percent of students who received only a Pell Grant (Exhibit 9). The pattern was the same in the earlier years of the program as well. A more detailed income distribution can be found in Appendix Table E-9 for 2009–10 and in U.S. Department of Education (2009, 2010, 2011b) for earlier years.

[19] For students who are considered financially dependent for financial aid eligibility purposes, parents' financial resources are considered. For independent students, only the student's and spouse's financial resources are considered. Students under 24 years of age are considered financially dependent unless they have a dependent; are married; or are graduate students, wards of the court, orphans, or veterans.

Exhibit 9. Percentage of dependent ACG and Pell Grant–only recipients at ACG-participating institutions who were from families with incomes of $30,000 or more: 2006–07 through 2009–10

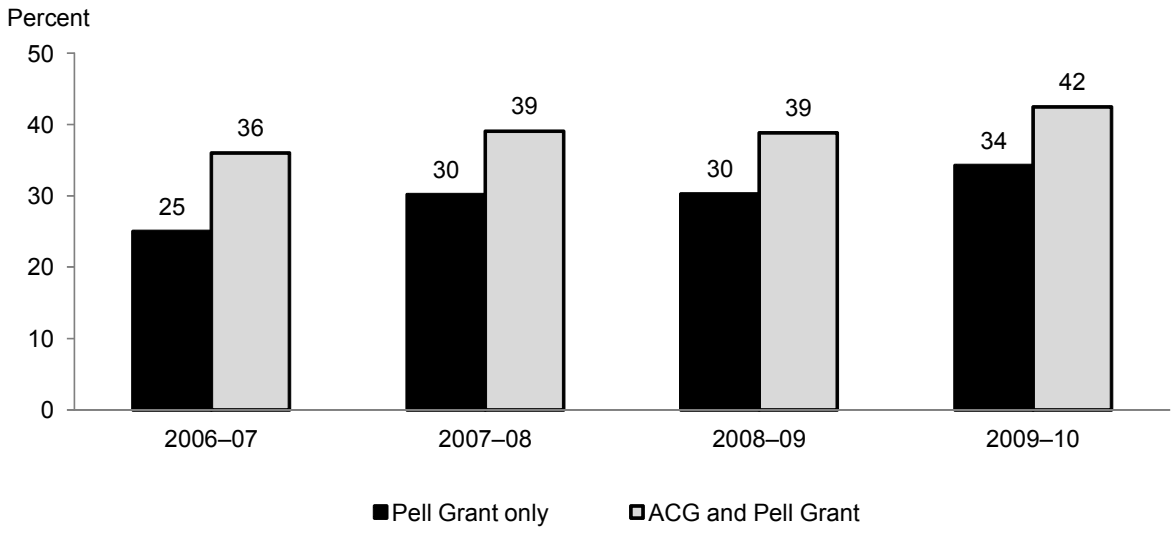

Exhibit reads: Among dependent Pell Grant recipients in 2006–07, 25 percent of those with a Pell Grant only and 36 percent of those with an ACG and Pell Grant were from families with incomes of $30,000 or more.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

As the Expected Family Contribution (EFC) increased, the ACG award contributed a greater proportion to the combined ACG and Pell Grant amount.

The Expected Family Contribution (EFC) is a measure of a family's ability to pay for college and is used as an index number to calculate the Pell Grant amount. As income increases, the EFC increases and the size of the Pell Grant decreases. Because the ACG amount does not vary with income, the ACG accounts for an increasing proportion of the combined ACG and Pell Grant award as income rises (Exhibit 10). This was true each year. The minor differences in the average ACG across EFC levels and over time reflect different mixes of first- and second-year students (who were eligible for different award amounts) and different mixes of students receiving full- or part-year awards. Starting in 2009–10, when part-time students became eligible for grants, the differences may also reflect variations in the mix of full- and part-time students.

Over time, the Pell Grant contributed proportionately more to the total award at all EFC levels.

As indicated previously, the maximum Pell Grant increased from $4,050 in 2006–07 to $5,350 in 2009–10. Meanwhile, the ACG amount remained constant. At the highest EFC level (3,000 or more), the average ACG amount for dependent students was greater than the average Pell Grant amount in 2006–07 and 2007–08. In 2008–09 and 2009–10, the reverse was true.

Exhibit 10. Average Pell Grant and ACG amounts awarded to dependent ACG recipients, by Expected Family Contribution (EFC): 2006–07 through 2009–10

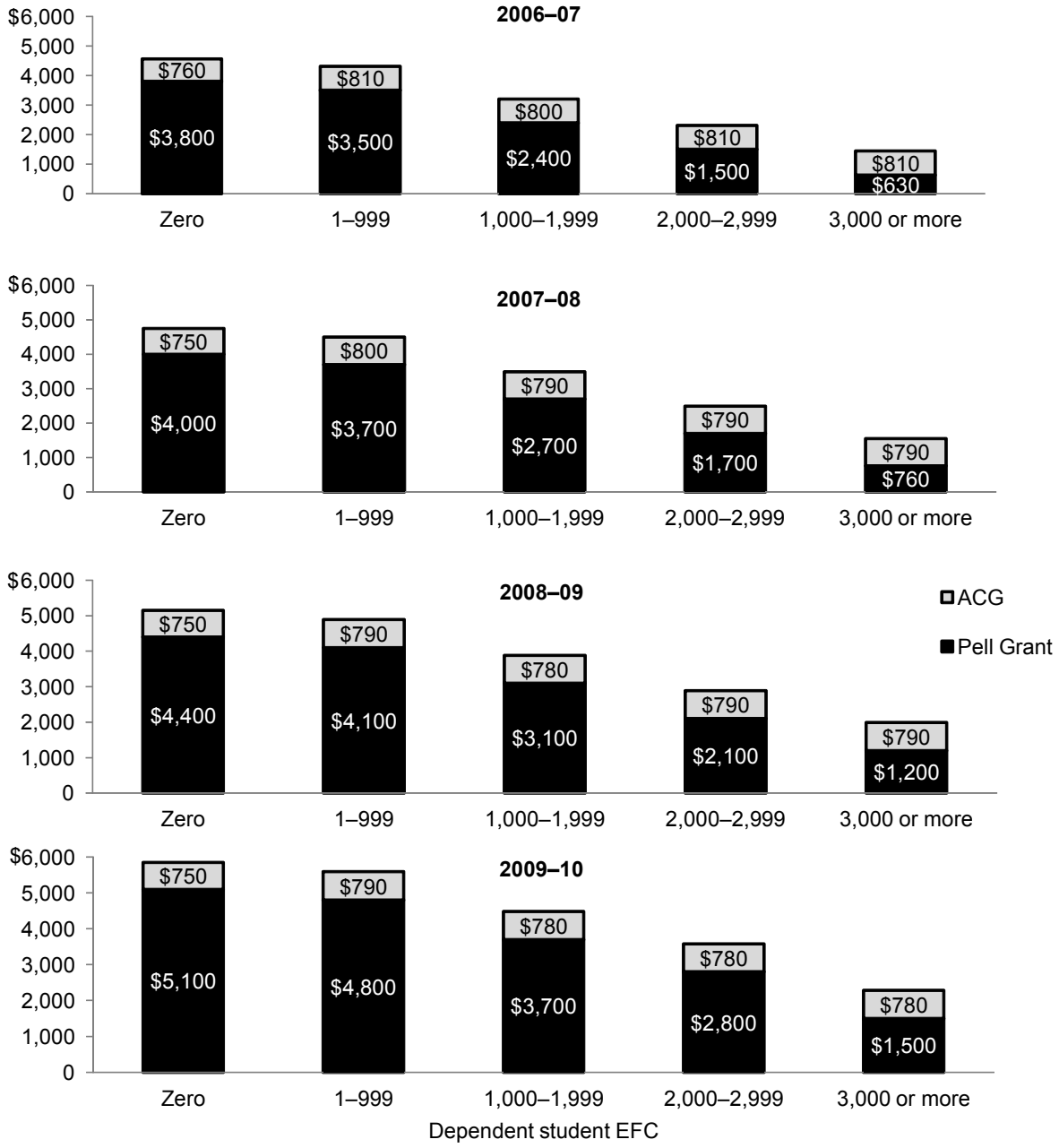

Exhibit reads: Among dependent ACG recipients with a zero EFC in 2006–07, the average Pell Grant amount was $3,800, and the average ACG amount was $760.

NOTE: The federal Expected Family Contribution (EFC) is a measure of a family's financial strength and indicates how much of a student's and family's financial resources (for dependent students) should be available to help pay for a student's education. The EFC is an index number used to determine the Pell Grant amount. The average family incomes corresponding to these EFC categories were $9,900, $21,500, $31,400, $36,300, and $40,400 in 2006–07 and increased each year.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

The percentage of Pell Grant recipients with an ACG varied widely by state.

Based on the percentage of first- and second-year Pell Grant recipients at four-year institutions with an ACG, Massachusetts consistently had the highest level of participation, with between 32 and 38 percent of Pell Grant recipients in that state receiving an ACG, depending on the year (Exhibit 11).[20] Four additional states had participation rates of more than 30 percent in 2009–10: Vermont, California, Maine, and Pennsylvania. On the other hand, six states had participation rates below 10 percent: Arizona, New Mexico, Alabama, Utah, Nevada, and Alaska.

The overall participation rate at four-year institutions was relatively stable across the four program years, but eight states (Rhode Island, Connecticut, Maine, Vermont, Massachusetts, New Hampshire, Indiana, and Delaware) and Puerto Rico increased their participation rates by 5 percentage points or more between 2006–07 and 2009–10.

At two-year institutions, the overall participation rate remained low but doubled from 2.5 to 5.0 percent between 2006–07 and 2009–10 (Exhibit 12). Seven states—Texas, Florida, Maine, South Dakota, Arkansas, Wyoming, and South Carolina—and the District of Columbia had participation rates of over 7 percent in 2009–10, but four states had less than 2 percent participation: Michigan, Washington, Nevada, and Vermont.

One might expect ACG participation to be highest in states with the most rigorous high school graduation requirements, but comparing rigor across states is difficult. Some states simply specify a number of credits needed for a diploma, while others specify a particular level that must be reached in some or all subjects or describe content that must be included. Another complicating factor is that some states prescribe minimums and allow districts to add their own requirements. As a result, the state requirement may not be a true reflection of what is required for a diploma. Finally, some states have exit exams, and they vary in difficulty. Information on high school graduation requirements and planned changes was collected in the first year of the study. However, because of the above-mentioned difficulties in making comparisons across states, it was not feasible to categorize states according to the rigor of their requirements and therefore not possible to determine whether states with more rigorous high school graduation requirements had higher ACG participation rates (see U.S. Department of Education 2009 for more detail).

[20] Exhibit 11 is based on students' state of residence, regardless of where they attended college.

Exhibit 11. At four-year ACG-participating institutions, number of first- and second-year students with Pell Grants, number and percentage of Pell Grant recipients with ACGs, and change in percentage, by student's state of residence: 2006–07 through 2009–10

State	Number of first- and second-year students with Pell Grants 2009–10	Number of Pell Grant recipients with ACGs 2009–10	Percent of first- and second-year Pell Grant recipients with ACGs				
			2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2009–10
Total	2,459,245	489,460	18.5	20.3	19.2	19.9	1.4
Massachusetts	30,553	11,616	32.0	36.7	35.4	38.0	6.0
Vermont	4,038	1,317	26.4	32.6	32.8	32.6	6.2
California	157,968	51,127	28.8	30.9	30.0	32.4	3.6
Maine	10,584	3,301	24.8	28.4	29.3	31.2	6.4
Pennsylvania	84,278	26,206	28.1	30.8	30.2	31.1	3.0
Connecticut	15,626	4,622	22.7	28.1	27.3	29.6	6.9
Rhode Island	6,135	1,756	19.7	23.8	26.5	28.6	8.9
Nebraska	12,278	3,469	29.2	31.4	29.0	28.3	-0.9
New Jersey	44,020	12,276	24.4	25.0	24.7	27.9	3.5
New Hampshire	8,561	2,240	20.7	25.4	25.1	26.2	5.5
Iowa	17,585	4,456	26.3	31.7	27.4	25.3	-1.0
Wisconsin	41,499	10,053	25.3	27.7	25.5	24.2	-1.1
Minnesota	38,318	9,140	23.8	26.9	24.7	23.9	0.1
Illinois	79,340	18,257	18.7	22.8	21.6	23.0	4.3
Indiana	66,067	15,018	17.5	22.5	21.2	22.7	5.2
Texas	169,751	37,814	20.0	21.8	21.8	22.3	2.3
Washington	30,871	6,742	17.7	21.8	21.8	21.8	4.1
Louisiana	36,327	7,839	20.2	23.1	20.2	21.6	1.4
Puerto Rico	87,873	18,952	13.4	16.1	18.3	21.6	8.2
South Dakota	8,508	1,814	19.2	22.3	21.9	21.3	2.1
Kentucky	40,178	8,560	17.3	21.2	21.3	21.3	4.0
South Carolina	42,514	8,777	21.3	25.8	20.6	20.6	-0.7
North Carolina	72,468	14,618	24.4	25.2	21.5	20.2	-4.2
Tennessee	59,383	11,802	15.2	18.0	18.5	19.9	4.7
New York	199,122	39,314	19.4	17.7	17.7	19.7	0.3
Oregon	19,018	3,684	20.7	23.2	17.4	19.4	-1.3
Maryland	32,805	6,135	20.3	21.7	19.0	18.7	-1.6
Ohio	124,206	23,222	20.9	21.3	18.3	18.7	-2.2
Kansas	17,377	3,239	20.2	20.6	18.6	18.6	-1.6
North Dakota	5,748	1,060	20.6	24.4	18.5	18.4	-2.2
All others*	6,846	1,256	20.4	16.5	16.8	18.3	-2.1
Hawaii	7,353	1,332	14.2	16.2	16.5	18.1	3.9
Oklahoma	31,128	5,382	16.5	19.5	19.0	17.3	0.8
Delaware	4,915	843	12.2	16.8	14.8	17.2	5.0
Colorado	33,189	5,553	16.6	19.2	17.3	16.7	0.1
Virginia	55,163	9,152	19.7	17.9	15.9	16.6	-3.1
Idaho	18,894	3,116	13.6	16.8	15.9	16.5	2.9

Cont'd. next page. See notes at end of exhibit.

Exhibit 11. At four-year ACG-participating institutions, number of first- and second-year students with Pell Grants, number and percentage of Pell Grant recipients with ACGs, and change in percentage, by student's state of residence: 2006–07 through 2009–10—Continued

State	Number of first- and second-year students with Pell Grants 2009–10	Number of Pell Grant recipients with ACGs 2009–10	Percent of first- and second-year Pell Grant recipients with ACGs				
			2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2009–10
Georgia	113,887	18,242	16.0	17.5	16.4	16.0	0.0
Missouri	55,921	8,618	14.8	16.1	15.0	15.4	0.6
Arkansas	29,789	4,547	15.9	16.0	15.7	15.3	-0.6
Montana	10,285	1,480	13.8	16.6	15.8	14.4	0.6
Florida	212,280	29,584	11.3	12.1	11.4	13.9	2.6
Michigan	97,423	12,903	9.9	12.9	13.4	13.2	3.3
West Virginia	17,523	2,151	12.6	15.1	12.3	12.3	-0.3
Wyoming	2,085	241	16.5	16.6	14.9	11.6	-4.9
Mississippi	28,910	3,234	16.1	15.5	12.2	11.2	-4.9
District of Columbia	6,545	714	11.7	15.7	10.8	10.9	-0.8
Arizona	36,055	3,582	7.3	10.8	9.2	9.9	2.6
New Mexico	23,516	1,911	6.5	9.1	7.3	8.1	1.6
Alabama	46,390	3,724	10.0	10.4	9.4	8.0	-2.0
Utah	30,376	1,868	4.1	5.5	6.3	6.1	2.0
Nevada	22,603	1,334	11.3	6.7	5.4	5.9	-5.4
Alaska	5,098	256	3.5	6.6	5.4	5.0	1.5

Exhibit reads: Among first- and second-year students at four-year ACG-participating institutions in 2009–10, a total of 2,459,245 had a Pell Grant, and 489,460 had an ACG.

* Including all other U.S. jurisdictions except Puerto Rico (i.e., American Samoa, the Federated States of Micronesia, Guam, the Marshall Islands, the Northern Marianas, Palau, and the Virgin Islands). Also included are ACG-eligible students with an unknown state of residence.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Exhibit 12. At two-year ACG-participating institutions, number of first- and second-year students with Pell Grants, number and percentage of Pell Grant recipients with ACGs, and change in percentage, by student's state of residence: 2006–07 through 2009–10

State	Number of first- and second-year students with Pell Grants 2009–10	Number of Pell Grant recipients with ACGs 2009–10	Percent of first- and second-year Pell Grant recipients with ACGs				
			2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2009–10
Total	2,826,570	141,684	2.5	3.9	4.2	5.0	2.5
All others*	4,675	683	2.6	2.5	2.5	14.6	12.0
Texas	246,655	27,022	5.2	7.5	8.6	11.0	5.8
Florida	136,746	13,101	5.5	7.0	7.9	9.6	4.1
Maine	7,193	639	2.0	7.1	6.5	8.9	6.9
South Dakota	2,419	190	3.5	3.9	5.9	7.9	4.4
District of Columbia	1,307	96	3.1	2.0	9.3	7.3	4.2
Arkansas	31,444	2,264	4.0	5.2	5.1	7.2	3.2
Wyoming	3,700	264	5.4	6.4	6.3	7.1	1.7
South Carolina	50,812	3,532	2.4	3.7	4.4	7.0	4.6
Nebraska	17,254	1,175	4.4	7.2	6.3	6.8	2.4
New York	98,866	6,625	3.5	6.4	6.8	6.7	3.2
Wisconsin	46,098	3,057	2.0	4.8	4.6	6.6	4.6
Kansas	24,184	1,532	3.3	5.7	5.2	6.3	3.0
Tennessee	54,412	3,419	3.8	5.4	5.2	6.3	2.5
New Hampshire	4,632	281	2.7	4.7	5.2	6.1	3.4
Delaware	6,004	348	1.3	2.3	4.6	5.8	4.5
North Dakota	2,482	143	5.3	4.1	4.4	5.8	0.5
North Carolina	113,031	6,476	2.1	3.9	4.6	5.7	3.6
Pennsylvania	87,485	4,898	2.2	4.3	4.6	5.6	3.4
Oklahoma	28,433	1,564	5.5	6.1	5.7	5.5	0.0
Mississippi	57,662	3,039	3.6	7.2	7.5	5.3	1.7
New Jersey	65,982	3,474	3.1	4.2	3.9	5.3	2.2
Alabama	52,781	2,768	3.8	5.2	4.9	5.2	1.4
Massachusetts	38,067	1,977	1.8	3.0	4.0	5.2	3.4
Maryland	44,533	2,296	2.0	3.1	4.4	5.2	3.2
Rhode Island	7198	371	0.4	3.0	3.7	5.2	4.8
Connecticut	21,198	1,077	0.7	2.5	2.7	5.1	4.4
Louisiana	40,090	2,033	3.6	4.5	3.6	5.1	1.5
Iowa	35,667	1,682	1.8	4.1	4.5	4.7	2.9
Minnesota	50,683	2,145	2.1	3.4	3.4	4.2	2.1
Idaho	10,130	426	1.5	3.0	3.4	4.2	2.7
Missouri	58,467	2,408	2.9	3.8	3.4	4.1	1.2
Georgia	99,727	3,804	1.9	2.6	3.4	3.8	1.9
Illinois	119,031	4,506	1.5	2.3	2.4	3.8	2.3
Hawaii	7,000	254	1.2	3.7	3.7	3.6	2.4
Virginia	59,001	2,065	2.1	2.6	2.7	3.5	1.4
California	414,397	14,482	1.1	2.5	3.0	3.5	2.4

Cont'd. next page. See notes at end of exhibit.

Exhibit 12. At two-year ACG-participating institutions, number of first- and second-year students with Pell Grants, number and percentage of Pell Grant recipients with ACGs, and change in percentage, by student's state of residence: 2006–07 through 2009–10—Continued

State	Number of first- and second-year students with Pell Grants 2009–10	Number of Pell Grant recipients with ACGs 2009–10	Percent of first- and second-year Pell Grant recipients with ACGs				
			2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2009–10
Montana	4,414	153	4.2	4.7	4.8	3.5	-0.7
Utah	13,439	426	1.0	3.4	3.3	3.2	2.2
Ohio	126,121	3,809	1.5	2.4	2.7	3.0	1.5
Puerto Rico	39,466	1,156	3.0	3.9	3.8	2.9	-0.1
Indiana	69,559	1,969	1.5	2.6	2.2	2.8	1.3
Alaska	504	14	1.6	2.3	3.4	2.8	1.2
West Virginia	8,885	245	1.4	2.1	2.4	2.8	1.4
Arizona	70,395	1,581	0.7	1.8	1.8	2.2	1.5
New Mexico	20,859	457	1.0	1.5	1.6	2.2	1.2
Colorado	38,661	816	0.6	0.8	1.4	2.1	1.5
Oregon	48,806	1,013	1.1	2.0	1.9	2.1	1.0
Kentucky	47,426	980	1.1	2.0	1.9	2.1	1.0
Michigan	124,166	2,033	0.7	1.3	1.4	1.6	0.9
Washington	53,042	804	0.7	1.5	1.3	1.5	0.8
Nevada	8,201	80	1.0	1.1	0.7	1.0	0.0
Vermont	3,042	22	1.0	1.2	0.8	0.7	-0.3

Exhibit reads: Among first- and second-year students at two-year ACG-participating institutions in 2009–10, a total of 2,826,570 had a Pell Grant, and 141,684 had an ACG.

* Including all other U.S. jurisdictions except Puerto Rico (i.e., American Samoa, the Federated States of Micronesia, Guam, the Marshall Islands, the Northern Marianas, Palau, and the Virgin Islands). Also included are ACG-eligible students with an unknown state of residence.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

ACG Renewals

ACG renewal rates were calculated for three cohorts of students—first-year students in 2006–07, 2007–08, and 2008–09—by searching the recipient files for the following year. First-year ACG recipients appeared in the data file the following year if they received another Pell Grant (with or without an ACG). If they did not have a record for the next year, it meant that they either dropped out of school or were enrolled but had lost their Pell Grant eligibility, but there is no way to know which.

Only about one-quarter of first-year ACG recipients received another grant the following year.

To receive an ACG as a second-year student, a first-year ACG recipient must again have an income low enough to qualify for a Pell Grant, enroll in a degree program full-time (or part-time starting in 2009–10), and have a cumulative 3.0 GPA at the end of their first year. Only 27 percent of the first-year students who received an ACG in 2006–07 met all the requirements for another one in 2007–08 (Exhibit 13). For the next two cohorts, the renewal rates were 25 and 24 percent, respectively.

Exhibit 13. Percentage distribution of 2006–07, 2007–08, and 2008–09 first-year ACG recipients by ACG and Pell Grant receipt status the following year

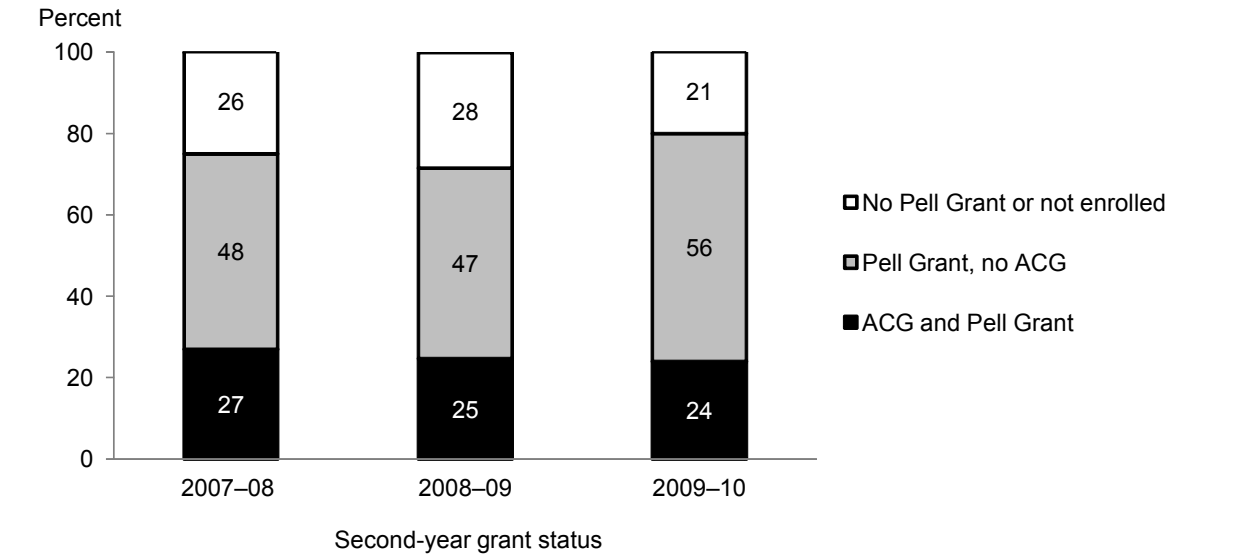

Exhibit reads: Among first-year ACG recipients in 2006–07, 27 percent received another ACG and Pell Grant in 2007–08; 48 percent received another Pell Grant but not an ACG; and 26 percent received no Pell Grant or were not enrolled.
NOTE: Detail may not sum to totals because of rounding. Each year, the category Pell Grant, no ACG includes 1 percent who achieved third-year status and received a SMART Grant.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Meeting the low-income requirement for a Pell Grant does not appear to have been the major barrier to receiving a second-year ACG. Between 72 and 80 percent of ACG recipients each year qualified for a Pell Grant the following year. Pell Grant eligibility does not require full-time attendance, and each college can set its own academic progress criteria, which are usually based on course completion (a minimum number of credits earned per term) rather than a minimum GPA. Thus, roughly half of the first-year ACG recipients continued to have low incomes their second year but did not meet the stricter ACG enrollment and GPA requirements needed for another ACG.

Part-time students could receive an ACG in 2009–10 but not earlier. Therefore, if there had been an increase in the renewal rate for the last cohort, it might have suggested that maintaining full-time enrollment status had been an important barrier. No such increase was observed, which suggests that the GPA requirement was the major barrier to renewal.

The remaining students in each cohort (between 21 and 28 percent) did not receive another ACG either because they were no longer eligible for a Pell Grant or had dropped out. No data are available to indicate how many first-year ACG recipients did not receive another ACG for which reason.

ACG renewal rates for first-year recipients were lower in the public sector than in the private one.

In each cohort, about a quarter (between 23 and 25 percent) of the first-year ACG recipients at public four-year institutions had their grants renewed the following year (Exhibit 14). The renewal rate at private nonprofit four-year institutions was 33 percent for the first cohort, but it dropped in subsequent years to 31 percent and then 28 percent. The lowest renewal rate was at public two-year institutions (about 20 percent for each cohort).

Exhibit 14. Percentage of 2006–07, 2007–08, and 2008–09 first-year ACG recipients who received an ACG the following year, by type of institution

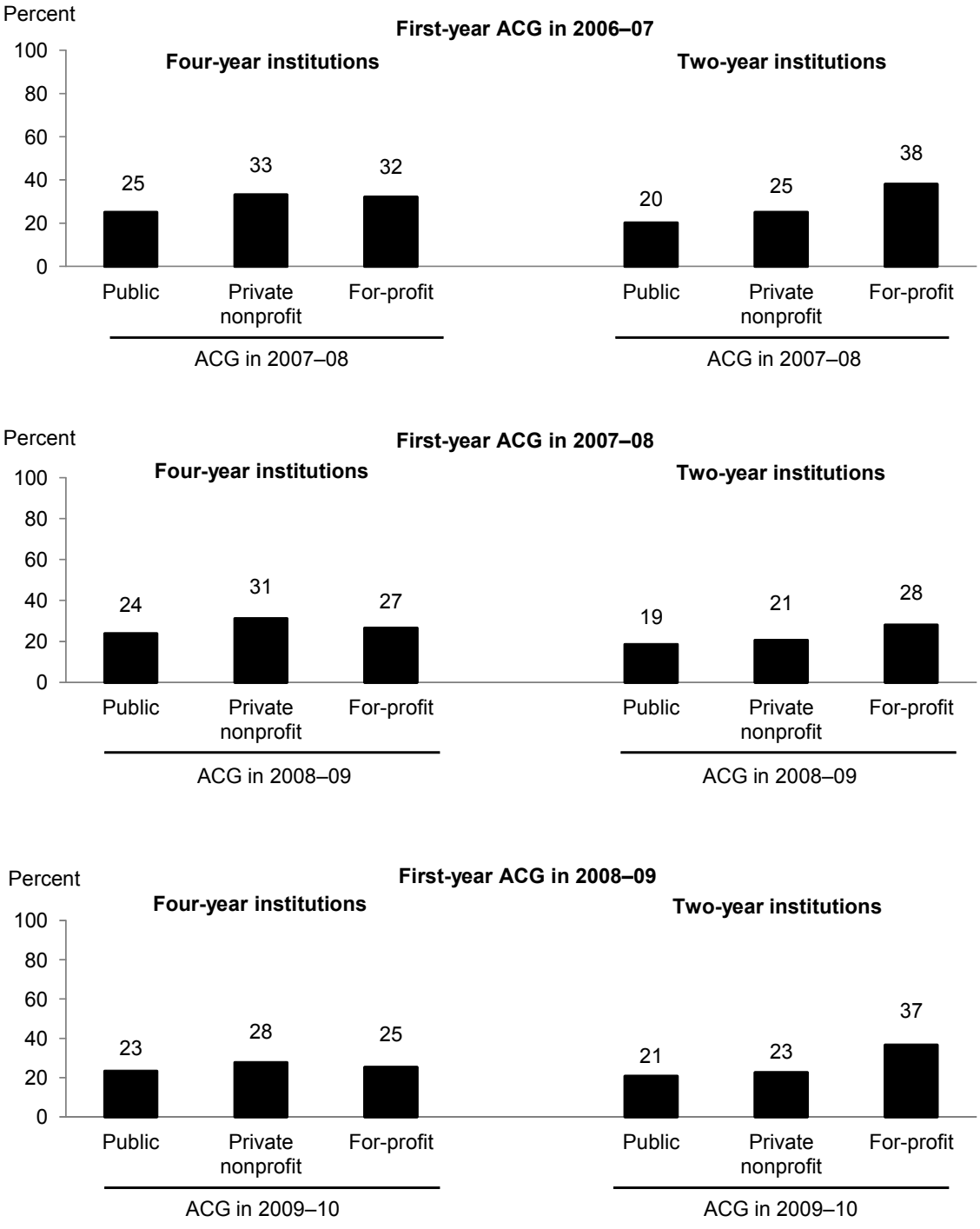

Exhibit reads: Among first-year ACG recipients at public four-year institutions in 2006–07, 25 percent received another ACG in 2007–08.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Pell Grant Renewals for ACG Versus Pell Grant–Only Recipients

Are low-income students who receive ACGs in addition to their Pell Grants more likely than their Pell Grant–only peers to persist in college? The Pell Grant renewal rate is not a complete measure of persistence because, as already indicated, a Pell Grant recipient who does not receive another grant the following year may have persisted but no longer qualifies for a Pell Grant for income-related reasons. However, if a first-year Pell Grant recipient does receive a Pell Grant the following year, that is evidence that the student persisted. Therefore, the Pell Grant renewal rate can be considered a very conservative estimate of the actual persistence rate.

Based on Pell Grant renewal rates, first-year ACG recipients consistently persisted at a higher rate than their peers with a Pell Grant only.

The Pell Grant renewal rates for first- and second-year students who received an ACG in addition to their Pell Grant in 2006–07, 2007–08, and 2009–10 were considerably higher than for their counterparts who had received a Pell Grant only (Exhibit 15). For example, 79 percent of those who had received an ACG as a first-year student in 2008–09 received another Pell Grant in 2009–10 (with or without an ACG) and therefore were known to have persisted. In comparison, just 62 percent of first-year students who received a Pell Grant only in 2008–09 received another one in 2009–10. These renewal rates were higher than for the two previous cohorts, reflecting the growth in the number of Pell Grant recipients in 2009–10 (Exhibit 4). Because more students were receiving Pell Grants, more were found in the file the following year.

While the additional financial support provided by the ACG may contribute to the observed higher persistence rates for the recipients of these grants (perhaps reducing the need to work during the school year), other factors may be equally or even more important. Particularly, ACG recipients are among the most academically qualified Pell Grant recipients and therefore would be expected to persist at higher rates than students who did not meet the academic qualifications for the grant.

Exhibit 15. Percentage of 2006–07, 2007–08, and 2008–09 Pell Grant–only and ACG recipients who received a Pell Grant the following year

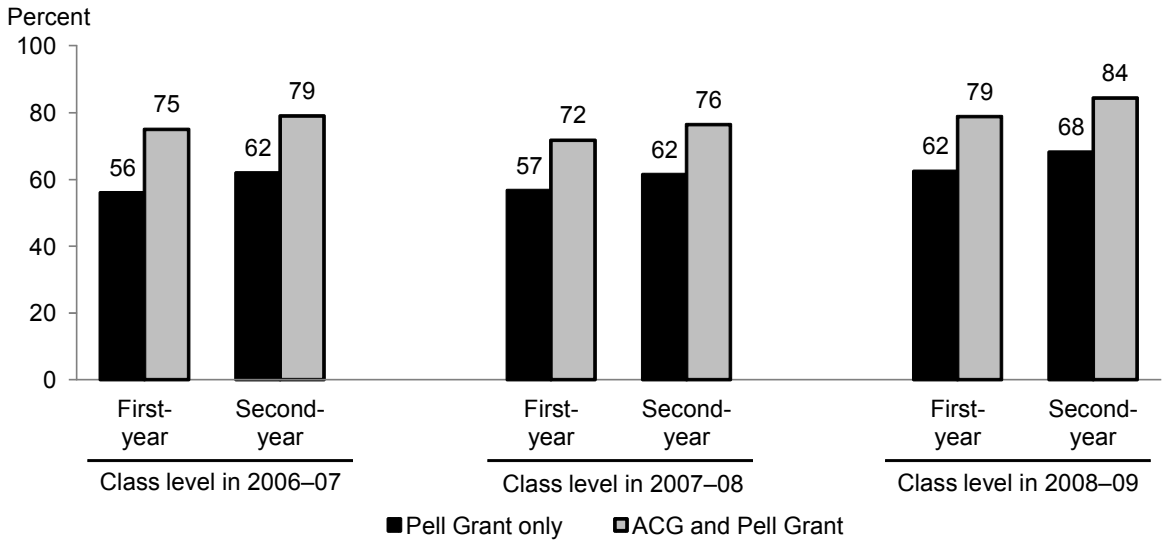

Exhibit reads: Among first-year students in 2006–07 who received a Pell Grant only, 56 percent received another Pell Grant in 2007–08, and among those who received an ACG in 2006–07, 75 percent received another Pell Grant in 2007–08 (whether or not they received another ACG).
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

CHAPTER 4

National Science and Mathematics Access to Retain Talent (SMART) Grant Program Participation

While the ACG and National SMART Grant programs were established in the same legislation, their intent was quite different. The ACG program was designed to increase access and persistence for low-income students, while the National SMART Grant program was intended to encourage low-income students to major in science, technology, engineering, and mathematics (STEM) fields or in foreign languages critical to the national interest.

It is important to consider when any motivating effect of the National SMART Grant program on students' choices of major might be discernible. Students cannot select a STEM or foreign language major in their third or fourth year without taking the introductory courses required for advanced study in these fields. Therefore, in the first two years of the National SMART Grant program (2006–07 and 2007–08), only students who had prepared for an eligible major prior to knowing about the program would have been eligible for a grant. Consequently, one could not attribute any observed increase in National SMART Grant awards in those years to a motivating effect of the grants. However, an effect could potentially be observed in 2008–09. Students who entered college as freshmen in 2006–07, when the program went into effect, might have been motivated by the possibility of a grant to prepare for an eligible major so they could receive one when they became third-year students in 2008–09. To the extent that the existence of the grant motivated any high school students to take appropriate courses in high school and choose an eligible major in college, one would have to wait until 2010–11 to see the impact. In that year, high school juniors in 2006–07 would become third-year college students.

The number of students enrolled in STEM majors increased between 2003–04 and 2007–08, from 2.6 million to 2.9 million (Appendix Table F-1). However, this increase appears to simply reflect the increase in total enrollment, because the proportion of undergraduates who were STEM majors did not change. In both years, 14 percent of all undergraduates were STEM majors (including 17 percent of third-year students and 19 percent of fourth-year students). The proportion of Pell Grant recipients who majored in STEM fields was also 14 percent (Appendix Table F-2). Appendix F provides additional detail on STEM majors by type of institution and student characteristics such as gender, race and ethnicity, dependency status, and income.

National SMART Grant–Eligible Majors

Prior to the implementation of the National SMART Grant program, the secretary of education provided a list of majors eligible for National SMART Grants at the six-digit level of the Classification of Instructional Programs (CIP)[21] code. This list was expanded for 2007–08 to include certain scientifically oriented majors within the broader fields of natural resources and conservation, psychology, and food science and technology. Two interdisciplinary majors were also added: biopsychology and nutrition sciences. Finally, certain colleges that offered only liberal arts degrees were permitted to award grants to students whose programs were comparable to those of National SMART Grant–eligible majors at other colleges. No changes were made for 2008–09. For the 2009–10 award year, the list of eligible foreign languages was expanded from a limited number to all foreign languages. Appendix B contains a complete list of eligible majors through 2009–10, noting which ones have been added to the original list and when. The implications of these changes for the number of National SMART Grants awarded are discussed later in this chapter.

The CIP classification was updated in 2010. As a result of the recoding, 67 new majors were added to the National SMART Grant–eligible majors list for 2010–11.[22] These changes do not affect any data in this report, which covers program activity only through 2009–10. Looking ahead, however, it is not clear that these changes expanded eligibility for the National SMART Grant because students in the newly added majors were probably already in an eligible code. For example, under the four-digit code for "Electrical, Electronics, and Communications Engineering" (14.10), several new six-digit codes have been added, including one for "Laser and Optical Engineering" (14.1004). Prior to 2010, a student with this major would probably have been considered to be in "Electrical and Electronics Engineering" (14.1001), a major that also was eligible.

National SMART Grant Awards

The exhibits in this chapter describe participation in the first four program years (2006–07 through 2009–10). Appendix E contains additional detail on 2009–10 awards by type of institution, class level, and student characteristics. Appendixes of previous reports in this series contain comparable detail for earlier program years in correspondingly numbered tables (U.S. Department of Education 2009, 2010, 2011b).

[21] The Classification of Instructional Programs (CIP) is a taxonomy used for accurate tracking and reporting of fields of study and program completions activity. The CIP was originally developed by NCES in 1980 and has been revised periodically, most recently in 2000 and 2010. More information on CIP codes is available at: http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55.

[22] The list of eligible majors for 2010–11 can be found at: http://studentaid.ed.gov/PORTALSWebApp/students/english/SmartGrants.jsp.

In 2006–07, there were 1.2 million third- and fourth-year Pell Grant recipients in institutions that awarded any National SMART Grants (Exhibit 16). The U.S. Department of Education estimated that 80,000 of these students would be eligible for a National SMART Grant in that year. As is the case with ACGs, National SMART Grant participation is sensitive to changes in Pell Grant participation and in the maximum Pell Grant amount. The number of third- and fourth-year Pell Grant recipients at four-year institutions that awarded any National SMART Grants increased by 7 percent from 2006–07 to 2007–08 and by 3 percent from 2007–08 to 2008–09. The following year the increase was much larger—23 percent—although it was less than the 38 percent increase in the overall number of Pell Grant recipients at ACG- or SMART Grant–participating institutions shown in Exhibit 4.

About seven out of 10 four-year institutions participate in the National SMART Grant program.

To participate in the National SMART Grant program, institutions must be eligible to participate in the Pell Grant program and offer bachelor's degrees in one of the designated science, technology, engineering, mathematics, or foreign language fields. In each year, approximately 2,100 four-year colleges and universities were eligible to participate in the Pell Grant program (Appendix Table E-1 and U.S. Department of Education 2009, 2010, 2011b). The number of institutions participating in the National SMART Grant program was lower, because not all institutions participating in the Pell Grant program offer degrees in National SMART Grant–eligible fields. In 2006–07, about 1,425 institutions participated, and the numbers increased slightly to about 1,480 in 2007–08 and 2008–09, and then to 1,497 in 2009–10.

The overall National SMART Grant participation rate for institutions with Pell Grant recipients was about 70 percent in each year (Exhibit 17). The participation rate was highest at public four-year institutions (from 85 to 88 percent, depending on the year) and lowest at for-profit four-year institutions (from 41 to 48 percent). At public and private nonprofit four-year institutions, the institutional participation rates have remained about the same over time, but at for-profit four-year institutions, the rate increased slightly each year.

Exhibit 16. Number of Pell and SMART Grant recipients and year-to-year change: 2006–07 through 2009–10

Undergraduates and grant recipients	2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2007–08		Change 2007–08 to 2008–09		Change 2007–09 to 2009–10	
					Number	Percent	Number	Percent	Number	Percent
Pell Grant recipients										
Third- and fourth-year recipients in institutions with any SMART Grants	1,208,000	1,289,000	1,329,600	1,637,000	81,000	6.7	40,600	3.2	307,400	23.1
SMART Grant recipients										
Number estimated prior to implementation[a]	80,000	80,000	†	†	†	†	†	†	†	†
Total SMART Grant recipients	62,400	65,400	64,400	115,200	3,000	4.8	-1,000	-1.4	50,800	78.9
Major[b]										
Life sciences	23,800	26,000	25,500	41,400	2,200	9.2	-500	-1.8	15,900	62.4
Engineering	13,200	13,600	12,800	23,900	400	3.0	-800	-5.6	11,100	86.7
Computer science	9,800	10,000	11,000	19,900	200	2.0	1,000	9.5	8,900	80.9
Physical science	6,000	6,200	5,800	9,500	100	3.3	-400	-5.9	3,700	63.8
Mathematics	4,200	4,000	3,900	6,600	-200	-4.8	-100	-3.7	2,700	69.2
Technology	3,000	3,100	2,900	5,200	0	3.3	-200	-5.5	2,300	79.3
Multidisciplinary studies	1,700	1,700	1,600	3,000	0	0.0	-100	-9.6	1,400	87.5
Foreign language	600	800	1,000	5,600	200	33.3	200	23.1	4,600	460.0

Exhibit reads: In 2006–07, there were 1,208,000 third- and fourth-year Pell Grant recipients in institutions with any SMART Grants, and that number increased by 6.7 percent to 1,289,000 in 2007–08.

† Not applicable.

[a] *Federal Register,* Vol. 71, No. 127, p. 37998.

[b] New eligible majors were added to life sciences and multidisciplinary studies for 2007–08 (see Appendix B). No new majors were added for 2008–09. In 2009–10, eligibility was expanded to include all foreign languages and students in their fifth year of a five-year program.

NOTE: Detail may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Exhibit 17. Percentage of eligible institutions awarding SMART Grants, by type of institution: 2006–07 through 2009–10

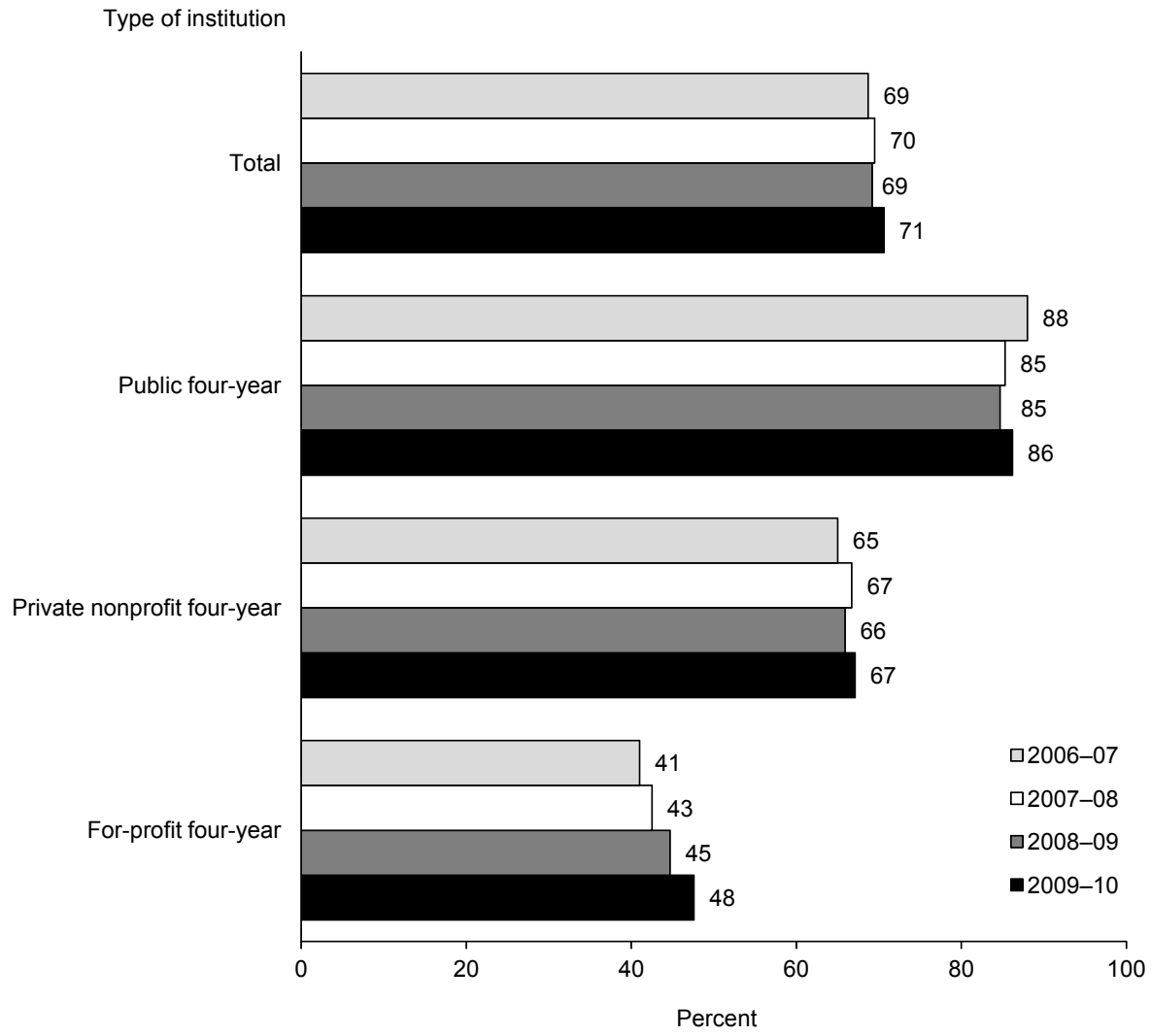

Exhibit reads: Overall, 69 percent of all eligible institutions awarded SMART Grants in 2006–07.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

The number of students receiving a National SMART Grant was relatively stable during the first three years of the program and then increased substantially, exceeding Pell Grant growth.

FIRST THREE YEARS

A total of 62,400 students received a National SMART Grant in 2006–07, fewer than the 80,000 predicted (Exhibit 16). As with the ACG program, the difficulty in accurately estimating the number of students who would be eligible and the start-up difficulties common with new programs both may have contributed to the lower-than-expected participation.

Over the next two years, the number of National SMART Grant awards did not keep pace with the increase in Pell Grant awards. In 2007–08, the number of National SMART Grant recipients increased by 5 percent to 65,400, which was less than the 7 percent increase in the number of Pell Grants awarded to third- and fourth-year students at National SMART Grant–participating institutions. Moreover, about 1,800 of the additional 3,000 National SMART Grants were awarded to students in newly eligible fields of study. In 2008–09, a total of 64,400 grants were awarded, a slight decline from the previous year, despite a 3 percent increase in the number of Pell Grant recipients.

FOURTH YEAR

In 2009–10, the number of National SMART Grants awarded increased by 79 percent to 115,200, much more than the 23 percent increase in third- and fourth-year Pell Grant recipients at institutions with any National SMART Grants. Some of the increase is obviously due to the increase in Pell Grants. However, if, the number of National SMART Grants had increased in tandem with Pell Grants (23 percent), the number of National SMART Grants in 2009–10 would have been 79,200, which is considerably fewer than the 115,200 awarded. Thus, other factors must have contributed to the growth.

In an analysis similar to that conducted for the ACG, the impact of expanding the program to include part-time students, eligible noncitizens, and fifth-year students was estimated to produce a 48 percent increase in the number of Pell Grant recipients who would have been eligible for a National SMART Grant.[23] Applying this increase to the 79,200 expected because of increases in Pell Grant awards produces an estimate of about 117,000 eligible recipients. This number represents several thousand more than the actual awards, which leads to the same conclusion reached regarding ACGs. That is, most of the observed increase in National SMART Grant awards may have been driven by the increase in Pell Grant awards together with the expanded eligibility criteria for the National SMART Grants. As with ACGs, however, the observed change is the net effect of the changes in the number of Pell Grant recipients, the expansion of the eligibility criteria, and other unknown factors not taken into account here.

[23] See Appendix G for more details.

Another contributor to the increase in 2009–10 would have been the expansion of eligible fields to include all foreign languages rather than only those considered critical to the national interest. A 23 percent increase in the 2008–09 number of foreign language awards to reflect the Pell Grant growth would produce an estimate of about 1,200 foreign language awards in 2009–10. The actual number was 5,600, suggesting that the expansion of eligible foreign languages may have contributed as many as 4,400 of the new grants.

About two-thirds of National SMART Grant recipients were at public institutions.

Students at public institutions received 77,800 National SMART Grants in 2009–10, which represented 68 percent of the total awarded. Another 26,900 (23 percent) went to students at private nonprofit institutions, and the remaining 10,476 (9 percent) went to students at for-profit institutions (Appendix Table E-2).

The percentage of Pell Grant recipients receiving a National SMART Grant increased.

In the first three years of the program, 5 percent of third- and fourth-year Pell Grant recipients received a National SMART Grant. In 2009–10, 7 percent did so. This increase coincided with expanded eligibility for the program.

The percentage of National SMART Grant recipients receiving the maximum $4,000 award declined after the first year.

As described in the discussion of ACG awards, a full award (exactly $4,000 for a National SMART Grant) means that the student enrolled for the entire academic year and had sufficient financial need to qualify for the full amount. Students would have received less if they attended for only one term (which would include those who graduated mid-year) or if their financial need was fully met with a Pell Grant and partial National SMART Grant. The latter might be more common for National SMART Grant recipients than ACG recipients because of the higher amount of the award.

In 2006–07, 59 percent of third-year and 62 percent of fourth-year National SMART Grant recipients received the full-year award of $4,000 (Exhibit 18). The percentage declined after that, which may be at least partly attributable to clarification of the requirement that students be enrolled in at least one course that meets the specific requirements of their National SMART Grant–eligible major each term they receive a grant. This clarification did not come until October 2007.[24] However, the percentage of ACG recipients receiving the full amount also declined, so this is not the only possible explanation. The decline for third-year students (to 47 percent) may reflect, in part, the new eligibility of part-time students.

[24]This clarification came in a Dear Colleague letter (GEN-07-07) issued in October 2007, which is available at: http://www.ifap.ed.gov/dpcletters/GEN0707.html.

Exhibit 18. Percentage of SMART Grants that were full awards: 2006–07 through 2009–10

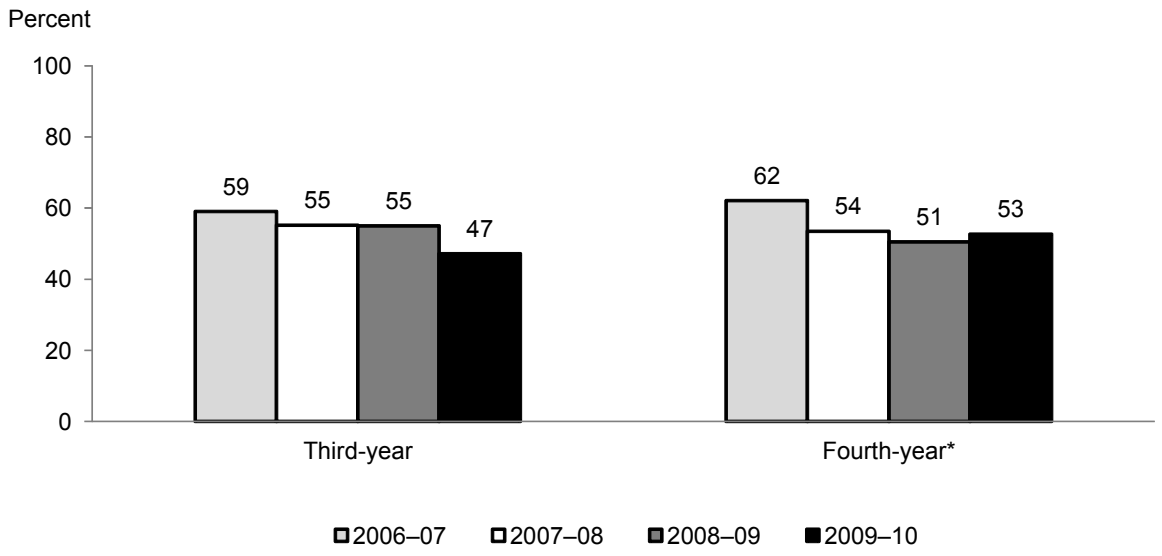

Exhibit reads: Among third-year SMART Grants in 2006–07, 59 percent were a full award.

* Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

For most institutions, the National SMART Grant program is small.

Institutions awarded an average of 44 National SMART Grant awards in each of the first three years of the program, increasing to 77 awards in 2009–10 (Exhibit 19). Consistent with the increase in the average number of awards, there was a shift in the distribution of institutions by the number of awards. The number of participating institutions awarding 10 or fewer awards dropped from 38 percent in the first year of the program to 27 percent in 2009–10. Nevertheless, even in 2009–10, more than 80 percent of all participating institutions still awarded 100 or fewer National SMART Grants.

In 2009–10, public four-year institutions awarded an average of 146 National SMART Grants (Appendix Table E-3). Private nonprofit four-year institutions awarded an average of 31 grants, and for-profit four-year colleges, an average of 97 grants. The corresponding numbers of grants awarded in 2008–09 were 80, 20, and 52 (U.S. Department of Education 2011b).

Exhibit 19. Percentage distribution of SMART Grant–participating institutions by the number of SMART Grants awarded and average number awarded: 2006–07 through 2009–10

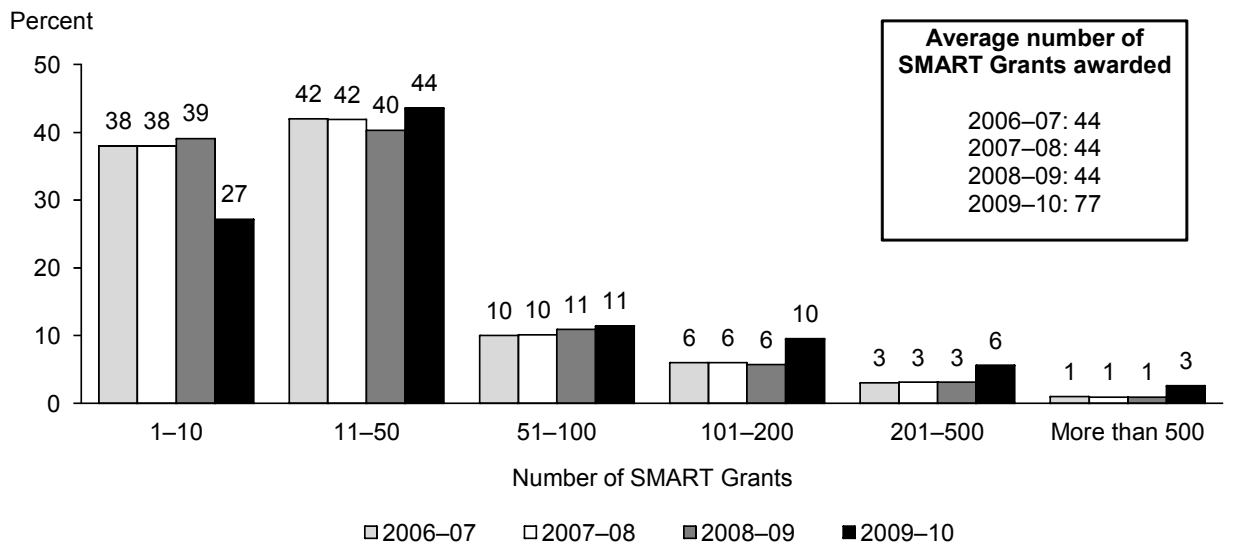

Exhibit reads: Among institutions participating in the SMART Grant program in 2006–07, 38 percent awarded 1–10 ACG grants.
NOTE: Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Dependent National SMART Grant recipients were overrepresented at the higher end of the family income distribution of Pell Grant recipients.

Like ACG recipients, dependent National SMART Grant recipients were overrepresented in each year of the program at the higher end of the family income distribution of Pell Grant recipients when compared with Pell Grant–only recipients. For example, among dependent students in 2009–10, 43 percent of National SMART Grant recipients came from families with incomes of $30,000 or more, compared with 40 percent of third- and fourth-year students who received Pell Grants only (Exhibit 20).

At the higher EFC levels, the average National SMART Grant amount was much larger than the average Pell Grant amount.

The size of the Pell Grant decreases as the Expected Family Contribution (EFC) increases, while the National SMART Grant amount is the same for all recipients, regardless of their EFC. Therefore, the National SMART Grant contributes proportionately more to the combined amount as EFC increases (Exhibit 21). Each year through 2008–09, the average National SMART Grant amount was larger than the average Pell Grant amount for students with an EFC of 1,000 or higher. Because of increases in the maximum Pell Grant, however, by 2009–10, the average National SMART Grant amount was larger only for students with an EFC of 2,000 or higher.

Exhibit 20. Percentage of dependent SMART Grant and Pell Grant–only recipients at SMART Grant–participating institutions who were from families with incomes of $30,000 or more: 2006–07 through 2009–10

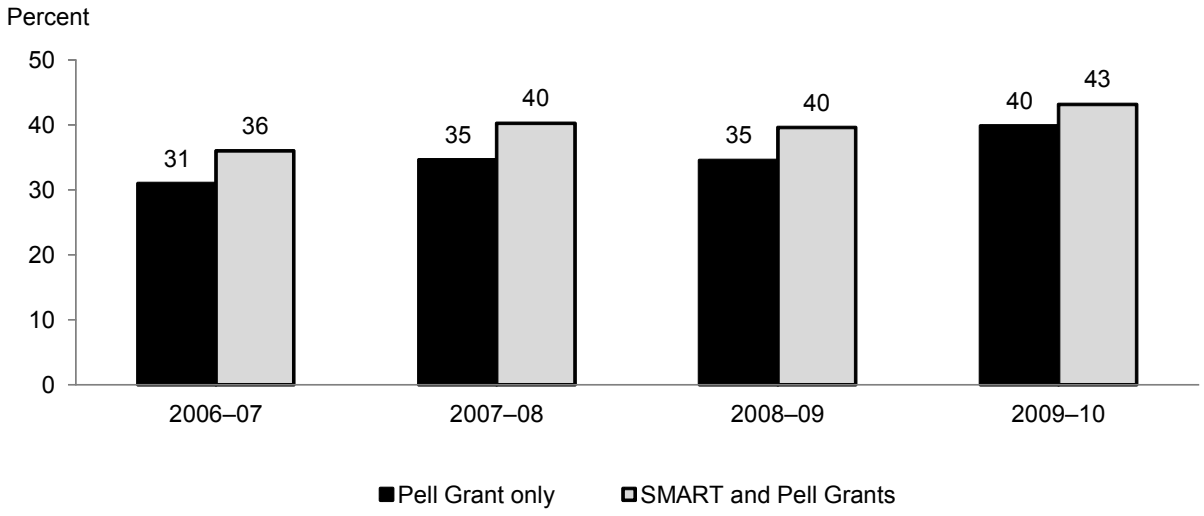

Exhibit reads: Among dependent Pell Grant recipients in 2006–07, 31 percent of those with a Pell Grant only and 36 percent of those with a SMART Grant were from families with incomes of $30,000 or more.
NOTE: Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Life science was the most common major of National SMART Grant recipients.

In 2009–10, about three-quarters of National SMART Grant recipients majored in one of three fields of study: life sciences (36 percent), engineering (21 percent), or computer science (17 percent) (Exhibit 22). Despite changes in the numbers of grants awarded, the distribution of awards across majors was similar across the years, with the notable exception of critical foreign languages. After all foreign language majors became eligible for a National SMART Grant starting in 2009–10, the proportion of awards going to students with those majors more than doubled over the previous year (5 vs. 2 percent). [25]

[25] The critical foreign languages category originally included primarily Asian and middle-eastern languages such as Chinese, Japanese, Korean, and Arabic (see Appendix B). When all languages became eligible, students majoring in European languages such as Spanish, French, and German could also receive grants.

Exhibit 21. Average Pell and SMART Grant amounts awarded to dependent SMART Grant recipients, by Expected Family Contribution (EFC): 2006–07 through 2009–10

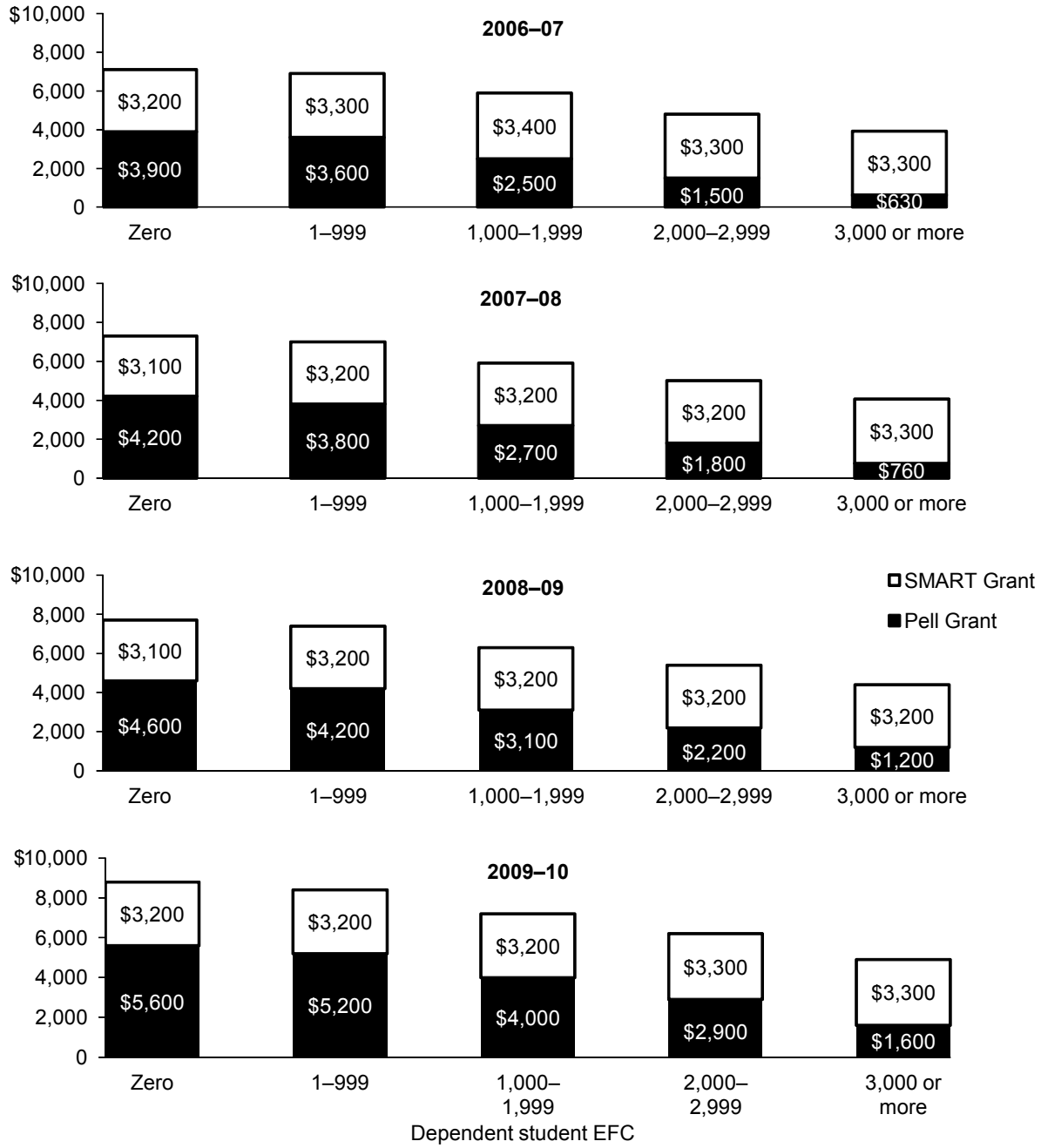

Exhibit reads: Among dependent SMART Grant recipients with a zero EFC in 2006–07, the average Pell Grant amount was $3,900, and the average SMART Grant amount was $3,200.

NOTE: The federal Expected Family Contribution (EFC) is a measure of a family's financial strength and indicates how much of a student's and family's financial resources (for dependent students) should be available to help pay for a student's education. The EFC is an index number used to determine the Pell Grant amount. The average family incomes corresponding to these EFC categories were $9,700, $19,700, $31,000, $36,000, and $39,900 in 2006–07 and increased each year.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Exhibit 22. Percentage distribution of SMART Grant recipients by field of study: 2006–07 through 2009–10

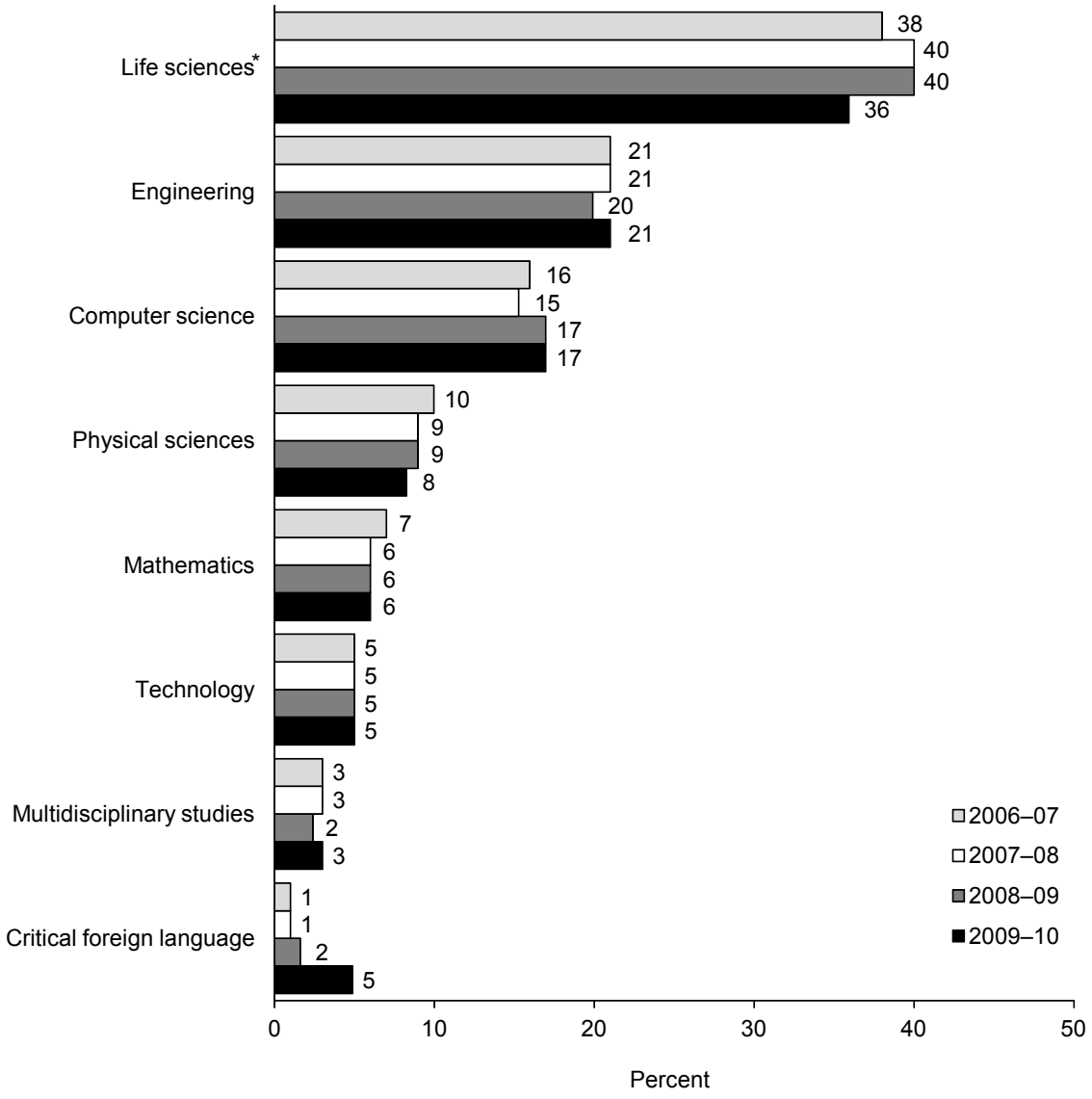

Exhibit reads: In 2006–07, 38 percent of all SMART Grants were awarded to students majoring in one of the life sciences.
* Life sciences includes biological and biomedical sciences, agriculture, natural resources and conservation, and psychology (physiological psychology and psychobiology only).
NOTE: Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

For-profit institutions awarded a growing proportion of the National SMART Grants in computer science and technology.

Public four-year institutions consistently awarded between 70 and 79 percent of the National SMART Grants in life sciences, engineering, physical sciences, and mathematics (Appendix Table E-13 and U.S. Department of Education 2009, 2010, 2011b). Private nonprofit four-year institutions awarded 44 percent of the grants for critical foreign languages in 2006–07, with that proportion increasing to 60 percent by 2008–09 (U.S. Department of Education 2009, 2010, 2011b). However, with the expansion of eligibility to include all foreign languages rather than a select list, the proportion of grants in this field going to private nonprofit four-year institutions declined to 38 percent in 2009–10 (Appendix Table E-13).

For-profit four-year institutions awarded relatively few National SMART Grants overall, accounting for just 9 percent of all recipients in 2009–10. Nevertheless, they awarded a growing percentage of the grants in computer science (increasing from 33 percent in 2006–07 to 43 percent in 2009–10) (Exhibit 23). In absolute numbers, they awarded more National SMART Grants in computer science (8,500) than did public four-year institutions (7,400) or private nonprofit four-year institutions (4,000) in 2009–10 (Appendix Table E-13).

Exhibit 23. Percentage distribution of SMART Grants in computer science by type of institution: 2006–07 through 2009–10

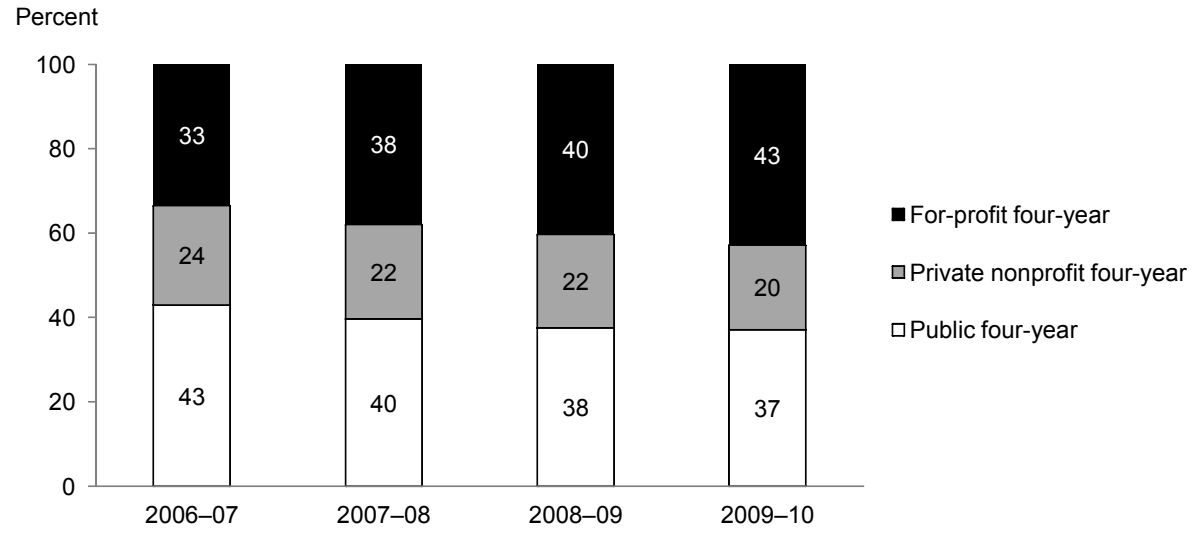

Exhibit reads: Among SMART Grant recipients majoring in computer science in 2006–07, 43 percent attended a public four-year institution, 24 percent attended a private nonprofit four-year institution, and 33 percent attended a for-profit four-year institution.
NOTE: Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

For-profit four-year institutions also awarded about 20 percent of the grants in technology fields each year through 2008–09 (U.S. Department of Education 2009, 2010, 2011b), with that proportion increasing to 23 percent in 2009–10 (Appendix Table E-13). Awards to students in computer science and technology together accounted for 93 percent of the National SMART Grants awarded at for-profit four-year institutions in 2009–10.

National SMART Grant participation rates varied widely by state, with no discernable patterns.

In 2009–10, the percentage of third- and fourth-year Pell Grant recipients at participating institutions who received a National SMART Grant ranged from a high of 16 percent in Utah to a low of 2 percent in Delaware (Exhibit 24). While one might expect the mix of offerings at institutions in a state to affect a state's National SMART Grant participation rate, a state-by-state comparison for the first year of the program showed no apparent relationship between the percentage of third- and fourth-year Pell Grant recipients awarded a National SMART Grant in a state and the percentage of bachelor's degrees awarded in eligible fields in that state (U.S. Department of Education 2009). State differences could reflect varying levels of diligence in administering the program or differing proportions of students meeting the other eligibility requirements. They could also reflect the quality of science education at the elementary and secondary school levels.

Exhibit 24. Number of third- and fourth-year students at SMART Grant–participating institutions with Pell Grants, number and percentage of Pell Grant recipients with SMART Grants, and change in percentage, by state of student's residence: 2006–07 through 2009–10

State	Number of third- and fourth-year students with Pell Grants 2009–10	Number of Pell Grant recipients with SMART Grants 2009–10	Percent of third- and fourth-year Pell Grant recipients with SMART Grants[a]				
			2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2009–10
Total	1,636,992	115,168	5.2	5.1	4.8	7.0	1.8
Utah	30,798	4,873	14.1	13.2	10.6	15.8	1.7
Idaho	14,231	1,591	9.2	3.5	9.0	11.2	2.0
Washington	22,961	2,483	8.4	8.1	7.8	10.8	2.4
Vermont	3,460	360	5.3	4.4	6.8	10.4	5.1
California	159,872	15,501	5.4	5.6	5.9	9.7	4.3
Massachusetts	25,558	2,419	7.1	5.5	7.5	9.5	2.4
Oregon	20,299	1,853	7.4	7.4	6.4	9.1	1.7
Puerto Rico	52207	4730	5.7	5.2	5.5	9.1	3.4
Florida	77,643	6,818	5.0	5.2	4.4	8.8	3.8
Minnesota	26,904	2,252	6.0	5.9	5.3	8.4	2.4
Colorado	25,422	2,050	6.7	7.4	6.0	8.1	1.4
Illinois	64,755	5,199	5.3	9.6	5.5	8.0	2.7
South Dakota	6,557	523	6.1	7.0	6.4	8.0	1.9
New Jersey	30,458	2,390	3.9	5.2	5.6	7.8	3.9
Maine	6,652	516	4.1	7.4	4.3	7.8	3.7
New Hampshire	4,604	356	7.3	4.4	5.5	7.7	0.4
Montana	5,831	442	7.0	7.3	5.3	7.6	0.6
Indiana	44,341	3,347	4.7	5.7	5.9	7.5	2.8
Nevada	5,719	430	5.0	4.9	5.1	7.5	2.5
Michigan	58,148	4,360	4.9	5.0	5.0	7.5	2.6
North Dakota	4,586	339	7.1	5.0	3.9	7.4	0.3
Pennsylvania	59,171	4,314	6.0	6.2	5.9	7.3	1.3
Maryland	18,763	1,330	4.4	4.3	4.6	7.1	2.7
New York	106,502	7,437	4.7	3.8	4.7	7.0	2.3
Alaska	1,878	129	3.7	3.4	5.0	6.9	3.2
Wisconsin	26,614	1,732	5.8	4.1	4.7	6.5	0.7
Rhode Island	6,656	425	3.6	3.2	3.9	6.4	2.8
Georgia	51,918	3,299	4.5	4.4	4.3	6.4	1.9
District of Columbia	11,129	694	1.9	3.2	1.9	6.2	4.3
South Carolina	20,474	1,239	4.4	4.5	4.0	6.1	1.7
Virginia	33,332	1,972	4.5	7.7	4.0	5.9	1.4
Ohio	55,273	3,260	4.3	3.9	3.8	5.9	1.6
Connecticut	10,321	608	4.8	4.2	4.3	5.9	1.1
Oklahoma	20,503	1,197	4.9	5.1	4.2	5.8	0.9
Hawaii	4,906	278	4.6	5.3	3.6	5.7	1.1
Wyoming	1,550	87	5.3	4.7	3.5	5.6	0.3
Missouri	34,490	1,871	4.5	3.1	3.9	5.4	0.9

Cont'd. next page. See notes at end of exhibit.

Exhibit 24. Number of third- and fourth-year students at SMART Grant–participating institutions with Pell Grants, number and percentage of Pell Grant recipients with SMART Grants, and change in percentage, by state of student's residence: 2006–07 through 2009–10—Continued

State	Number of third- and fourth-year students with Pell Grants 2009–10	Number of Pell Grant recipients with SMART Grants 2009–10	Percent of third- and fourth-year Pell Grant recipients with SMART Grants[a]				
			2006–07	2007–08	2008–09	2009–10	Change 2006–07 to 2009–10
Iowa	39,371	2,128	4.3	6.2	3.8	5.4	1.1
Kansas	16,603	894	4.9	5.3	4.2	5.4	0.5
Arizona	88,687	4,579	5.3	3.0	4.1	5.2	-0.1
Nebraska	9,642	494	4.4	3.8	4.5	5.1	0.7
Kentucky	22,432	1,067	4.4	4.1	4.0	4.8	0.4
North Carolina	44,370	2,102	4.1	5.5	3.7	4.7	0.6
Tennessee	31,700	1,468	4.3	4.1	3.6	4.6	0.3
Texas	111,546	5,132	3.6	3.5	3.4	4.6	1.0
Louisiana	21,350	931	4.2	3.6	3.3	4.4	0.2
New Mexico	13,140	564	4.6	3.9	3.2	4.3	-0.3
Alabama	29,518	1,231	4.4	5.4	3.4	4.2	-0.2
West Virginia	12,818	483	4.8	5.6	4.1	3.8	-1.0
Arkansas	16,851	609	3.5	4.3	2.7	3.6	0.1
Mississippi	20,300	692	3.0	4.4	3.1	3.4	0.4
Delaware	3,112	68	2.9	2.1	2.7	2.2	-0.7
All others[b]	1,066	22	0.6	4.7	2.2	2.1	1.5

Exhibit reads: Among third- and fourth-year students at SMART–Grant participating institutions in 2008–09, a total of 1,636,992 had a Pell Grant, and 115,168 (or 7.0 percent) had a SMART Grant.

[a] Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).

[b] Including all other U.S. jurisdictions except Puerto Rico (i.e., American Samoa, the Federated States of Micronesia, Guam, the Marshall Islands, the Northern Marianas, Palau, and the Virgin Islands). Also included are ACG-eligible students with unknown state of residence.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

National SMART Grant Renewals

More than one-half of third-year students who received a National SMART Grant received another one the following year.

To receive a National SMART Grant in their fourth year, third-year recipients have to re-qualify for a Pell Grant; enroll in an eligible major full-time (or part-time starting in 2009–10) and take courses meeting requirements for that major each term in which the grant is received; and maintain a cumulative 3.0 GPA in course work required for their major. Fifty-seven percent of third-year students who received a National SMART Grant in 2006–07 had their grants renewed the following year (Exhibit 25). Among the next two cohorts of third-year students, 54 and 58 percent, respectively, had their grants renewed.

Exhibit 25. Percentage distribution of 2006–07, 2007–08, and 2008–09 third-year SMART Grant recipients by SMART and Pell Grant receipt status the following year

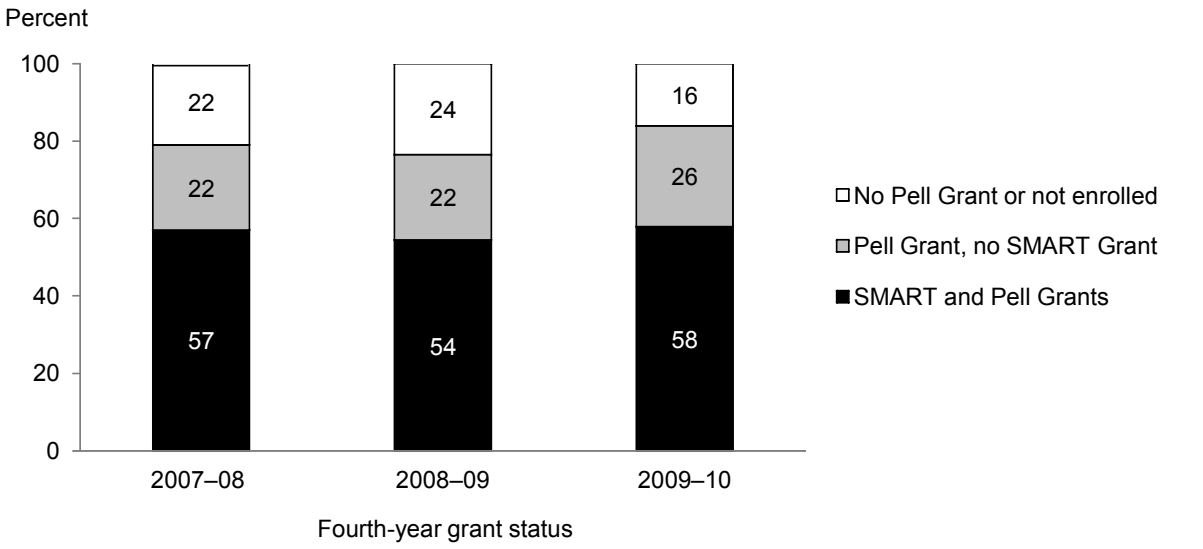

Exhibit reads: Among third-year SMART Grant recipients in 2006–07, 57 percent received another SMART and Pell Grant in 2007–08; 22 percent received another Pell Grant but not a SMART Grant; and 22 percent received no Pell Grant or were not enrolled.
NOTE: Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

The National SMART Grant renewal rates were substantially higher than the ACG renewal rates, which have ranged from 24 to 27 percent (Exhibit 13). However, it is not surprising that students who have successfully reached their third year with a 3.0 GPA would meet the renewal requirements more easily than first-year ACG students.

Some third-year National SMART Grant students (22 percent for the first two cohorts and 26 percent for the third) did not qualify for a National SMART Grant renewal in their fourth year, but they did receive a Pell Grant (Exhibit 25). This means that they did not meet the GPA requirement; were not enrolled full-time (except in 2009–10, when part-time students were eligible); changed their major to an ineligible one; or were not taking at least one course to meet the requirements of their major. The remaining students were either not enrolled or no longer qualified for a Pell Grant. The decline of this percentage in 2009–10 (16 percent compared with 22 percent for the first cohort and 24 percent for the second) reflects, in part, the greater proportion of students eligible for Pell Grants (Exhibit 4).

Private nonprofit institutions had the highest renewal rates for National SMART Grants until most recently.

Among the first two cohorts (third-year students receiving National SMART Grants in 2006–07 and in 2007–08), grant recipients at private nonprofit institutions had the highest renewal rates: 60 and 59 percent versus 57 and 55 percent for public institutions, and 43 and 41 percent for for-profit institutions (Exhibit 26). However, among third-year recipients in 2008–09, renewals at public and private nonprofit institutions were about the same (59 and 58 percent, respectively).

Exhibit 26. Percentage of 2006–07, 2007–08, and 2008–09 third-year SMART Grant recipients who received a SMART Grant the following year, by type of institution

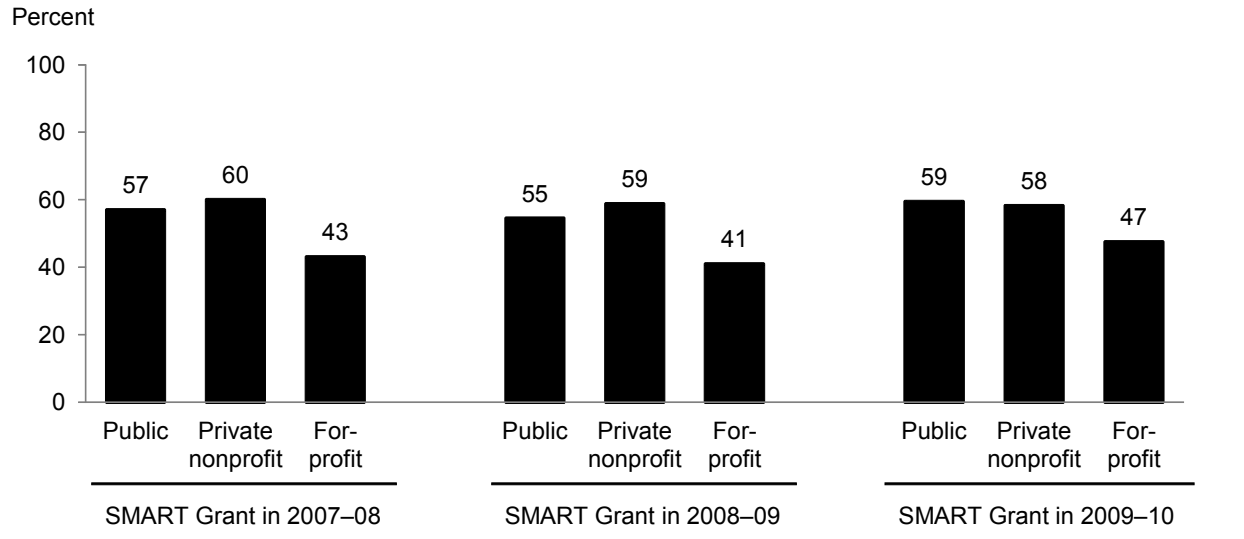

Exhibit reads: Among third-year SMART Grant recipients at public institutions in 2006–07, 57 percent received another SMART Grant in 2007–08.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

National SMART Grant renewal rates were relatively stable across fields of study.

National SMART Grant renewal rates fluctuated in most fields, sometimes increasing and sometimes decreasing. They ranged between 50 and 60 percent in most fields (Exhibit 27). They declined slightly each year for students majoring in life sciences (from 59 to 52 percent) and in foreign languages (from 66 to 60 percent). The expansion of eligibility to include all foreign languages rather than "critical" ones did not occur until 2009–10 and therefore had no impact on this pattern. In computer science and technology, renewal rates were once below 50 percent, but in the most recent year, they were 54 and 59 percent, respectively. As noted earlier, an increasing proportion of the awards in these fields are going to students from for-profit institutions.

Exhibit 27. Percentage of 2006–07, 2007–08, and 2008–09 third-year SMART Grant recipients who received a SMART Grant the following year, by field of study

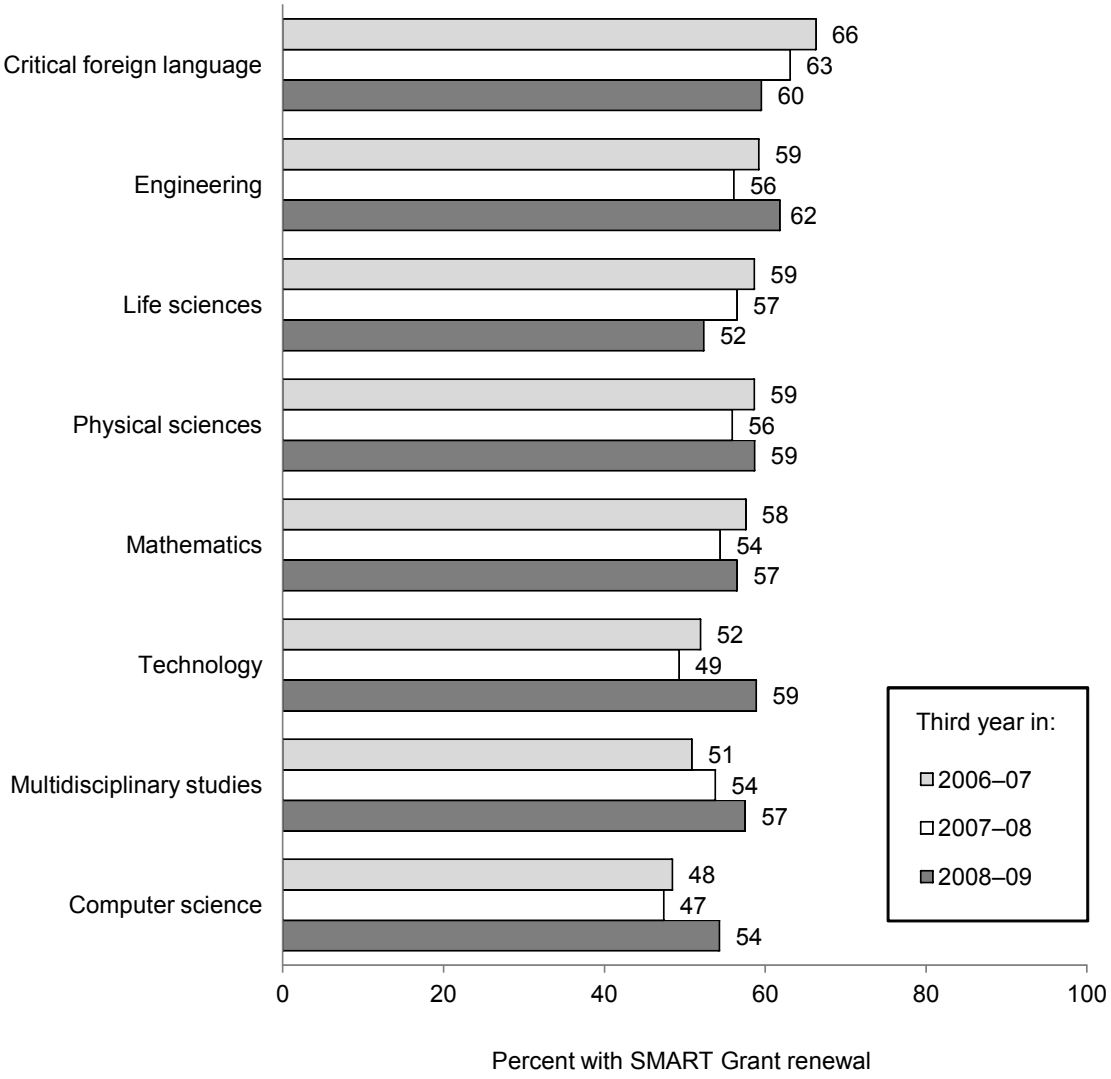

Exhibit reads: Among SMART Grant recipients majoring in a critical foreign language in 2006–07, 66 percent received another SMART Grant in 2007–08.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

Pell Grant Renewals for National SMART Grant Versus Pell Grant–Only Recipients

As was done in Chapter 3 for ACG recipients, the Pell Grant renewal rates of National SMART Grant recipients were compared with those of Pell Grant–only recipients to get a rough measure of persistence. As noted earlier, these rates are underestimates of true persistence because they do not capture students who left because they graduated or enrolled the following year but lost Pell Grant eligibility and therefore did not appear in the Pell Grant award file.

Based on Pell Grant renewal rates, third-year National SMART Grant recipients persisted at a higher rate than their peers with only a Pell Grant.

Each year, the Pell Grant renewal rates for third-year students who had also qualified for a National SMART Grant were higher than those of their counterparts who had received a Pell Grant only (Exhibit 28). For example, among the most recent cohort of third-year Pell Grant recipients (2008–09), 75 percent of those who had received Pell Grants only received another Pell Grant in the next year. In comparison, 83 percent of their counterparts who had also qualified for a National SMART Grant received another Pell Grant the next year. These renewal rates were higher than for the two previous cohorts, reflecting the growth in the number of Pell Grant recipients in 2009–10 (Exhibit 4). Because more students were receiving Pell Grants, more were found in the file the following year.

The additional financial support provided by the National SMART Grants may contribute to the observed higher persistence rates for the recipients of these grants. However, other factors may be equally or even more important. Particularly, National SMART Grant recipients are among the most academically qualified Pell Grant recipients and therefore would be expected to persist at higher rates than students who did not meet the academic qualifications for the grant.

Exhibit 28. Percentage of 2006–07, 2007–08, and 2008–09 Pell Grant–only and SMART Grant recipients who received a Pell Grant the following year

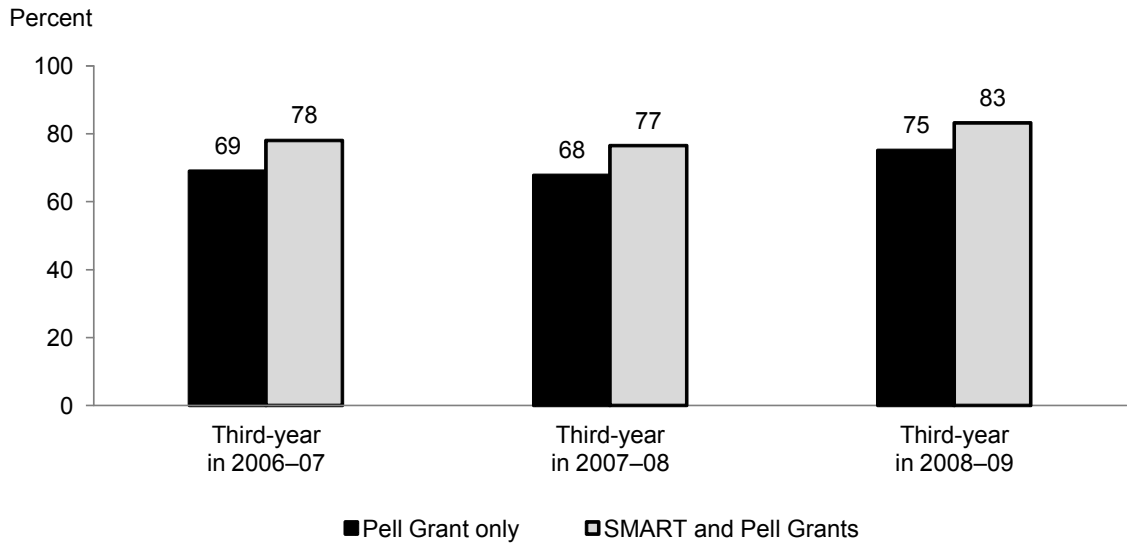

Exhibit reads: Among third-year students in 2006–07 who received a Pell Grant only, 69 percent received another Pell Grant in 2007–08, and among those who received a SMART Grant in 2006–07, 78 percent received another Pell Grant in 2007–08 (whether or not they received another SMART Grant).
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0607 (Sept. 21, 2007), AY0708 (Nov. 25, 2008), AY0809 (Feb. 17, 2010), and AY0910 (Feb. 10, 2011).

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CHAPTER 5

Lessons Learned

Implementation

Both the ACG and the National SMART Grant programs were relatively small programs that required simultaneous confirmation of academic eligibility and of financial eligibility for a Pell Grant. The appropriate award of both grants required student aid offices to have information about grades and curricula for each student. Many postsecondary institutions, particularly open-access colleges, did not have a method in place for verifying these nonfinancial eligibility requirements when the programs started. High school counselors and college academic advisors did not initially have information about either program that would allow them to help potential applicants anticipate how to apply for the awards. Longer lead times for federal programs that require new processes would allow institutions and states to clarify requirements, establish processes that complement the regulations, disseminate information to the appropriate offices and agencies, and request clarification from the U.S. Department of Education. Programs such as these, which operate differently than most Title IV programs, take more time to launch than do those programs that represent variations on existing processes.

Participation

Although the number of ACG and National SMART Grants increased over time, the percentages of Pell Grant recipients who qualified for an ACG or National SMART Grant remained relatively low (between 10 and 12 percent for the ACG and between 5 and 7 percent for the National SMART Grant). As a result, institutions had to implement and administer two new grant programs for relatively small numbers of students. Many students lost their awards the following year because of their inability to meet the academic requirements for renewal. While all recipients were from low-income families, both ACGs and National SMART Grants were more likely to be received by students from families at the higher end of the Pell Grant–eligible group.

Analysis of both the national and state data showed that ACG and National SMART Grant recipients were more likely to persist into their second academic year than were Pell Grant–only recipients. Given that these programs largely served students who were already academically focused or interested in National SMART Grant–approved majors, it may be that these higher persistence rates were a function of academic preparedness rather than, or as well as, ACG or National SMART Grant receipt.

Given that high school students graduating in spring 2007 and spring 2008 did not have time to anticipate the receipt of an ACG at the time of the study, it is not plausible that the grant had a direct influence on their selection of high school courses or their efforts to achieve a 3.0 grade point average (GPA). The small number of National SMART Grant recipients and the limited data available restrict the generalizations that can be made about the influence of the grant on selection of major.

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APPENDIX A

Recognized Rigorous High School Programs

To be eligible for an Academic Competitiveness Grant (ACG), a student must have completed a rigorous high school program of study after Jan. 1, 2006, if enrolled as a first-year student and after Jan. 1, 2005, if enrolled as a second-year student. The secretary of education provided three options (described below) and also accepted all existing state-established advanced and honors diploma programs as "rigorous." States could request recognition of other programs, and for the first year of the ACG program, the secretary approved at least one advanced, honors, or other program in 40 states, and more than one program in 22 states.

Effective July 1, 2009, the secretary no longer recognizes new rigorous secondary school programs of study. Starting with the 2009–10 award year, designated state officials report to the secretary the rigorous secondary school programs of study that prepare students for college in their state, including such programs of study in home schools and private schools.[26]

In every state, students potentially had at least two ways to meet the rigorous high school curriculum: completing the course work specified by the U.S. Department of Education or passing two Advanced Placement (AP) or International Baccalaureate (IB) courses with sufficiently high scores (assuming their schools offered all the required courses and that they had access to AP or IB courses). Students in states participating in the State Scholars Initiative (SSI) had a third option, and those in states with approved state programs had at least one additional option and sometimes several.

1. Participating in the State Scholars Initiative (SSI). The SSI was a national initiative funded by the Department's Office of Vocational and Adult Education (OVAE) and administered by the Western Interstate Commission for Higher Education (WICHE), ending in September 2009. The SSI was designed to motivate high school students to complete a rigorous course of study that prepared them for success in postsecondary education or training and in their future careers.[27] It was offered in selected districts in 22 states in 2006–07 and in 24 states in 2007–08 and 2008–09. Since then, State Scholars programs continue to operate independently in 14 states. To achieve recognition, students in participating states must complete all state-mandated high school graduation requirements and also the following course work: four years of English; three years of mathematics (including algebra I, algebra II, and geometry); three years of laboratory science

[26] A description of the recognized programs in each state is available at: http://www.ed.gov/admins/finaid/about/ac-smart/state-programs.html.

[27] More information on this initiative is available at: http://www.wiche.edu/statescholars/.

(biology, chemistry, and physics); three and a half years of social studies (chosen from U.S. and world history, world geography, economics, and government); and two years of a language other than English.

2. Completing a curriculum similar to the State Scholars Initiative (SSI). This option is available to high school students in all states and within each state to students attending high schools that offer the courses. The requirements are slightly less demanding than those of the SSI, with more flexibility in meeting the mathematics, science, and social studies requirements and a reduced language requirement. To qualify under this option, students must earn passing grades in the following: four years of English; three years of mathematics (including algebra I and a higher-level course such as algebra II, geometry, or data analysis and statistics); three years of science (including at least two courses chosen from biology, chemistry, or physics); three years of social studies; and one year of a language other than English.

3. Completing at least two Advanced Placement (AP) or International Baccalaureate (IB) courses. Students are required to pass these two courses with a score of 3.0 or higher (out of 5.0) on the AP exams or 4.0 or higher (out of 7.0) on the IB exams. This option is available to students in all states but not necessarily in all schools. In 2002–03, 67 percent of public high schools offered AP courses, and 2 percent offered IB courses (Waits, Setzer, and Lewis 2005). However, students can take AP courses through independent study (or online in some states).[28]

4. Completing an existing advanced, honors, or other approved program. In most cases, the approved programs were unique to a state. Some of the state programs were based solely on completing specific courses, while others had additional or different requirements.[29]

Seven states were approved to use the *High Schools That Work (HSTW)* Award of Educational Achievement. To earn this award, students must complete the curriculum recommended by *High Schools That Work (HSTW)* initiative in at least two of the three subject areas (English, mathematics, and science); complete a concentration in a career and technical field, mathematics and science, or the humanities; and meet all three of the performance goals on the HSTW assessment.

The recommended curriculum consists of the following:

English: four credits in college-preparatory level courses.

[28] Available at: http://www.collegeboard.com.
[29] These included, for example, passing a state or local assessment test, achieving a minimum GPA or score on a PSAT, SAT, or ACT test, completing AP or IB courses or exams or dual-enrollment courses, or completing a senior project.

Mathematics: four credits in college-preparatory level courses, including algebra I, geometry, algebra II, and a higher-level mathematics course such as trigonometry, statistics, pre-calculus, calculus, or AP mathematics.

Science: three or more credits in science, including at least two credits in college-preparatory biology, chemistry, anatomy and physiology, or physics and applied physics.

The concentrations consist of the following:

Career and Technical: four or more credits in a coherent sequence in a career and technical field or major.

Mathematics and Science: four college-preparatory courses each in mathematics and science. At least one higher-level course in either mathematics or science must be at the AP level.

Humanities: four college-preparatory courses each in English or language arts and social studies and four courses in an area of the humanities, such as foreign language, fine arts, or additional English and social studies courses. At least one course in either English or social studies must be at the AP level.

Performance Goals:

The performance goals on the *HSTW* assessment are a score of 279 in reading, a score of 297 in mathematics, and a score of 299 in science on a scale of 0–500.

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APPENDIX B

National SMART Grant–Eligible Majors

Prior to the implementation of the National Science and Mathematics Access to Retain Talent (SMART) Grant program, the secretary of education designated the eligible fields of study. This list was expanded for 2007–08 to include additional fields of study in Agriculture, Natural Resources and Conservation, Psychology, and Multidisciplinary Studies. Fields added for 2007–08 are shown below in bolded italics. There were no changes for 2008–09. For the 2009–10 award year, the list of eligible foreign languages was expanded from a limited number to all foreign languages.

Computer Science: The branch of knowledge or study of computers, including such fields of knowledge or study as computer hardware, computer software, computer engineering, information systems, and robotics.
Associated NCES CIP CODES: 11.xxxx

Engineering: The science by which the properties of matter and the sources of energy in nature are made useful to humanity in structures, machines, and products, as in the construction of engines, bridges, buildings, mines, and chemical plants, including such fields of knowledge or study as aeronautical engineering, chemical engineering, civil engineering, electrical engineering, industrial engineering, materials engineering, manufacturing engineering, and mechanical engineering.
Associated NCES CIP CODES: 14.xxxx

Foreign Language: Instructional programs that focus on foreign languages and literatures, the humanistic and scientific study of linguistics, and the provision of professional interpretation and translation services.
Associated NCES CIP CODES: 16.xxxx

Life Sciences: The branch of knowledge or study of living things, including such fields of knowledge or study as biology, biochemistry, biophysics, microbiology, genetics, physiology, botany, zoology, ecology, and behavioral biology, except that the term does not encompass the health professions. This category also includes agriculture, agricultural operations, and related sciences.
Associated NCES CIP CODES: 26.xxxx; 01.xxxx

Natural Resources and Conservation: Instructional programs that focus on the various natural resources and conservation fields and prepare individuals for related occupations.
Associated NCES CIP CODES: 03.xxxx

Psychology: Instructional programs that focus on the scientific study of the behavior of individuals, independently or collectively, and the physical and environmental bases of mental, emotional, and neurological activity.
Associated NCES CIP CODES: 42.xxxx

Mathematics: The branch of knowledge or study of numbers and the systematic treatment of magnitude, relationships between figures and forms, and relations between quantities expressed symbolically, including such fields of knowledge or study as statistics, applied mathematics, and operations research.
Associated NCES CIP CODES: 27.xxxx

Physical Sciences: The branch of knowledge or study of the material universe, including such fields of knowledge or study as astronomy, atmospheric sciences, chemistry, earth sciences, ocean sciences, physics, and planetary sciences.
Associated NCES CIP CODES: 40.xxxx

Technology: The application of mechanical or scientific knowledge, for example, applied science.
Related NCES CIP CODES: 41.xxxx; 29.xxxx; 15.xxxx

Several **Multidisciplinary Studies** are also considered eligible for National SMART Grants.
Associated NCES CIP CODES: 30.xxxx

Computer Science

11.01 Computer and Information Sciences, General
- 11.0101 Computer and Information Sciences, General
- 11.0102 Artificial Intelligence and Robotics
- 11.0103 Information Technology
- 11.0199 Computer and Information Sciences, Other

11.02 Computer Programming
- 11.0201 Computer Programming/Programmer, General
- 11.0202 Computer Programming, Specific Applications
- 11.0203 Computer Programming, Vendor/Product Certification
- 11.0299 Computer Programming, Other

11.03 Data Processing
- 11.0301 Data Processing and Data Processing Technology/Technician

11.04 Information Science/Studies
- 11.0401 Information Science/Studies

11.05 Computer Systems Analysis
- 11.0501 Computer Systems Analysis/Analyst

11.07 Computer Science
- 11.0701 Computer Science

11.08 Computer Software and Media Applications
- 11.0801 Web Page, Digital/Multimedia and Information Resources Design
- 11.0802 Data Modeling/Warehousing and Database Administration
- 11.0803 Computer Graphics
- 11.0899 Computer Software and Media Applications, Other

11.09 Computer Systems Networking and Telecommunications
- 11.0901 Computer Systems Networking and Telecommunications

11.10 Computer/Information Technology Administration and Management
- 11.1001 System Administration/Administrator
- 11.1002 System, Networking, and LAN/WAN Management/Manager
- 11.1003 Computer and Information Systems Security
- 11.1004 Web/Multimedia Management and Webmaster
- 11.1099 Computer/Information Technology Services Administration and Management, Other

11.99 Computer and Information Sciences and Support Services, Other
- 11.9999 Computer and Information Sciences and Support Services, Other

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Engineering

14.01 Engineering, General
- 14.0101 Engineering, General

14.02 Aerospace, Aeronautical and Astronautical Engineering
- 14.0201 Aerospace, Aeronautical and Astronautical Engineering

14.03 Agricultural/Biological Engineering and Bioengineering
- 14.0301 Agricultural/Biological Engineering and Bioengineering

14.04 Architectural Engineering
- 14.0401 Architectural Engineering

14.05 Biomedical/Medical Engineering
- 14.0501 Biomedical/Medical Engineering

14.06 Ceramic Sciences and Engineering
- 14.0601 Ceramic Sciences and Engineering

14.07 Chemical Engineering
- 14.0701 Chemical Engineering

14.08 Civil Engineering
- 14.0801 Civil Engineering, General
- 14.0802 Geotechnical Engineering
- 14.0803 Structural Engineering
- 14.0804 Transportation and Highway Engineering
- 14.0805 Water Resources Engineering
- 14.0899 Civil Engineering, Other

14.09 Computer Engineering, General
- 14.0901 Computer Engineering, General
- 14.0902 Computer Hardware Engineering
- 14.0903 Computer Software Engineering
- 14.0999 Computer Engineering, Other

14.10 Electrical, Electronics and Communications Engineering
- 14.1001 Electrical, Electronics and Communications Engineering

14.11 Engineering Mechanics
- 14.1101 Engineering Mechanics

14.12 Engineering Physics
- 14.1201 Engineering Physics

14.13 Engineering Science
- 14.1301 Engineering Science

14.14 Environmental/Environmental Health Engineering
- 14.1401 Environmental/Environmental Health Engineering

14.18 Materials Engineering
- 14.1801 Materials Engineering

14.19 Mechanical Engineering
- 14.1901 Mechanical Engineering

14.20 Metallurgical Engineering
- 14.2001 Metallurgical Engineering

14.21 Mining and Mineral Engineering
- 14.2101 Mining and Mineral Engineering

14.22 Naval Architecture and Marine Engineering
- 14.2201 Naval Architecture and Marine Engineering

14.23 Nuclear Engineering
- 14.2301 Nuclear Engineering

14.24 Ocean Engineering
- 14.2401 Ocean Engineering

14.25 Petroleum Engineering
- 14.2501 Petroleum Engineering

14.27 Systems Engineering
- 14.2701 Systems Engineering

14.28 Textile Sciences and Engineering
- 14.2801 Textile Sciences and Engineering

14.31 Materials Science
- 14.3101 Materials Science

14.32 Polymer/Plastics Engineering
- 14.3201 Polymer/Plastics Engineering

14.33 Construction Engineering
- 14.3301 Construction Engineering

14.34 Forest Engineering
- 14.3401 Forest Engineering

14.35 Industrial Engineering
- 14.3501 Industrial Engineering

14.36 Manufacturing Engineering
- 14.3601 Manufacturing Engineering

14.37 Operations Research
- 14.3701 Operations Research

14.38 Surveying Engineering
- 14.3801 Surveying Engineering

14.39 Geological/Geophysical Engineering
- 14.3901 Geological/Geophysical Engineering

14.99 Engineering, Other
- 14.9999 Engineering, Other

Critical Foreign Language

Below is the original list. It was expanded for 2009–10 to include all 16.xx codes except American Sign Language (16.16xx) and Linguistic, Comparative, and Related Language Studies and Services (16.01xx)

- 16.0201 African Languages, Literatures, and Linguistics
- 16.0301 Chinese Language and Literature
- 16.0302 Japanese Language and Literature
- 16.0303 Korean Language and Literature
- 16.0402 Russian Language and Literature
- 16.0701 Hindi Language and Literature
- 16.0704 Bengali Language and Literature
- 16.0705 Punjabi Language and Literature
- 16.0707 Urdu Language and Literature
- 16.0801 Iranian/Persian Languages, Literatures, and Linguistics
- 16.0904 Portuguese Language and Literature
- 16.1101 Arabic Language and Literature
- 16.1102 Hebrew Language and Literature
- 16.1402 Bahasa Indonesian/Bahasa Malay Languages and Literatures
- 16.1404 Filipino/Tagalog Language and Literature
- 16.1501 Turkish Language and Literature
- 16.1599 Turkic, Ural-Altaic, Caucasian, and Central Asian Languages, Literatures, and Linguistics, Other

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Life Sciences

26. BIOLOGICAL AND BIOMEDICAL SCIENCES

26.01 Biology, General
- 26.0101 Biology/Biological Sciences, General
- 26.0102 Biomedical Sciences, General

26.02 Biochemistry, Biophysics and Molecular Biology
- 26.0202 Biochemistry
- 26.0203 Biophysics
- 26.0204 Molecular Biology
- 26.0205 Molecular Biochemistry
- 26.0206 Molecular Biophysics
- 26.0207 Structural Biology
- 26.0208 Photobiology
- 26.0209 Radiation Biology/Radiobiology

- 26.0210 Biochemistry/Biophysics and Molecular Biology
- 26.0299 Biochemistry, Biophysics and Molecular Biology, Other

26.03 Botany/Plant Biology
- 26.0301 Botany/Plant Biology
- 26.0305 Plant Pathology/Phytopathology
- 26.0307 Plant Physiology
- 26.0308 Plant Molecular Biology
- 26.0399 Botany/Plant Biology, Other

26.04 Cell/Cellular Biology and Anatomical Sciences
- 26.0401 Cell/Cellular Biology and Histology
- 26.0403 Anatomy
- 26.0404 Developmental Biology and Embryology
- 26.0405 Neuroanatomy
- 26.0406 Cell/Cellular and Molecular Biology
- 26.0407 Cell Biology and Anatomy
- 26.0499 Cell/Cellular Biology and Anatomical Sciences, Other

26.05 Microbiological Sciences and Immunology
- 26.0502 Microbiology, General
- 26.0503 Medical Microbiology and Bacteriology
- 26.0504 Virology
- 26.0505 Parasitology
- 26.0506 Mycology
- 26.0507 Immunology
- 26.0599 Microbiological Sciences and Immunology, Other

26.07 Zoology/Animal Biology
- 26.0701 Zoology/Animal Biology
- 26.0702 Entomology
- 26.0707 Animal Physiology
- 26.0708 Animal Behavior and Ethology
- 26.0709 Wildlife Biology
- 26.0799 Zoology/Animal Biology, Other

26.08 Genetics
- 26.0801 Genetics, General
- 26.0802 Molecular Genetics
- 26.0803 Microbial and Eukaryotic Genetics
- 26.0804 Animal Genetics
- 26.0805 Plant Genetics
- 26.0806 Human/Medical Genetics
- 26.0899 Genetics, Other

26.09 Physiology, Pathology and Related Sciences
- 26.0901 Physiology, General
- 26.0902 Molecular Physiology
- 26.0903 Cell Physiology
- 26.0904 Endocrinology
- 26.0905 Reproductive Biology
- 26.0906 Neurobiology and Neurophysiology
- 26.0907 Cardiovascular Science
- 26.0908 Exercise Physiology
- 26.0909 Vision Science/Physiological Optics
- 26.0910 Pathology/Experimental Pathology
- 26.0911 Oncology and Cancer Biology
- 26.0999 Physiology, Pathology, and Related Sciences, Other

26.10 Pharmacology and Toxicology
- 26.1001 Pharmacology
- 26.1002 Molecular Pharmacology
- 26.1003 Neuropharmacology
- 26.1004 Toxicology
- 26.1005 Molecular Toxicology
- 26.1006 Environmental Toxicology
- 26.1007 Pharmacology and Toxicology
- 26.1099 Pharmacology and Toxicology, Other

26.11 Biomathematics and Bioinformatics
- 26.1101 Biometry/Biometrics
- 26.1102 Biostatistics
- 26.1103 Bioinformatics
- 26.1199 Biomathematics and Bioinformatics, Other

26.12 Biotechnology
- 26.1201 Biotechnology

26.13 Ecology, Evolution, Systematics and Population Biology
- 26.1301 Ecology
- 26.1302 Marine Biology and Biological Oceanography
- 26.1303 Evolutionary Biology
- 26.1304 Aquatic Biology/Limnology
- 26.1305 Environmental Biology
- 26.1306 Population Biology
- 26.1307 Conservation Biology
- 26.1308 Systematic Biology/Biological Systematics
- 26.1309 Epidemiology
- 26.1399 Ecology, Evolution, Systematics and Population Biology, Other

26.99 Biological and Biomedical Sciences, Other
- 26.9999 Biological and Biomedical Sciences, Other

01. AGRICULTURE, AGRICULTURE OPERATIONS, AND RELATED SCIENCES

01.09 Animal Sciences
- 01.0901 Animal Sciences, General
- 01.0902 Agricultural Animal Breeding
- 01.0903 Animal Health
- 01.0904 Animal Nutrition
- 01.0905 Dairy Science
- 01.0906 Livestock Management
- 01.0907 Poultry Science
- 01.0999 Animal Sciences, Other

01.10 Food Science and Technology (2007–08)
- ***01.1001 Food Science***
- ***01.1002 Food Technology and Processing***

01.11 Plant Sciences
- 01.1101 Plant Sciences, General
- 01.1102 Agronomy and Crop Science
- 01.1103 Horticultural Science
- 01.1104 Agricultural and Horticultural Plant Breeding
- 01.1105 Plant Protection and Integrated Pest Management

01.1106 Range Science and Management
01.1199 Plant Sciences, Other

01.12 Soil Sciences
01.1201 Soil Science and Agronomy, General
01.1202 Soil Chemistry and Physics
01.1203 Soil Microbiology
01.1299 Soil Sciences, Other

Natural Resources and Conservation (2007–08)

03. NATURAL RESOURCES AND CONSERVATION

03.01 Natural Resources and Conservation Research
03.0104 Environmental Science

03.03 Fishing and Fisheries Sciences and Management
03.0301 Fishing and Fisheries Science and Management

03.05 Forestry
03.0502 Forest Sciences and Biology
03.0509 Wood Science and Wood Products/Pulp and Paper Technology

03.06 Wildlife and Wildlands Science and Management
03.0601 Wildlife and Wildlands Science and Management

Psychology (2007–08)

42. PSYCHOLOGY

42.11 Physiological Psychology/Psychobiology
42.1101 Physiological Psychology/Psychobiology

Mathematics

27.01 Mathematics
27.0101 Mathematics, General
27.0102 Algebra and Number Theory
27.0103 Analysis and Functional Analysis
27.0104 Geometry/Geometric Analysis
27.0105 Topology and Foundations
27.0199 Mathematics, Other

27.03 Applied Mathematics
27.0301 Applied Mathematics
27.0303 Computational Mathematics
27.0399 Applied Mathematics, Other

27.05 Statistics
27.0501 Statistics, General
27.0502 Mathematical Statistics and Probability
27.0599 Statistics, Other

27.99 Mathematics and Statistics, Other
27.9999 Mathematics and Statistics, Other

Physical Sciences

40.01 Physical Sciences
40.0101 Physical Sciences

40.02 Astronomy and Astrophysics
40.0201 Astronomy
40.0202 Astrophysics
40.0203 Planetary Astronomy and Science
40.0299 Astronomy and Astrophysics, Other

40.04 Atmospheric Sciences and Meteorology
40.0401 Atmospheric Sciences and Meteorology, General
40.0402 Atmospheric Chemistry and Climatology
40.0403 Atmospheric Physics and Dynamics
40.0404 Meteorology
40.0499 Atmospheric Sciences and Meteorology, Other

40.05 Chemistry
40.0501 Chemistry, General
40.0502 Analytical Chemistry
40.0503 Inorganic Chemistry
40.0504 Organic Chemistry
40.0506 Physical and Theoretical Chemistry
40.0507 Polymer Chemistry
40.0508 Chemical Physics

40.0599 Chemistry, Other

40.06 Geological and Earth Sciences/Geosciences
- 40.0601 Geology/Earth Science, General
- 40.0602 Geochemistry
- 40.0603 Geophysics and Seismology
- 40.0604 Paleontology
- 40.0605 Hydrology and Water Resources Science
- 40.0606 Geochemistry and Petrology
- 40.0607 Oceanography, Chemical and Physical
- 40.0699 Geological and Earth Sciences/Geosciences, Other

40.08 Physics
- 40.0801 Physics, General
- 40.0802 Atomic/Molecular Physics
- 40.0804 Elementary Particle Physics
- 40.0805 Plasma and High-Temperature Physics
- 40.0806 Nuclear Physics
- 40.0807 Optics/Optical Sciences
- 40.0808 Solid State and Low-Temperature Physics
- 40.0809 Acoustics
- 40.0810 Theoretical and Mathematical Physics
- 40.0899 Physics, Other

40.99 Physical Sciences, Other
- 40.9999 Physical Sciences, Other

Technology

15. ENGINEERING TECHNOLOGIES/TECHNICIANS

15.00 Engineering Technology, General
- 15.0000 Engineering Technology, General

15.01 Architectural Engineering Technologies/Technicians
- 15.0101 Architectural Engineering Technology/Technician

15.02 Civil Engineering Technologies/Technicians
- 15.0201 Civil Engineering Technology/Technician

15.03 Electrical Engineering Technologies/Technicians
- 15.0303 Electrical, Electronic and Communications Engineering Technology/Technician
- 15.0304 Laser and Optical Technology/Technician
- 15.0305 Telecommunications Technology/Technician
- 15.0399 Electrical and Electronic Engineering Technologies/Technicians, Other

15.04 Electromechanical Instrumentation and Maintenance Technologies/Technicians
- 15.0401 Biomedical Technology/Technician
- 15.0403 Electromechanical Technology/ Electromechanical Engineering Technology
- 15.0404 Instrumentation Technology/Technician
- 15.0405 Robotics Technology/Technician
- 15.0499 Electromechanical and Instrumentation and Maintenance Technologies/Technicians, Other

15.05 Environmental Control Technologies/Technicians
- 15.0503 Energy Management and Systems Technology/Technician
- 15.0505 Solar Energy Technology/Technician
- 15.0506 Water Quality and Wastewater Treatment Management and Recycling Technology/Technician
- 15.0507 Environmental Engineering Technology/ Environmental Technology
- 15.0508 Hazardous Materials Management and Waste Technology/Technician
- 15.0599 Environmental Control Technologies/Technicians, Other

15.06 Industrial Production Technologies/Technicians
- 15.0607 Plastics Engineering Technology/Technician
- 15.0611 Metallurgical Technology/Technician
- 15.0612 Industrial Technology/Technician
- 15.0613 Manufacturing Technology/Technician
- 15.0699 Industrial Production Technologies/Technicians, Other

15.07 Quality Control and Safety Technologies/Technicians
- 15.0701 Occupational Safety and Health Technology/Technician
- 15.0702 Quality Control Technology/Technician
- 15.0703 Industrial Safety Technology/Technician
- 15.0704 Hazardous Materials Information Systems Technology/Technician
- 15.0799 Quality Control and Safety Technologies/ Technicians, Other

15.08 Mechanical Engineering Related Technologies/Technicians
- 15.0801 Aeronautical/Aerospace Engineering Technology/Technician
- 15.0803 Automotive Engineering Technology/Technician
- 15.0805 Mechanical Engineering/Mechanical Technology/Technician
- 15.0899 Mechanical Engineering Related Technologies/Technicians, Other

15.09 Mining and Petroleum Technologies/Technicians
- 15.0901 Mining Technology/Technician
- 15.0903 Petroleum Technology/Technician
- 15.0999 Mining and Petroleum Technologies/Technicians, Other

15.10 Construction Engineering Technologies
- 15.1001 Construction Engineering Technology/ Technician

15.11 Engineering-Related Technologies
- 15.1102 Surveying Technology/Surveying
- 15.1103 Hydraulics and Fluid Power Technology/ Technician
- 15.1199 Engineering-Related Technologies, Other

15.12 Computer Engineering Technologies/Technicians
- 15.1201 Computer Engineering Technology/ Technician
- 15.1202 Computer Technology/Computer Systems Technology
- 15.1203 Computer Hardware Technology/Technician
- 15.1204 Computer Software Technology/Technician
- 15.1299 Computer Engineering Technologies/ Technicians, Other

15.13 Drafting/Design Engineering Technologies/Technicians
- 15.1301 Drafting and Design Technology/Technician, General
- 15.1302 CAD/CADD Drafting and/or Design Technology/Technician
- 15.1303 Architectural Drafting and Architectural CAD/CADD
- 15.1304 Civil Drafting and Civil Engineering CAD/CADD
- 15.1305 Electrical/Electronics Drafting and Electrical/Electronics CAD/CADD
- 15.1306 Mechanical Drafting and Mechanical Drafting CAD/CADD
- 15.1399 Drafting/Design Engineering Technologies/Technicians, Other

15.14 Nuclear Engineering Technologies/Technicians
- 15.1401 Nuclear Engineering Technology/Technician

15.15 Engineering-Related Fields
- 15.1501 Engineering/Industrial Management

15.99 Engineering Technologies/Technicians, Other
- 15.9999 Engineering Technologies/Technicians, Other

29. MILITARY TECHNOLOGIES

29.01 Military Technologies
- 29.0101 Military Technologies

41. SCIENCE TECHNOLOGIES/TECHNICIANS

41.01 Biology Technician/Biotechnology Laboratory Technician
- 41.0101 Biology Technician/Biotechnology Laboratory Technician

41.02 Nuclear and Industrial Radiologic Technologies/Technicians
- 41.0204 Industrial Radiologic Technology/Technician
- 41.0205 Nuclear/Nuclear Power Technology/Technician
- 41.0299 Nuclear and Industrial Radiologic Technologies/Technicians, Other

41.03 Physical Science Technologies/Technicians
- 41.0301 Chemical Technology/Technician
- 41.0399 Physical Science Technologies/Technicians, Other

41.99 Science Technologies/Technicians, Other
- 41.9999 Science Technologies/Technicians, Other

Multidisciplinary Studies

30. MULTI/INTERDISCIPLINARY STUDIES

30.01 Biological and Physical Sciences
- 30.0101 Biological and Physical Sciences

30.06 Systems Science and Theory
- 30.0601 Systems Science and Theory

30.08 Mathematics and Computer Science
- 30.0801 Mathematics and Computer Science

30.10 Biopsychology (2007–08)
- ***30.1001 Biopsychology***

30.15 Science, Technology and Society
- 30.1501 Science, Technology, and Society

30.16 Accounting and Computer Science
- 30.1601 Accounting and Computer Science

30.18 Natural Sciences
- 30.1801 Natural Sciences

30.19 Nutrition Sciences (2007–08)
- ***30.1901 Nutrition Sciences***

30.24 Neuroscience
- 30.2401 Neuroscience

30.25 Cognitive Science
- 30.2501 Cognitive Science

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APPENDIX C

History of the ACG and National SMART Grant Programs

Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
Feb. 1, 2006 Effective as of July 1, 2006, for the 2006–07 academic year	Congress passes the *Higher Education Reconciliation Act of 2005 (HERA)* as part of the *Deficit Reduction Act of 2005*. http://www.govtrack.us/congress/billtext.xpd?bill=s109-1932	An eligible student may receive an Academic Competitiveness Grant (ACG) of up to $750 for the first academic year of study and up to $1,300 for the second academic year of study. To be eligible for each academic year, a student must: • Be a U.S. citizen; • Be a Federal Pell Grant recipient; • Be enrolled full-time in a degree program; • Be enrolled in the first or second academic year of his or her program of study at a two-year or four-year degree-granting institution; • Have completed a rigorous secondary school program of study established by a state or local education agency and recognized as such by the secretary (after Jan. 1, 2006, if a first-year student, and after Jan. 1, 2005, if a second-year student); • If a first-year student, not have been previously enrolled in an undergraduate program; and • If a second-year student, have at least a cumulative 3.0 grade point average for the first academic year. An eligible student may receive a National Science and Mathematics Access to Retain Talent (National SMART) Grant of up to $4,000 for each of the third and fourth academic years of study. To be eligible for each academic year, a student must: • Be a U.S. citizen; • Be a Federal Pell Grant recipient; • Be enrolled full-time in a degree program; • Be enrolled in a four-year degree-granting institution; • Major in physical, life or computer science, engineering, mathematics, technology, or a critical foreign language; and • Have at least a cumulative 3.0 grade point average in course work required for the major. Sunset provision: The authority to make grants under this section shall expire at the end of academic year 2010–11.

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
Feb. 8, 2006	President Bush signs *Deficit Reduction Act of 2005/HERA* into law. http://www.govtrack.us/congress/billtext.xpd?bill=s109-1932	Improving federal student loan programs and increasing benefits to students. The *Deficit Reduction Act* cuts excess government subsidies to lenders and makes other reforms that will help reduce overall student loan costs by about $22 billion. This will save taxpayers $12 billion and increase student aid by $10 billion.
March 10, 2006	Dear Colleague Letter (GEN-06-02) from the assistant secretary for postsecondary education and the chief operating officer for Federal Student Aid explaining changes to the *Higher Education Act (HEA)* Title IV loan programs. http://ifap.ed.gov/dpcletters/GEN0602.html	The Department explains the effects of the *HEA* on the federal loan programs: the William D. Ford Federal Direct Loan Program, the Federal Perkins Loan Program, and the Federal Family Education Loan (FFEL) Program.
March 14, 2006	Dear Colleague Letter (GEN-06-03) issued as a correction to GEN-06-02. http://ifap.ed.gov/dpcletters/GEN0603.html	Corrects loan limits on page 7 of the GEN-06-02 attachment.
April 5, 2006	Dear Colleague Letter (GEN-06-04) from the assistant secretary for postsecondary education and the chief operating officer for Federal Student Aid on ACG and National SMART Grant programs. http://www.ifap.ed.gov/dpcletters/GEN0604.html	The Department explains the process for administering grants to institutions of higher education through a letter posted on the Department's website.
April 27, 2006	Dear Colleague Letter (GEN-06-05) from the assistant secretary for postsecondary education and the chief operating officer for Federal Student Aid on changes made by the *HERA*. http://www.ifap.ed.gov/dpcletters/attachments/GEN0605.pdf	The Department explains that *HERA* amends the definition of an "academic year" to require a minimum of 30 hours of instructional time for a program that measures its length in credit hours or a minimum of 24 weeks of instruction for a program that measures its length in clock hours, and for an undergraduate program at least 24 semester or trimester hours (or 36 quarter hours) for a course that measures time in credit hours, or 900 clock hours for a course of study that measures its program length in clock hours.
May 2006	Fact Sheet on student eligibility options. http://www.ed.gov/about/inits/ed/competitiveness/ac-smart.html	
May 2, 2006	Press Release—The Department of Education Announces Student Eligibility Options for New Academic Grants. http://www.ed.gov/news/pressreleases/2006/05/05022006.html	

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
May 2, 2006	Dear Colleague Letter (GEN-06-06) from the Office of Postsecondary Education and Federal Student Aid providing the list of academic majors eligible for the National SMART Grants for the 2006–07 award year. http://www.ifap.ed.gov/dpcletters/GEN0606.html	The Department announces guidelines on how students will qualify as having successfully completed a rigorous secondary school program of study. This letter provides the list of the instructional programs that qualify as eligible majors, including critical foreign language majors, for the National SMART Grant program. These fields of study qualify as eligible majors for the National SMART Grant program to the extent that a student is enrolled in a bachelor's degree or a graduate degree program that includes at least three academic years of undergraduate education.
May 2, 2006	Dear Colleague Letter (GEN-06-08) from Secretary Spellings describing plans for implementation. http://www.ifap.ed.gov/dpcletters/GEN0608.html	Secretary Spellings outlines the initial eligibility requirements for ACGs and National SMART Grants and the Department's options for meeting the "rigorous curriculum" requirement in 2006–07, including recognizing all existing Advanced or Honors diploma programs, the State Scholars Initiative (SSI), a set of courses similar to the SSI, and an Advanced Placement (AP) or International Baccalaureate (IB) course and test option.
May 24, 2006	Guidance on dual enrollment questions.	In establishing the ACG program, Congress restricted eligibility for students to receive a first-year ACG to a student who "has not been previously enrolled in a program of undergraduate education." See §401A(c)(3)(A)(ii) of the *HEA*. This restriction does not apply when a student enrolled in one or more college-level undergraduate courses while still in high school, as long as the student was not admitted into a formal program of study at the postsecondary education institution.
June 1, 2006	Deadline for states to establish and submit to the secretary of education an alternate rigorous secondary school program of study for recognition in the 2006–07 academic year.	
June 20, 2006	Dear Colleague Letter (GEN-06-10) from Secretary Spellings on implementation guidance related to *HERA* changes. http://www.ifap.ed.gov/dpcletters/-attachments/GEN0610.pdf	As processing of the 2006–07 Free Application for Federal Student Aid (FAFSA) began in January 2006, forms, systems, and processes at the Department and Institutions did not account for 2006–07 changes to *HERA*. Therefore, additional guidance is issued (e.g., re: increased maximum Adjusted Gross Income for an applicant to be eligible for an auto-zero Estimated Family Contribution [EFC]).

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
June 21, 2006	Press Release—Secretary Spellings announces July 1 availability of $790 million in new grants for higher education. http://www.ed.gov/news/pressreleases/2006/06/06212006.html	
June 29, 2006	Department posts information online for students reviewing the eligibility requirements for the ACG and National SMART Grant programs. http://www.ed.gov/about/inits/ed/competitiveness/ac-smart2.html	
Late June 2006	States, colleges, and students will receive notice of programs that have been recognized as rigorous for grant purposes by the secretary of education for the 2006–07 academic year.	
July 1, 2006	Beginning July 1, 2006, potentially eligible students are notified via email and regular mail that they should submit additional information to the Department to determine their ACG eligibility.	
July 3, 2006 Effective Aug. 2, 2006, for the 2006–07 academic year.	Interim Final Regulations are posted in the *Federal Register* (Vol. 71, No. 127) and comments are requested on or before Aug. 17, 2006. http://www.ed.gov/legislation/FedRegister/proprule/2006-3/070306a.html	The secretary amends Title 34 to establish regulations for the ACG and National SMART Grant programs. The ACG and National SMART Grant programs specify the eligibility requirements for a student to apply for and receive an award under these programs for the 2006–07 award year. These Interim Final Regulations also identify the roles of institutions of higher education (institutions), state education agencies (SEAs), and local education agencies (LEAs) in administering the programs. [These Interim Final Regulations will be effective for the 2006–07 award year. The secretary is, however, soliciting comments on all aspects of these Interim Final Regulations and may, for the 2007–08 award year, amend and finalize them as appropriate in response to comments received. For regulations that would take effect for the 2008–09 award year and subsequent award years, the secretary intends to conduct negotiated rulemaking, as required under Section 492 of the *HEA*.] The ACG and National SMART Grant program Interim Final Regulations duplicate those of the Federal Pell Grant program to the extent practicable given the similar nature of these programs. Like the Federal Pell Grant program, the ACG and National SMART Grant programs provide for direct grants from the federal government to students to assist in paying their college

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		expenses. In addition, a student must be receiving a Federal Pell Grant to be eligible for an ACG or National SMART Grant. The secretary will be administering the ACG and National SMART Grant programs using the same delivery system that the secretary uses for the Federal Pell Grant program. The secretary expects that this coordination of administrative requirements will assist participating institutions in administering these programs, reduce the amount of additional institutional administrative burden and paperwork, and simplify the process for students to apply for assistance under these programs.
July 3, 2006–Aug. 17, 2006	Comments received from institutions and other organizations.	
Aug. 18, 2006	Announcement in *Federal Register* (Vol. 71, No. 160) of negotiated rulemaking sessions on the changes to the *HEA* and nominations of speakers solicited on or before Nov. 9, 2006. Announcement of four regional hearings to be held in fall 2006 to help determine an agenda for the upcoming sessions. http://www.ed.gov/legislation/FedRegister/proprule/2006-3/081806a.html	
Aug. 25, 2006	Dear Colleague Letter (GEN-06-15) from Acting Asst. Secretary Manning, Office of Postsecondary Education, on revised list of eligible academic majors. http://www.ifap.ed.gov/dpcletters/Gen0615.html	Revised the list of eligible academic majors previously provided (GEN-06-06) to include certain majors that were inadvertently omitted.
Fall 2006	Institutions of higher education will verify student eligibility using records of high school performance. Student aid will be disbursed.	
Sept. 19, 2006–Nov. 8, 2006	Regional hearings on upcoming agenda for negotiated rulemaking sessions for revised regulations for the 2008–09 award year.	

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
Oct. 20, 2006	Dear Colleague Letter (GEN-06-18) from the acting assistant secretary for postsecondary education providing guidance to institutions concerning implementation of the "academic year" definition within the ACG and National SMART Grant programs for the 2006–07 and 2007–08 award years. http://www.ifap.ed.gov/dpcletters/GEN0618.html	The Department offered two approaches to determine "academic year," assuming that there were 30 weeks of instructional time for each increment of credit hours that makes up the institution's Title IV academic year (e.g., 24 credit hours equals 30 weeks of instruction, or 30 credit hours equals 30 weeks of instruction), OR determine the actual number of weeks of instruction by reviewing the student's record to see how many weeks it took the student to complete the credit hours earned (subtracting credits for AP or IB course work, testing out, life experience). Also addressed fourth-year students who had exceeded four times the number of academic credits in an academic program that required more than that for completion.
Nov. 1, 2006	Deadline for states to establish and submit to the secretary of education additional rigorous secondary school programs of study for recognition in the 2007–08 academic year.	
Nov. 1, 2006 Effective 2007–08 award year	Final Regulations published in the *Federal Register* (Vol. 71, No. 211) with responses to the 80 comments received between July 3, 2006 and Aug. 17, 2006. http://www.ed.gov/legislation/FedRegister/finrule/2006-4/110106a.html	Revisions to regulations, developed through the analysis of comments received on the Interim Final Regulations published on July 3, 2006. The secretary invited comments on the interim Final Regulations and received 80 comments. The ACG regulations respond to the growing number of states and local education agencies that are trying to increase students' access to rigorous classes in high school. The package includes a new provision that allows state and local education agencies to submit rigorous curriculum for approval beyond the following year. Other provisions clarify how to account for Advanced Placement (AP), International Baccalaureate (IB) and dual enrollment credits, and how to determine GPAs for students who attend schools or institutions that do not issue numeric or letter grades. The National SMART Grant regulations include a new provision explaining how an institution can submit petitions to have additional majors included as National SMART Grant–eligible majors. Other provisions clarify the existing regulations that require National SMART recipients to be enrolled in and making progress toward a National SMART Grant–eligible major.
Jan. 2007	States receive notice of rigorous secondary school programs of study that have been recognized by the secretary of education for the 2007–08 academic year.	

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions

Feb. 5–7, 2007	ACG/National SMART Negotiated Rulemaking, First Session.
	http://www.ed.gov/policy/highered/reg/hearulemaking/2007/acg.html
		Negotiators discussed:
		• Rigorous secondary school programs;
		• Mandatory institutional participation;
		• Eligibility of certificate programs for ACGs;
		• Requirement that Pell Grants and ACGs/National SMART Grants be dispersed at the same institution when awarded within the same term;
		• Grade point average;
		  • Transfer students
		  • Course work
		  • Timing of calculation
		  • Eligibility for disbursement
		• Interpretation of previously enrolled students for eligibility;
		  • College credits earned in high school
		  • Treatment of AP/IB courses and credits
		• Majors;
		  • Additional majors and CIP codes
		  • Institutional flexibility in determining majors
		• Clarifying successful completion of rigorous secondary school program of study; and
		• Departmental monitoring disbursements of awards.

March 5–7, 2007	ACG/National SMART Negotiated Rulemaking, Second Session. http://www.ed.gov/policy/highered/reg/hearulemaking/2007/acg.html	Negotiators discussed: • Recognition of rigorous secondary school programs; • Mandatory participation by postsecondary institutions; • Eligibility of certificate programs for ACGs; • Requirement that Federal Pell Grants and ACGs or National SMART Grants be disbursed at the same institution; • Grade Point Average (GPA)—transfer students; • GPA—course work, timing of calculation, and eligibility for disbursement; • Academic year progression;

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
		• Interpreting prior enrollment—dual-enrollment and early college programs; • Eligible majors and CIP codes expansion; • Institutional flexibility in determining timing of student declaration of eligible major; and • Completion of a Rigorous Secondary School Program of Study.
April 16–18, 2007	ACG/National SMART Negotiated Rulemaking, Third Session.	
Regularly updated	Information for students and parents. http://www.ed.gov/about/offices/list/ope/ac-smart-families.html	Provides overview of the programs, outlines eligibility requirements, and lists options for meeting the rigorous curriculum requirement.
Aug. 7, 2007	Notice of Proposed Rulemaking (NPRM) for the ACG and National SMART Grant programs in the *Federal Register* (Vol. 72, No. 151). http://www.ed.gov/legislation/FedRegister/proprule/2007-3/080707a.html	The secretary proposed to amend the regulations for the ACG and National SMART Grant programs. The secretary amended these regulations to reduce administrative burden for program participants and to clarify program requirements.
Sept. 6, 2007	Comments on NPRM due to the Department.	
Sept. 24, 2007	Dear Colleague letter (GEN-07-06) from the assistant secretary for postsecondary education, providing a revised list of eligible majors for the 2007–08 academic year. http://www.ifap.ed.gov/dpcletters/GEN0706.html	Additional eligible majors include Food Science, Food Technology and Processing, Environmental Science, Fishing and Fisheries Sciences and Management, Forest Sciences and Biology, Wood Science and Wood Products/Pulp and Paper Technology, Wildlife and Wildlands Science and Management, Biopsychology, Nutrition Sciences, and Physiological Psychology/Psychobiology.
Oct. 9, 2007	Dear Colleague letter (GEN-07-06) from the assistant secretary for postsecondary education, on course enrollment requirements for payment in the National SMART Grant program. http://www.ifap.ed.gov/dpcletters/GEN0707.html	An otherwise eligible student can receive a National SMART Grant for a payment period only if the student is enrolled in at least one course that meets the specific requirements of the student's National SMART Grant-eligible major.

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
Oct. 26, 2007	Press release announcing ACG/National SMART Grant data results from the 2006–07 academic year: http://www.ed.gov/news/pressreleases/2007/10/10262007.html Office of Postsecondary Education, Year 1 results by state: http://www.ed.gov/programs/smart/performance.html	The secretary announced the first-year national data results from the ACGs and National SMART Grants. Results show that in the first year, $233,038,410 in ACGs were awarded to 299,089 students nationwide, and $195,544,735 in National SMART Grants were awarded to 60,976 students. Also announced was the goal to double the number of students receiving ACGs and National SMART Grants by 2010–11 and to continue to work with states, colleges, and high schools to raise awareness about ACGs and National SMART Grants.
Oct. 29, 2007 Effective July 1, 2008 [Institutions that administer the ACG and National SMART Grant programs may, at their discretion, choose to implement these Final Regulations in their entirety, or by section, on or after Nov. 1, 2007.]	Final Regulations published in *Federal Register* (Vol. 72, No. 208). http://www.ed.gov/legislation/FedRegister/finrule/2007-4/102907a.html	The secretary amends the regulations for the ACG and National SMART Grant programs to reduce administrative burden for program participants and to clarify program requirements.
Feb. 6, 2008	Dear Colleague letter (GEN-08-02) from the assistant secretary for postsecondary education, on the process for adding eligible majors for 2008–09.	Explains the process by which postsecondary institutions can request additional majors to be included on the list of eligible majors for the National SMART Grant program for the 2008–09 award year.
April 17, 2008	H.R. 5715: *Ensuring Continued Access to Student Loans Act of 2008 (ECASLA)* passed by House of Representatives. http://thomas.loc.gov	
April 30, 2008	*ECASLA* passed by Senate. http://thomas.loc.gov	
May 7, 2008 Effective Jan. 1, 2009	*ECASLA* signed into law by President Bush. http://thomas.loc.gov	• Strikes reference to “academic year” in current law that ties first-, second-, third-, and fourth-year eligibility for, as applicable, ACGs and National SMART Grants to the student's academic year standing. • Removes the stipulation that ACG- and National SMART Grant–eligible students must be U.S. citizens and applies the same citizenship criteria as for the Federal Pell Grant program (permitting certain eligible noncitizens to qualify).

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
		• Authorizes ACG and National SMART Grant eligibility for students enrolled no less than half-time and provides for a ratable reduction in the award for a student attending less than full-time in the same manner as for Pell Grant–eligible students who attend on less than a full-time basis. • Authorizes ACG eligibility for students attending a postsecondary certificate program that is no less than one year in length, or no less than two years in length, at a two- or four-year degree-granting institution. • Authorizes an additional $4,000 National SMART Grant award for the fifth year of a baccalaureate degree program in one of the requisite majors that requires students to complete a full five years of course work. • Directs all surplus funds from the programs back into the ACG/National SMART Grant programs.
June 19, 2008	Dear Colleague Letter (GEN-08-09) from the principal deputy assistant secretary, Office of Postsecondary Education, summarizing *ECASLA*.	
June 20, 2008	Dear Colleague letter (GEN-08-09) from the principal deputy assistant secretary, on the list of eligible majors for 2008–09.	The list of eligible academic majors as published in Dear Colleague letter GEN-07-06 carry over unchanged to the 2008–09 award year.
Aug. 1, 2008	The Department's Office of Inspector General publishes its *Audit of the Department's Process for Disbursing Academic Competitiveness Grants and National Science and Mathematics Access to Retain Talent Grants.* http://www.ed.gov/about/offices/list/oig/auditreports/fy2008/a19h0011.pdf	
Aug. 14, 2008	H.R. 4137: *The Higher Education Opportunity Act of 2008 (HEOA)* enacted and reauthorized the *HEA* of 1965.	• Changes the effective date for all program-related revisions made in H.R. 5715 from Jan. 1, 2009, to July 1, 2009. • States given increased control over defining rigorous secondary school programs of study.

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
Jan. 19, 2009	The Department of Education releases the *Academic Competitiveness and National SMART Grant Programs: First-Year Lessons Learned* report. http://www.ed.gov/rschstat/eval/highered/acsmartyear1/index.html	
March 25, 2009	The Government Accountability Office releases its *Recent Changes to Eligibility Requirements and Additional Efforts to Promote Awareness Could Increase Academic Competitiveness and SMART Grant Participation* report. http://www.gao.gov/products/GAO-09-343	
March 26, 2009	Dear Colleague letter (GEN-09-03) from the acting assistant secretary on the process of adding eligible majors for 2009–10 National SMART Grants.	Explains the process by which postsecondary institutions can request additional majors or add a liberal arts curriculum to the list of eligible majors for the National SMART Grant program for the 2009–10 award year.
May 1, 2009	Interim Final Rules are posted in the *Federal Register*. Comments are requested by June 1, 2009. http://edocket.access.gpo.gov/2009/pdf/E9-10094.pdf	
May 12, 2009	The Department's Office of Postsecondary Education releases its *Academic Competitiveness Grant and National SMART Grant Programs End-of-Year Report* for the 2007–08 academic year. http://www.ed.gov/finaid/prof/resources/data/pell-2007-08/ac-smart-eoy-07-08.pdf	
June 1, 2009	Comments on Interim Final Rules due to the Department. Two stakeholder organizations responded.	
June 30, 2009	Correction to Interim Final Rules published in the *Federal Register*.	
July 7, 2009	Dear Colleague letter (GEN-09-09) from the acting assistant secretary on the list of eligible majors for 2009–10.	The list of eligible academic majors and two liberal arts curricula newly designated for National SMART Grant eligibility in the 2009–10 award year.
Nov. 23, 2009	Publication of the Final Regulations in the *Federal Register* (Vol. 74, No. 224).	Implements H.R. 5715 (see May 7, 2008) and H.R. 4137 (see Aug. 14, 2009).

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Date Passed or Issued/Date Effective	Legislation, Regulation, or Guidance	Purpose and Key Provisions
April 2, 2010	Dear Colleague letter (GEN-10-04) from the acting assistant secretary on the process of adding eligible majors for 2010–11 National SMART Grants.	The process by which institutions can request that an additional major be included for 2010–11.
June 18, 2010	Dear Colleague letter (GEN-10-12) from the acting assistant secretary on the list of eligible majors for 2010–11 National SMART Grants.	The Classification of Instructional Programs (CIP) was updated in 2010 and includes many new CIP codes within the National SMART Grant-eligible fields. The secretary has determined that 67 of the new CIP 2010 codes meet the requirements to be designated as an eligible major. The list of eligible majors is expanded to add 67 new CIP 2010 codes for the 2010–11 award year.

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APPENDIX D

Data Sources

Pell, Academic Competitiveness, and National SMART Grant Award Data

The Office of Student Financial Aid, U.S. Department of Education, provided the data used in this report. The files contain student-level records of all Pell Grant recipients in 2006–07 through 2009–10 merged with information on Academic Competitiveness Grant (ACG) and National Science and Mathematics Access to Retain Talent (SMART) Grant awards and information from the Free Application for Student Aid (FAFSA). MPR Associates, Inc., merged the files across years to determine renewal rates. The files contain data on all Pell Grants awarded at one of the institutions eligible to participate in the ACG or National SMART Grant programs—4.9 million students in 2006–07, 5.4 million in 2007–08, 6.0 million in 2008–09, and 8.0 million in 2009–10. The final analysis file identified those who received an ACG, a National SMART Grant, or only a Pell Grant. Only those records that indicated that the award had been disbursed to the student were included. There is no comparable federal data source for students who did not receive any of these grants.

Because data on disbursements and cancellations are added to the files on an ongoing basis, other published reports based on earlier or later versions of the files may show slightly different numbers of grants. The file used for 2006–07 was dated Sept. 21, 2007, the file used for 2007–08 was dated Nov. 25, 2008, the file used for 2008–09 was dated Feb. 17, 2010, and the file used for 2009–10 was dated Feb. 10, 2011. By September of each year, most financial aid data for the previous academic year have been finalized. Changes after that are typically minor.

Although ACGs and National SMART Grants are awarded only to students with Pell Grants, a small number of ACG or National SMART Grant records could not be matched to a Pell Grant record in this file (about 450 each year). For 2009–10, a larger number could not be matched (approximately 10 percent). For purpose of analysis, it was assumed that these students were ACG or National SMART Grant recipients and that data errors prohibited a match.

Some of the student-reported fields from the FAFSA were missing. Consequently, the student totals on tables using these variables may differ slightly from the totals on other tables.

Some ACG or National SMART Grant recipients transferred during the academic year and received these grants at two different colleges (about 2,000 in 2006–07; about 3,000 in both 2007–08 and 2008–09; and about 5,000 in 2009–10). The tables that show the number of

students by type of institution or state include these students at both institutions and, therefore, have slightly higher totals than the tables based on unduplicated, unique student records. Notes on the tables indicate whether the counts are duplicated or unduplicated.

Finally, some students received an ACG in the first term (as second-year students) and a National SMART Grant in the second term (as third-year students). These students are shown in both the ACG and the National SMART Grant totals in all tables.

2003–04 and 2007–08 National Postsecondary Student Aid Studies (NPSAS:04 and NPSAS:08)

NPSAS data were used in this study to describe science, technology, engineering, and mathematics (STEM) participation. The NPSAS is a comprehensive study that examines how students and their families pay for postsecondary education. It includes nationally representative samples of undergraduates, graduate students, and first-professional students; and students attending public and private less-than-two-year institutions, community colleges, four-year colleges, and major universities. Students who receive financial aid as well as those who do not receive financial aid participate in NPSAS. Comprehensive student interviews and administrative records, with exceptional detail concerning student financial aid, are available for academic years 1986–87, 1989–90, 1992–93, 1995–96, 1999–2000, 2003–04, and 2007–08. Additional detail about these studies can be found at http://nces.ed.gov/surveys/npsas/.

APPENDIX E

Supplemental Tables on ACG and National SMART Grant Program Participation by Institution Type: 2009–10

Table E-1. Number and percentage of eligible institutions participating in the ACG and SMART Grant programs: 2009–10

Type of institution	Total eligible	ACG		SMART Grant	
		Number	Percent	Number	Percent
Total*	4,069	3,135	77.0	1,497	36.8
Two-year					
Total	1,936	1,233	63.7	†	†
Public two-year	1,115	929	83.3	†	†
Private nonprofit two-year	176	63	35.8	†	†
For-profit two-year	645	241	37.4	†	†
Four-year					
Total	2,120	1,889	89.1	1,496	70.6
Public four-year	617	585	94.8	532	86.2
Private nonprofit four-year	1,276	1,115	87.4	856	67.1
For-profit four-year	227	189	83.3	108	47.6

† Not applicable.
* Includes 13 institutions that could not be categorized.
NOTE: Participating institutions are those that disbursed at least one ACG or SMART Grant. Institutions with multiple branches are counted separately when the information was reported by the campus. Many community college systems and for-profit institutions with multiple campus locations did not provide information at the campus level.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-2. Number and percentage of Pell Grant recipients with ACGs or SMART Grants at participating institutions: 2009–10

Program participation and type of institution	Pell Grant recipients			ACG recipients		SMART Grant recipients		ACG or SMART Grant recipients	
	Total number	First- and second-year students	Third- and fourth-year students*	Total number	As percent of first- and second-year Pell Grants	Total number	As percent of third- and fourth-year Pell Grants*	Total number	As percent of all Pell Grants
Participated in ACG program	7,489,815	5,466,204	1,708,620	636,355	11.6	114,631	6.7	745,262	10.0
Participated in ACG program only									
Total	3,700,586	3,309,235	83,295	170,636	5.2	†	†	170,636	4.6
Public four-year	193,946	165,815	27,753	12,549	7.6	†	†	12,549	6.5
Private nonprofit four-year	103,169	65,126	37,910	10,881	16.7	†	†	10,881	10.5
For-profit four-year	170,139	151,985	17,632	3,763	2.5	†	†	3,763	2.2
Public two-year	2,834,620	2,538,042	0	133,832	5.3	†	†	133,832	4.7
Private nonprofit two-year	22,222	20,761	0	1,744	8.4	†	†	1,744	7.8
For-profit two-year	354,368	345,700	0	7,460	2.2	†	†	7,460	2.1
Participated in SMART Grant program									
Total	3,813,391	2,169,380	1,636,992	465,719	21.5	115,168	7.0	575,163	15.1
Public four-year	2,019,514	942,188	1,075,670	316,676	33.6	77,787	7.2	389,805	19.3
Private nonprofit four-year	846,406	451,255	394,256	132,352	29.3	26,902	6.8	158,318	18.7
For-profit four-year	947,213	775,710	167,066	16,551	2.1	10,476	6.3	26,897	2.8

† Not applicable.

* Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).

NOTE: This table includes duplicate records for students who received grants at more than one college in 2009–10 (1 percent of ACG recipients and less than 1 percent of SMART Grant recipients). Participating colleges are those that disbursed at least one ACG or SMART Grant. Class level is institution-reported for ACGs and SMART Grants but student-reported for Pell Grants. Student-reported class levels greater than 2 at two-year institutions were excluded from the numbers presented by class level but included in the totals.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-3. Average number of Pell Grants, ACGs, and SMART Grants at participating institutions: 2009–10

Program participation and type of institution	Pell Grants			ACGs	SMART Grants
	Total	First- and second-year students	Third- and fourth-year students*		
Participated in ACG program	2,389	1,744	545	203	37
Participated in ACG program only					
Total	2,223	1,988	50	102	†
Public four-year	3,179	2,718	455	206	†
Private nonprofit four-year	379	239	139	40	†
For-profit four-year	1,956	1,747	203	43	†
Public two-year	3,051	2,732	0	144	†
Private nonprofit two-year	358	335	0	28	†
For-profit two-year	1,470	1,434	0	31	†
Participated in SMART Grant program					
Total	2,547	1,449	1,094	311	77
Public four-year	3,796	1,771	2,022	595	146
Private nonprofit four-year	989	527	461	155	31
For-profit four-year	8,770	7,183	1,547	153	97

† Not applicable.
* Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).
NOTE: Participating colleges are those that disbursed at least one ACG or SMART Grant. Class level is institution-reported for ACGs and SMART Grants but student-reported for Pell Grants. Student-reported class levels greater than 2 at two-year institutions were excluded from the numbers presented by class level but included in the totals.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-4. Percentage distribution of institutions participating in the ACG and SMART Grant programs by the number of grants: 2009–10

Type of institution	Number of ACGs							
	1–10	11–50	51–100	101–200	201–500	501–1,000	More than 1,000	Total
ACG-participating								
Total	12.8	23.5	18.1	20.7	14.6	6.5	3.8	100.0
Public four-year	2.9	6.8	9.1	15.0	24.4	25.5	16.2	100.0
Private nonprofit four-year	9.6	22.0	23.0	28.6	14.1	2.0	0.8	100.0
For-profit four-year	20.1	40.7	12.2	13.8	9.0	3.2	1.1	100.0
Public two-year	10.1	27.6	22.1	21.4	14.5	3.0	1.3	100.0
Private nonprofit two-year	39.7	44.4	9.5	6.3	0.0	0.0	0.0	100.0
For-profit two-year	47.3	36.5	8.3	5.4	2.5	0.0	0.0	100.0
	Number of SMART Grants							
SMART Grant–participating								
Total	27.2	43.6	11.4	9.6	5.6	1.7	0.9	100.0
Public four-year	10.9	30.8	19.4	19.9	13.2	3.9	1.9	100.0
Private nonprofit four-year	37.1	51.2	6.4	3.5	1.3	0.4	0.1	100.0
For-profit four-year	27.8	47.2	12.0	6.5	2.8	1.9	1.9	100.0

NOTE: Participating colleges are those that disbursed at least one ACG or SMART Grant. Institutions with multiple branches are counted separately when the information was reported by the campus. Many community college systems and for-profit institutions with multiple campus locations did not provide information at the campus level. Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-5. Percentage distribution of institutions participating in the ACG and SMART Grant programs by the percentage of Pell Grant recipients who received ACGs or SMART Grants: 2009–10

Type of institution	Percent of first- and second-year Pell Grant students with ACGs							
	Less than 2%	2–4.9%	5–9.9%	10–19.9%	20–29.9%	30–39.9%	40% or more	Total
ACG-participating								
Total	16.1	16.1	13.1	14.2	8.7	8.2	23.4	100.0
Public four-year	2.7	5.1	8.2	15.9	14.7	16.2	36.6	100.0
Private nonprofit four-year	3.0	3.9	5.9	14.2	13.6	13.6	45.7	100.0
For-profit four-year	41.8	20.1	15.9	15.3	3.7	1.1	1.6	100.0
Public two-year	24.5	34.4	25.0	14.1	1.4	0.3	0.1	100.0
Private nonprofit two-year	17.5	17.5	14.3	27.0	11.1	4.8	7.9	100.0
For-profit two-year	54.4	24.1	10.0	6.2	3.7	0.8	0.8	100.0
	Percent of third- and fourth-year Pell Grant students with SMART Grants							
SMART Grant–participating								
Total	18.3	31.7	25.9	16.8	3.9	1.5	1.7	100.0
Public four-year	16.0	37.6	27.8	14.7	1.9	0.9	0.6	100.0
Private nonprofit four-year	19.9	29.2	25.4	17.3	4.8	1.4	2.1	100.0
For-profit four-year	17.6	22.2	20.4	23.1	7.4	4.6	4.6	100.0

NOTE: This table includes duplicate records for students who received grants at more than one college in 2009–10 (1 percent of ACG recipients and less than 1 percent of SMART Grant recipients). Participating colleges are those that disbursed at least one ACG or SMART Grant. Institutions with multiple branches are counted separately when the information was reported by the campus. Many community college systems and for-profit institutions with multiple campus locations did not provide information at the campus level. Class level is institution-reported for ACGs and SMART Grants but student-reported for Pell Grants. Student-reported class levels greater than 2 at two-year institutions were excluded from the numbers presented by class level. Detail may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-6. Number and percentage distribution of ACG and Pell Grant recipients by class level and percentage of first- and second-year Pell Grant recipients with ACGs: 2009–10

Type of grant and institution	First-time, first-year	Other first-year	Second-year	Total first- and second-year
Number of recipients				
ACG	297,494	194,555	139,497	631,546
Public four-year	158,274	92,300	76,379	326,953
Private nonprofit four-year	61,665	43,046	37,672	142,383
For-profit four-year	11,068	5,671	3,385	20,124
Public two-year	61,643	50,433	20,363	132,439
Private nonprofit two-year	899	603	364	1,866
For-profit two-year	3,604	2,444	1,331	7,379
Pell Grant only, no ACG	1,685,032	1,616,924	1,465,401	4,767,357
Pell Grant (with or without ACG)	2,057,329	1,667,273	1,593,105	5,317,707
Public four-year	435,684	201,829	442,517	1,080,030
Private nonprofit four-year	198,625	104,260	200,684	503,569
For-profit four-year	340,501	354,015	192,067	886,583
Public two-year	919,929	845,572	707,916	2,473,417
Private nonprofit two-year	6,958	7,229	6,071	20,258
For-profit two-year	143,355	146,111	43,269	332,735
Percentage distribution of recipients				
ACG	47.1	30.8	22.1	100.0
Public four-year	48.4	28.2	23.4	100.0
Private nonprofit four-year	43.3	30.2	26.5	100.0
For-profit four-year	55.0	28.2	16.8	100.0
Public two-year	46.5	38.1	15.4	100.0
Private nonprofit two-year	48.2	32.3	19.5	100.0
For-profit two-year	48.8	33.1	18.0	100.0
Pell Grant only, no ACG	35.3	33.9	30.7	100.0
Pell Grant (with or without ACG)	38.7	31.4	30.0	100.0
Percent of Pell Grant recipients with ACGs				
Total	14.5	11.7	8.8	11.9
Public four-year	36.3	45.7	17.3	30.3
Private nonprofit four-year	31.0	41.3	18.8	28.3
For-profit four-year	3.3	1.6	1.8	2.3
Public two-year	6.7	6.0	2.9	5.4
Private nonprofit two-year	12.9	8.3	6.0	9.2
For-profit two-year	2.5	1.7	3.1	2.2

NOTE: Includes only participating colleges (those that disbursed at least one ACG). Class level is institution-reported for ACG recipients but student-reported for Pell Grant recipients. Student-reported class levels greater than 2 at two-year institutions were excluded. Detail for percentages may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-7. Number and percentage distribution of SMART Grant and Pell Grant recipients by class level and percentage of third- and fourth-year Pell Grant recipients with SMART Grants: 2009–10

Type of grant and institution	Third-year	Fourth-year*	Total third- and fourth-year*
Number of recipients			
SMART Grant	60,734	54,293	115,027
Public four-year	39,894	37,794	77,688
Private nonprofit four-year	13,735	13,137	26,872
For-profit four-year	7,102	3,362	10,464
Pell Grant only, no SMART Grant	840,359	768,831	1,609,190
Pell Grant (with or without SMART Grant)	894,638	808,469	1,703,107
Public four-year	546,735	548,561	1,095,296
Private nonprofit four-year	222,944	205,621	428,565
For-profit four-year	124,959	54,287	179,246
Percentage distribution of recipients			
SMART Grant	52.8	47.2	100.0
Public four-year	51.4	48.6	100.0
Private nonprofit four-year	51.1	48.9	100.0
For-profit four-year	67.9	32.1	100.0
Pell Grant only, no SMART Grant	52.2	47.8	100.0
Pell Grant (with or without SMART Grant)	52.5	47.5	100.0
Percent of Pell Grant recipients with SMART Grants			
Total	6.8	6.7	6.8
Public four-year	7.3	6.9	7.1
Private nonprofit four-year	6.2	6.4	6.3
For-profit four-year	5.7	6.2	5.8

* Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).
NOTE: Participating colleges are those that disbursed at least one SMART Grant. Class level is institution-reported for SMART Grant recipients but student-reported for Pell Grant recipients. Detail for percentages may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-8. Number and percentage distribution of ACG, SMART Grant, and Pell Grant recipients by gender, citizenship, and age and percentage of Pell Grant recipients with ACGs or SMART Grants: 2009–10

Class level and type of grant	Gender		Citizenship		Age		
	Male	Female	U.S. citizen	Eligible noncitizen	18 or younger	19–23	24 or older
Number of recipients							
First- and second-year students							
ACG recipients	245,055	386,110	606,768	24,774	291,891	338,617	1,026
Pell Grant–only recipients	1,710,138	3,052,202	4,498,078	267,890	449,995	1,813,599	2,503,650
Total Pell Grant recipients	1,926,807	3,385,562	5,027,146	289,168	703,015	2,104,755	2,509,813
Third- and fourth-year students*							
SMART Grant recipients	66,846	48,147	106,417	8,598	828	75,859	38,337
Pell Grant–only recipients	615,173	993,282	1,536,038	72,053	1,428	780,794	826,953
Total Pell Grant recipients	668,175	1,034,168	1,623,307	78,691	1,923	844,811	856,357
Percentage distribution of recipients							
First- and second-year students							
ACG recipients	38.8	61.2	96.1	3.9	46.2	53.6	0.2
Pell Grant–only recipients	35.9	64.1	94.4	5.6	9.4	38.0	52.5
Total Pell Grant recipients	36.3	63.7	94.6	5.4	13.2	39.6	47.2
Third- and fourth-year students*							
SMART Grant recipients	58.1	41.9	92.5	7.5	0.7	66.0	33.3
Pell Grant–only recipients	38.2	61.8	95.5	4.5	0.1	48.5	51.4
Total Pell Grant recipients	39.3	60.7	95.4	4.6	0.1	49.6	50.3
Percent of Pell Grant recipients with ACGs or SMART Grants							
First- and second-year students with ACGs	12.7	11.4	12.1	8.6	41.5	16.1	0.0
Third- and fourth-year students* with SMART Grants	10.0	4.7	6.6	10.9	43.1	9.0	4.5

* Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).
NOTE: This table is based on unduplicated records. Class level is institution-reported for ACGs and SMART Grants but student-reported for Pell Grants. Student-reported class levels greater than 2 at two-year institutions were excluded from the numbers presented by class level. Missing values are excluded, so there will be small differences in the totals for gender, citizenship, and age. Detail for percentages may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-9. Number and percentage distribution of ACG, SMART Grant, and Pell Grant recipients by dependency status and income and percentage of Pell Grant recipients with ACGs or SMART Grants: 2009–10

Class level and type of grant	Dependency status		Income of dependent students' parents		
	Inde-pendent	Dependent	Less than $15,000	$15,000–30,000	More than $30,000
Number of recipients					
First- and second-year students					
ACG recipients	48,056	583,490	153,647	182,516	247,198
Pell Grant–only recipients	3,088,365	1,678,992	600,397	546,257	532,204
Total Pell Grant recipients	3,135,934	2,181,773	731,938	703,803	745,784
Third- and fourth-year students*					
SMART Grant recipients	45,381	69,646	18,749	20,917	29,967
Pell Grant–only recipients	939,430	669,760	195,924	209,504	264,202
Pell Grant recipients	975,174	727,933	211,637	226,998	289,159
Percentage distribution of recipients					
First- and second-year students					
ACG recipients	7.6	92.4	26.3	31.3	42.4
Pell Grant–only recipients	64.8	35.2	35.8	32.5	31.7
Total Pell Grant recipients	59.0	41.0	33.6	32.3	34.2
Third- and fourth-year students*					
SMART Grant recipients	39.5	60.5	26.9	30	43
Pell Grant–only recipients	58.4	41.6	29.3	31.3	39.5
Total Pell Grant recipients	57.3	42.7	29.1	31.2	39.7
Percent of Pell Grant recipients with ACGs or SMART Grants					
First- and second-year students with ACGs	1.5	26.7	21.0	25.9	33.1
Third- and fourth-year students with SMART Grants*	4.7	9.6	8.9	9.2	10.4

* Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).
NOTE: This table is based on unduplicated records. Class level is institution-reported for ACGs and SMART Grants but student-reported for Pell Grants. Student-reported class levels greater than 2 at two-year institutions were excluded from the numbers presented by class level. Missing values are excluded, so there will be small differences in the totals for dependency and income. Detail for percentages may not sum to totals because of rounding.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-10. Number and percentage distribution of ACG, SMART Grant, and Pell Grant recipients by Expected Family Contribution (EFC) and percentage of Pell Grant recipients with ACGs or SMART Grants: 2009–10

	EFC of dependent students					EFC of independent students				
Class level and type of grant	Zero	1–999	1,000–1,999	2,000–2,999	3,000 or more	Zero	1–999	1,000–1,999	2,000–2,999	3,000 or more
Number of recipients										
First- and second-year students										
ACG recipients	326,798	68,347	56,771	56,829	74,745	42,012	2,309	1,623	1,043	1,069
Pell Grant–only recipients	1,063,096	178,990	139,535	131,595	165,776	2,310,931	215,391	212,082	167,743	182,218
Total Pell Grant recipients	1,318,554	244,850	194,017	186,348	238,004	2,350,513	218,106	214,195	169,238	183,882
Third- and fourth-year students*										
SMART Grant recipients	33,662	11,248	7,124	7,078	10,534	28,649	4,411	4,192	3,680	4,449
Pell Grant–only recipients	317,474	108,871	69,619	71,092	102,704	602,616	86,985	85,453	75,120	89,256
Total Pell Grant recipients	341,871	119,286	76,310	77,795	112,671	624,265	90,772	88,968	78,202	92,967
Percentage distribution of recipients										
First- and second-year students										
ACG recipients	56.0	11.7	9.7	9.7	12.8	87.4	4.8	3.4	2.2	2.2
Pell Grant–only recipients	63.3	10.7	8.3	7.8	9.9	74.8	7.0	6.9	5.4	5.9
Total Pell Grant recipients	60.4	11.2	8.9	8.5	10.9	75.0	7.0	6.8	5.4	5.9
Third- and fourth-year students*										
SMART Grant recipients	48.3	16.2	10.2	10.2	15.1	63.1	9.7	9.2	8.1	9.8
Pell Grant–only recipients	47.4	16.3	10.4	10.6	15.3	64.1	9.3	9.1	8.0	9.5
Total Pell Grant recipients	47.0	16.4	10.5	10.7	15.5	64.0	9.3	9.1	8.0	9.5
Percent of Pell Grant recipients with ACGs or SMART Grants										
First- and second-year students with ACGs	24.8	27.9	29.3	30.5	31.4	1.8	1.1	0.8	0.6	0.6
Third- and fourth-year students with SMART Grants*	9.8	9.4	9.3	9.1	9.3	4.6	4.9	4.7	4.7	4.8

* Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).

NOTE: This table is based on unduplicated records. Class level is institution-reported for ACGs and SMART Grants but student-reported for Pell Grants. Student-reported class levels greater than 2 at two-year institutions were excluded from the numbers presented by class level. The federal Expected Contribution (EFC) is a measure of a family's financial strength and indicates how much of a student's and family's financial resources (for dependent students) should be available to help pay for a student's education. The EFC is an index number used to determine Pell Grant amount. Missing values are excluded, so there will be small differences in the totals for gender, citizenship, age, dependency, income, and EFC. Detail for percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-11. Average amounts of Expected Family Contribution (EFC), income of dependent students' parents, and average Pell Grant, ACG, and SMART Grant amounts: 2009–10

Class level and type of grant	Independent students	Dependent students	Income of dependent students' parents	Pell Grant amount	ACG/ SMART Grant amount	Combined total grant amount
First- and second-year students						
ACG recipients	208	917	$27,525	$4,190	$754	$4,944
Pell Grant–only recipients	491	729	22,812	3,441	†	3,441
Third- and fourth-year students*						
SMART Grant recipients	756	1,036	27,897	4,432	3,121	7,553
Pell Grant–only recipients	737	1,055	26,290	3,942	†	3,942

† Not applicable.
* Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).
NOTE: This table is based on unduplicated records. Class level is institution-reported for ACGs and SMART Grants but student-reported for Pell Grants. Student-reported class levels greater than 2 at two-year institutions were excluded from the numbers presented by class level. The federal Expected Family Contribution (EFC) is a measure of a family's financial strength and indicates how much of a student's and family's financial resources (for dependent students) should be available to help pay for a student's education. The EFC is an index number used to determine the Pell Grant amount.
SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-12. Number of grants, total dollar amounts, and average grant amounts awarded to dependent students with ACGs or SMART Grants, by Expected Family Contribution (EFC) of the students: 2009–10

	ACGs									
EFC	Number of ACGs	Total Pell Grant amount	Total ACG amount	Combined total Pell Grant and ACG amount	Percent of total Pell Grant amount	Percent of total ACG amount	Percent of combined total Pell Grant and ACG amount	Average Pell Grant amount	Average ACG amount	Average combined amount
Total dependent students	588,037	$2,184,836,521	$447,569,157	$2,632,405,677	100.0	100.0	100.0	$4,166	$761	$4,477
Zero	329,251	1,370,944,722	245,720,636	1,616,665,358	56.0	62.7	54.9	5,127	746	4,910
1–999	68,891	330,861,938	54,495,258	385,357,196	11.7	15.1	12.2	4,830	791	5,594
1,000–1,999	57,249	210,756,990	44,369,630	255,126,620	9.7	9.6	9.9	3,715	775	4,456
2,000–2,999	57,308	156,556,519	44,422,991	200,979,511	9.7	7.2	9.9	2,752	775	3,507
3,000 or more	75,338	115,716,352	58,560,642	174,276,993	12.8	5.3	13.1	1,544	777	2,313

	SMART Grants									
EFC	Number of SMART Grants	Total Pell Grant amount	Total SMART Grant amount	Combined total Pell Grant and SMART Grant amount	Percent of total Pell Grant amount	Percent of total SMART Grant amount	Percent of combined total Pell Grant and SMART Grant amount	Average Pell Grant amount	Average SMART Grant amount	Average combined amount
Total dependent students	69,734	$267,760,317	$223,751,215	$271,676,334	100.0	100.0	100.0	$4,364	$3,209	$4,385
Zero	33,715	143,727,487	107,203,113	145,552,856	48.3	53.7	47.9	5,612	3,180	5,561
1–999	11,262	58,258,414	36,098,029	58,884,439	16.1	21.8	16.1	5,201	3,205	5,254
1,000–1,999	7,131	28,145,435	23,069,151	28,573,599	10.2	10.5	10.3	3,996	3,235	4,051
2,000–2,999	7,089	20,689,075	23,089,578	21,082,708	10.2	7.7	10.3	2,940	3,257	2,992
3,000 or more	10,537	16,939,906	34,291,344	17,582,731	15.1	6.3	15.3	1,619	3,254	1,679

NOTE: The federal Expected Family Contribution (EFC) is a measure of a family's financial strength and indicates how much of a student's and family's financial resources (for dependent students) should be available to help pay for a student's education. The EFC is an index number used to determine the Pell Grant amount. Detail may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-13. Number and percentage distribution of SMART Grant recipients by field of study: 2009–10

Type of institution	Total	Life sciences*	Engineering	Computer science	Physical sciences	Mathematics	Technology	Multi-disciplinary studies	Foreign language
Number									
Total	115,165	41,381	23,892	19,903	9,541	6,603	5,184	3,048	5,613
Public four-year	77,787	30,737	18,822	7,388	7,189	4,876	3,436	1,860	3,479
Private nonprofit four-year	26,902	10,602	4,692	3,984	2,348	1,727	531	885	2,133
For-profit four-year	10,476	42	378	8,531	4	0	1,217	303	1
Percentage distribution within type of institution									
Total	100.0	35.9	20.7	17.3	8.3	5.7	4.5	2.6	4.9
Public four-year	100.0	39.5	24.2	9.5	9.2	6.3	4.4	2.4	4.5
Private nonprofit four-year	100.0	39.4	17.4	14.8	8.7	6.4	2.0	3.3	7.9
For-profit four-year	100.0	0.4	3.6	81.4	0.0	0.0	11.6	2.9	0.0
Percentage distribution by type of institution									
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0
Public four-year	67.5	74.3	78.8	37.1	75.3	73.8	66.3	61.0	62.0
Private nonprofit four-year	23.4	25.6	19.6	20.0	24.6	26.2	10.2	29.0	38.0
For-profit four-year	9.1	0.1	1.6	42.9	0.0	0.0	23.5	9.9	0.0

* Life sciences includes biological and biomedical sciences, agriculture, natural resources and conservation, and psychology (physiological psychology and psychobiology only).

NOTE: This table includes duplicate records for students who received grants at more than one college in 2009–10 (less than 1 percent of SMART Grant recipients). Detail for percentages may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient File AY0910 (Feb. 10, 2011).

Table E-14. Among students who received an ACG in 2008–09, number and percentage who received an ACG, SMART Grant, or Pell Grant in 2009–10, by class level and type of institution

		Status in 2009–10							
		Received ACG		Received SMART Grant		Received Pell Grant (No ACG or SMART Grant)		No Pell Grant, ACG, or SMART Grant*	
Base-year 2008–09 cohorts	ACG recipients in 2008–09	Number	Percent	Number	Percent	Number	Percent	Number	Percent
First-year students in 2008–09									
Total	339,586	81,174	23.9	4,394	1.3	186,124	54.8	70,552	20.8
Public four-year	185,537	43,130	23.2	3,527	1.9	105,411	56.8	35,625	19.2
Private nonprofit four-year	78,576	21,693	27.6	721	0.9	42,597	54.2	14,010	17.8
For-profit four-year	8,267	2,083	25.2	74	0.9	3,911	47.3	2,247	27.2
Public two-year	63,793	13,174	20.7	71	0.1	32,739	51.3	17,818	27.9
Private nonprofit two-year	1,097	247	22.5	0	0.0	543	49.5	307	28.0
For-profit two-year	2,316	847	36.6	1	0.0	923	39.9	545	23.5
Second-year students in 2008–09									
Total	99,060	3,846	3.9	11,525	11.6	68,814	69.5	15,151	15.3
Public four-year	55,330	2,455	4.4	7,830	14.2	37,820	68.4	7,438	13.4
Private nonprofit four-year	28,654	383	1.3	3,180	11.1	21,217	74.0	3,909	13.6
For-profit four-year	1,903	149	7.8	99	5.2	1,116	58.6	561	29.5
Public two-year	12,238	826	6.7	405	3.3	8,231	67.3	2,782	22.7
Private nonprofit two-year	274	8	2.9	11	4.0	148	54.0	107	39.1
For-profit two-year	661	25	3.8	0	0.0	282	42.7	354	53.6

* Students who did not receive a Pell Grant in 2009–10 may have lost Pell Grant eligibility, completed a degree, or not been enrolled that year. Enrollment and degree completion status are not available.

NOTE: Class level is based on credits and may change during the year. A student with an ACG as a freshman may receive another ACG as a first-term sophomore and have enough credits to be a junior eligible for a SMART Grant in the second term. A student with enough credits to become a sophomore in the second term of the first year can receive a second ACG as a sophomore in the first term of the second year. Less than 1 percent receive both an ACG and SMART Grant in the same academic year (about 1,500). They have been included in both the ACG and the SMART Grant cohorts in 2008–09 and included in both the ACG and SMART Grant columns for 2008–09. Therefore, the 2009–10 percentages add up to a little more than 100 percent. ACG students enrolled at two-year institutions in 2008–09 may receive a SMART Grant in 2009–10 if they transfer to a four-year institution.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0809 (Feb. 17, 2010) and AY0910 (Feb. 10, 2011).

Table E-15. Among students who received a SMART Grant in 2008–09, number and percentage who received a SMART Grant or Pell Grant in 2009–10, by class level and type of institution

		Status in 2009–10						
	SMART Grant recipients	Received SMART Grant		Received Pell Grant (No SMART Grant)		No Pell Grant or SMART Grant[a]		Pell Grant renewal rate (including SMART Grant)
Base-year 2008–09 cohorts	in 2008–09	Number	Percent	Number	Percent	Number	Percent	Percent
Third-year students in 2008–09								
Total	34,971	20,248	57.9	9,103	26.0	5,614	16.1	83.9
Public four-year	22,502	13,373	59.4	5,869	26.1	3,255	14.5	85.5
Private nonprofit four-year	8,917	5,190	58.2	2,349	26.3	1,378	15.5	84.5
For-profit four-year	3,552	1,685	47.4	885	24.9	981	27.6	72.4
Fourth-year students in 2008–09[b]								
Total	29,367	2,875	9.8	9,899	33.7	16,591	56.5	43.5
Public four-year	19,907	2,104	10.6	7,670	38.5	10,132	50.9	49.1
Private nonprofit four-year	7,794	586	7.5	1,716	22.0	5,492	70.5	29.5
For-profit four-year	1,666	185	11.1	513	30.8	967	58.0	41.9

[a] Students who did not receive a Pell Grant in 2008–09 may have graduated, lost Pell Grant eligibility, or not been enrolled that year. Enrollment and degree completion status are not available.

[b] Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).

NOTE: Fourth-year students who had received the maximum SMART Grant amount ($8,000 for two years) may still continue to receive Pell Grants if they have not completed all credits required to graduate.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0809 (Feb. 17, 2010) and AY0910 (Feb. 10, 2011).

Table E-16. Among students who received a SMART Grant in 2008–09, number and percentage who received a SMART Grant or Pell Grant in 2009–10, by class level and field of study in 2008–09

		Status in 2009–10						
		Received SMART Grant		Received Pell Grant (No SMART Grant)		No Pell Grant or SMART Grant[a]		Pell Grant renewal rate (including SMART Grant)
Base-year 2008–09 cohorts	SMART Grant recipients in 2008–09	Number	Percent	Number	Percent	Number	Percent	Percent
Third-year students								
Total	34,971	20,248	57.9	9,103	26.0	5,614	16.1	83.9
Life sciences	6,487	3,396	52.4	1,642	25.3	1,449	22.3	77.7
Engineering	6,753	4,175	61.8	1,611	23.9	966	14.3	85.7
Computer science	615	334	54.3	183	29.8	98	15.9	84.1
Physical sciences	13,625	7,996	58.7	3,643	26.7	1,984	14.6	85.4
Mathematics	2,056	1,162	56.5	615	29.9	278	13.5	86.4
Technology	3,094	1,822	58.9	824	26.6	447	14.4	85.5
Multidisciplinary studies	1,496	860	57.5	359	24.0	276	18.4	81.5
Critical foreign language	845	503	59.5	226	26.7	116	13.7	86.3
Fourth-year students[b]								
Total	29,367	2,875	9.8	9,899	33.7	16,591	56.5	43.5
Life sciences	4,411	473	10.7	1,472	33.4	2,465	55.9	44.1
Engineering	6,064	866	14.3	2,157	35.6	3,041	50.1	49.9
Computer science	409	75	18.3	124	30.3	210	51.3	48.7
Physical sciences	11,850	922	7.8	3,813	32.2	7,114	60.0	40.0
Mathematics	1,826	135	7.4	634	34.7	1,057	57.9	42.1
Technology	2,700	213	7.9	956	35.4	1,531	56.7	43.3
Multidisciplinary studies	1,388	141	10.2	524	37.8	723	52.1	47.9
Critical foreign language	719	50	7.0	219	30.5	450	62.6	37.4

[a] Students who did not receive a Pell Grant in 2009–10 may have graduated, lost Pell Grant eligibility, or not been enrolled that year. Enrollment and degree completion status are not available.

[b] Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).

NOTE: Fourth-year students who had received the maximum SMART Grant amount ($8,000 for two years) may still continue to receive Pell Grants if they have not completed all credits required to graduate. Students who did not receive a Pell Grant in 2009–10 may have graduated, lost Pell Grant eligibility, or not been enrolled that year. Enrollment and degree completion status is not available.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0809 (Feb. 17, 2010) and AY0910 (Feb. 10, 2011).

Table E-17. Among students at ACG- or SMART Grant–participating institutions who received Pell Grants or Pell Grants plus an ACG or SMART Grant in 2008–09, number and percentage who received a Pell Grant in 2009–10

	Received only Pell Grants			Received Pell and ACG or SMART Grant		
Base year 2008–09 cohorts	Pell Grant–only recipients in 2008–09 (no ACG or SMART Grant)	Number of Pell Grant renewals in 2009–10[a]	Pell Grant renewal rate	Number of students with ACG or SMART Grant in 2008–09	Number of ACG, SMART Grant, or Pell Grant renewals in 2009–10	Pell Grant renewal rate
Total	4,727,172	2,921,559	61.8	502,984	393,292	78.2
First-year students						
Total	2,261,973	1,412,993	62.5	339,586	267,838	78.9
Public four-year	322,477	230,355	71.4	185,537	148,729	80.2
Private nonprofit four-year	159,276	112,944	70.9	78,576	64,559	82.2
For-profit four-year	493,650	281,308	57.0	8,267	6,020	72.8
Public two-year	1,137,226	707,282	62.2	63,793	45,971	72.1
Private nonprofit two-year	9,806	6,032	61.5	1,097	790	72.0
For-profit two-year	139,538	75,072	53.8	2,316	1,769	76.4
Second-year students						
Total	1,133,798	772,734	68.2	99,060	83,642	84.4
Public four-year	307,348	237,869	77.4	55,330	47,627	86.1
Private nonprofit four-year	137,164	105,923	77.2	28,654	24,744	86.4
For-profit four-year	131,072	80,713	61.6	1,903	1,342	70.5
Public two-year	530,724	337,472	63.6	12,238	9,455	77.3
Private nonprofit two-year	3,744	2,009	53.7	274	167	60.9
For-profit two-year	23,746	8,748	36.8	661	307	46.4
Third-year students						
Total	675,792	507,807	75.1	34,971	29,103	83.2
Public four-year	418,015	323,489	77.4	22,502	18,998	84.4
Private nonprofit four-year	173,570	132,601	76.4	8,917	7,536	84.5
For-profit four-year	84,207	51,717	61.4	3,552	2,569	72.3
Fourth-year students[b]						
Total	655,609	228,025	34.8	29,367	12,709	43.3
Public four-year	448,787	164,393	36.6	19,907	9,708	48.8
Private nonprofit four-year	167,666	50,153	29.9	7,794	2,302	29.5
For-profit four-year	39,156	13,479	34.4	1,666	699	42.0

[a] Includes about 1 percent who also received ACGs or SMART Grants in 2008–09. See Table E-18.

[b] Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).

NOTE: Class level for ACGs and SMART Grants is institution-reported and based on credits. Class level for Pell Grant–only recipients is student-reported. Renewals include all 2007–08 Pell Grant recipients who also received a Pell Grant in 2008–09 (including an ACG or SMART Grant). Those who were not renewals may have lost Pell Grant eligibility, completed a program, or not been enrolled. Enrollment and degree completion status is not available.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0809 (Feb. 17, 2010) and AY0910 (Feb. 10, 2011).

Table E-18. Number and percentage of students at ACG- or SMART Grant–participating institutions who received Pell Grants only in 2008–09 and their ACG, SMART Grant, or Pell Grant status in 2009–10

Base-year 2008–09 cohorts	Pell Grant–only recipients in 2008–09	Status in 2009–10: Received ACG		Received SMART Grant		Received Pell Grant only (No ACG or SMART)		No Pell Grant, ACG, or SMART Grant[a]	
		Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total	4,727,172	46,013	1.0	34,030	0.7	2,842,175	60.1	1,805,154	38.2
First-year students (2008–09)									
Total	2,261,973	39,430	1.7	4,756	0.2	1,369,441	60.5	848,871	37.5
Public four-year	322,477	17,006	5.3	2,031	0.6	211,865	65.7	92,042	28.5
Private nonprofit four-year	159,276	3,665	2.3	557	0.3	108,772	68.3	46,325	29.1
For-profit four-year	493,650	2,135	0.4	1,668	0.3	277,519	56.2	212,334	43.0
Public two-year	1,137,226	15,898	1.4	485	0.0	690,921	60.8	429,931	37.8
Private nonprofit two-year	9,806	96	1.0	3	0.0	5,934	60.5	3,773	38.5
For-profit two-year	139,538	630	0.5	12	0.0	74,430	53.3	64,466	46.2
Second-year students (2008–09)									
Total	1,133,798	6,583	0.6	14,033	1.2	752,521	66.4	360,845	31.8
Public four-year	307,348	2,893	0.9	6,965	2.3	228,343	74.3	69,281	22.5
Private nonprofit four-year	137,164	566	0.4	2,544	1.9	102,843	75.0	31,234	22.8
For-profit four-year	131,072	249	0.2	1,665	1.3	78,809	60.1	50,354	38.4
Public two-year	530,724	2,797	0.5	2,831	0.5	331,874	62.5	193,244	36.4
Private nonprofit two-year	3,744	14	0.4	10	0.3	1,986	53.0	1,734	46.3
For-profit two-year	23,746	64	0.3	18	0.1	8,666	36.5	14,998	63.2
Third-year students (2008–09)									
Total	675,792	†	†	11,983	1.8	495,537	73.3	167,910	24.8
Public four-year	418,015	†	†	8,415	2.0	314,912	75.3	94,454	22.6
Private nonprofit four-year	173,570	†	†	2,665	1.5	129,856	74.8	40,966	23.6
For-profit four-year	84,207	†	†	903	1.1	50,769	60.3	32,490	38.6

See notes at end of table.

Table E-18. Number and percentage of students at ACG- or SMART Grant–participating institutions who received Pell Grants only in 2008–09 and their ACG, SMART Grant, or Pell Grant status in 2009–10—Continued

Base-year 2008–09 cohorts	Pell Grant–only recipients in 2008–09	Status in 2009–10: Received ACG		Received SMART Grant		Received Pell Grant only (No ACG or SMART)		No Pell Grant, ACG, or SMART Grant[a]	
		Number	Percent	Number	Percent	Number	Percent	Number	Percent
Fourth-year students[b] (2008–09)									
Total	655,609	†	†	3,258	0.5	224,676	34.3	427,528	65.2
Public four-year	448,787	†	†	2,518	0.6	161,821	36.1	284,338	63.4
Private nonprofit four-year	167,666	†	†	574	0.3	49,553	29.6	117,513	70.1
For-profit four-year	39,156	†	†	166	0.4	13,302	34.0	25,677	65.6

† Not applicable.

[a] Students without Pell Grants in 2009–10 may have lost Pell Grant eligibility, completed a program, or not been enrolled. Enrollment and degree completion status are not available.

[b] Includes students in their fifth year of an eligible five-year program (1 percent of all SMART Grants).

NOTE: Students in their first or second year in 2008–09 would have been eligible for a SMART Grant in 2009–10 if they had accumulated enough credits to advance to third-year status by then. While relatively rare for first-year students to do so, students who almost had enough credits to attain second-year status in 2008–09 might achieve third-year status in 2009–10, perhaps in the second, if not the first, term. Also note that class level for Pell Grant–only students is student-reported and therefore may not always match the institution's determination.

SOURCE: U.S. Department of Education, Office of Federal Student Aid, COD-CPS Interface Grant Recipient Files AY0809 (Feb. 17, 2010) and AY0910 (Feb. 10, 2011).

APPENDIX F

STEM Majors in 2003–04 and 2007–08

Table F-1. Total number of undergraduates and the number and percentage of them who were in science, technology, engineering, and mathematics (STEM) majors, by student and institutional characteristics: 2003–04 and 2007–08

	2003–04			2007–08			Change between 2003–04 and 2007–08		
		All STEM majors			All STEM majors			All STEM majors	
Student and institutional characteristics	All undergraduates	Total	Percent of all undergraduates	All undergraduates	Total	Percent of all undergraduates	All undergraduates	Total	Percent of all undergraduates
Total	19,044,000	2,588,000	13.6	20,928,000	2,905,000	13.9	1,884,000	317,000	0.3
Type of institution									
Public four-year	6,091,000	1,113,000	18.3	6,690,000	1,331,000	19.9	599,000	218,000	1.6 *
Private nonprofit four-year	2,744,000	408,000	14.9	2,949,000	425,000	14.4	205,000	17,000	-0.4
Public two-year	8,473,000	800,000	9.4	9,112,000	874,000	9.6	639,000	74,000	0.1
Private for-profit	1,026,000	216,000	21.0	1,550,000	232,000	15.0	524,000	16,000	-6.0
Other	710,000	52,000	7.3	628,000	42,000	6.7	-82,000	-10,000	-0.7
Class level									
First-year	7,012,000	800,000	11.4	8,517,000	976,000	11.5	1,505,000	176,000	0.0
Second-year	4,940,000	688,000	13.9	5,724,000	778,000	13.6	784,000	90,000	-0.3
Third-year	2,631,000	436,000	16.6	2,729,000	480,000	17.6	98,000	44,000	1.0
Fourth-year	2,483,000	469,000	18.9	2,760,000	534,000	19.3	277,000	65,000	0.4
Fifth-year	542,000	115,000	21.2	396,000	86,000	21.7	-146,000	-29,000	0.6
Unclassified	1,436,000	81,000	5.6	802,000	52,000	6.5	-634,000	-29,000	0.9
Gender									
Male	8,076,000	1,768,000	21.9	9,013,000	1,949,000	21.6	937,000	181,000	-0.3
Female	10,969,000	820,000	7.5	11,915,000	955,000	8.0	946,000	135,000	0.5 *
Race/ethnicity									
White	11,977,000	1,610,000	13.4	12,924,000	1,826,000	14.1	947,000	216,000	0.7
Black	2,674,000	350,000	13.1	2,925,000	339,000	11.6	251,000	-11,000	-1.5 *
Hispanic	2,456,000	303,000	12.3	2,960,000	367,000	12.4	504,000	64,000	0.1
Asian	1,028,000	199,000	19.4	1,236,000	241,000	19.5	208,000	42,000	0.2
Other[a]	910,000	127,000	14.0	883,000	132,000	14.9	-27,000	5,000	1.0

Cont'd. next page. See notes at end of table.

Table F-1. Total number of undergraduates and the number and percentage of them who were in science, technology, engineering, and mathematics (STEM) majors, by student and institutional characteristics: 2003–04 and 2007–08—Continued

Student and institutional characteristics	2003–04			2007–08			Change between 2003–04 and 2007–08		
		All STEM majors			All STEM majors			All STEM majors	
	All undergraduates	Total	Percent of all undergraduates	All undergraduates	Total	Percent of all undergraduates	All undergraduates	Total	Percent of all undergraduates
Dependency status									
Dependent	9,622,000	1,504,000	15.6	11,081,000	1,787,000	16.1	1,459,000	283,000	0.5
Independent	9,422,000	1,084,000	11.5	9,846,000	1,118,000	11.4	424,000	34,000	-0.2
Total income level									
Dependent									
Less than $30,000	2,215,000	341,000	15.4	2,183,000	317,000	14.5	-32,000	-24,000	-0.9
$30,000–$59,999	2,698,000	416,000	15.4	2,784,000	415,000	14.9	86,000	-1,000	-0.5
$60,000–$99,999	2,762,000	435,000	15.7	3,044,000	511,000	16.8	282,000	76,000	1.0
$100,000 or more	1,947,000	312,000	16.0	3,070,000	544,000	17.7	1,123,000	232,000	1.7 *
Independent									
Less than $10,000	2,155,000	276,000	12.8	2,268,000	301,000	13.3	113,000	25,000	0.5
$10,000–$29,999	3,214,000	368,000	11.5	3,216,000	344,000	10.7	2,000	-24,000	-0.8
$30,000 or more	4,053,000	440,000	10.9	4,363,000	472,000	10.8	310,000	32,000	0.0
Received Pell Grant									
No	13,865,000	1,874,000	13.5	15,208,000	2,155,000	14.2	1,343,000	281,000	0.7
Yes	5,180,000	714,000	13.8	5,720,000	750,000	13.1	540,000	36,000	-0.7
Grade point average (GPA)									
Less than 3.00	8,436,000	1,184,000	14.0	9,387,000	1,308,000	13.9	951,000	124,000	-0.1
3.00 or more	10,599,000	1,403,000	13.2	11,471,000	1,590,000	13.9	872,000	187,000	0.6

* Indicates that the change was statistically significant at the .05 level.

[a] "Other" includes American Indian or Alaska Native, Native Hawaiian/other Pacific Islander, more than one race, and other.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2003–04 and 2007–08 National Postsecondary Student Aid Studies (NPSAS:04 and NPSAS:08).

Table F-2. Total number of Pell Grant recipients and the number and percentage of them who were in science, technology, engineering, and mathematics (STEM) majors, by student and institutional characteristics: 2003–04 and 2007–08

Student and institutional characteristics	2003–04			2007–08			Change between 2003–04 and 2007–08		
		All Pell Grant STEM majors			All Pell Grant STEM majors			All Pell Grant STEM majors	
	All Pell Grant undergraduates	Total	Percent of all Pell Grant undergraduates	All Pell Grant undergraduates	Total	Percent of all Pell Grant undergraduates	All Pell Grant undergraduates	Total	Percent of all Pell Grant undergraduates
Total	5,180,000	714,000	13.8	5,720,000	750,000	13.1	540,000	36,000	-0.7
Type of institution									
Public four-year	1,606,000	283,000	17.6	1,697,000	322,000	18.9	91,000	39,000	1.3
Private nonprofit four-year	762,000	110,000	14.5	757,000	104,000	13.7	-5,000	-6,000	-0.8
Public two-year	1,887,000	178,000	9.4	1,932,000	169,000	8.7	45,000	-9,000	-0.7
Private for-profit	575,000	119,000	20.7	968,000	133,000	13.7	393,000	14,000	-7.0 *
Other	349,000	24,000	6.9	366,000	23,000	6.3	17,000	-1,000	-0.6
Class level									
First-year	2,321,000	271,000	11.7	2,629,000	287,000	10.9	308,000	16,000	-0.7
Second-year	1,362,000	181,000	13.3	1,554,000	190,000	12.2	192,000	9,000	-1.1
Third-year	683,000	111,000	16.3	766,000	128,000	16.7	83,000	17,000	0.4
Fourth-year	641,000	114,000	17.8	647,000	124,000	19.2	6,000	10,000	1.5
Fifth-year	143,000	32,000	22.6	105,000	20,000	18.9	-38,000	-12,000	-3.7
Unclassified	30,000	5,000	15.6	19,000	1,000	3.5	-11,000	-4,000	-12.0 *
Gender									
Male	1,803,000	450,000	24.9	1,934,000	463,000	24.0	131,000	13,000	-1.0
Female	3,376,000	264,000	7.8	3,786,000	287,000	7.6	410,000	23,000	-0.3
Race/ethnicity									
White	2,484,000	332,000	13.4	2,648,000	356,000	13.4	164,000	24,000	0.1
Black	1,281,000	168,000	13.1	1,353,000	139,000	10.3	72,000	-29,000	-2.8 *
Hispanic	922,000	126,000	13.6	1,166,000	156,000	13.4	244,000	30,000	-0.3
Asian	227,000	48,000	21.1	277,000	63,000	22.6	50,000	15,000	1.5
Other[a]	266,000	40,000	15.2	276,000	37,000	13.4	10,000	-3,000	-1.8

Cont'd. next page. See notes at end of table.

Table F-2. Total number of Pell Grant recipients and the number and percentage of them who were in science, technology, engineering, and mathematics (STEM) majors, by student and institutional characteristics: 2003–04 and 2007–08—Continued

Student and institutional characteristics	2003–04			2007–08			Change between 2003–04 and 2007–08		
		All Pell Grant STEM majors			All Pell Grant STEM majors			All Pell Grant STEM majors	
	All Pell Grant undergraduates	Total	Percent of all Pell Grant undergraduates	All Pell Grant undergraduates	Total	Percent of all Pell Grant undergraduates	All Pell Grant undergraduates	Total	Percent of all Pell Grant undergraduates
Dependency status									
Dependent	2,166,000	354,000	16.3	2,410,000	379,000	15.7	244,000	25,000	-0.6
Independent	3,014,000	360,000	12.0	3,309,000	371,000	11.2	295,000	11,000	-0.7
Total income level									
Dependent									
Less than $30,000	1,408,000	229,000	16.3	1,458,000	225,000	15.4	50,000	-4,000	-0.9
$30,000–$59,999	722,000	117,000	16.3	933,000	152,000	16.3	211,000	35,000	0.0
$60,000–$99,999	36,000	7,000	19.1	20,000	2,000	12.4	-16,000	-5,000	-6.7
Independent									
Less than $10,000	1,200,000	160,000	13.4	1,322,000	175,000	13.3	122,000	15,000	-0.1
$10,000–$29,999	1,389,000	150,000	10.8	1,418,000	142,000	10.0	29,000	-8,000	-0.8
$30,000 or more	424,000	50,000	11.8	569,000	54,000	9.5	145,000	4,000	-2.4
Grade point average									
Less than 3.00	2,550,000	368,000	14.4	2,755,000	359,000	13.0	206,000	-8,000	-1.4 *
3.00 or more	2,628,000	346,000	13.2	2,944,000	389,000	13.2	316,000	43,000	0.0

* Indicates that the change was statistically significant at the .05 level.

[a] "Other" includes American Indian or Alaska Native, Native Hawaiian/other Pacific Islander, more than one race, and other.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2003–04 and 2007–08 National Postsecondary Student Aid Studies (NPSAS:04 and NPSAS:08).

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APPENDIX G

Estimating the Impact of Expanded Eligibility for the ACG and National SMART Grant Programs

Using data from the Beginning Postsecondary Students Longitudinal Study (BPS:2003/04) and the National Postsecondary Student Aid Study (NPSAS:04) , Tables G-1 and G-2 show how the changes in the eligibility requirements mandated by HR 5715 change the estimates of how many students would be eligible for ACG and National SMART Grants. The estimates are only approximate, because the data do not allow precise matching with ACG and National SMART Grant eligibility criteria.

ACG Eligibility

Under both the original and expanded eligibility criteria, ACG recipients had to be recent high school graduates, Pell Grant recipients, and complete a rigorous high school program. HR 5715 expanded eligibility to include students who were permanent residents, who enrolled at least half time, or who enrolled in certificate programs at degree-granting institutions.

Expanding the program to include permanent residents increased the proportion of recent high school graduates who met the citizenship-related criterion from 96 to 99 percent (Table G-1). Including students in certificate programs at 2- or 4-year institutions increased the potentially eligible proportion from 88 to 90 percent, and including students enrolled at least half time increased the percentage from 82 to 97 percent. Considering all the eligibility criteria together produced an estimate of 325,000 under the expanded criteria compared with an estimate of 282,300 under the original criteria, an increase of 15 percent. Including students who enrolled less than full time had the largest impact on the increase.

National SMART Grant Eligibility

Under both the original and expanded eligibility criteria, National SMART Grant recipients had to be a Pell Grant recipient, enroll in an eligible major, and maintain a 3.0 GPA in course work required for their major. Under HR 5715, eligibility for a National SMART Grant was expanded to include permanent residents, students who were enrolled at least half time, and students who were in their fifth year of a five-year degree program. The NPSAS data do not allow determination of how many fifth-year students there were in five-year programs, but just 1 percent of actual National SMART Grant recipients were in this category.

Expanding the program to permanent residents increased the proportion of third-year and above undergraduates who would have been potentially eligible for a National SMART Grant from 94 to 98 percent (Table G-2). Including students enrolled at least half time increased the proportion from 69 to 96 percent. The net effect of both changes was to increase the estimate of the number of potentially eligible students from 75,800 to 111,900, a 48 percent increase. As in the ACG program, including students who enrolled less than full time had the largest impact on the increase.

Table G-1. Beginning postsecondary students who met various ACG requirements: 2003–04

Original requirements established by the Higher Education Reconciliation Act of 2005 (effective July 2006)	2003–04	Requirements as modified by HR 5715 (effective July 2009)	2003–04
Total number of beginning postsecondary students who were recent high school graduates[a]	2,407,300	Total number of beginning postsecondary students who were recent high school graduates[a]	2,407,300
Percent who:		Percent who:	
Received Pell Grants	30.6	Received Pell Grants	30.6
Were U.S. citizens	95.8	Were U.S. citizens or permanent residents	99.3
In associate or bachelor's degree programs	88.5	In associate or bachelor's degree programs or in certificate programs at 2- or 4-year institutions	90.1
Enrolled full-time	82.3	Enrolled at least half-time (including those with "mixed" enrollment intensity over the course of the year)	96.7
Completed the ED course-based high school curriculum[b]	56.3	Completed the ED course-based high school curriculum[b]	56.3
Percent who:		Percent who:	
Received Pell Grants	30.6	Received Pell Grants	30.6
And were U.S. citizens	28.8	And were U.S. citizens or permanent resident	30.6
And were in associate or bachelor's degree programs	24.3	And were in associate or bachelor's degree programs or in certificate programs at 2- or 4-year institutions	26.6
And attended full-time	21.6	And at least half-time (including those with "mixed" enrollment intensity)	26.4
And completed the ED course-based curriculum	11.7	And completed the ED course-based curriculum	13.5
Number of potential first-year ACG recipients[c]	282,300	Number of potential first-year ACG recipients[d]	325,200

[a] Recent high school graduates refer to those who graduated no earlier than January 2003.

[b] Refers to a high school curriculum that includes at least four years of English, three years of mathematics, three years of science, three years of social studies, and one year of a language other than English. The levels of these courses are unknown. This definition corresponds as closely as possible to the requirements under the ED course-based high school program, but because it does not take into account the level of the courses, these percentages will be overestimates.

[c] Students who were U.S. citizens, received Pell Grants, enrolled full-time, and completed a rigorous high school curriculum.

[d] HR 5715 (effective July 2009) expanded ACG eligiblity to include: (1) non-citizens who were permanent residents; (2) students enrolled at least half time; and (3) students in certificate programs in degree-granting institutions.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1996/01 and 2003/04 Beginning Postsecondary Students Longitudinal Study (BPS:2003/04).

Table G-2. Third-year and above undergraduates in bachelor's degree programs who met various SMART requirements: NPSAS 2003–04

Original requirements established by the Higher Education Reconciliation Act of 2005 (effective July 2006)	2003–04	Requirements as modified by HR 5715 (effective July 2009)	2003–04
Total number of third-year and above students in bachelor's degree programs	5,010,381	Total number of third-year and above students in bachelor's degree programs	5,010,381
Percent who:		Percent who:	
Received Pell Grants	26.1	Received Pell Grants	26.1
Were U.S. citizens	93.7	Were U.S. citizens or permanent resident	98.1
Enrolled full time	68.6	Enrolled at least half-time (including those with "mixed" enrollment intensity over the course of the year)	95.8
Had GPA of 3.0 or above	57.0	Had GPA of 3.0 or above	57.0
In SMART Grant–eligible majors[a]	18.2	In SMART Grant–eligible majors[a]	18.2
Percent who:		Percent who:	
Received Pell Grants	26.1	Received Pell Grants	26.1
And were U.S. citizens	24.3	And were U.S. citizens	26.1
And attended full time	17.8	And at least half-time (including those with "mixed" enrollment intensity)	26.0
And had GPA of 3.0 or above	9.4	And had GPA of 3.0 or above	13.5
And were in SMART Grant–eligible majors[a]	1.5	And were in SMART Grant–eligible majors[a]	2.2
Number of potential SMART recipients[b]	75,800	Number of potential SMART recipients[c]	111,900

[a] SMART Grant–eligible majors are based on 46 aggregated field of study categories; actual CIP Codes were not available.

[b] Third- and fourth-year students who were U.S. citizens, received Pell Grants, enrolled full time, and were enrolled in eligible majors.

[c] HR 5715 (effective July 2009) expanded SMART Grant eligiblity to: (1) non-citizens who were permanent residents; (2) students enrolled at least half time; and (3) fifth-year students in a five-year bachelor's program.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2003–04 National Postsecondary Student Aid Study (NPSAS:04).

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