University Innovation Alliance to Enhance Access and Success at Public Research Universities

VISION AND PROSPECTUS

A working document to support planning and launch of the University Innovation Alliance.

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INTRODUCTION

The value of a college degree is as high as it has ever been, and not just for white collar professionals. More jobs than ever before, across a variety of sectors and at varying levels of experience, now require a postsecondary degree. Yet despite the rising value of a college education, the United States is for the first time losing its lead in producing college graduates, raising serious concerns about the nation's future prosperity and the economic mobility of millions of Americans.

By 2018, 63% of all U.S. jobs will require postsecondary education[1] — 22 million more college-educated workers than we have today. Unfortunately, the country is on track to produce only 19 million graduates, a shortage of 3 million highly educated workers. By 2025, that gap will grow to 16 million. [2]

By failing to produce enough graduates, our nation is failing to capitalize on its economic potential. In 2008, McKinsey & Company reported that the education achievement gap cost between $1.3 trillion and $2.3 trillion in lost gross domestic product because "American workers are, on average, less able to develop, master and adapt to new productivity-enhancing technologies."[3]

The consequences are also felt on a personal level. The poverty rate for Americans 25 years and older with no college (13.1%) is three times higher than the rate for those with at least a bachelor's degree (4.1%).[4] If we hope to narrow income inequality and reinvigorate economic mobility, we must improve college graduation rates.

The need is particularly acute for students from low-income families and minorities. While 12% of first-time dependent college students nationally in 2003-04 were from families in the lowest income quintile[5] only 6% of bachelor's graduates in 2007-08, and just 5% of graduates from public research universities[6] were from the bottom quintile. By contrast, 46% of public research university graduates were from families in the top 20% of the income distribution.

In addition, only about 1 in 5 African Americans and Latinos aged 25-34 have earned any kind of postsecondary credential. The US population is expected to increase by 56 million between 2000 and 2020, and of those, 46 million will be members of minority groups. As a whole, ethnic

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[1] Carnevale, Anthony, Nicole Smith, and Jeff Strohl. "Help Wanted: Projections of Jobs and Education Requirements Through 2018." DC: The Georgetown University Center of Education and the Workforce. Web. 09. Mar.2011

[2] Matthews, Dewayne, "A Stronger Nation Through Higher Education", Lumina Foundation for Education, Inc., February 2009

[3] Source: "Postsecondary Success." *The Bill & Melinda Gates Foundation.* Web. 09 Mar. 2011

[4] U.S. Census Bureau, 2008-2012 American Community Survey.

[5] National Center for Education Statistics, Beginning Postsecondary Students 2008-09 Survey

[6] National Center for Education Statistics, Baccalaureate and Beyond 2008-09 Survey

minorities are expected to make up the majority of the US population by 2043, while the under-18 population group will reach a non-white majority in just five years.

If colleges and universities are unable to find a way to increase the rate at which these groups earn postsecondary credentials, many young people will suffer bleak job prospects and lower incomes and our nation as a whole will see its economic potential shrink.

While all postsecondary institutions have a role to play in raising college graduation rates, research universities in particular can be leaders in improving social and economic mobility in three ways: by serving a large proportion of low-income students; by modeling for other institutions the practices and commitment necessary to succeed; and by applying intellectual and research capacity to the issue, as they do to other significant social and scientific challenges.

University Innovation Alliance Members

Arizona State University, Michael M. Crow
Georgia State University, Mark Becker
Iowa State University, Steven Leath
Michigan State University, Lou Anna K. Simon
The Ohio State University, Michael Drake
Oregon State University, Edward J. Ray
Purdue University, Mitchell E. Daniels, Jr.
University of California-Riverside, Kim A. Wilcox
University of Central Florida, John C. Hitt
University of Kansas, Bernadette Gray-Little
University of Texas-Austin, William Powers, Jr.
California State University System Office (Observer)

The University Innovation Alliance will accelerate and coordinate a first-of-its-kind effort by large public research universities to improve the educational attainment and the economic prospects of low-income students.

While university administrations are aware of the problems facing higher education and many have developed and piloted creative solutions, interventions until now have been costly and duplicative, and essential lessons have not been widely shared across institutions. The University Innovation Alliance will take a new approach. By surmounting deeply rooted cultural and societal obstacles to collaboration, we will put our resources to best use for our students. By learning to work together, we will innovate swiftly to meet the future needs of our nation.

This concept paper presents the shared vision of the 11 large American public research universities that make up the Alliance and an ambitious prospectus for how we intend to work collectively to reshape the future of higher education. **Our vision is that by piloting new interventions, sharing insights about their relative costs and effectiveness, and scaling those interventions that are successful, we will significantly increase the number of low-income Americans graduating with quality college degrees and that, over time, our collaborative work will catalyze systemic changes in the entire higher education sector.**

UNIVERSITY INNOVATION ALLIANCE (UIA) OVERVIEW

The University Innovation Alliance is designed, organized, and led by our institutions' presidents and chancellors. Together, we draw from every region in the country and span the spectrum of U. S. public research universities, from emergent institutions to land grant universities and state flagships. Our institutions serve our respective regions and the nation by conducting transformational research, fueling innovation and economic growth, and graduating students poised to address critical needs for a productive, creative workforce. We are committed to the belief that a defining element of our public mission is to make high-quality, empowering college

degrees accessible to a diverse body of students at a cost that working and middle class families can afford.

Because we serve large numbers of first-generation, low-income students — the group lagging farthest behind in earning college degrees — we are at the forefront of America's race to regain its educational edge and increase economic opportunity and mobility. Each of our universities has been recognized for aggressively driving innovations to serve more students with quality programs at sustainable cost.[7] Now we will work together to leverage our experience and strengths and maximize our impact.

This is the first time a group of large public research universities has self-organized across state and conference lines specifically to test and scale solutions to problems of access and graduation in higher education. The UIA's primary objective is to improve student outcomes by acting as an innovation cluster that develops and tests new initiatives, shares data, and scales best practices across the Alliance and beyond. In testing our initiatives, we will publicly set metrics by which to measure our progress.

Making sure our innovations are scalable is critical. Ultimately, we want other institutions to adopt, adapt, and refine UIA innovations, or be inspired to develop great solutions of their own that will be shared. Beyond enhancing our own institutions, UIA members aspire to invigorate efforts in all colleges and universities to produce the better-educated workforce our nation must have to ensure continued prosperity for Americans.

WHAT DISTINGUISHES ALLIANCE MEMBERS?

The UIA is particularly well positioned to advance this project, in part because we represent the demographic, geographic, and economic diversity of our country. Each Alliance institution has a history of national service and an egalitarian commitment to the social mobility of our students.

Representing 20% of the student population at large research universities, our 11 universities are experienced in scaling innovations from small pilots to university-wide programs serving large and diverse student populations.[8] Our shared commitment to develop scaling methods for higher education, coupled with our willingness to partner and share information, makes UIA members uniquely suited to test and develop strategies that can be implemented nationwide.

Our student bodies include higher-than-peer-average percentages of the diverse students whose outcomes higher education urgently needs to improve. Of the 100 Carnegie "Research University-Very High" institutions in the U.S., only five have had higher African American graduation rates than white graduation rates for the past four years combined – and three of those five are members of the UIA. Likewise, the UIA includes several of the top-performing universities in the country that have minimized Latino-white gaps in graduation rates, and two UIA member institutions are in the top ten for conferring doctoral degrees to Native American students across all disciplines.[9,10] We enroll a higher percentage than other research institutions of transfer students; full-time, first-time

[7] Four of the universities heralded as national models in the New America Foundation's May 2013 report *The Next Generation University*[7] are participating in this initiative.
[8] Integrated Postsecondary Education Data System
[9] Six-year graduation rates for the 2003 to 2006 freshmen cohorts combined, compiled from NCAA Federal Graduation Rate reports: http://fs.nceaaa.org/Docs/newemedia/public/rates/INdex.html. Excludes a handful of cases with samples under 100 (e.g. California Institute of Technology).
[10] Diverse: Issues In Higher Education. "Top 100 Producers of Minority Degrees 2013." http://www.diverseeducation.com/top100/.

undergraduates receiving Pell grants; and students age 25 and over. The Alliance includes individual institutions that vary greatly with regard to these characteristics, and vary as well with regard to graduation rates, which range by institution from 51% to 82%. Sharing data and fielding innovations across this diverse grouping of universities will afford us the opportunity to discover strategies adaptable to a broad range of institutions.

In addition to our common goal of improving outcomes for low-income students, each institution will set goals appropriate to its state and region. The Alliance will also contribute to the national higher education discussion by developing appropriate common metrics that improve the measurement and reporting of low-income student progress and completion.

The Alliance's unique commitment to cross-institutional collaboration and sharing responds directly to two challenges currently presented by the broader higher education landscape:

> **1. Competition discourages collaboration.** The competitive environment of higher education makes it challenging for universities to collaborate in the midst of a virtual race for faculty, students and research funds. We believe this competition, while healthy, can impede our ability to achieve collective impact, diffuse innovation, and drive needed changes in higher education. We are confident that we can accelerate the progress of higher education if we combine our intellectual resources and learn and innovate together, rather than working alone.[11]
>
> **2. Current structures encourage exclusivity**. Competitive evaluation metrics place a premium on maintaining exclusivity rather than broadening access and prioritizing student success. We reject the premise that a university cannot simultaneously expand access and pursue excellence. While specific strategies and interventions individual institutions elect to focus upon will vary, we are committed to working together to increase enrollments of racially and economically diverse student populations while enhancing the excellence of teaching, research and student learning on our campuses.

As a federation of universities committed to collective change, the UIA has the potential to balance healthy competition with shared progress, "raising the game" of all the institutions in higher education. By testing solutions together, and carefully measuring and sharing results, the UIA will be able to tell the nation "what works" with a unique level of confidence. Moreover, the innovations we pilot will be more scalable than most because they will be tested with multiple populations in varied settings.

PROJECT ADMINISTRATION & WORK STREAMS

The project will be led and championed by the presidents of UIA member institutions. The presidents will select a UIA Executive Director to facilitate the initiative on a day-to-day basis and support activities on all campuses. The UIA Executive Director will have appropriate administrative and research support provided through the project which may include administrative support or graduate research assistants. Each campus will also designate a liaison for the project who will serve as a primary point of contact for the initiative with the appropriate faculty or staff who

[11] Research by Kania and Kramer (Kania, J. & Kramer, M. (Winter 2011). Collective Impact. *Stanford Social Innovation Review, 63.*) suggests complex problems yield to solution more quickly when organizations push beyond individual initiatives and adopt a "collective impact" approach. Similarly, theorists of innovation diffusion stipulate that trusting communication networks are crucial in spreading the adoption of new ideas (Rogers, E.M. (2003). *Diffusion of innovations* (5th ed.). New York: Free Press.).

manage relevant interventions and initiatives on his or her campus and form ad-hoc working groups to complete various tasks throughout the life of the project.

In addition, the Alliance will establish the UIA Fellowship Program, through which competitively selected professionals may be embedded within participating UIA institutions for the purpose of supporting relevant projects on the campus and assisting with communications and dissemination of ideas among UIA campuses. Drawing from the successes and examples of various higher education fellowships, UIA Fellows will be early career administrators, policy makers, analysts, researchers, communicators, writers, or other potential leaders in the big ideas and real program-building processes that can transform higher education institutions. The UIA seeks through these fellowships to build a pipeline of university leadership trained in developing and sustaining innovation in higher education.

We will engage in a series of three structured and distinct categories of work over the next three to five years:

- **Identifying New Solutions**: This work stream will identify and verify the effectiveness of new methods of improving student success rates;
- **Scaling Proven Innovations**: This work stream will take innovations already showing good results on one campus and transfer them to other interested campuses, with the goal of developing an innovation transfer model that can be used throughout higher education;
- **Communication and Diffusion**: This work stream will allow the UIA to bring our experiences, results, and recommendations to the broader higher education sector, policy leaders, and the general public as we share and promote good ideas.

We intend to achieve our ambitious goal of increasing graduation rates among low-income students through these streams of work, and through rigorous evaluation to study how the UIA functions as an innovation process — the effectiveness of its collaborative model; challenges and insights that emerge throughout the process; barriers to working together; and solutions for overcoming them. The level of institutional involvement in specific UIA projects or initiatives will be determined by the campus leadership in response to the local context, priorities, and diversity of activities on each campus.

Category I: Identifying New Solutions

As a national innovation cluster, UIA institutions will identify promising and innovative interventions to advance the goal of graduating more diverse and low-income students. These innovations will address challenges common to UIA institutions (and likely experienced by institutions outside the Alliance as well).

Problem-specific working groups will be assembled to lead the innovation process around specific thematic challenges. The members of each problem-specific group will work on their campuses and with each other together to identify innovative solutions that are promising for addressing these challenges. Outside consultants may be brought in to help design and implement interventions. Specific interventions will then be implemented on participating UIA campuses with ongoing communication and benchmarking to monitor processes and results across these campuses, with the goal of refining the interventions and the implementation process so that they can be introduced to the broader public and serve as open-source solutions that other institutions can draw on to solve similar problems.

In addition to helping campuses solve challenges that stand in the way of increasing student success, the Identifying New Solutions work stream will give university officers and employees the opportunity to engage in "blue sky" thinking about their own offices, campus systems and processes, and the broader higher education space. We believe this will result in stronger engagement and passion among university officials and increase the quantity and the quality of new ideas that university presidents can champion on their campuses and across the higher education sector.

Category II: Scaling Proven Innovations

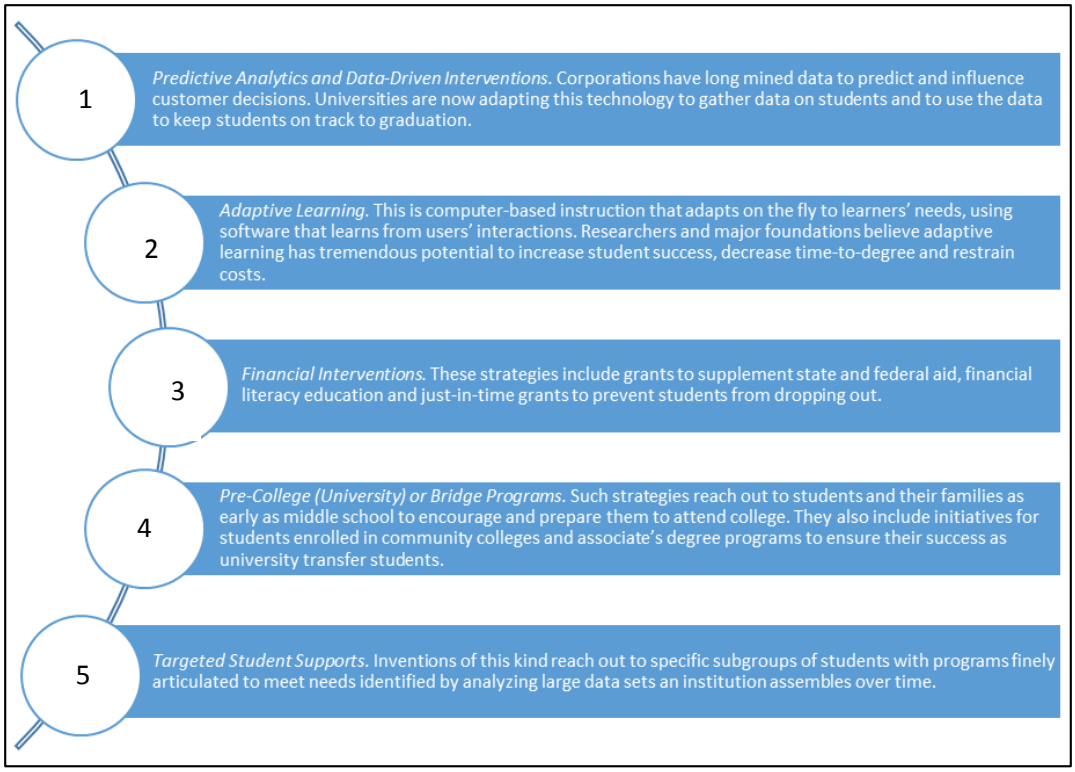
Scaling an innovation up from a smaller to a larger institution or duplicating it in a new context is a well-recognized challenge that can hinder broad adoption of successful new ideas. The UIA will provide valuable insight into how to scale more effectively and thus expand the reach of promising innovations.

UIA institutions are already engaged in a number of innovative projects that have been tested and are proving to be effective at increasing low-income students' progression, success, and completion rates on their home campuses. (These innovations generally fall into the five focus areas included in the graphic below, and a matrix of all ongoing projects can be found in the appendix). However, incentives and structures do not currently exist to allow promising innovations to be scaled to other campuses. By scaling existing, proven innovations, the UIA will develop a pilot mechanism that enhances universities' ability to collaborate and hasten innovation for less money, with less duplication and fewer wrong turns. The UIA collaboration will more rapidly test ideas and provide solid data to guide the broader implementation of effective strategies and elimination of ineffective ones.

Our expectation is that each Alliance member will select and participate in at least one scaling project to participate in a role of their choosing, and each scaling team will comprise representatives of three or more universities.

Scaling Process: UIA members interested in testing a project will sign on as either coaches or test sites. For example, University X may have a minority retention program that universities A and B would like to try. University X might be the "coach" on the project, and universities A and B the test sites. Alternatively, a number of UIA members might elect to test a new innovation of their own collaborative design or one drawn from outside the UIA. In this case, a member with strong performance in the program area of the innovation might serve as the coaching institution.

Scaling Evaluation: Scaling teams from the participating universities will create a research design for each demonstration project and submit IRB applications or revisions as appropriate. Based on data-sharing agreements executed by all UIA members, scaling teams will establish performance metrics, supply baseline data, and create a plan for piloting the innovation at the test sites. Evaluation teams assembled and supported by the UIA Executive Director, which may include external consultants or researchers from UIA universities not participating in the project at hand will monitor, gather, and assess data and develop an evaluation report. This will measure the impact of the intervention at an intra-UIA level. These reports will be submitted to the UIA Executive Director, UIA presidents and chancellors.



Category III: Communication and Diffusion

As new solutions are identified and proven innovations are scaled successfully, results will be disseminated in professional journals, at conferences, through the media, and through other appropriate channels. The goal of the Communication and Diffusion process is to give innovative ideas the energy to break through the traditional silos that prevent ideas from being shared outside of conferences. We will encourage practitioners around the country to learn about, adapt, apply, and utilize innovations on their own campuses – and then discuss their successes and experiences with still more audiences.

The UIA Executive Director, the designated UIA liaisons on each campus, and the UIA Fellows will take the day-to-day lead in disseminating the results of the Alliance's work, however UIA presidents and chancellors will be the highest-profile advocates of both individual innovations and effective scaling models. One planned presidential initiative is to take the lessons learned in crafting new solutions and scaling existing innovations and use them to develop a "playbook" of evidence-based, proven innovations that can be implemented by colleges and universities outside the UIA network and can inform funders and policy makers. By making these innovations publicly available and customizable, the UIA will ensure that the long-term benefits of the project are shared and regenerated for maximum impact.

UIA member presidents will also leverage their status as trusted innovation experts to identify additional initiatives beyond the Alliance's target innovations that allow the members to pursue and drive sector-level solutions. Two examples will help to illustrate:

1) UIA leaders recently submitted an experimental site proposal proposing two programs focused on improving four-year completion via incentivized Pell grant structures, offering the UIA as a potential pilot test site. This is an example of how collective guidance from

innovative universities to external policy makers can enhance the policy arena for higher education more broadly.

2) Multiple UIA institutions will participate in the Gallup-Purdue Index. The largest survey of college graduates in U.S. history, this partnership of the Gallup polling organization and UIA member Purdue University will measure the long-term impact of a college degree on graduates' attainment of "great jobs" and "great lives." It will measure college graduates' well-being in five key dimensions: purpose, social, physical, financial, and community.

Participation in the Index will enable Alliance institutions to discover many issues related to the success of their students and graduates. This research design is unprecedented in U.S. higher education history, and has the potential to yield important insights for higher education.

OUTCOMES

This collaboration aims to produce outcomes at multiple levels:

- **Improvements in student success.** Alliance members commit to tracking the success of low-income students and significantly improving rates of progress and graduation. No other group of higher education institutions has a comparable commitment to collectively tracking student progress by income level, so the work of the Alliance will include the establishment and refinement of measures and goals that set a strong example for the broader higher education community.

  Expected Outcomes

  As a demonstration of commitment to the University Innovation Alliance, institutions have already established initial baseline data and goals for progress. These metrics, which go beyond what is normally collected and reported publicly, include historical data and goals (with and without University Alliance participation) for baccalaureate degree production and undergraduate retention and progression for all undergraduates as well as for low-income students. Please see the appendix for the complete list of metrics collected and a summary of the provided data.

  Expected Outcome #1: Numbers of baccalaureate degree awards are expected to increase, particularly awards to low-income students.

  UIA institutions project that annual degree awards will increase by nearly 5% within ten years, relative to current trend projections. The result will be a total gain of more than 3,300 degrees per year, more than half of which will be awarded to low-income students.

  If the example of the Alliance leads to similar gains across the rest of postsecondary education, the result would be an improvement of more than 40,000 additional degrees each year.

  Expected Outcome #2: The proportion of baccalaureate degrees awarded to low-income students will increase.

  Participation in the UIA will help increase the proportion of baccalaureate degree awards to low-income students from 27% in 2012-13 to 30% by 2022-23.

  Expected Outcome #3: Progress rates will improve for all students, and the gap between rates for the overall freshmen population and low-income students will close more rapidly.

The impact on bachelor degree attainment will take a number of years to realize, but institutions will track changes in intermediate benchmarks that will provide timely indicators of institutional progress.

With UIA participation, for example, rates of annual progress (e.g. from freshman to sophomore, sophomore to junior, and junior to senior status, or similar benchmarks) are expected to improve on average by more than two percentage points over the current 10-year trend projection. The compounding effects of small improvements in progress rates at each class level will accumulate to a larger impact on total numbers of graduates.

Measuring progress in this way is already an innovation for the Alliance. Standard, publicly-reported measures of first-year retention (which members will also track and seek to improve) do not capture whether students are moving toward the goal of graduation—just whether they re-enroll after their freshman year. The standard retention measure also fails to capture the full trajectory of a student's path to graduation, and it doesn't disaggregate by students' economic background. By using more sophisticated measures Alliance institutions will add an important tool to the resource kit for the UIA's own work and perhaps set a new measurement standard for the larger community of bachelor's degree-granting institutions.

Expected Outcome #4: Transfer retention and progress rates will improve.

While the current retention rate gap between the overall population and low-income population is less pronounced in transfer students than freshmen, UIA participation is still expected to improve the rate for both groups of students, and continue to close the gap between the two groups. Based on the reported goals for eight UIA institutions, the average transfer retention rate will improve by about 1.8% for all transfers and 2.4% for low-income transfers in ten years. Transfer student success is another area in which common public measures are inadequate and the Alliance intends to develop, use and model for the broader community a set of clear and appropriate metrics.

- **Tested innovations.** The UIA's work will produce three to five thoroughly documented innovations to increase access and attainment that universities nationwide can study, adopt and adapt to their own contexts. Our outputs will include a detailed implementation model of each innovation and an open source method of continual improvement of each innovation.
- **Model for university scaling and collaboration.** In addition to research and evaluation related to specific innovation clusters, an external evaluation team will closely study the activities of the UIA over the three to five years of the project. The evaluators will document processes, obstacles, solutions and lessons from this novel collaboration. In addition, the UIA will consider using grant funds to contract with a nationally recognized higher education journalist to observe our work and tell our story to the national public.
- **Lessons in scaling.** A designated team of researchers from both inside and outside the Alliance will work with the UIA's innovation clusters to observe and document the processes of expanding our three to five innovations within and among our institutions. The team's output will include a report that details — at both the closest operating levels and leadership levels — the challenges of scale-up and the effectiveness of various solutions. We believe this report will be the closest, most transparent study of the scaling process ever seen in higher education.
- **Long term impact of university interventions.** Participating UIA institutions may work with the Gallup organization to produce a report that describes what we learn in studying linkages

between interventions students experience in their undergraduate years and their long-term well-being.

- **Talent pipeline and leadership development program**. The network of campus liaisons and Alliance Fellows will provide a cohort of individuals who will develop and apply new connections between research, leadership principles and technology to improve educational practices across the country.
- **Recommendations for national policy**. In the course of our work, UIA members will naturally develop fresh perspectives on national policies that affect student access and degree attainment. The UIA presidents will designate a cross-institutional team to produce a report that articulates those perspectives and makes recommendations for national policy makers. Utilizing the Alliance presidents as leading advocates and educators, we will present our findings and recommendations in top-level public and policy venues, and through the media.

GOVERNANCE

The governing board of the UIA will be comprised of the 11 university presidents or chancellors, or their delegates. Presidents or their designees will meet four times per year (half in person, half by teleconference or video-conference) to make UIA decisions, report progress, brainstorm and connect. Where possible, meetings will align with other national postsecondary meetings, taking advantage of travel and schedule opportunities. Leadership of the UIA is provided by a 5-person executive leadership team with rotating chair, vice chair, and past chair.

Separate from the presidents' meetings, campus liaisons and peers from each working group may also hold up to six meetings per year.

The UIA will maintain a very light administrative structure. Central staff for the Alliance will include the full time UIA Executive Director, support from a program assistant, and graduate research assistants supported by the project. The UIA Executive Director will support and facilitate each campus's involvement in the Alliance; provide logistical support for the UIA operations; provide leadership and assistance in research design and project development; manage consultants; and coordinate communication among campus liaisons and Alliance Fellows. In addition, the UIA Executive Director will act as an ambassador for the consortium, and promote the goals and objectives of the Alliance through planning, development, and communications strategies.

Campus liaisons will be supported through a matching funds program within the UIA (institutions contribute personnel costs responsive to the proportion of their UIA time allocation, matched by UIA grant funding). While campus liaisons will continue to report directly to their institution's leadership, they will work closely with the UIA Executive Director, who will support their activities and provide central coordination and logistical support for UIA meetings and communications.
To assist with the various projects, the UIA will utilize expert consultants to advance, support, and complete a variety of tasks, including:

- assisting the UIA staff with project management and supporting the day to day campus work as well as supporting the strategic vision and charge;
- collecting and analyzing data and producing reports and other content for the member institutions and for broader audiences, using the key student success indicators described above;
- working with institutions to facilitate the sharing and scaling of identified innovations;
- designing and implementing the evaluations discussed above;

- advising about communication and advocacy strategies;
- developing metrics to be used by institutions throughout the project.

PROJECT EVALUATION

To probe the effectiveness of the UIA structure and process, the project will use grant funds to hire an external evaluator to conduct formative and summative assessments. The evaluator will make presentations and reports to UIA presidents on a quarterly basis and produce a final report for funders. We anticipate this report may provide content for a substantial article that can be tailored for academic, policy and public audiences.

As practicable, the external evaluation team will compare the results of each demonstration project against other universities operating alternative interventions in the same areas of innovation. So, if Coach University X and Test Site universities A and B pilot Innovation C to increase minority student retention in the sciences, the evaluator will compare their outcomes to those of universities using different interventions to achieve the same effect. This will help measure the impact of the innovation against the broader higher education environment.

COLLECTIVE AGREEMENT

As members of the University Innovation Alliance, we are committed to the ideals that higher education is a public good and that high-quality affordable college degrees should be accessible to a diverse body of students. We enthusiastically affirm our commitment to significantly increase the number of low-income Americans graduating with college degrees and, over time, to broadly improve U.S. higher education through innovation, collaboration, and the dissemination of best practices.

Michael M. Crow
President, **Arizona State University**

Mitchell E. Daniels, Jr.
President, **Purdue University**

Mark P. Becker
President, **Georgia State University**

Kim A. Wilcox
Chancellor, **University of California-Riverside**

Steven Leath
President, **Iowa State University**

John C. Hitt
President, **University of Central Florida**

Lou Anna K. Simon
President, **Michigan State University**

Bernadette Gray-Little
Chancellor, **University of Kansas**

Joseph A. Alutto
Interim President, **Ohio State University**

William Powers, Jr.
President, **University of Texas-Austin**

Edward J. Ray
President, **Oregon State University**

Collective Agreement Addendum

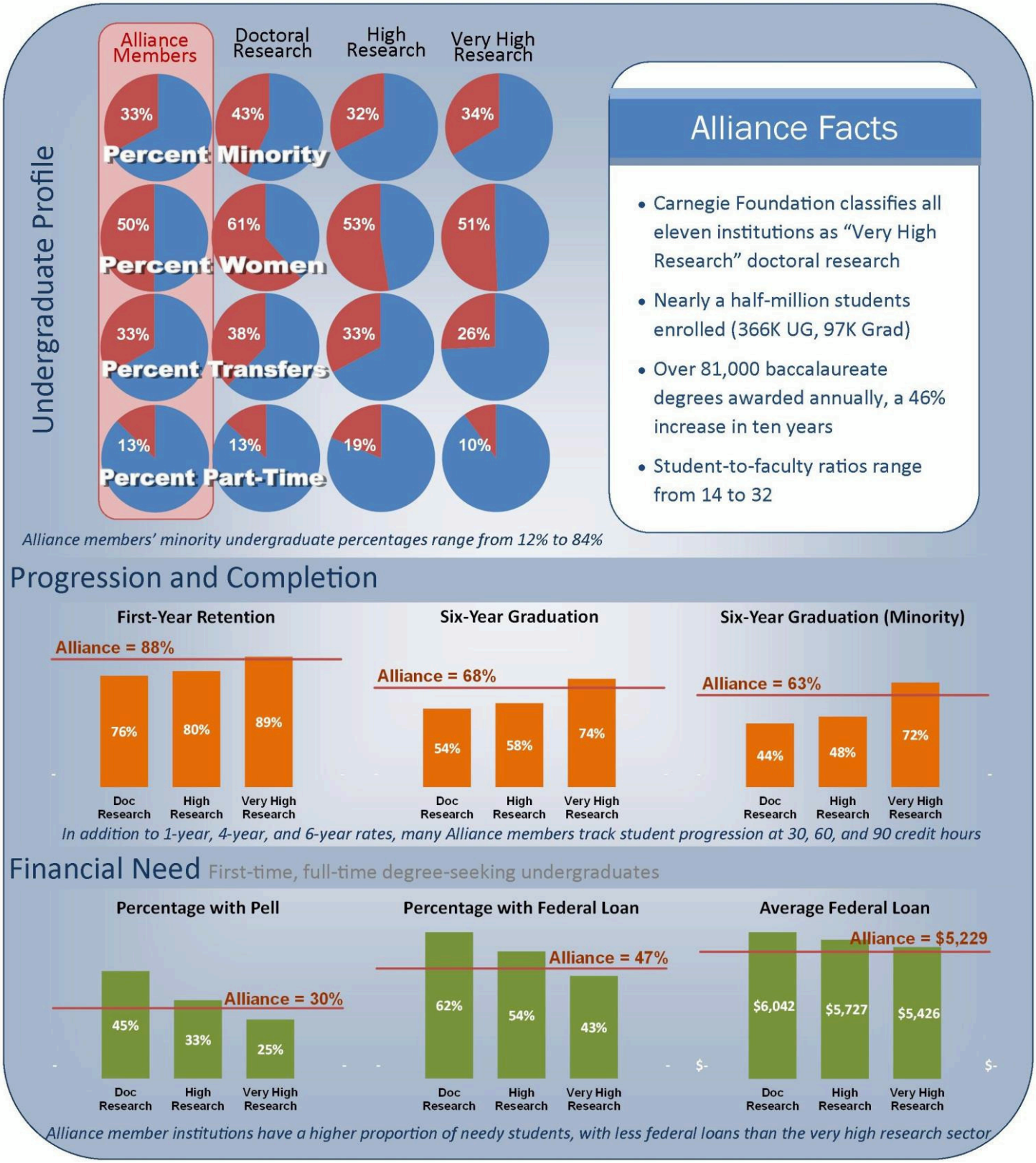
On June 30, 2014, Michael V. Drake was affirmed as the 15th president of The Ohio State University, replacing Joseph A. Alutto who had been serving in the capacity as interim president. His signature to the agreement is included below:

As a member of the University Innovation Alliance, I am committed to the ideals that higher education is a public good, and that high quality affordable college degrees should be accessible to a diverse body of students. I enthusiastically affirm my commitment to significantly increase the number of low-income Americans graduating with college degrees and, over time, to broadly improve higher education through innovation, collaboration, and dissemination of best practices.

Michael V. Drake
President, **The Ohio State University**

APPENDIX

University Innovation Alliance Summary Statistics



University Alliance Data Sharing Guiding Principles

University Alliance member institutions agree that data sharing will be an aspect of the University Innovation Alliance relationship, consistent with applicable federal and state requirements including the federal Family Educational Rights & Privacy Act, to the extent that it supports the work of the Alliance and provides a means by which to evaluate and communicate the success of institutional innovations.

- **External data:** Metrics will be used to publicly describe the innovation-sharing activities of the Alliance and their successful outcomes. External data will not be presented in a "comparison" format. Rather, they will be presented in a "case-study" format as supporting evidence for specific initiatives' outcomes.
- **Internal data:** Data will be shared internally among member institutions as appropriate to assist in identifying best practices and to conduct cohort studies related to the evaluation of specific Alliance activities.
- A data sharing governing document will be developed to clarify the level of aggregation the institutions agree to supply and which cases require a separately negotiated data sharing agreement. It will also address legalities regarding state and federal freedom of information for public records as well as student privacy.

External Data
Publicly describing University Alliance innovation-sharing activities

UIA member institutions represent an array of student profiles, driven by various surrounding demographics as well as varying degrees of admissions selectivity. Therefore, aggregation of productivity or student demographic metrics may not fully communicate how our innovation-sharing activity contributes to the national completion agenda. External data should instead characterize the individual profiles of UIA institutions, as well as convey the student-focused purpose of the Alliance relationship. For example, an external data metric may focus on the success of a particular program at one institution that will be replicated at another institution. *Potential metrics/data sources to be used are listed in an appendix.*

Internal Data
Identifying and evaluating best practices

Once innovations are identified at each institution, we need to determine an appropriate set of evaluation measures should that program be replicated elsewhere. Will there be large-scale student data sets, student cohort studies, specific course outcomes, or others? Even though the specifics of this data work are still to be determined, it is important that participating institutions agree to be responsible for collecting and reporting this type of data, and to submit or revise IRB applications as appropriate.

As a starting point, a short set of focused metrics related to student success is proposed. This includes defining specific student groups of interest (low income, under-represented minorities, or other specific sub-groups). A common definition for academic preparedness can stratify students into comparable bands. Sharing trend data under these common definitions will allow us to determine which institutions have achieved results in moving these student groups toward academic success.

Customized data definitions developed specifically for internal analytical purposes may be very useful in identifying where institutions are achieving success. This data may help inform the determination of which programs should be considered as candidates for implementation at other institutions. *Potential metrics/data sources to be used are listed in an appendix.*

Appendix: Annotated Outline of Potential University Alliance Data Elements

Note: Metrics on this list are for illustrative and discussion purposes. No institutional commitment to report or use specific metrics is implied.

External Data: Institutional Profile Statistics
Metrics that could be used to publically describe Alliance member institutional profiles

Many of these metrics were suggested because historical data can be pulled from national data sources (IPEDS), and would be available for all Alliance institutions. Data would not be presented in an aggregated format, nor in a comparison format. Rather, they would be used to highlight individual institutional innovations and how the Alliance's activities in replicating the program will impact the national completion agenda.

1. **Access**
   - 1.1. Percentage of minority and low-income undergraduates *(Would we use the IPEDS definitions of race/ethnicities and persons of color would include all but white, international and unknown?)*
   - 1.2. Numbers and growth in baccalaureate degree conferrals by student group
   - 1.3. Compare institution's undergraduate demographics to its surrounding service region *(service region as defined by the institution)*
   - *1.4.* Educational attainment data for the service region or state *(The size of in-state admits affect a comparison to high school? Does the size of on-line programs affect comparisons? Also relates to how the "service region" is defined.)*
   - 1.5. Degree award growth rates as compared to national, state, or region population growth. A related figure may be the percentage of resident students served. *(Is an increase in non-resident students contrary to Alliance goals?)*
2. **Student success**
   - 2.1. First-year retention by student group
   - 2.2. Four-year and six-year graduation rates by student group
5. **Containing costs**
   - 5.1. Metrics from Delta Cost Project or other sources
     - 5.1.1. Administrative vs. instructional spending
     - 5.1.2. Credit hours or degree awards per faculty FTE *(the definition of faculty is those holding academic rank or anyone deemed instructional staff by an institution?)*
   - 5.2. Student debt levels
   - 5.3. Student default rates (available on ed.gov)

Internal Data: Possible New Data Definitions for Alliance Cohort Studies
Metrics that could be used to internally identify and evaluate innovations

The following list does not represent commitment by University Alliance members at this time. Rather, its purpose is to serve and an initial brainstorm of potential metrics of interest. As we evaluate these metrics, we should keep in mind the following criteria: (1) Is the metric available to most of the Alliance members, and if not, is there an appropriate proxy? (2) Can this data be used to help identify outstanding institutional achievements related to the Alliances' goals (Access, Success, Student Learning Outcomes, Quality, Cost Containment) so that exemplar programs can be evaluated for possible duplication at other institutions?

1. **Access: Metrics that may help identify successful programs for recruitment/enrollment of low income, first-time-in-college, and under-represented minorities**
   1.1. Admission rates by student group
   1.2. Participation rates (ratio of admitted freshmen to total high school graduates by student group) or Delta statistics (differences between the ratio of admitted students to eligible students for each student group)
      1.2.1. This may be difficult because some institutions struggle to get good high school data
2. **Student Success: Metrics that will help identify institutions that have successfully reduced the <u>difference</u> in success outcomes among student groups**
   2.1. Look at specifically defined cohorts of students (e.g. low income) and determine if an achievement gap exists between students with matched sets of characteristics (demographics, incoming academic quality scores, etc.)
      2.1.1. *First, determine if the institutions have an index to define an incoming student's academic aptitude (some combination of SAT/ACT score and GPA). Are all the institutions willing to adopt a common index and report progression rates by index ranges?*
      2.1.2. Not all high school GPAs are created equal. A 3.0 here or there is not the same as a 3.0 elsewhere and, therefore, not a good measure of being prepared.
   2.2. Transfer student progression – *To do this, Alliance members will need to agree upon a cohort definition for transfer students (such as those who enter with junior class standing and enroll full-time).*
      2.2.1. First, determine a typical transfer student profile among participant institutions. I.e., are they mostly transferring in 60 hours (semesters) or 90 units (quarters) and enrolling full-time, or is there a wider distribution?
      2.2.2. We may want to examine cohorts that enter under formal articulation agreements.
      2.2.3. We might start by looking at the VSA definition for transfer retention/graduation.
   2.3. Graduation rates by major and student group (e.g. look for minimized racial gaps in STEM major completion)
      2.3.1. Entering or exiting major? How to deal with students who change majors one or more times?
      2.3.2. Instead, of major, use CIPs or STEM. Do we all use the ICE definition of STEM?
   2.4. Academic standing at certain credit hour milestones (e.g. numbers of students achieving 30, 60, 90 credits by year 1, 2, 3) by student group – *Will this metric help inform where retention issues occur along the student progression timeline?*

2.5. Post-graduation success
    2.5.1. Workforce metrics: numbers and salaries of graduates employed post-graduation *(many institutions are missing this data)*
    2.5.2. National Student Clearinghouse for enrollment activities of graduates or drop-outs

3. Student Learning Outcomes (SLO): Metrics to help identify well established programs for improving student learning outcomes

3.1. *Capacity to assess SLO:* Percentage of degree programs with completed full cycle of student learning outcomes (full cycle: complete program learning outcomes designed, at least 20% of SLOs assessed, evaluated, program changes implemented, and outcomes assessed again)

3.2. Data from NSSE that relate to self-assessments, rubric-based assessments of a project portfolio, and experiential learning

4. Improving quality

4.1. Graduating student satisfaction ratings of instruction, advising, facilities, etc. *(NSSE data or elements from an equivalent survey?)*

5. Containing costs

5.1. Course failure (grades of a D, F, or W) rates are closely tied to costs and might be an unexpected metric tied to lower costs

5.2. A ratio of SCH completed to SCH taught

5.3. Cumulative credit hours at time of degree (this may be used in lieu of a time-to-degree or enrolled semesters/quarters metric which may be difficult to define) or the percentage of students graduating within 120 credit.

5.4. Measurable outcomes from innovations related to lowering the costs of delivering instruction or support

Governance: Tentative Model

Governance

The UIA will hold up to six meetings per year for peers from operational innovation clusters (see below). In addition, presidents or their designees will meet four times per year (half in person, half by teleconference or video-conference) to make UIA decisions, report progress, brainstorm and network. Meetings will align with other national postsecondary meetings, taking advantage of travel and schedule opportunities.

The governing board of the UIA will comprise the 11 university presidents or chancellors, or their delegates. Leadership of the UIA is provided by a 6-person executive leadership team with rotating chair, vice chair and past chair. In recognition of the diversity of current activities, priorities, and local contexts of the UIA institutions, participation in any specific project or initiative of the UIA will be at the discretion of the leadership of each campus.

Affiliates/Observers: Tentative Model

From our inception, the California State University system has served in an observational capacity for the Alliance. As we move forward other higher education leaders and institutions may be interested in this work and desire to learn from our progress. Though the Alliance will remain a group no larger than its current membership for the time being a highly selective group of talented emerging presidents, chancellors and subject-specific higher education leaders may be invited to participate in an affiliate or observational capacity.

Expectations for observers will vary depending upon the strengths and unique capabilities of the individual or institution contributing to this shared learning environment . Observers may serve as subject specific consultants, observers, catalysts, provocateurs and documenters.

Potential Affiliates/Observers —

- **Presidents, Chancellors, and institutions** with a demonstrated commitment to innovate
- **Higher Education subject specific experts**
- **Innovation experts**
- **Technology subject specific experts**

The Affiliate/Observer role will be individualized in response to the skills, background, and expertise of the observer and defined by Alliance institutions. Some may attend Alliance meetings. Many will observe, consult or support a specific scaling project or Alliance initiative. This role will emerge over time, and be revisited formally one year after the Alliance formal launch.

Arizona State University	
Retention Dashboard	This online portal allows ASU freshmen to review their academic progress in real time and to identify areas of risk as they develop. The site is available to students, coaches, academic advisors, health services staff and financial student services personnel, all of whom monitor regularly with a goal of improving student success and retention.
Freshman Coaches	Each ASU Freshman is assigned a coach who acts as their personal guide and concierge. Coaches engage students actively, helping arrange introductions, make appointments, and increase their level of engagement in the university environment.
E-Advisor	E-Advisor has helped ASU improve its retention rate by 5 percentage points and has improved the university's graduation rate by 9 percent. While implementation is costly, the system ensures that students are on track with their studies and cannot wander from their degree requirements.
Adaptive learning	All undergraduate math classes have been redesigned to include adaptive education
360	This web interface allows senior leadership the full picture of at-risk students including individualized risk factors.
Innovations seeking to adopt/scale	• Georgia State: financial aid interventions and retention grants • Michigan State: student success initiative • Ohio State: Young Scholars Program • UC-Riverside: supplemental instruction • Texas: University leadership network **Key objectives:** Decrease percentage of first-year and sophomore students on academic probation. Increase rate of progress to degree (more credits completed, in good academic standing) for low-income, first-generation students.

	Georgia State University
GPS Advising	This system uses predictive analytics, collecting more than 2.5 million individual grades and creating projections for how students will perform in every major and in most courses. Data is updated nightly and tracks more than 700 alerts – for example, an accounting major earning less than a B+ in his or her first math course would be contacted for math tutoring prior to enrolling in upper-level accounting courses. Advisors are able to track whether students are enrolling in the right courses. In 18 months of tracking, advisors have had 27,000 one-on-one meetings with students using GPS Advising metrics. Over the first year of use, the university saw a 14 point increase in students' likelihood for graduating on time, and a 9 point increase in freshmen who changed their majors – most to one in which they have a better chance of completing.
Financial Aid Interventions	GSU established a student financial counseling center where student and their families can access practical advice on how to fund an education over four years, how to plan for student debt, and how to use funding responsibly. This is part of a larger effort to identify early warning signs of financial risk and to develop a series of interventions to counter it. The university currently tracks 32,000 students daily through this initiative, and the nature and depth of the metrics will increase exponentially over the next six months. There has been a great deal of support for this from the Atlanta business community, and the president of a national bank has come forward with an offer to help support the effort.
Retention Grants	Students who are on track for graduation but are struggling to meet their financial obligations for school are awarded microgrants to increase their chances of attaining a degree. In 2012-2013, 2,600 students were re-enrolled through this program, and grant recipients completed an average of two additional semesters after receiving the award. All funds go to tuition and fees, so the return on investment is 100%. 70 percent of senior recipients have gone on to graduate. The university distributed $2 million in 2012-2013, recovering 100% of these funds immediately in the form of payment for tuition and fees, and the grants recovered an additional $3,000 average per student during the semester of the award.
Adaptive learning	Individual students interact in an online environment based on what they can easily master and where they struggle. The lessons build on each other using exercises based on student's past progress. Each instructor has 30 students working at different paces and different stages. Some institutions have applied adaptive learning through online courses, but GSU uses an "emporium model," having found that the students' learning is accelerated through the use of hybrid courses – part in class and part online. Within 5 years of implementing this model for pre-calculus courses, GSU's drop, failure and withdraw rates for the course has been lowered from 43% to 21%.

	Georgia State University, Cont.
Workforce Enhancement	GSU is working to attract talented out-of-state students to the university and to provide co-op and internship experiences within high demand professions in the Atlanta area. This initiative enhances the undergraduate experience and increases students' incentives to stay in the area post-graduation.
Innovations seeking to adopt/scale	• Adaptive learning. • Predictive analytics (even though we are using them at scale for tracking students for academic risk factors, we want to add a series of additional dimensions.) Key objectives: Improve graduation rates and conferrals.
	Iowa State University
Learning Communities	ISU has documented a significant increase in first year retention and graduation rates for students who participate in learning communities. These communities are residential based and targeted toward specific groups (Women in Engineering, transfer students, returning veterans, etc.). Residential learning communities have staff living with students in campus residence halls. Peer mentoring and targeted programing increases student engagement. Graduate students have been using learning communities for thesis and dissertation development, and faculty and staff have been presenting more often at conferences. The university has experienced an increase in tuition revenue as a result of increased student retention. So far the initiative has resulted in a net gain in revenue.
Innovations seeking to adopt/scale	• Retention grants (GSU) • IMPACT (Purdue) **Key objectives:** Improve graduation rates.

Michigan State University	
MAP-Works	This early warning advising system produces personalized information for customized interventions. The focus is to further customize interventions to close the attainment gap.
Neighborhood Initiative	MSU has reorganized its housing structure, creating "neighborhoods" to support different populations including students of color, international students, etc. The reorganization has resulted in the decentralization of services such as academic advising, health services and math learning centers. MSU physically updated facilities and intentionally designed the architecture and furniture to reflect openness and flexibility. In the first year of implementation, math tutoring is up 80%, and the popularity has been evidenced as both writing centers and research librarians have asked to move to neighborhoods. The university is now examining how to use learning analytics to develop real-time interventions to help students along the way.
Student Success Initiative	A group of first generation students were selected to participate in this intervention where RAs give targeted attention to them to monitor when specific interventions are needed. If they receive feedback about a specific student, they can deploy someone to intervene to modify behavior.
Innovations seeking to adopt/scale	• Predictive Analytics/Data Driven Interventions • Targeted Advising **Key objectives:** Decrease percentage of first-year and sophomore students on academic probation. Increase rate of progress to degree (more credits completed, in good academic standing) for low-income, first-generation students.
Oregon State University	
E-Campus	This is an online campus environment primarily for students taking classes off campus. Students who benefit most are driven, and may only be taking a few courses. The program gives students access to different learning environments where they may be more successful.
Classroom Design	OSU is designing classrooms based on student research and feedback on student engagement strategies. For example, a parliament design to encourage debate. The new building will have 2,300 seats and will accommodate 25% of the student population in one sitting.
Innovations seeking to adopt/scale	• Predictive Analytics/Data Driven Interventions • Adaptive Learning **Key objective:** Improve graduation rates.

	Purdue University
Course signals	An online dashboard with red light, green light, and yellow light indicators on certain metrics gives students course level, real time feedback on their performance. The system allows early adjustments. This was developed internally and then licensed.
Financial Aid Interventions	Purdue provides financial aid coupled with wraparound support services for students. Support structures are shifting from learning communities and study table types to direct intervention and proactive coaching.
IMPACT (Instruction Matters Purdue Academic Course Transformation)	This initiative uses technology to increase student centeredness and improve students' understanding of introductory material. Assessments are designed to assess the value Purdue adds to the students. There is a three-part measurement that includes: 1. Disciplinary skills, did you learn chemistry. 2. Transferrable higher order cognitive gains—critical thinking, divided into personal and interpersonal. (Initially using CLA +) 3. Evolved into questions about self-determination. Grit, persistence, metacognition.
Innovations seeking to adopt/scale	• Predictive Analytics/intervention • Adaptive Learning **Key objectives:** Improve 4-year graduation rate. Close the achievement gaps with certain groups. Learning gains.

The Ohio State University	
Young-Scholars Program	First generation high school students from Ohio's 9 largest cities visit OSU's campus for a period of time, receiving help as they prepare to apply to college. Students receive a host of college entrance-related services. This initiative has been In operation for about 25 years and has produced a very high yield of students who end up entering college prepared for the experience. Success rates have been higher than expected from urban areas.
Ohio Science and Engineering Talent Expansion Program (OSTEP)	A partnership between OSU and three community colleges in state, this summer bridge program allows students in their junior year of high school to take classes on campus. The audience is first generation, particularly underrepresented minorities. Students come from different parts of the state, particularly SE Ohio/Appalachia, which has a poor record of sending kids to school. Students who participate in OSTEP have higher rates of retention.
First Year Experience (FYE)	First Year Experience programs are designed to help incoming students maximize their first year by getting comfortable on campus, connecting with the university, and starting to think of OSU as home. The programs begin the summer before autumn semester (Buckeye Book Community, FYE camp programs) and continue throughout the first school year. Programs associated with this initiative have been credited for producing significant gains in the entering student profile per OSU's strategic enrollment plan, and first year retention has increased from 86.5% to 92.8%.
Second-Year Transformation Experience Program (STEP)	OSU made a recent decision to require all second year students to live on campus. This decision was made in part because of data suggestion a positive impact on retention and graduate rates. We have designed STEP as a program for the second year on campus residents that concentrates on second year retention through providing closer contact with faculty to keep them on track to graduate and encourage students to participate in experiential learning opportunities.
Louis Stokes Alliances for Minority Participation Program (LSAMP)	The Ohio State University and 10 additional Ohio colleges and universities share an NSF grant to help increase underrepresented student success in STEM disciplines. The program includes innovative curricular reforms in mathematics, and interactive web site, shared on-line courses and workshops, diversity sensitivity training, and a research conference. The goal is to double the number of bachelor's degrees completed in STEM fields at partner institutions within 5 years.
Innovations seeking to adopt/scale	• Predictive Analytics/Data Driven Interventions • Pre-college or Bridge Programs **Key objective**: Improve graduation rates.

University of Central Florida	
DirectConnect	Direct Connect is an access and success program that guarantees admission to the University of Central Florida. Students who obtain an associate's degree from one of four Consortium schools are guaranteed admission to any UCF campus. Over the past 5 years, multicultural degree attainment has increased 124%, minority degree attainment has increased by 30% and the total number of degrees awarded has increased by 57%. The total increase in access has been 59%. This initiative promotes institutional relationships, increases commitment to 4 year degrees at UCF and promotes collaboration in the Central Florida region at a cost that is affordable to students.
Academic Advising program	There are numerous academic advising initiatives targeted to different groups of UCF students. Examples include: a first-year advising, and an exploration program for first year, second year, transfer, student athletes, veterans, and underrepresented minorities. In the 2012-2013 cohort, FTIC retention was 87%, FTIC 4/5/6 Year Graduation was 40%/63%/67%, Transfer Retention was 85% and Transfer 2/3/4 Year Graduation was 32%/62%/71%. UCF employs a split model of academic advising wherein freshmen students are advised through a centralized advising network. After the first year, students are then advised by faculty advisors and other specialized advising offices within the college.
Top 10 Knights	This is a new initiative to recognize student academic achievements in high school and provide students with more certainty regarding UCF admission. Qualifying students must rank in top 10% of their high school class or have a 3.9 or above GPA in lieu of no class rank. Students who meet these criteria are guaranteed automatic acceptance in one of the three semester options. In the first year of this program, 1,000 applications were received and 700 students were admitted. So far, students have been quite successful, and FTIC retention has increased.
Summer Bridge Program	This intensive academic program provides conditional access for underprepared students to UCF and offers academic support services to program participants. The Summer Bridge Program is a six-week program that builds or strengthens a student's writing, oral, and study skills to levels necessary for success in college. The Summer Bridge Program's intensive instructional program, structured tutorial services, and regular advising activities, foster student success and progress throughout their academic careers. The Summer Bridge Program also serves as a Living Learning Community, which promotes student integration within the university environment. Students live on campus and receive special opportunities during their six weeks in the program. Within the Pegasus Success Program: First Year Retention has been 88.8%, and 4/5/6 Year Graduation Rates have been 21.7%/47.4%/56.6%. In the SOAR Program, First Year Retention was 93.9%, and 4/5/6 Year Graduation Rates were 16.7%/48.1%/64.8%.
Innovations seeking to adopt/scale	• Predictive analytics and data driven interventions – GSU GPS Advising, • Adaptive learning – GSU "emporium model" • Innovative financial interventions – GSU "student financial counseling center" **Key objective:** Improve graduation rates, 6-year and 4-year.

University of California - Riverside	
UCR's Achieving Equity Model	UCR is one of very few research universities with equal or nearly equal graduation rates between Pell Grant and non-Pell Grant students and across all major racial-ethnic groups. (Other Alliance universities are also in this group.) Currently, 4 and 6 year graduation rates are equivalent at the university between Pell and non-Pell students, and graduation rates are within a few percentage points across all major racial-ethnic groups. In several recent years, graduation rates have been higher for African American students than for white students. Some elements of the UCR model cannot be replicated at every university. For example, thanks to its efforts over many years, UCR has achieved critical mass in each of the four major racial-ethnic groups in California. Other elements of the UCR model may be replicable across many Alliance universities and nationwide. These include: (1) creating an identity in the college market place as an unusually inclusive university; (2) the use of inclusiveness as an important part of the on-campus narrative; (3) administrative efforts to hire and advance top talent from URM backgrounds; (4) influential offices responsible for encouraging diversity and inclusiveness, and leadership development; (5) active recruiting in minority-serving high schools; and (6) strong support for cultural affinity groups through Student Life organizations, but no separation of academic support services by racial-ethnic groups.
Supplemental Instruction	The Supplemental Instruction (SI) program is led by highly trained peer educators who have done well in the courses for which they are providing supplemental instruction. Primary courses supported are those with high D, F, W counts. In 2012-13, nearly 13,000 students participated in at least one SI session. A recent study shows statistically significant gains for students who participate in SI compared to students matched on socio-demographic and academic background characteristics, although this is not true for every supported class with students who attend SI for only one term. UC Riverside is currently working on streaming SI and looking for other D/F courses that could profit from it. The university is hiring an Assistant Director to ensure quality control.
Innovating Financial Aid Awards to Incentivize Timely Graduation	At several Alliance institutions, institutional gift aid is a larger funding pool than federal gift aid in the form of Pell Grants. Yet historically institutions have used the federal eligibility rules as the default rules for allocating the university's own need-based aid. There is a high likelihood that current financial aid allocation policies are not calibrated to yield maximum student success. UC Riverside is interested in partnering with other Alliance institutions to pilot test how a variety of institutional aid policy changes can incentivize better outcomes for our students, especially lower-income students. Possible changes worth considering are discounting tuition and use of reserves as scholarships for students who make expected progress to four-year graduation and making institutional aid beyond the first year contingent on making expected progress to the degree.
Early Assist	This is an intercollegiate academic advising model applied to "at-risk" students rather than athletes. Students receive extra course points for checking in regularly with peer educators to discuss study behaviors, motivation, learning issues, and distractions. There is follow-through in second quarter for those continuing in next course in Math and English sequences. Results from the program pilot were promising. Students who attended 6 required meetings achieved significantly higher grades than otherwise similar students who did not complete the program. The university is working on an incentivized structure to keep students in the program beyond their first term.

University of California - Riverside, Cont.	
College of Natural Sciences Learning Community	This is a first-year learning community program that has existed in its present form since 2007. Cohorts of 24 students with the same math placements enroll in the same core math and sciences courses for their freshman year. In addition, the student cohorts receive supplemental instruction for their most challenging core course each quarter, a Fall freshman discovery seminar with a CNAS faculty member, and a Fall academic success seminar with a CNAS professional academic advisor. The strong first-quarter mentoring by faculty and advisors, the year-long nature of the cohort course co-enrollment, and the year-long supplementary instruction distinguish CNAS learning communities from those in other UCR colleges and UC campuses.
SL-CARE: Student Learning Communities and Research Engagement	This initiative places CNAS learning community participants into a first-year early research engagement in life sciences or physical/mathematical sciences. Participants engage in evidence-based lab discovery in small groups of 22-24, conducting gene sequencing, computer modeling of chemical bonding, or field analysis and sampling of atmospheric gases. The initiative improved retention to sophomore year and has improved transition to upper division research activities. The university is planning on expanding the pilot and scaling up to several hundred students with increased faculty participation.
Innovations seeking to adopt/scale	• Adaptive learning • Financial Aid Interventions • Predictive Analytics/Data Driven Interventions **Key objective:** Improve 6-year and 4-year graduation rates.

University of Kansas	
Hawk Link	Aimed primarily at first generation students and students of color, this program provides advising, mentoring, and tutoring in the first year. The second year transition includes students acting as peer mentors for first-year students. The retention rate for students participating in this group is 64%, much lower than the overall retention rate of 80% -- however, high school GPA and ACT/SAT scores are also much lower for this group. A matched comparison has not yet been completed. Approximately 100 first-year students participate per year.
Starfish/MySuccess	KU piloted this early warning program in 2012-13, with broad launch in 2013-14. The system connects students, faculty, and advisors through "flags" and "kudos" initiated by instructors and with calendaring function. It is available to all instructors, with rollout focusing on courses with high enrollment of freshmen and sophomores. A pilot study was conducted in 2012 with 7 unique courses. In Fall 2013, KU adopted the program in 52 courses and 106 sections. English 101 sections will be added in Spring 2014 for attendance tracking and Housing follow-up. Data has not yet been released.
Student Success Collaborative Dashboard	This predictive analytics dashboard for advisors helps students choose majors in which they will be successful. The model is currently being built by a third party vendor, and the pilot will be ready by early March. The goal is to have every major included by the end of the academic year.
Pell Advantage	This program provides grants that supplement the Pell Grant up to the cost of tuition (up to $5,000). The retention rate for participating students is higher than the overall retention rate at 82%. KU is currently in year 2 of this program, with the cohort increasing by approximately 270 students each year. The university is working to create a cohort program for Pell Advantage students to help them navigate college and encourage them to take advantage of existing programs.
Innovations seeking to adapt/scale	• Learning Communities (ISU and UCR) • Strategic financial interventions • Predictive analytics/data driven interventions **Key objectives:** Improve first year retention rate; progression to sophomore status, 4 and 6-year graduation rates.

University of Texas - Austin	
Discovery Scholars, the Longhorn Center for Academic Excellence, Gateway Scholars, Longhorn Link, the Texas Interdisciplinary Plan, and Equal Opportunity Engineering Program and the Women in Engineering Program.	Some of these programs are campus wide and some are college specific. Using data from our strategic enrollment management dashboard which includes predictive models to identify students in need of academic support, all students in these populations are assigned to a Success Program this fall to insure they receive additional tutoring, mentoring, and a small academic community. These programs are also offering their students incentive based scholarships called Academic Excellence Awards. These $1,000 or $1,500 scholarships require students to maintain a 3.0/3.5 GPA and complete 30 hours in their first year of school.
University Leadership Network	This unique program provides 500 incoming freshmen with academic and leadership skills consistent with graduating in four years. Students will each receive an annual award of $5,000 as they achieve program goals, paid in monthly installments contingent on students' participation and good standing. The first-year curriculum focuses on academic success and includes customized, interactive training that strengthens a student's leadership abilities. In subsequent years, students will define their unique paths to campus leadership through participation with on-campus experiential learning opportunities as well as engagement in university and community service.
360 Connection	This program is responsible for making sure every incoming student is part of a small community of no more than 20 students and builds on significant pre-existing structures - including First Year Interest Groups, signature courses, honors programs, success programs, groups managed through Student Affairs, and many others. These groups meet together once a week with a professional advisor or program coordinator to work with incoming students one-on-one to support adjustment to college. The value of coordinating community formation is the delivery of a consistent message to students about how to achieve academic and personal success within the frame of a four-year graduation model. This year there are four theme weeks planned for the fall that let students meet their faculty, learn about the UT Austin honor code and core values, explore majors and career options, and experience Longhorn pride and traditions.
Innovations seeking to adapt/scale	• Strategic financial interventions coupled with intensive academic support. • New degree pathways for community college students • Predictive analytics expansion **Key objectives:** Improve 4-year graduation rates. Serve more students and expand access.

MEMORANDUM

January 27, 2014

TO: Warren Farr, U.S. Department of Education, Federal Student Aid

FROM: University Innovation Alliance Presidents and Chancellors

RE: Suggestions for New Experiments for the Experimental Sites Initiative; Federal Student Financial Assistance Programs Under Title IV of the Higher Education Act of 1965, as Amended

The Need

An innovative solution to improve critical outcomes for low-income populations is needed as in the face of growing socioeconomic disparity. While Pell grants improve access to higher education for low-income students, graduation rates of Pell recipients continue to fall short of their peers. A study by the Center for College Affordability estimates 40 % of Pell recipients graduate within six years, compared to 56.6 % of their non-recipient peers[i]. Pell recipients acquire more student loan debt than non-recipients; nine out of ten Pell recipients take out student loans, and their average debt is $3,500 more than their higher income peers[ii]. Despite spurring enrollment, Pell grants currently do not provide any incentive for accelerated degree completion. Experimenting with incentive loan repayment programs based on time to degree completion may help Pell recipients persist, graduate in less time, and incur less overall loan debt.

Experimental initiative

This proposal would develop two new loan incentive repayment programs for Pell recipient students based on time to degree completion. Pell recipients graduating in five years or less would be eligible to receive a graduated reduction to their interest rates for their Perkins and/or subsidized loans distributed through the Federal Direct Student Loan Program (FDSLP) and receive the minimum Pell award for one or two years applied to outstanding federal loan obligations. The outcomes of this experiment include increasing the graduation rates of Pell recipients, reducing student loan debt at graduation, and strengthening student persistence through two separate yet related incentives. The pilot initiative would combine financial incentives to improve graduation throughput with institutional approaches to decrease time to degree.

Pilot Institutions
Arizona State University, Georgia State University, Oregon State University, and Purdue University would serve as the initial pilot, potentially scaling to some or all of the seven remaining Alliance institutions upon approval of the pilot.

The Alliance

The University Alliance (the Alliance) is an initiative of 11 large public research universities committed to confronting a major challenge facing the American economy: an undereducated workforce. This challenge will only be addressed when institutions of higher education transform the way we operate to dramatically increase attainment rates and throughput, particularly for low-income students. The Alliance is representative of the demographic, geographic, and economic diversity of our country. As large-scale, comprehensive public research universities, our 11 institutions enroll more than 400,000 students and have an equal ratio of male and female students, proportional numbers of African-American and Latino students when compared to similar universities, and a higher proportion of Pell recipients. The Alliance institutions include Arizona State University, Georgia State University, Iowa State University, Michigan State University, Oregon State University, Purdue University, the University of California-Riverside, the University of Central Florida, the University of Kansas, The Ohio State University and the University of Texas-Austin.

The Proposal

Implications to Title IV, HEA programs

Incentive repayment program – loan interest rates
The experimental initiative would create a new loan incentive repayment program similar to TITLE IV of the HEA, PART E, SEC. 464, PERKINS LOAN TERMS AND CONDITIONS, that would establish a reduction of the interest rate on Perkins and subsidized loans distributed through the FDSLP, if a Pell recipient student graduates in five years or less. This program would waive the Perkins requirement of the student borrower to have made 48 consecutive monthly payments to be eligible for the incentive; the reduction would be contingent on graduating in five years or less and would take effect within six months of graduation.

Incentive repayment program – Pell awards
The experimental initiative would create a loan incentive repayment program that awards a Pell student up to two years of the minimum Pell award, disbursed annually, to be applied to the student borrower's federal loan obligations for graduating in five years or less. TITLE IV of the HEA, PART A, SEC. 401 C, CALCULATION OF FEDERAL PELL GRANT ELIGIBILITY would need to be revised to allow the disbursement of funds to a student no longer enrolled at least half-time as an undergraduate student. Further, the disbursement would directly apply to the student borrower's outstanding federal loan obligations and new procedures would need to be developed for this to occur.

Program Design

The option for the first incentive repayment program offers a uniform reduction of interest rates for subsidized loans distributed through the FDSLP and the second reallocates unused Pell awards from years five and six of eligibility toward direct loan forgiveness. These ideas could be incorporated individually, or combined.

Incentivized Interest

This experiment proposes a graduated interest rate reduction, up to one percent, on all Federal Perkins Loans and subsidized FDSLP incurred by a Pell recipient who graduates in four or five years. It is suggested that students who graduate in four years receive a one-percent reduction, and students who graduate in five years receive up to a .75 % decrease. Loan rates for students who extend past five years of enrollment will not receive a reduction.

Table 1 illustrates potential savings of a student taking the maximum allotment of subsidized loans per year of enrollment. It assumes market stagnation and uses this year's current interest rate of 3.86 % as the interest rate for the subsequent years. These costs assume minimum payments for each loan are made to meet a loan term of ten years (120 terms) and that each loan has zero loan fees. As the table shows, interest rate reductions would benefit students by decreasing the total amount of accumulated repayment required as well as monthly payment amount. Students would enter the workforce and economy sooner, begin repaying their loans earlier, and have lower student loan debt.

Table 1: Potential borrower savings through reduction of direct subsidized loan interest rates

Under-graduate Year Loans were Incurred	Principal Direct Subsidized Loan Amount	Interest Rate (IR)	10 year repayment post-graduation	10 year with .75% IR reduction	10 year with 1.0% IR reduction
Year 1	$3500	3.86%	$3,971.79	$3,901.10	$3,833.70
Year 2	$4500	3.86%	$5,321.30	$5,130.66	$5,071.11
Year 3	$5500	3.86%	$6,638.34	$6,406.54	$6,330.52
Year 4	$5500	3.86%	$6,638.34	$6,406.54	$6,330.52
Year 5	$5500	3.86%	$6,638.34	$6,406.54	--
		Total Cost (4-year grad)	$22,569.77	$21,844.84	$21,565.85
			Savings	$724.93	$1,003.92
		Total Cost (5-year grad)	$29,208.11	$28,250.54	--
			Savings	$957.57	--

Pell Award Reallocation

Pell recipients are eligible for 12 semesters (six years) of Pell grants[iii] with the majority of recipients needing student loans to support the total cost of attendance. To further incentivize graduating in five years or less, this experiment proposes that for each additional year of Pell eligibility students do not use (maximum two years), these students receive the minimum Pell award in the form of loan forgiveness towards their FDSLP. Pell recipients who graduate in their

fourth or fifth year would receive this amount reduced from their FDSLP principal within six months of graduation. Four-year graduates would also receive half of their most recent award for an additional year applied in the same process.

As Pell recipients incur an average debt of $26,000,[iv]this interest rate incentive program would provide student motivation to reduce total loan amount and save on total loan repayment by graduating in five years or less. The program would generate net savings from not awarding additional years of full Pell grant awards. With over nine million Pell recipients, the average Pell award of $3,833 costs the federal government around $34.5 billion per year[v]. The proposed federal loan repayment award would diminish this cost by decreasing the number of students receiving full award payments as enrolled students.

Additional guidance
Helping students understand this incentive program and improve time to degree will require comprehensive institutional support. The Alliance institutions will use a variety of strategies and interventions to promote financial literacy and responsiveness to this incentive in addition to possible tactics like face-to-face interactions incorporated into targeted academic advising, leveraging predictive analytics, and tracking and further encouraging Pell recipients to degree completion.

Evaluation

Methods to measure the effect of the loan repayment incentives on the graduation rates of Pell recipients include tracking the graduation rates of all Pell recipients aware of the proposed incentives and compare results to the graduation outcomes of past Pell cohorts with no incentives. Alternatively, a longitudinal study could split first-time freshmen Pell recipients into a control group (unaware of incentives) and a variable group (to which incentives are marketed and explained). To better control for variables, transfer students, part-time students, and students who are ineligible for Pell awards all four years will be omitted. In this experiment, only first-time freshman that remain Pell eligible all four years will be included.

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[i] Hogberg, D. (2012, October 11). *Obama Pell Grants Increase, But Do Students Graduate?* Retrieved January 16, 2014, from Investors.com: http://news.investors.com/101112-628981-obama-pell-grants-rise-with-no-graduation-data.htm

[ii] Mahan, S. M. (2011). *Federal Pell Grant Program of the Higher Education Act - Background, Recent Changes, and Current Legislative Issues.* Washington D.C.: Congressional Research Service.

[iii] *Federal Pell Grants*. (2013). Retrieved January 16, 2014, from Federal Student Aid: http://studentaid.ed.gov/types/grants-scholarships/pell

[iv] Prueter, B. (2013). *Degrees of Debt: Student Borrowing and Loan Repayment of Bachelor's Degree Recipients 1 Year After Graduating: 1994, 2001, and 2009.* Washington D.C.: New America Foundation.

[v] Ibid.